EVALUATION OF LOCAL GOVERNMENT CAPACITY-BUILDING INTERVENTIONS BY THE PROVINCIAL GOVERNMENT IN KWAZULU-NATAL

SUBMITTED IN FULFILMENT OF THE REQUIREMENT FOR THE DEGREE OF DOCTOR OF ADMINISTRATION IN PUBLIC ADMINISTRATION.

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DATE SUBMITTED: 30 October 2021

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ACKNOWLEDGEMENTS

To my late parents, Mr Yusuf Ndongo Kundethe and Mrs Busisiwe Zulu-Kundethe (Ndabezitha). I am eternally grateful for the values they instilled in me, working hard and being ethical in all that I do, and prioritising education. Apart from what they taught me, I would not have achieved what I have to date.

ABSTRACT

Capacity and capacity-building are not simple concepts. Broadly defined, the term 'capacity', when it refers to an organisation, means the ability of the leadership to make plans and set goals; acquire, manage, and effectively use resources; resolve problems and manage the achievement of the goals. In terms of this definition, capacity-building is much more than intervening to develop the skills and knowledge of employees to set and achieve goals; it also requires the establishment of a workplace that is conducive to the successful application of these competencies. To ensure that local government organisations operate efficiently and effectively, various capacities, including legal frameworks, policy directives, powers and functions, operational support, and financial, human, and other resources, are available. However, although these capacities are available, they have not produced a functional local government that citizens can rely on for service delivery and socio-economic development in local areas and communities.

This study assesses capacity-building interventions in selected municipalities in the Province of KwaZulu-Natal (KZN) by its provincial government. The study was conducted in seven Municipalities in KZN. Six are local municipalities: Umzumbe, Msunduzi, Inkosi Langalibalele, Emadlangeni, Edumbe, Mtubatuba, and the seventh is a district municipality, Umkhanyakude. All councillors, senior administrators, and skills development officials from these municipalities – who could be reached – were requested to be part of the study. Those who accepted the invitation were interviewed. All the municipalities are in rural areas of the province except for Msunduzi, an urban region in which Pietermaritzburg, the second-largest city in KZN, is situated. They are all challenged in meeting their service delivery mandate and other performance goals and targets.

The theoretical framework is the model for capacity developed by the United Nations Educational, Scientific and Cultural Organisation's (UNESCO's) International Institute for Capacity-building in Africa (IICBA). It identifies three levels of capacity: environmental, organisational (institutional) and individual levels and pictures them as three levels of capacity in a system. Organisational capacity provides the context

within which individual capacity is applied, and environmental capacity provides the context for organisational capacity. Understanding the background against which capacity-building interventions can be evaluated, this study has explored the three levels of capacity available to local government.

This study has five aims. They are to determine the following: issues that hamper provincial departments in developing the skills and knowledge of councillors and administration officials; appropriate processes for conducting skills audits; appropriate individual capacity-building programmes for councillors and administration officials; appropriate processes for conducting institutional capacity assessments; and appropriate processes for building institutional capacity. Two data-gathering exercises were conducted to gather data in respect of the objectives. First, semi-structured interview schedules recorded opinions and comments from municipal councillors, senior administrators, and skills development officials.

These schedules were then analysed numerically to identify trends and highlight challenges and concerns. Second, a survey of provincial departments engaged in support and capacity-building of municipalities was used to collect opinions and comments about their challenges and achievements in working with municipalities.

The number of participants from each municipality was as follows: in Edumbe Local Municipality, 20 participants; Emadlangeni Local Municipality, 32 participants; Inkosi Langalibalele Local Municipality, 27 participants; Msunduzi Local Municipality, 80 participants; Mtubatuba Local Municipality, 34 participants; Umkhanyakude District Municipality, 25 participants; and in Umzumbe Local Municipality the number of participants was 28.

The study found that although there are challenges in the quality of some of the capacities and capacity-building interventions made available to municipalities, the most significant challenges exist within the municipalities, which reduces the effectiveness of institutional and individual capacity-building interventions by provincial government departments.

The key challenge in institutional capacity-building is the occurrence of various forms of political interference in recruitment. This phenomenon leads to the appointment of

under-skilled and under-qualified senior managers in municipal administrations. The consequences are weak leadership, weak institutions, poor management of financial resources, weak governance, weak accountability to communities and the lack of a learning culture. An under-skilled leadership also results in poor human resource management and an ineffective Human Resource Development (HRD) function, which renders affected municipalities unable to attract, develop or retain staff in scarce-skill positions, including all levels of technical and financial skills.

The study also found that the key challenge in building individual capacity in municipal councils lies in many elected officials' inadequate educational and work experience. At this point, a set of universal educational requirements for the appointment of elected officials does not exist. Political parties appoint officials according to criteria set by the political party, and then, once they have been elected, skills development opportunities are offered by the provincial government. However, a minimum requirement for an individual to benefit from workplace skills development is that basic skills in numeracy and literacy are necessary. This requirement is higher when the skills required are related to councillors' high-level oversight functions. Many senior municipal administrators and municipal councillors in KZN are not equipped to carry out their duties or effectively use the support or capacity-building resources and interventions.

The research findings led to several recommendations of which the most significant are that: political parties should set criteria for the nomination of municipal representatives to ensure that the appointed officials can benefit from capacity-building programmes; municipal councils should set performance standards for councillors that include personal development plans to encourage learning; the institutional capacity of municipalities should be strengthened to enable them to withstand political interference, competence-based appointments are made, people with scarce skills are attracted, and the South African skills development system is understood and implemented.

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ABBREVIATIONS AND ACRONYMS

AET	Adult Education and Training
AG	Auditor General
AGSA	Auditor General of South Africa
ANC	African National Congress
B2B	Back to Basics
B-BBEE	Broad-Based Black Economic Empowerment
BEE	Black Economic Empowerment
CBU	Capacity-building Unit
CFO	Chief Financial Officer
CHE	Council on Higher Education
COGTA	The Department of Cooperative Governance and Traditional Affairs
DCOG	Department of Cooperative Governance
DDM	District Development Model
DHET	Department of Higher Education and Training
DUT	Durban University of Technology
EPWP	Extended Public Works Programme
ETQA	Education and Training Quality Assurance
ETU	Education and Training Unit
FFC	Financial and Fiscal Commission
HIV/AIDS	Human Immunodeficiency Virus / Acquired Immune Deficiency Syndrome
HRD	Human Resource Development
HRDC	Human Resource Development Council of South Africa
IDP	Integrated Development Plan
IHRL	International Human Rights Law
IGR	Intergovernmental Relations
IICBA	The International Institute for Capacity-building in Africa
ILO	International Labour Organisation

KZN	KwaZulu-Natal
KZN COGTA	The KwaZulu-Natal Provincial Department of Cooperative Governance and Traditional Affairs
LG	Local Government
LGSETA	Local Government Sector Education and Training Authority
LM	Local Municipality
MANCO	Management Committee
MDB	Municipal Demarcation Board
MEC	Member of the Executive Council
MFG	Municipal Facilities Grants
MFMA	Municipal Finance Management Act
MIG	Municipal Infrastructure Grant
MISA	Municipal Infrastructure Support Agent
MPAC	Municipal Public Accounts Committee
MSA	Municipal Systems Act
MTSF	Medium-Term Strategic Framework
NDP	National Development Plan
NQF	National Qualifications Framework
NSFAS	National Student Financial Aid Scheme
OQSF	Occupational Qualifications Sub-Framework
PDP	Personal Development Plan
PGDP	Provincial Growth and Development Plan
PSET	Post-School Educational and Training System
PT	Provincial Treasury
QCTO	Quality Council for Trades and Occupations
RPL	Recognition of Prior Learning
SALGA	South African Local Government Association
SAQA	South African Qualifications Authority
SCM	Supply Chain Management
SDF	Skills Development Facilitator
SDG	Sustainable Development Goals
SDIBP	Service Delivery and Budget Implementation Plan
SETA	Sector Education and Training Authority

SSETA	Services Sector Education and Training Authority
TVET	Technical Vocational Education and Training
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UKZN	University of KwaZulu-Natal
WSP	Workplace Skills Plans

CHAPTER 1: INTRODUCTION

1.1 Introduction

This chapter is a broad preamble to the research topic and key issues and challenges faced in capacity-building in local government. It presents a rationale for the study and considers some related issues, including capacity-building concepts and definitions, relevance to local government, and challenges in designing capacity-building interventions. In this chapter, the research is motivated, the research problem is described, and the study's focus is given. Several research questions are posed that will hopefully be answered, while the research objectives are stated here.

1.2 The Legal Mandate for Capacity-building

The legal mandate for local government and the support of the local government by provincial departments is located mainly in the Constitution of the Republic of South Africa. Section 152(1) of the Constitution (RSA 1996) stipulates that: municipalities must offer independent and responsible government to citizens within its locality; ensure that citizens are provided with services consistently; influence social and economic advancement; encourage a safe and healthy environment and persuade the participation of its constituencies and community non-profit organisations regarding issues in municipalities. Section 152(2) of the Constitution (RSA 1996) stipulates that a municipality must aim to achieve its goals within its administrative and financial capacity.

Section 153 of the Constitution (RSA 1996) outlines crucial aspects to be undertaken by municipalities, stating that they must "structure and manage its administration and budgeting and planning processes to give priority to the basic needs of the community, and to promote the social and economic development of the community; and participate in national and provincial development programmes".

Section 154 of the Constitution (RSA 1996) states that national and provincial governments are to "support and strengthen the capacity of municipalities to manage their own affairs, exercise their powers, and perform their functions."

1.3 Problem Statement

It has been evident that, overall, national and provincial departments have been meeting their mandates. To ensure functional municipalities, they have provided relevant regulatory frameworks, resources, and support to implement programmes and interventions, including capacity-building interventions. However, local government continues to face challenges. The number of municipalities that are not functional institutions is concerning. What is alarming is that they are increasing. They fail to carry out their service delivery and developmental duties and fail to respond to capacity-building and other interventions.

At an in-house presentation at the Department of Cooperative Governance and Traditional Affairs (COGTA), several issues were raised as driving the poor performance of local government administrations and councils (KZN 2020). The most critical issue identified was ailing leadership abilities, evidenced by incompetent, dysfunctional, eroded councils and municipal organisations. Fragile administrations and incompatible relations between councillors and the municipalities administration were also considerations. Other significant weaknesses included the lack of infrastructure development, maintenance and poor service delivery planning and monitoring.

COGTA (2020) identified the following capacity and skills challenges:
High vacancy rates or instability in critical functions are mentioned in local government. The capacity challenges include senior management and technical positions, organisational structures that are not fit for size and purpose; allegations of political interference in recruitment; and little to show for substantial investment in capacity-building programmes.

The lack of capacity and budgetary constraints to evaluate and assist municipalities in the local government space are mentioned regarding national and provincial government.

1.4 Definitions of Capacity-building

In a workplace context, the term skills development is used more often than capacity-building. Skills development refers to strategies, activities, and methods, from on-the-job coaching to bursaries for academic qualifications to participate in short training courses. Skills development aims to enhance the work performance of individuals, teams, departments, and other work units. The Doha Forum provides a broader definition of Decent Work and Poverty Reduction (Kawar 2011). It includes literacy and numeracy in workplace skills development. Literacy and numeracy are fundamental skills that lay the foundation for employability, access to training and advancement in a workplace. This broad definition of skills development overlaps with the concept of capacity-building. It is very relevant to South Africa as it has a high unemployment rate and high illiteracy rates amongst adult work seekers.

Skills development directly benefits individuals, but an employer offers it because there is the expectation of it contributing to improved work performance, which in turn will assist an organisation in achieving its goals. However, skills development programmes do not have an explicit goal of strengthening the workplace and their impact on organisational performance is seldom measured and often not measurable.

Technical assistance is a skills development strategy used to build organisational capacity while simultaneously developing the skills of individual employees. Like training, coaching, or mentoring, technical assistance is most effective to improve individual or team competence.

Developing an organisation to maximise its use of skills, information, and other resources to meet its performance targets and carry out its functions more effectively is a goal of organisation development or institutional capacity-building programmes. Institutional capacity-building strategies often include skills development, but capacity-

building also requires different strategies like policy development, organisational development, revising organograms or reassigning tasks.

Capacity-building covers a wide-ranging set of activities that are difficult to define. Broadly defined, the term 'capacity' refers to the ability of an organisation's leadership to develop the organisation's effectiveness by improving its ability to set goals, acquire and effectively use resources, resolve problems, and manage the achievement of the goals. In terms of this definition, capacity-building is not simply developing the skills and knowledge for developing policies or setting and achieving goals; it insists on creating a workplace beneficial for applying such competencies successfully. Capacity-building is not a short-term process; it requires a systematic strategy more aligned to development practice than skills development practice. However, there is no formal body of knowledge about what works best in specific circumstances and no clear guidelines for conducting a capacity needs assessment (World Bank 2005).

From the perspective of local government, capacity means the power of municipalities to meet their resource conveyance obligations and development mandate through effective and efficient use of resources. Building capacity requires specific environmental factors to be in place, which includes a national legal and policy framework and the necessary financial, infrastructural, and other resources, including human resources. Skills development is a means of building the capacity of individuals within an organisation to verify that they have the expertise and capabilities that the municipality requires. While skills development usually means instilling and improving technical and job-related skills and knowledge, it supports institutional capacity-building. It is done by ensuring that municipal officials have the skills necessary for successful and well-governed local government institutions, such as defining problems and formulating solutions or working co-operatively with stakeholders to achieve goals.

UNESCO's IICBA emphasises building institutional capacity to improve and sustain improved organisational performance. (Matachi 2006). Concerning the programmes of the IICBA that seek to strengthen the capacities of teacher education institutions in Africa, Matachi draws attention to their focus on developing teachers' abilities to plan, implement and manage policies and programmes that will improve their institutions. The IICBA's view of capacity-building is not to provide short-term interventions.

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Instead, it emphasises ongoing programmes that offer long-term support for the development of institutions. The IICBA believes that neglecting the capacity-building of institutions may limit the effectiveness of capacity-building programmes for individuals. Moreover, organisational capacities are not developed through training individuals while focussing on individuals misses the more significant issues that may be facing an organisation and could even undermine the organisation's capacity.

The IICBA identifies three types of capacity: environmental, organisational, and individual. It pictures them as three levels of capacity within a system. Organisational capacity provides the context within which individual capacity is applied, and environmental capacity provides the background for organisational capacity.

Figure 1.1: Three Levels of Capacity
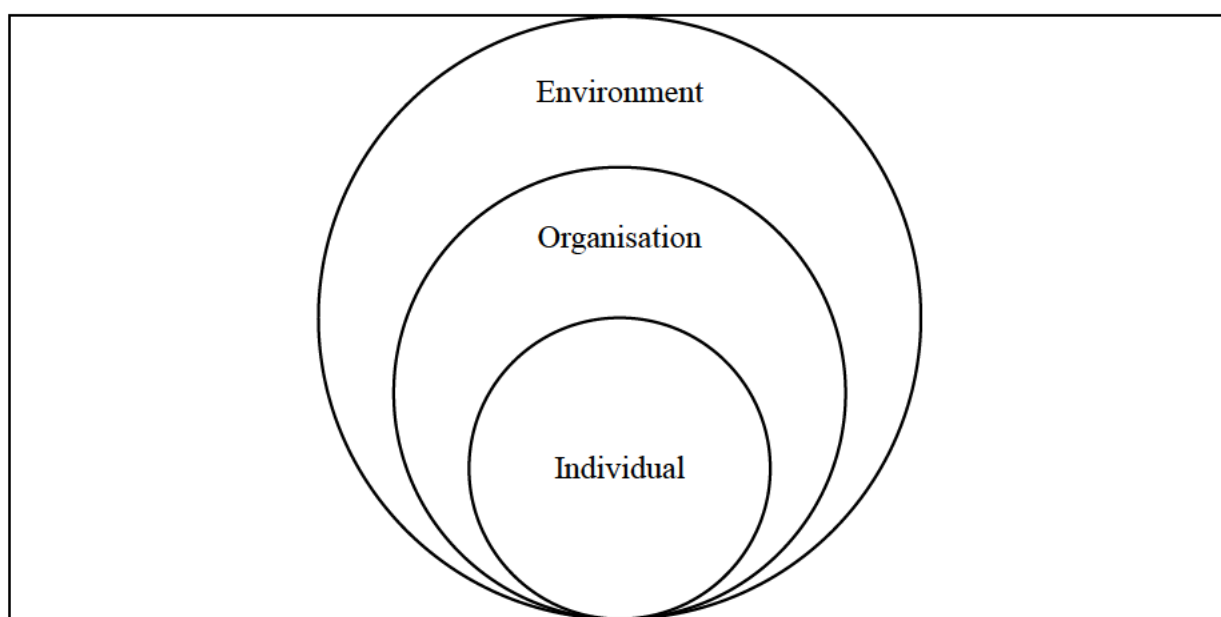
Source: Matachi, A. Capacity-building Framework. (2006) UNESCO International Institute for Capacity-building in Africa.

The IICBA also offers an in-depth definition of capacity that identifies the development actions associated with each level.

Table 1.1: The IICBA Definition of Capacity

Level	Definition	Elements	Development Actions
Individual	The willingness to work towards achieving objectives by using one's skills and knowledge.	• Job-related knowledge, skills, attitudes and values	Education, training and/or on-the-job-training.
Organisation	Anything that will improve an organisation's performance	• Human resources, that is, the capacities of individuals in the organisation • Physical resources including facilities and equipment • Intellectual resources such as strategic planning, knowledge management and relationships with other organisations • Financial resources including funding, grants and income • Organisational structure including roles and responsibilities, reporting relationships, job descriptions and systems • Organisational culture including policies, procedures and practices • Quality of leadership and management	Capacity at this level determines how resources are used and how individual capacities are applied. Skills useful at this level include problem-solving, decision-making and communications skills.
Environment	The environment includes the administrative, legal, political, economic and social systems and frameworks that inform the development and	• Laws, policies, rules • Customs, culture, norms • Social capital and social infrastructure • Combined capacities of individuals and organisations	Capacity at this level refers to the setting within which capacity at the other two levels is demonstrated

	implementation of policies and strategies		

Source: Matachi, A. Capacity-building Framework. (2006) UNESCO International Institute for Capacity-building in Africa

The United Nations Development Programme's (UNDP's) information document on capacity-building (UNDP, no date) describes the capacity of individuals, organisations, and communities to acquire and develop the skills to set and attain their growth intention over a certain period. For the UNDP (UNDP), the goal of capacity-building is transformation. Capacity-building must change the way things are done, not just improve the performance of tasks, emphasising institutional capacity-building.

1.5 The Focus of Capacity-building Interventions

In South Africa in the 1990s, local government was positioned to undertake a transformative function in the daily activities of ordinary people. The White Paper on Local Government (COGTA 1998) sets out the South African government's vision of the local government's arena of administration as the arena of administration that fulfilled a censorious function in the structuring of communities and their surroundings. The White Paper places local government in an arrangement of collaborative government. While local municipalities are a realm of administration on their own, the national and provincial governments should develop a consistently empowering and participatory environment in which local government can be effective. They must provide the environmental capacity with several supporting systems to enable municipalities to become strong and capacitated. Municipalities are seen as enablers for the sustainability of a better life for the country's citizens.

The African National Congress (ANC) briefing on local government capacity raises some challenges in transforming local government into an employer. In the briefing document, it is indicated that while there has been substantial investment in capacity-building in local government for delivering on capacities and skills required, there seems to be limited progress (Masondo 2015). The regulations of the Local Government: Municipal Systems Act (2000) concerning the employment and work arrangement regarding employment of executive managers (2013), require senior

managers in local government to be qualified and competent for their positions before they are appointed. These regulations reflect a crucial shift in the government's Capacity-building Strategy away from individual skills development towards focussing on building institutional capacity. It allows the focus to be on building resilient institutions rather than on training senior managers to do their jobs.

1.6 Challenges in Local Government Capacity-building

1.6.1 Leadership

As employers, municipalities must ensure that all officials are competent and capable, especially senior managers. However, an employer's focus must be on the institution's core business: equipping employees with skills to do their jobs cannot be the focus of any employer (Masondo 2015). Accordingly, the South African Local Government Association's (SALGA's) Centre for Leadership and Governance does not address job-related competencies, but has concentrated its efforts on developing the ability of the executive to respond to challenges and support the development of organisational capacity. The capacity-building programmes of the KZN COGTA and other provincial departments make similar assumptions. However, appointments to top positions in municipal administrations do not always appear to be made based on qualifications, experience, and ability. Other factors such as political interference, political connections, or the lack of available skills – primarily financial and technical skills – continue to challenge the quality of management appointments in many municipalities.

Despite the challenges, the requirement to appoint competent senior officials is imperative to the role of skills development in municipal administrations. However, the situation regarding Local Government Councillors is less clear. Section 151 of the Constitution (RSA 1996) gives a municipality and its council administrative and lawful command and hence the ability to control its own affairs and the affairs of local government in its area of jurisdiction. Therefore, the leadership capacity of a municipality's council is critical to its successful functioning. However, there are no selection criteria for local government councillors, and different political parties have different processes and standards.

1.6.2 Educational Levels

In some provinces, including KZN, some councillors lack basic education, including fundamental literacy and numeracy, which are assumed in the legislated functions of the council and are also entry requirements to most skills development programmes. The need for Adult Education and Training (AET) can divert the focus on Capacity-building Units (CBU) away from growing the leadership ability of councillors and enable them to put most of their attention and resources into training programmes that address fundamental skills. KZN's COGTA undertakes a recognised Local Government Sector Education and Training Authority (LGSETA) councillor curriculum at National Qualifications Framework (NQF) Level 3, which is the same NQF level as training programmes for junior supervisors in the private sector. However, training at this level is necessary because many councillors' low level of education does not allow them to access a higher level of training. However, it is problematic in their high-level oversight, governance, and municipality leadership responsibilities.

1.6.3 Approaches to Capacity-building

Another challenge is the lack of consistency. The Financial and Fiscal Commission (FFC) Report (Peters and van Nieuwenhuyzen 2013) found that different government departments have different approaches to training local government councillors. Some departments, for example, emphasise accredited training aligned to unit standards, while some prefer short courses and others deploy technical advisors to act as mentors. The report found that the different approaches were not based on a theoretical understanding of training methods and were ad hoc and uncoordinated. In addition, the different departmental approaches were not based on an agreed definition of capacity-building, and the report found that they could aggravate existing capacity challenges. The report also found that training impacts were not assessed even though examining the results of capacity-building programmes is imperative for developing government policy and ensuring that interventions are relevant and efficient.

The FFC's report makes several recommendations, including that capacity-building objectives should be clearly defined, and independent exit evaluations of capacity-building programmes should be compulsory. It also recommends that capacity-building initiatives must synchronise individual and institutional capacity-building. In order to do this, not only should training be offered but also technical support, business process engineering and change management tools. Another recommendation is that human resource functions in local government should be strengthened, and municipalities should be supported in filling critical vacancies with individuals who have the right skills and knowledge for the post. Finally, it recommends that the municipality's skills development plans and programmes be monitored to ensure that officials receive training that supports their continued professional development.

1.6.4 Skills Development for the Changing World of Work

Organisations are currently experiencing rapid change, and there is a high degree of risk in acting as though the future will be an extension of the present. The possibility that the not-too-distant future could be vastly different to the present can be seen particularly in developments in technology and their potential impact on jobs and the implications of global warming and extreme weather conditions on economic and social stability. To build an organisation's capacity to cope with change, the skills development programmes must distinguish between training a person to do a job as it is defined right now, and training a person to learn, adapt, and innovate to deal with future changes in their jobs. Skills development programmes will have to address both aspects. Some will have to address new skills needs. For example, the demand for remote working during the COVID-19 pandemic exposed a lack of internet user skills amongst local government councillors and poorly designed communication systems and IT in municipalities and a lack of competent IT officials to maintain the system.

For Maclean and Ordonez (2007), the occurring changes will require a new education and training model. It will require skills development practitioners to recognise that previous models about "what to teach, how to teach and whom one teaches have radically changed". They emphasise that effective skills development programmes will be more reliant on information gathered from needs assessments and that approaches

to skills development will have to be responsive to the diversity of learners and the needs of a changing world.

1.7 Background to the Study and Motivation for Research

Since 1994, as South Africa adjusted to a new type of government, local government has transformed itself in several ways. The implications of this for the effective capacity-building need to be understood. Previously, local government was controlled by the national government. Now it is one of three independent, autonomous spheres of government having its own service delivery mandate. Local government was previously segregated according to population groups, but now different communities are integrated within a municipal area. Previously local government serviced only specific communities, not others. Now it covers the whole of South Africa with services extending to all communities. These changes have highlighted the inherited inequality and uneven capacity amongst populations, communities, and municipalities.

Moreover, the environmental capacity available to municipalities in a legal and financial framework has been well developed. Still, it is not necessarily appropriate for all municipalities. It might sometimes demand more than they can deliver; for example, officials in a small, rural municipality might be unable to properly complete complex application forms for grant funding, while a municipality in a city might have dedicated officials with the capacity and resources for this type of task.

As a result of the apartheid education policies, South Africa faced and continues to face challenges in developing a skilled and competent workforce. This challenge also impacts local government. In some areas, particularly rural areas, administrators struggle to acquire capable staff in their administrations, and their councillors often lack basic literacy and numeracy skills. This impact on skills development programmes for officials and councillors needs to be examined, as do the implications thereof for some municipalities that lack a local skills pool from which they can draw employees. In addition, most municipalities seem to lack a learning culture and officials and councillors often resist skills development initiatives. How skills development has been carried out has not improved the functioning of local government. However, there is

little information about the underlying reasons because of a lack of monitoring and evaluation of skills development.

The transformation and development of local government has happened without a clear theoretical model for institutional capacity-building, and there is a noticeable lack of initiatives to build institutional capacity. There is also a lack of clear definitions of institutional capacity-building and guidelines for auditing and addressing the need to build institutional capacity. COGTA and many others have raised capacity issues that they believe contribute to this situation. This area needs to be explored and operationalised.

The concept paper that describes the local government's Back-to-Basics Approach points out the following. While achievements have been made in providing sanitation, electricity, water and refuse removal at ward levels – that is unmatched globally by more citizens than ever before – many challenges remain in achieving the service delivery and development ideals of local government (COGTA, 2014). Such challenges include institutional and financial incapacity that undermines the viability of some municipalities; a lack of appropriately skilled personnel; inadequate public participation resulting in low levels of trust by communities; corruption; and a breakdown in constitutional values amongst public representatives.

In an article in the Cape Times, Cloete (2018) details how the functions and values of the management of skills development within municipalities have been reduced from the developmental and consultative approach promoted in the Skills Development Act (1998) to an administrative task of completing forms for submission to LGSETA. He concludes that both skills development facilitators and managers have abdicated their skills development responsibilities and opted for weak compliance with the provisions of the Skills Development Act. The consequence of neglecting good practice skills development processes is that institution-building processes are also neglected, with institutions becoming progressively weaker over time.

Efforts to address these challenges include a range of interventions by the DCOG (nationally), COGTA (provincially), and other national and provincial departments, like provincial treasuries, with mandates to support local government. The interventions

include the Turnaround Strategy and the Municipal Infrastructure Support Agency, the Back to Basics (B2B) approach and the AG's Annual Report. Each of these initiatives targets a different aspect of local government capacity. While co-ordination between the different initiatives is a requirement, its extent differs from one province to another.

1.7.1 KZN's COGTA Skills Development Interventions

The Provincial Capacity-building Strategy is based on an audit conducted to assess the skills of councillors and compare them to the skills required for adequate job performance (COGTA 2018). The first skills audit was conducted in 2017, after the 2016 local government elections. It was undertaken using a web-based tool known as GAPSKILL and developed by DCOG. The findings were used to inform skills development interventions. In 2017, of the 1122 councillors in KZN municipalities that participated in the audit, 62% were male councillors and 38% female. Unsurprisingly, the skills audit found that most councillors lacked the relevant abilities and understanding to perform their functions effectively. It identified thirteen subject areas that needed to be addressed by skills development programmes.

These subject areas were: AET; HIV/Aids; Communication Skills; Public Participation; Leadership Development; Disaster Management; Municipal Service Delivery; Strategic Planning; Municipal Governance and Administration; Project Management; Local Economic Development; Performance Management and Municipal Financial Management.

Of these subject areas, AET – fundamental skills in reading, writing and arithmetic – is one of the most important, most expensive and time-consuming. Councillors need to be able to reference several laws and regulations. They need to be able to analyse and interpret the information contained in written reports and financial statements presented to the council. The skills audit found that councillors' educational qualifications ranged from no education to postgraduate degrees. Most councillors had less than a Grade 7 education. This wide range makes it difficult to plan skills development interventions. However, the finding that most councillors in KZN had not completed primary school is more significant because it indicates that many local

government councillors do not have the entry requirements for literacy and numeracy to participate in training programmes.

Such low levels of literacy and numeracy present barriers to learning in the workplace. When there is also pressure for that learning to be achieved quickly, and for learners to be able to reference documents in a language with which the learner is unfamiliar, the barrier seems to be almost insurmountable. Furthermore, most of these councillors serve in rural municipalities, which most need development. By implication, they are also the most in need of qualified councillors and councils who are effective.

Using the data from the skills audit, the KZN's COGTA CBU has produced a comprehensive training plan for 1846 councillors in 2018/2019 (COGTA 2018). The training plan also provides skills development programmes for 60 000 municipal officials; 8000 traditional institutions; unspecified numbers of jobless young individuals; females; disabled persons, and COGTA officials. Together with SALGA, the LGSET, the Services Sector Education and Training Authority (SSETA) and the University of KwaZulu-Natal (UKZN), the KZN COGTA will offer training and learnership opportunities related to qualifications at NQF Level 3 and NQF Levels 5 to 7. In addition to qualifications for councillors and learnerships for the youth, the plan provides 16 short courses tailored to the needs of its various target groups, a leadership conference for women councillors and work experience opportunities to benefit the youth.

On reading the Provincial Capacity-building strategy, issues immediately apparent are that the 2018/2019 training plan was based purely on the skills audit. First, this internal tool provides no information about how valid and reliable the data is. Second, there is an unexplained assumption that councillors who do the same job, regardless of their level of education, should be offered qualifications based on their entry-level education. Third, there is no indication of a theoretical model applied in interpreting the skills audit data to arrive at a Capacity-building strategy. Fourth, there is no indication of expected outcomes or how training will be monitored and evaluated.

1.7.2. The Municipal Infrastructure Support Agent

In 2012, the Municipal Infrastructure Support Agent (MISA) was put in place by the DCOG as one of the Local Government Turnaround Strategy's targets. The MISA's key objective was to provide technical support to municipalities to enhance the planning, procurement, operations, and repair and maintenance of municipal infrastructure needed to supply water and basic municipal needs. To realise its goals, the MISA implemented various programmes like technical support programmes, sectoral support programmes (to coordinate grants and resources from different departments), and institution and capacity development programmes (to build technical capacity). The capacity development programmes included apprenticeships, internships, experiential learning, and bursaries for studies in the built environment, especially engineering.

Although the local government needs the technical support offered by the MISA, several municipalities are unable to take advantage of it, especially municipalities in Limpopo and KZN (COGTA 2017). Because of a high vacancy rate in their technical departments, and even though apprentices and interns would boost their capacity, these municipalities lack the experienced personnel to mentor interns and apprentices. In other words, these municipalities lack the organisational capacity to take advantage of opportunities to build their organisational capacity.

1.7.3 The Back-to-Basics Approach

An assessment of the country's 257 municipalities revealed that although 30% were functional and got the basics right, only 7% could be regarded as doing well. Of the remaining 63%, about half (32%) were found to be in distress and in need of assistance to prevent further degeneration. The other half (31%) were extremely unstable to be functional in a municipal setting, and much effort would be required to enable them to become functional. This is primarily because the municipalities these councillors belonged to obtained poor fiscal administration, leading to undesired audit outcomes. They also had unstable councils, no organised citizens' interaction and involvement mechanism, and no fiscal administration. The outcome of which is

unfavourable audit results, they also had a poor account of basic service provision even though most of the necessary resources were available (COGTA 2014).

The B2B approach is a change management model that shifts the focus of municipalities back to their constitutional mandate to serve the people. The goal of the B2B approach is to ensure that municipalities deliver appropriate services to communities. What is meant by 'the basics' is outlined by five principles:

1. Maintaining constant contact with the communities by involving them in community engagements to ensure their concerns are addressed.
2. Providing basic services of high quality and standard and ensuring that decent living conditions are available to all.
3. Demonstrating good leadership and administration.
4. Ensuring good fiscal administration and managing resources well.
5. Constructing and retaining an established capacity-building strategy administered by capable staff at all levels.

The first four principles support building individual capacities, the skills and knowledge of municipal officials and councillors, and the fifth principle supports institutional capacity development. Institutional capacity includes sound human resources recruitment, skills development, and performance management practices in municipalities. Focussed training that can be evaluated to measure impact must be dispensed to political office-bearers to be more effective when dealing with their line function activities.

1.7.4 Operation Clean Audit and Auditor General Reports

The AG's report for the 2006/2007 financial year indicates that only 56 of the 253 municipalities – that existed at the time – received unqualified audit opinions. (TGIS, 2014). In 2009, Operation Clean Audit was launched by the Minister for COGTA as part of the Local Government Turnaround Strategy. The vision of Operation Clean Audit was that by 2014 all government departments and local government institutions would achieve a clean audit of their financial statements. The minister identified

specific critical skills that officials should be trained to achieve this vision. These included data management, technical, financial, and conceptual skills to improve communication between financial and non-financial officials.

However, audit findings did not improve. The situation continued to deteriorate. In the 2016/2017 report, the Auditor General (AG) found that nearly 50% of the country's 257 municipalities could not pay their debts, collect revenue, were in poor financial health and even failed to deliver services. Only 33 municipalities (13%) received a clean audit (AGSA 2018). The performance reports of 62% of the municipalities that achieved clean audits included information defects, and most of the information was unreliable.

Over the past five years, the AG has repeatedly identified the primary cause of this failure as an entrenched culture of a lack of accountability and consequences for those who do not adhere to basic governance processes (AGSA 2018). This finding by the AG identifies insufficient institutional capacity rather than a gap in expertise as the main reason for poor governance and wasteful expenditure.

The AGSA's audits brought to light three main aspects requiring attention. First, the inability of an appropriate mechanism for collecting revenue, dispensing funds, and inability to settle debt led to 31% of municipalities revealing that they did not have enough money to continue operating. Second, fruitless and wasteful expenditure increased by 71% from the 2015/2016 financial year due to non-compliance with governance processes at 78% of municipalities. Third, the delivery and maintenance of municipal infrastructure were weakened by the allocated subsidies not being utilised appropriately. This situation led to projects not being concluded timeously and those working on them not being appropriately skilled to manage even the inspection of the contractors' work.

 The AG pointed out that these are the symptoms of a failure to manage community development ventures, funds, effectiveness and projects and a lack of responsibility for results attained.

Reasons for the accountability failures listed in the 2016/2017 report focus on institutional capacity factors. These factors include poor internal controls; weak

leadership; key positions not being filled; unqualified persons being appointed to key positions; poor performers and transgressors not being punished or facing the appropriate consequences; poor utilisation and ongoing fiscal monitoring and evaluation systems by the officials; political interference in the administration; a disregard for controls, good record keeping and compliance with key legislation; and the failure to implement repeated audit recommendations and warnings.

In KZN, the financial health of municipalities has regressed since the 2015/2016 financial year. In 2015/2016, 20% of municipalities in KZN achieved clean audits, which dropped to 11% in 2016/2017. The main reason given by the AG for this regression was a failure to deal with weaknesses identified in the 2015/2016 report.

1.7.5 The KZN Local Government Indaba

In 2018, the COGTA in KZN held the KZN Local Government Indaba (2018), which brought together a group of experts to discuss the ongoing poor performance of municipalities and look for ways to improve their functioning. The Indaba resolved, amongst other things, to ensure that it supports municipalities to: fill all vacant priority positions, namely, Municipal Manager, Chief Financial Officer, Technical Services and Corporate Services, by August 2018; understand and implement the amendment to the Local Government: Municipal Systems Act pertaining to competency assessments; commit to improving the gender equity; improve employment equity compliance in municipalities; professionalise the local government sector; capacitate councillors, traditional institutions and municipal officials; and improve performance on all five the B2B Pillars.

1.8 The Research Problem

Most municipalities in KZN are performing below an acceptable standard. Their poor performance has continued over time despite the ongoing financial and other resources investment by the national and provincial governments and other organisations. For over 25 years, there have been many attempts to improve service delivery, economic, social and infrastructure advancement, financial management and

governance. However, municipalities are not only failing to respond to these efforts; some are regressing and subsequently, the urgent need to ensure a more effective institutional and individual capacity-building is growing.

Institutional capacity-building is a prominent area of weakness, but neither the DCOG nor SALGA have addressed it adequately. Instead, they have focussed their efforts on individual capacity-building, possibly on the assumption that better-skilled managers and councillors would be able to build their institutions themselves. However, both individual capacity-building programmes and training advancement programmes have not helped improve municipalities' level of functioning, and fundamental challenges and constraints continue to impact local government performance negatively.

The following are some of the identified challenges and constraints that impact negatively on local government capacity-building:

On the one hand, local government councillors must fulfil leadership roles. On the other hand, most councillors come to their positions with little or no education, work experience or leadership experience. This paradox is the first constraint. Councillors require high-level skills to perform legislated duties that demand them to be literate (able to read, write and analyse text in English); to plan and manage budgets and monitor and analyse financial statements; to compile socio-economic and infrastructure development plans; to evaluate and monitor the implementation and performance of the plans; to make good decisions about future projects and offer direction; to interact and communicate with stakeholders at various levels (from foreign investors to grassroots community members). Some political parties appoint councillors regardless of their educational levels, skills, or experience. These appointees have experience and knowledge of their communities and political party activities. However, this experience alone does not seem to develop sufficient skills and knowledge to perform the job of a local government councillor.

Second, existing training programmes for local government councillors have to contend with a range of unresolved challenges that include finding a suitable methodology for developing the skills of individuals who have little or no education and work experience; a means to encourage individuals to attend and remain in training

programmes when training is not a priority for them and might be a source of anxiety; a strategy for dealing with language when many learners are required to carry out their work in English but struggle to speak, understand or read English.

Third, councillors are appointed for a five-year term, and there are no guarantees that any individual will return for a second term. Many councillors, therefore, face the prospect of being unemployed and without the skills to enter other employment. As a result, there is a demand from councillors that during their term of office, they are assisted with embarking on a career path that will help them to enter the broader job market after their term has ended. This demand can, to some extent, be addressed by the existing capacity-building programmes, but it will require such programmes to produce more effective outcomes. The five-year term of office also places time constraints on capacity-building programmes that make councillors productive quickly and cannot spend enough time on fundamentals such as literacy and numeracy.

Fourth, there is no approved theoretical model on which capacity-building initiatives are based. The B2B approach does provide a model that could be used. However, while it has been implemented as a set of criteria for assessing the functionality of municipalities, it does not appear to have been applied to capacity-building programmes. Some municipalities cannot attract appropriately skilled managers to their administration and might decide to appoint less skilled individuals or leave critical positions vacant for long periods. In addition, through political interference, they may be pressured to appoint individuals to senior positions who lack the necessary skills, attitudes, and experience for the position.

1.8.1 Research Questions

The research problem statement defines the reasons for the research. It should define the intentions of the investigation, set boundaries, and provide direction (The Open University 2014). Arising from the analysis of the research problem, the researcher has identified five questions to be addressed by this study:

1. What are the issues and constraints that have hampered efforts to develop the skills and knowledge of councillors and administration officials in municipalities in KZN?

2. What processes, techniques and methodologies are appropriate for conducting skills audits and identifying capacity-building needs in municipalities in KZN?

3. Are current capacity-building interventions relevant and appropriate, and what other or additional capacity-building programmes should be offered to councillors and administration officials in municipalities in KZN?

4. What issues and constraints have prevented municipalities in KZN from becoming robust institutions?

5. What processes and techniques are appropriate for building institutional capacity in municipalities in KZN?

1.8.2 Research Objectives

Based on the research questions listed above, the objectives of this study are:

1. To identify issues and constraints that have hampered efforts by provincial departments to develop the skills and knowledge of councillors and administration officials in municipalities in KZN.

2. To identify appropriate processes, techniques, and methodologies for conducting skills audits in municipalities in KZN.

3. To identify appropriate individual capacity-building programmes for councillors and administration officials in municipalities in KZN.

4. To identify issues and constraints that have prevented municipalities in KZN from becoming robust institutions.

5. To identify appropriate techniques and processes for building institutional capacity in municipalities in KZN.

1.9 The Research Focus

The primary research focus is on the competencies of municipal councillors and administrators. The researcher has developed three interview schedules with three

respondents from the seven municipalities selected for the study. Local government councillors, senior administration managers, and skills development officials are the three groups. All three interview schedules are based on the skill requirements listed in the B2B concept document regarding both individual and institutional capacity. The interview process will gather and record the views of local government councillors, senior administration managers, and skills development officials in respect of:

- Self-assessments of their job competencies and the skills and knowledge they require to carry out their work effectively
- Their opinions about training, generally
- Their opinions about capacity-building interventions by provincial departments
- The institutional capacity status of their organisations and their opinions about it

It is not expected that the participants will respond well to completing questionnaires themselves, so there will be face-to-face interviews, and the researcher will arrange meetings with individuals at each municipality.

The secondary research focuses on KZN provincial government departments that conduct capacity-building interventions in municipalities. A desktop analysis will be conducted of current capacity-building interventions. Feedback and supporting documentation will be sought from the provincial departments engaged in capacity-building in KZN municipalities to provide context for the respondents' comments.

The research will be qualitative, semi-structured interviews, and responses to the questions will be recorded onto interview schedules. The parties to be interviewed will be councillors, Municipal officials (Section 54 managers and skills development facilitators) and provincial departmental officials specifically dealing with capacity-building. The interviews will be recorded on spreadsheets to collate and compare data. The researcher will also analyse the content of existing capacity-building programmes and compare them with the skills and knowledge audit results.

1.9.1 Sample Description and Strategy

Poorly performing municipalities have been selected. Although capacity-building is not the only factor and might be a minor factor, the poor performance suggests that capacity-building interventions have not been successful. This research mainly assesses the impact of capacity-building in municipalities in KZN, and municipalities, where it has failed, are an important sample for the study.

1.9.2 Data Collection Methods and Data Reduction Strategies

Interview schedules – data will be collated onto a single form for each participant group to facilitate analysis of the results.

Desktop analysis of interventions by provincial departments – data will be tabulated to facilitate comparison and analysis.

1.10 The Location of the Study

The study will take place in KZN. The primary research will focus on seven municipalities. Six are local municipalities in rural districts across the province: Umzumbe, Msunduzi, Inkosi Langalibalele, Emadlangeni, Edumbe, Mtubatuba and the Umkhanyakude District Municipality. The seventh is Msunduzi, an urban municipality situated in Pietermaritzburg, the second-largest city in KZN. They are all challenged with meeting their service delivery and other performance goals and targets

Table 1.2: List of Municipalities in the Sample

Name of Municipality	2018 Performance Assessment by COGTA
Umzumbe Local Municipality (Ugu District Municipality)	Dysfunctional
Msunduzi Local Municipality	Requiring s139 intervention

(uMgungundlovu District Municipality)	
Inkosi Langalibalele Local Municipality (uThukela District Municipality)	Requiring s139 administration
Emadlangeni Local Municipality (Amajuba District Municipality)	Requiring s139 administration
Edumbe Local Municipality (Zululand District Municipality)	Requiring s139 intervention
Mtubatuba Local Municipality (uMkhanyakude District Municipality)	Requiring s139 intervention
Umkhanyakude District Municipality	Dysfunctional

Source: Department of Cooperative Development and Traditional Affairs. Report on KZN Municipality's Performance Assessment, (2018).

1.11 Potential Impacts of this Study

Local government has a mandate that cannot be carried out at another level of government. If local government is not effective, communities will not receive adequate basic services or development at the local community level. To provide for local communities and, more importantly, to elevate the standard of living for South Africans who were previously disadvantaged, what matters is that municipalities should have sufficient and appropriate means to function effectively. However, most municipalities perform below an acceptable standard which suggests that the required capacity is unavailable.

Environmental capacity exists, and while there is room for improvement, it is not the subject of this study. Institutional capacity weaknesses have been identified, but little has been done to address them. The focus has been on individual capacity-building, but skills development initiatives have not substantially impacted local government performance. This study should provide information that can be used for decision-making and planning in capacity-building programmes that can contribute to the results that will impact the effectiveness of the municipality.

The study gathers information from eight municipalities in KZN. Also, it analyses some of the capacity-building interventions offered by provincial government departments in

KZN to evaluate the province's capacity-building interventions. It is envisaged that the results of this research could be a body of information that can be used for planning local government capacity-building programmes.

1.12 Limitations of the Study

This study intends to evaluate capacity-building interventions implemented by provincial government departments in KZN municipalities. It will be conducted in KZN only and on seven of the 43 local municipalities and one of ten district municipalities. However, most municipalities are dealing with similar capacity challenges, so it is hoped that the findings will inform capacity-building interventions throughout KZN.

1.13 Literature Review

Considering theories, models, scholarly opinions, and studies in performance management is an integral part of any subject study. A literature review informs the researcher about what has already been written. Such information enables the investigator to determine a theoretical basis for this study, and this will indicate to the researcher where the areas are that need further exploration. It also helps the researcher identify areas where there is general agreement and areas of knowledge that are disputed or controversial. Consequently, the literature review is essential for the researcher's preparation and planning. It is so important that without a relevant broad literature review of relevant publications, a researcher's work might not have sufficient credibility to be taken seriously.

1.14 Clarification of Terms

Terms that will be used frequently throughout this dissertation are defined in the table below:

Table 1.3: Clarification of Terms

Capacity-building	Capacity-building encompasses a range of activities designed to empower individuals and institutions. These activities include skills development and organisational development.
Development	In the circumstances of local government, development means the process of economic and social transformation. Development activities must depend on the comprehension of complex ethnic and environmental factors and environmental, institutional and individual capacities are a prerequisite for achieving development goals.
Environmental Capacity	Resources outside of and available to an organisation that support its ability to achieve its goals. Resources required by municipalities include laws, regulations, systems and funding.
Individual Capacity	The ability of employees to meet their job performance targets and subscribe to the realisation of the targets of an organisation.
Institutional Capacity	The potential of an institution to achieve its targets and solve its problem. Institutional capacity includes structures, policies, procedures and plans.
Municipality	A municipality is an organisation that has the authority to exercise governmental authority on its own ingenuity, over the activities of its citizens. A municipality encompasses legislative and executive power and may make rules that can be adhered to in principle by everyone within its vicinity or area, and it may impose those rules. Both the legislative and executive authority are vested in the municipal council. A municipal council's resolve-making power is restricted to aspects that are, by law, assigned to the municipality or the council.

Organisational Development	Organisational development is a planned, systematic approach that aligns strategy, people and processes. The purpose is to improve organisational effectiveness.
Skills Development	Training or other activities, including formal education and coaching, assist individual employees in developing, improving, or updating skills required by the organisation.
Skills Development Facilitator	An SDF is an employee or consultant tasked with analysing the skills requirements of an organisation, preparing plans for the advancement of employees and ensuring the realisation of the plans.

1.15 Organisation of the Study

This dissertation is organised into eight chapters as follows:

Chapter 1: Outline of the Study.

This chapter introduces the background to the research and presents the motivation for the research. It states the research problem, lists questions that arise and sets the research objectives. It also defines concepts and terms used in the study and outlines the research focus.

Chapter 2: Conceptual Framework and Theoretical Overview of Capacity Development.

This chapter outlines the various legislative and existing policy frameworks on capacity-building. It further introduces the concept of levels of capacity that contribute to local government capacity. Two models are described, a three-level model and a four-level model. Each one has a slightly different view of the conditions that must be in place for local government to have the capacity to be functional and meet its mandates. The model used as the conceptual framework for this study is the three-level model of environmental, institutional and individual capacity.

It also presents a detailed description of the environmental level of capacity. It includes a description of the support provided to local government by South Africa's general

approach to governing and the atmosphere or climate it creates through legislation, national policy and regulatory frameworks. In the three-level model, the environment is the broad background context for capacity, and it contains a range of resources together with policy guidelines and enabling legislation. The following two chapters discuss the other levels of the three-level model: institutional capacity and individual capacity.

Chapter 3: Environmental Capacity in South Africa: Legislative and Policy Frameworks.
This chapter separates the concept of environmental capacity and describes legislation and policy frameworks, academic literature, and government reports.

Chapter 4: Organisational, Institutional and Individual Capacity.
This chapter covers institutions, systems, institutional and individual capacity legislation, and literature on skills development and individual capacity-building practices. It also considers some of the unique challenges in individual capacity-building interventions in local government.

Chapter 5: Research Design and Methodology.
This chapter describes the research plan for this study in detail, including the sample and sampling strategy, data collection methods and data analysis.

Chapter 6: Desktop Analysis of Capacity-building Interventions in KZN.
This chapter reflects the outcomes of an informal survey of capacity-building interventions in local government by eight KZN provincial government departments. It also analyses reports of some of KZN's COGTA, current capacity-building interventions in local government.

Chapter 7: Numerical Analysis of the Interview Results and Critical Analysis of Interview Findings.
This chapter has two parts. First, without comment, it presents the collated numerical findings from interviews with three groups of participants from eight municipalities in KZN. Second, it critically describes the numerical results and highlights some of the

implications for provincial government departments' capacity-building interventions in local government.

Chapter 8: General Conclusion and Recommendations.

This chapter summarises the key findings from the interview results, the desktop analysis, and the literature review and describes the research questions and the five research objectives. It highlights implications for capacity-building interventions in local government and makes recommendations.

1.16 Conclusion

This segment has announced the research subject and signalled the key challenges and concerns in developing capacity in municipalities in the country. It has presented the research problem, research questions and objectives of the study and indicated how the research will be conducted to provide insight into the issues and evaluate current capacity-building interventions. It has also shown how the literature review will address and clarify some of these issues. The next chapter has two parts. First, it will introduce the conceptual framework of the study, the three-level model. Second, regarding legislation and literature, it will critically explore the range of environmental capacity types available to local government.

CHAPTER 2: CONCEPTUAL FRAMEWORK AND THEORETICAL OVERVIEW OF CAPACITY DEVELOPMENT

2.1 Introduction

This chapter introduces the concept of capacity levels, each within a specific context, each with its own set of conditions and together ensuring the capacity of municipalities to dispense basic amenities and improve their constituency. Analysis of the available capacity at each level informs the approach required to build capacity in local government. For example, suppose political parties cannot prevent interference by their councillors in the appointment of senior administrators. In that case, municipalities might not have the necessary leadership resources to develop institutional capacity. The models of local government capacity described below are derived from the three-level model proposed by UNESCO's IICBA (Matachi, 2006) and the Four-Conditions Model of local government capacity proposed by academics Reddy, Nemee and de Vries (2015).

In the context of local government, capacity means the conditions necessary for municipalities to meet their service delivery and development mandates effectively and efficiently. Building capacity means ensuring the availability of specific environmental factors that include a national legal and policy framework and the necessary financial, infrastructural, and other resources, including a pool of appropriately skilled potential employees.

2.2 Providing Appropriate Capacity

Outcome Nine of the Medium-Term Strategic Framework (MTSF) (RSA 2014) is the attainment of a swift, responsible, beneficial, and capable developmental municipal system. The White Paper on Local Government (COGTA 1998) positions municipalities at the core of development and participatory democracy. Therefore, local government should involve citizens in decisions about service delivery and respond to their priorities and needs. Municipal officials should be responsive to

citizens' priorities and be experienced, capable and driven to dispense amenities up to the required standard. Such an ideal developmental state must be consciously built and sustained. It requires strong leadership and a consistent, long-term strategy implemented at all government levels. While the White Paper positions the attainment for realising this vision on municipalities, the MTSF identifies the vital role that the national and provincial governments play in supporting the local government by providing an enabling environment.

According to the 2015 MTSF, municipal performance can be impacted at four levels: individual, institutional, environmental, and macro-socio economic. The table below identifies the potential negative impacts of a poor enabling and macro environment on institutional capacity.

Table 2.1: Impacts of Poor Support on Local Government Institutional Capacity

Causes of an Unsupportive Macro Context	Causes of a Poor Enabling Environment	Potential Impacts on LG Institutional Capacity
- Stresses of lack of affordability, joblessness and prejudice - Extensive gaps in attainment of amenities - Lack of community engagement - Challenging community issues amongst which are crime and substance abuse - Low financial resources in some of the municipalities - Unstable political dynamics - Pressures of in-migration and urbanisation	- Weak central co-ordination and monitoring - Financial non-viability of municipalities - Lack of clarity of the role of the districts - Role of departments unclear - Lack of alignment among the 3 spheres - IDP not taken seriously by other spheres - Unsuitable local government financing system - Unstable political environment - The legislative arena of Municipal administration being too complex	- Lack of political authority - Gap in expert competencies - Lack of relevant competencies - Exorbitant work turnovers - Long-term vacancies in critical posts - Poor comprehension of procedures and legislation - Deployment of incompetent persons - Poor attitudes held by - Corruption without consequences - Weak planning - Weak financial management - Weak governance

A schooling system that has gaps	• Absence of distinctive hands-on support local government • Assistance to municipalities is mainly focused on compliance adherence	• Weak council decisions • Organisational instability • Nonexistence of monitoring and evaluation measures • Noncompliance with legal prescripts • Gaps in the existing systems used by the municipalities

Source: Republic of South Africa, Department of Planning, Monitoring and Evaluation. Medium-Term Strategic Framework. (2014).

It appears that a rating of the effectiveness of the national and provincial governments in addressing the macro context and creating an enabling environment might be necessary before initiating interventions to build local government capacity. Preventing and responding to these potentially negative impacts requires national and provincial departments to cooperate, coordinate, monitor, and improve support interventions.

One way of building an effective institution with capable staff is to take the staff in entry-level positions, develop their capacity to advance to higher-level positions, and replace senior officials when they resign or retire. The aspect of environmental capacity that impacts capacity-building interventions in this regard is the ability of the basic education system to produce suitable entry-level candidates. Workplace skills development for employees in entry-level positions should be able to build on skills developed by the basic education curriculum.

Since 1994, significant changes have occurred in all aspects of South African society, including the world of work and education departments. However, the implications of these changes for the basic education curriculum have not been sufficiently analysed and addressed. Moreover, the basic education system does not deliver new entrants to the workplace with the skills required by employers. For example, there is a shortage of job applicants with a mathematical basis for developing technical skills. Society and the workplace have changed, but the school curriculum has not. The focus has been more on escalating access to skills and improving the quality of skills and less on

transforming the curriculum (Maclean and Ordonez, 2007). If there is a poor match between the outputs of the school system and the entry-level demands of the workplace, then the issue of expertise development in the workplace becomes critical.

The specific learning curriculum needed to develop skillsets for specific jobs must be clearly and comprehensively expressed. This aim is easier to achieve with motor or physical skills, like those required for assembly line production or welding. It is more difficult when one needs to articulate the skills for jobs that require analysis or making good decisions, or encouraging the participation of stakeholders, like the job of the local government councillor. At the same time, non-technical jobs also require physical skills like using a computer or driving a vehicle, and administrative skills such as maintaining a filing system, arranging meetings, and organising time.

One way to ensure the correct identification of learning needs is to use a demand-driven approach instead of simply applying a standard qualification such as a qualification developed by a SETA. However, SETA qualifications do allow for some flexibility. They include fundamental verbal and written communication skills and relevant mathematical and life skills. They also include core skills essential for and directly related to the field of study and electives that offer a choice of additional and useful skills that are not so directly related to the specific job for which the qualification was designed. However, the subject matter is confined by assessment criteria. It does not allow much room for recognising individual needs, differences in the skills with which learners come to the programme or diversity of emphasis in different workplaces.

Both education and skills development are treated more as a body of information to be supplied than a way to meet a demand for skills, knowledge, and personal development. This weighting of skills development and educational services towards the supply side rather than a demand-driven service, limits the usefulness of skills development and capacity-building initiatives. As Maclean and Ordonez (2007) point out, "one buys only what one needs, or one wants."
.
A demand-driven approach to determining a student's learning needs is to analyse what the learner already knows and can do and then design a programme that will

include what is required to contribute to their future success. This approach does not mean that the traditional subjects are no longer needed, but it does suggest a re-evaluation and transformation of content and attention to personal needs. Skills development that starts with Recognition of Prior Learning (RPL) might be a good place to start.

2.3 The UNESCO/IICBA Model

UNESCO's IICBA identifies three types of capacity. These are environmental, organisational [institutional] and individual capacity. It further illustrates them as three levels of capacity in a system, with organisational capacity providing the context within which individual capacity is applied and environmental capacity providing the background for organisational capacity.

This model defines the three levels of capacity as follows:
The first level is the environmental capacity, the broader background within which local government operates. Environmental capacity includes the global context that sets an overall social and economic development plan. It also includes the local context, such as whether a municipal area is urban or rural, whether the municipality is financially viable, and the strength of participatory democracy in the community. National and provincial government sectors and district municipalities are part of the environmental capacity for local municipalities. This capacity level informs a country's policies, laws, and regulations and ensures funding, expertise, and other support for implementing the policies, laws, and regulations. It enables and facilitates local economic development, infrastructure development and improvements in employment, health, education, natural environment, and general living conditions for the population as a whole.

Institutional capacity is the second level of capacity. It points to municipalities' capacity, as organs are expected to access and manage their resources, plan, meet their goals and solve their problems. The aim is effective and efficient administration and good public money and assets governance. This level defines the context and conditions within which the municipality achieves its goals, and individual employees,

councillors and service providers can express their competencies and develop their skills.

The third level of capacity is individual capacity. This level refers to the education and training values and systems that ensure relevant and appropriate skills, knowledge and attitudes of officials, councillors and service providers and their ability to apply these in the workplace and support the organisation's goals.

Figure 2.2 below illustrates this three-level model for local government capacity. It shows how institutional capacity is the context for individual capacity and how the extensive background environment is the context for institutional capacity.

2.3 The Four-Conditions Model

Reddy, Nemee and de Vries (2015) recorded the findings of a taskforce of the International Association of Institutes and Schools of Administration. The taskforce examined issues in the context of the capacity of local governments worldwide to support them in meeting the millennium development goals. The taskforce noted that although the specific functions of local government are different in different countries, the basics that apply to all are adequate and responsive service delivery, with the guiding principles being the sound governance principles of legal compliance, responsibility and transparency and the democratic principles of public participation.

The taskforce found that the challenges in local environmental and institutional capacity are impediments to the efficient and effective performance of the local government. It defined capacity as conditions that facilitate goal achievement. These conditions are adequate financial resources, adequate legal and policy frameworks, procedures to guide implementation, solid institutions, and a labour pool with appropriately skilled and capable people. These findings suggest that where there are inefficiencies in municipalities, there are also gaps in the environmental capacity. Capacity-building interventions should include diagnostic tools, an analysis of constraints and resources, and how available capacity can be used more effectively.

Figure 2.1: The UNESCO/IICBA Levels of Capacity Model

Environmental Capacity

The direction, values and priorities, policies, regulatory framework and resources that guide and support local government, including the local economic and skills environment

Institutional Capacity

The preparedness of municipalities as institutions [including their leadership, viability, organised work procedures and systems], to meet macro, national, provinciial and local mandates and demands

Individual Capacity

The system for the provision of human resources[including relevant and appropriate skills, knowledge, values and attitudes] required by local municipalities

Source: Researcher's adaptation of the UNESCO/IICBA model of three levels of capacity (Matachi, 2006)

Reddy, Nemee and de Vries (2015) describe capacity levels as four sets of conditions that need to be managed to effectively address capacity-building in local government. The four sets of conditions they identify are: related circumstances existing in the socio-economic, historical and legal circumstances in the country; structural conditions including intergovernmental relations, functions and financial arrangements of local government; institutional conditions such as the size of municipalities, their internal organisation, their financial viability, management, infrastructure, information, human

resources and human capital circumstances; and the standard of management, administrative capacity and the attendance of crucial expertise. If all these conditions are met and available, the outcome will be effective, efficient, and well-governed municipalities. Figure 2.3 below illustrates the four conditions that contribute to local government capacity.

Figure 2.2: The Reddy, Nemee and de Vries Model of Capacity
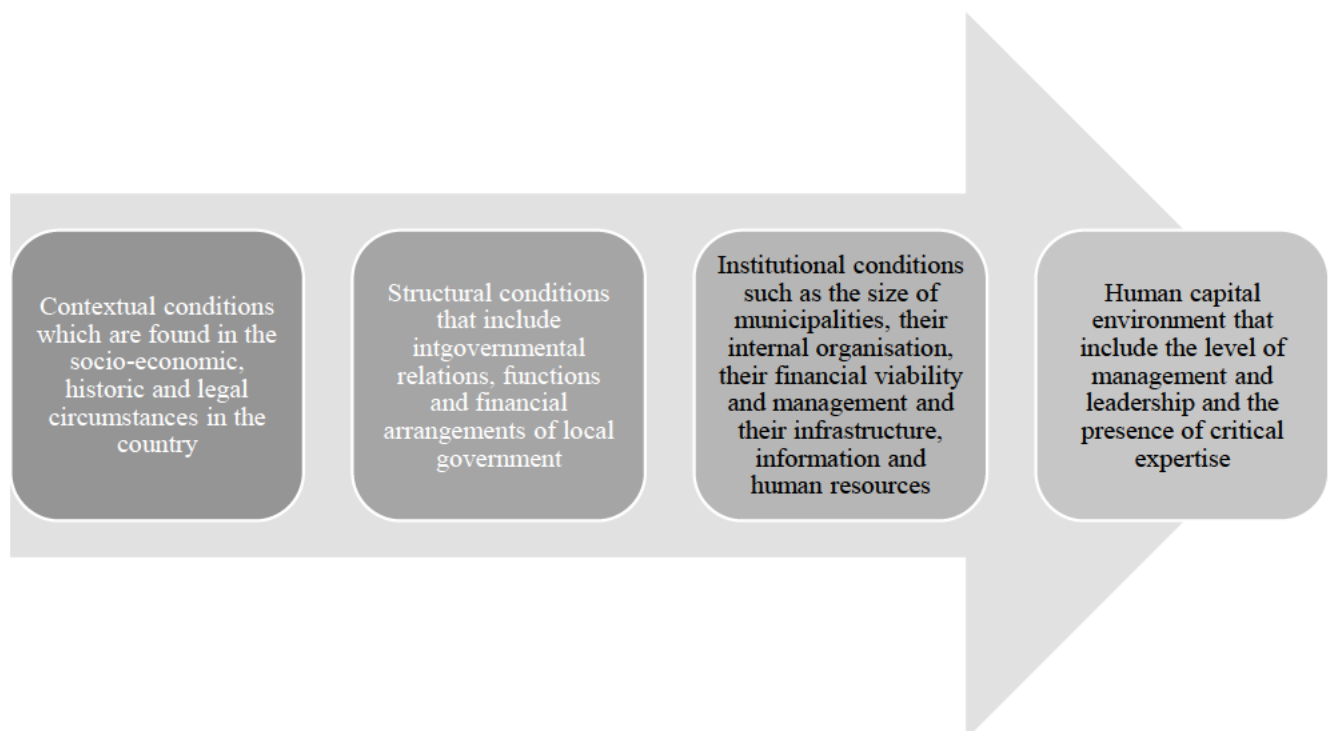
Source: The researcher's interpretation of the conditions proposed by Reddy, Nemee and de Vries (2015)

2.4 Comparison of the Two Models

There are significant similarities between these two models. They both make it clear that local government capacity is not simply a function of the institution's strength or the competencies of individual officials and councillors but is significantly influenced and affected by factors in the external environment. The significant difference between the two models is that the Four-Conditions Model separates external capacity into two categories: contextual and structural.

Table 2.2: Comparisons of the Two Models

Level of Capacity	UNESCO Model	Four-Conditions Model
Environmental Capacity	Resources outside of and available to an organisation that support its ability to achieve its goals. Resources required by municipalities include laws, regulations, systems and funding.	• Related circumstances which are within social and economic factors, historical and legal circumstances in the country • Structural conditions that include intergovernmental relations, functions and financial arrangements of local government
Institutional Capacity	The potential of an institution to achieve its targets and solve its problem. Institutional capacity includes structures, policies, procedures and plans.	Institutional conditions such as the size of municipalities, their internal organisation, their financial viability and management and their infrastructure, information and human resources
Individual Capacity	The ability of employees to meet their job performance targets and subscribe to obtaining the targets of an organisation.	Personnel requirements that the standard of management, administration and the accessibility of competencies.

Source: Table designed by the student

The Four-Conditions Model proposed by Reddy, Nemee and de Vries (2015) derives from considering factors that contribute to effective, efficient, and well-governed local government worldwide. This model locates these factors within the country and includes contextual conditions such as socio-economic, historical, and legal

circumstances in the country and structural conditions such as intergovernmental relations, functions, and financial arrangements of local government. While this model acknowledges global factors that impact the country, the three-level UNESCO/IICBA model specifically includes factors such as global development aspects that impact the state of the world economy as part of the level of environmental capacity.

The inclusion of this broader environmental background allows for considering the impact of capacity challenges and demands on local government that, in turn, impact the priorities and trends in the country. The local government is often the only level of government that can address the global challenges and demands. It can be said that the macro-environment defines the mandate and sets the priorities for local government. The local government's primary mandate is to act as one domain. However, as part of the three domains, it is part of the functioning of the administration as a whole. It is the sphere at the coalface of community and economic development initiatives. As Reddy (2014) points out, it is this sphere of government where development initiatives, such as the Sustainable Development Goals (SDGs), have the most impact.

Municipalities are also the tier of administration most affected by change. It responds to national as well as local adjustments. This requirement reinforces the importance of external capacity. For example, a municipality responds to economic changes in the country (Republic of South Africa, 1998). The rise and fall of industries affect local income, local retail businesses and employment and migration rates. The migration of people out of or into a municipal area affects the property rates and service fees that provide revenue for municipalities.

Reddy, Nemee and de Vries (2015) note the effect of change on local government institutional capacity. Local government must be able to respond to change. In South Africa, the end of apartheid introduced widespread and significant changes that required a complete review of what local government does and how it does it. If the capacity to change is inadequate, local government will fail.

2.5 Conclusion

If municipalities are to realise their amenities, provision, and development mandates, they must have the capacity within their institutions and operating environment. Chapter 3 has introduced two models of local government capacity. Both models consider the environment outside a municipality and the environment inside a municipality. The capacities and conditions in these environments determine the municipality's effectiveness. An analysis of these conditions is necessary to determine the types of interventions required to build and improve the functionality of municipalities.

The three-level model of municipal capacity-building is more commonly used; the rest of this thesis will be organised according to it. However, descriptions will include Reddy, Nemec and de Vries's four conditions model elements. Chapter 4 describes environmental capacity and how it impacts local government's effectiveness, efficiency, and governance.

CHAPTER 3. ENVIRONMENTAL CAPACITY IN SOUTH AFRICA: LEGISLATIVE AND POLICY FRAMEWORKS

3.1 Introduction

Environmental capacity can be defined as the administrative, legal, political, economic, and social systems and frameworks that direct, inform, and support the country's advancement and execution of guidelines and proposals. The environmental capacity level refers to the background context within which local government capacity is supported at the institutional and individual levels. It includes global development initiatives adopted by the country; the state of the global and national economies; the availability of relevant laws, policies, and regulations; agreed customs, values, culture, and norms; and a political system with structures that support both representative and participatory democracy.

Environmental capacity also includes the supportive environment provided by a country's government to ensure that municipalities have the necessary resources and support to fulfil their mandate. For South Africa, this includes the Constitution (RSA 1996), which defines: the mandate and functions of local government; the National Development Plan (NDP) that provides a vision of a future South Africa together with strategies to attain a higher level of livelihood for all South Africans; a regulatory framework to guide the activities of local government; infrastructure resources including roads, water and electricity infrastructure; grants and other funding mechanisms; skills development and other capacity-building interventions to improve institutional performance and individual competence.

Figure 3.1 is an illustration of the local government's environmental capacity. It highlights the interactions between capacity inputs and the outputs of a municipality's administration and council.

Figure 3.1: Local Government's Interaction with Environmental Capacity

Local government mandate articulated by the national government 1. Deliver amenities to ensure that basic services are available for all citizens 2. Deliver development to overcome disadvantage, poverty, and inequality 3. Develop infrastructure and local conditions to increase the economic potential of a municipal area	Participatory democracy structures which include Batho Pele, IDP processes, ward committee agendas, lobbying, suggestions and complaints by local community members, community leaders and traditional leaders

Implementation and Governance by Municipal Administration	Leadership and Oversight by Municipal Council	Accountability by Municipal Administration and Municipal Council

Support by National and Provincial Government and District Municipalities
  1. Financial resources
  2. Legal and policy framework
  3. Performance management
  4. Institutional capacity-building
  5. Individual capacity development
	1. To citizens for meeting their service delivery and development needs efficiently and effectively.
	2. To national and provincial government for achieving goals and efficient and effective use of resources.

Source: Researcher's original conceptualisation of local government's interaction with environmental capacity

3.2 Factors in Local Government Environmental Capacity

Five critical factors in local government environmental capacity will be considered here. They are the local government mandate as prescribed by the Constitution (RSA 1996) and the White Paper on Local Government; the regulatory parameters for municipalities; the introduction of the participatory democracy and the public service culture of Batho Pele; financial and human resources; and capacity-building interventions.

3.2.1 The Local Government Mandates

During apartheid, some areas of South Africa had municipalities, and others did not. The areas that had municipalities also had the infrastructure on which development could be based; areas that did not have municipalities had little to no infrastructure. Chapter Seven of the Constitution (RSA 1996) is dedicated to local government. It requires that municipalities are established to cover all areas of the country and develop their infrastructure to cover all communities in their areas. The municipalities are the government sphere closest to the citizens and are constitutionally liable for enabling services to be delivered, without which people would remain in dire poverty (Modise, 2017). Municipalities must achieve their mandates with provincial and national governments' support, mentorship, and assistance.

Municipalities were given two specific developmental duties. The first was to develop their institutions by structuring and managing their administrations and finances, allocating and scheduling policies to prioritise the necessities of their communities. The second was to advance the socio-economic advancement of the citizens and engage in the states' advancement agendas. The Local Government: Municipal Systems Act (Act No. 32 of 2000) provides an enabling framework for procedures that support the concept of growing local government, including organisation effectiveness, administration, personal lobbying, and organisational transformation.

Section 73(1) of the Local Government: Municipal Systems Act defines the local government's services. Each local municipality is obligated by the legislation to

prioritise the rudimentary needs of local communities; encourage local growth; and enable access by all public persons to basic local government amenities. In addition, municipalities must provide other services defined by functional localities categorised and listed in Schedules 4B and 5B of the Constitution (RSA 1996). Local government functional localities include the responsibility for community amenities such as sports facilities, markets, street trading; essential services; parks; municipal roads; solid waste and dirt dumping; streetlights; cleansing and refuse removal; traffic and parking. Each municipality must ensure its technical competence and other resources to deal with the above functional localities.

Another driver of development that affects all levels of government and municipalities is the imperative for reconstruction and transformation that came with introducing critical legislation and policies that followed South Africa's change to a constitutional democracy in 1994. These were the Development Facilitation Act (1995) and the White Paper on Local Government (COGTA 1998).

The purpose of the Development Facilitation Act (1995) was to present unique and temporary constraints to permit the achievement of rebuilding and advancement programmes and initiatives regarding property and human settlements. It promotes sustainable development that is affordable and cost-effective; the establishment of sustainable communities; safekeeping of the ecosystem environment; and meeting ordinal requirements of all localities.

The White Paper on Local Government (COGTA 1998) highlights municipalities' critical role in reconstructing localities and terrains damaged by apartheid and developing a representative, inclusive, multicultural society. National principles on personal integrity, fairness and basic rights that are part of the Bill of Rights, even Section 2 of the Constitution (RSA 1996), must be promoted by local government. The White Paper reiterates this constitution's mandate to the local government to provide democratic, participatory, and responsible administration, offer basic amenities, and encourage advancing localities free of crime and disease.

The White Paper on Local Government (COGTA 1998) also introduced mechanisms to support the local government transformation mandate. Support mechanisms

include a planning framework for inclusive growth planning, assistance for enhancement of service delivery through capacity-building, developing systems such as a performance management system, funding through a grants system and institutional development. These and other support mechanisms do not remove or reduce the obligation of every local government institution to uphold its statutory directive and contribute to the development of the nation.

3.2.2 Community Participation and Participatory Democracy

Section 2 of the Local Government: Municipal Systems Act (Act No 32 of 2000) identifies the legal status of municipalities and describes local government as comprising the community, the administration and the council. A duty assigned to municipalities by the Constitution (RSA 1996) is to establish independent and responsible administration and influence the participation of their citizens. Municipalities should cultivate an active citizenry that can articulate the development needs of their communities, give feedback on service delivery and advancement initiatives, and lobby the municipality to take appropriate action to meet their needs.

In addition, Section 16 of the Local Government: Municipal Systems Act (Act No 32 of 2000) requires a local municipality (also known as Category B municipalities) to expand a culture of municipal governance to support a system of collaborative governance. This requirement is to be achieved by encouraging citizens' engagement in municipal activities; preparing and implementing an IDP; establishing and implementing a performance management system; addressing the capabilities of the local citizens, political office-bearers, and officials to partake in the activities of the municipality; and developing appropriate mechanisms, processes, and procedures for community participation, including the provision of information.

Two key characteristics of democracy in South Africa are a representative democracy and participative democracy. Both are essential aspects of the local government's environmental capacity. Representative democracy means that elected officials represent citizens, and participatory democracy emphasises the direct participation of citizens in government. Several processes provide for participatory democracy

(Modise 2017). First, ward councillors are elected political appointees dutybound to engage citizens through ward committee meetings, listening to them and ensuring the municipality attends to their feedback and needs. Second, the IDP is also a participatory democracy procedure in which the community's development needs are identified and addressed. Third, a municipal council must provide opportunities for traditional leaders to voice their community's needs and concerns and demands.

Developing and maintaining good working relationships with traditional leaders at a local level is imperative and a support system for local government. Traditional leaders act as leaders of the customary governing body. They have selective authoritative and administrative powers. Their role includes chairing traditional courts, upholding the law and engaging with local communities about their needs and priorities, helping people in the locality deal with government issues, guidance on customary law, protecting cultural values and acting as the spokespersons for their communities. Their responsibilities in uplifting local communities and their citizens involve submissions to that extent and ensuring that the local community resolutions on advancements are implemented.

The goal of community participation was enabled by adopting a customer service approach by the municipality's administration towards the community it serves. This approach is set out in the Batho Pele principles, which were introduced by the Mandela Administration in 1997 (DPSA, no date) to entrench a people-first culture in the public service and guide South Africa's advancement to achieve a people-centred, outcomes-based government where the public holds government accountable (ETU no date).

The Batho Pele principles have implications for all spheres of government, especially local government, because local government deals most directly with the public. The Batho Pele culture is entrenched in eight principles: consultation – citizens must be engaged concerning their requirements; service delivery – people must know what amount and quality of services to expect; redress – people should receive an apology and a solution if service delivery standards are not met; access – everyone should have equal access to services; courtesy – everyone should be treated politely; information – everyone is entitled to complete, accurate information about services;

openness and transparency – people should know how service delivery decisions are made; and value for money – all services provided should offer value for money.

In the Shadow Report on Participatory Democracy (no date), the authors Adv. Kruger and P. Dube of the Centre for Constitutional Rights and S. Waterhouse and V. Mentor-Lalu of the Women and Democracy Initiative describe the legal framework for participatory democracy and evaluate its effectiveness. They point out that the founding values of the South African Constitution include a democratic government that is accountable, responsive, and open. However, there is little to be seen in civic education or implementing measures for direct public participation in practice.

South Africa also has obligations under International Human Rights Law (IHRL). The 2013 report by the UN Special Rapporteur on Extreme Poverty and Human Rights specifies that participation is a fundamental human right. The IHRL framework requires substantial public participation, especially by marginalised groups. It establishes the right to information as fundamental to informed public participation.

Our country's legal framework for free participation in a democracy includes provisions within the Constitution (RSA 1996) for local government councils to conduct their affairs transparently and conduct frequent public meetings. Municipalities should also lobby for the involvement of citizens. The Local Government Municipal Systems Act of 2000 requires municipal councils to develop participatory governance systems. Furthermore, the Constitutional Court has ruled that communities have the freedom to participate in choices that impact them and that South Africa's constitutional democracy is both a representative and a participatory democracy. The Court sees representative and a participatory democracy not as opposing but as mutually supportive concepts. However, citizen participation in local government affairs is not being given its fullest expression because political parties choose councillors, and the ability of citizens to fully express their political will through freely chosen representatives is limited.

While South Africa meets the IHRL's recommendation to adopt a legal framework for community engagement and IHRL, actual participation is limited by a lack of policies and operational guidelines and a failure to allocate sufficient resources to ensure

access to information or set up accountability mechanisms such as a complaints system.

3.2.3 The Legal and Policy Framework

There is a long list of laws designed to support municipalities and guide their actions. They include the Constitution of the Republic of South Africa (RSA 1996); the White Paper on Local Government (COGTA 1998); the Local Government: Municipal Finance Management Act (Act No. 56 of 2003); the Local Government: Municipal Structures Act (Act No. 117 of 1998); the Local Government: Municipal Systems Act (Act No. 32 of 2000); the Intergovernmental Relations Framework Act (Act No. 13 of 2005); the Local Government: Municipal Property Rates Act, 2004 (Act No. 6 of 2004); the Traditional Leadership and Governance Framework Act, 2003 (Act No. 41 of 2003); the Disaster Management Act, 2002 (Act No. 57 of 2002); the Spatial Planning and Land Use Management Act, 2013: (Act No. 16 of 2013); the Infrastructure Development Act, 2014 (Act No. 23 of 2014); and the Municipal Fiscal Powers and Functions Act, 2007 (Act No. 12 of 2007).

The contributions of some of these laws to local government environmental capacity are described below:

Chapter 7 of the Constitution (RSA 1996) sets the legal and administrative level for the formation and operation of municipalities. It needs an efficient, functional, and transparent local administration accountable to its communities. Section 151(3) entitles municipalities to make independent decisions about managing the municipalities' activities of their citizens bound by the state's laws. Section 152 states that the objectives of municipalities must include availing free, fair, and responsive government to their communities by ensuring amenities are provided competitively; socio-economic advancement is promoted in conjunction with a secure and uncontaminated habitat, while also promoting the participation of localities and community organisations in local government matters. Section 153 requires municipalities to structure and manage their administrative processes to prioritise the delivery of basic services and promote their socio-economic development to communities.

The White Paper on Local Government (COGTA 1998) defines the outcomes of developmental activities as an improved quality of life for all citizens through the equitable provision of infrastructure and services; the rearrangement of the spatial framework to integrate communities in cities, towns and rural areas and the promotion of local economic advancement.

The Local Government: Municipal Systems Act enables main principles, procedures, and programmes to enable municipalities to progressively build their development capacity, uplift their communities, to ensure that everyone has access to critical services. It details the legal character of a municipality in the following manner: by incorporating the local citizens, it provides for the way municipal powers and functions are to be carried out – including community participation; it establishes a framework for development – including planning, performance management, accessing resources and change management; it provides a framework for community, institutional and HRD; it provides for service tariffs and loan management and liability collection policies, and it establishes a framework for advocacy, monitoring and standard-setting to be provided by other spheres of government. Section 73 requires municipalities to prioritise minimum basic services to ensure that they are available to the communities. In addition, it also ensures that all citizens of the local community have the right to basic levels of amenities through appropriate utilisation of resources.

The Local Government: Municipal Systems Act also provides a code of conduct for councillors. The foreword to the code recognises that political office-bearers elected to represent local communities ensure that municipalities are accountable to local communities and meet the priority needs of communities by ensuring that services are provided equitably, effectively, and sustainably. Therefore, councillors must report at least quarterly to constituencies on council matters, including the municipality's performance. To ensure that councillors fulfil their obligations to their communities, Section 19 of the Act establishes a Code of Conduct that addresses, amongst other things, attendance at meetings, sanctions for non-attendance, disclosure of interests, personal gain, declaration of interests, rewards, gifts and favours, unauthorised disclosure of information and intervention in the administration. According to the Local Government: Municipal Systems Act, there is a a need to "develop a strong system of

local government capable of exercising the functions and powers assigned to it", and by implication critical municipal capacity is the managerial and budgetary administration function and infrastructure of a municipality that allows it to gather revenue and administer the matters of the municipality and its citizens (RSA 2000b).

In providing for the establishment of municipalities following the requirements relating to the categories and types of municipalities, the Local Government: Municipal Structures Act (RSA 1998) defines municipal sustainability. This Act also provides a system for functional municipalities by defining criteria for establishing local government sectors and types, determining the division of activities and powers amongst the levels, and regulating the internal systems, structures, and office-bearers.

There are three types of municipalities: metropolitan (category A), district (category C) and local (category B) municipalities. They are further divided into the following subcategories: B1 local municipalities that have large budgets and govern secondary cities; B2 local municipalities that are centred on a large town; B3 local municipalities that cover one or two small towns, with an urbanised population and B4 local municipalities that are mainly rural with one or two small towns in their area. The categories are determined by the Municipal Demarcation Board (MDB) using criteria provided in the Local Government: Municipal Structures Act. Areas that do not have a metropolitan municipality must have both district and local municipalities.

The Member of the Executive Council (MEC) for COGTA in a province, with input from the MDB and according to various provisions of the Local Government: Municipal Structures Act, may establish municipal boundaries, the number of wards in each municipal area, the number of political representatives for each municipality as well as the type of municipality within each category. Five types of municipalities are formed based on a combination of types. The types are: the collective executive system where exercising governing authority is conjoinedly confined to the administrative committee; a mayoral administrative structure in which an administrative mayor – assisted by a mayoral committee – exercises executive authority; a plenary executive system in which the whole municipal council practices administrative control with the subcouncil being the active organ that enables assigned authority to be undertaken to ensure that the subcouncils practise their assigned authority; and the ward which is the active

organ which ensures that challenges experienced by the citizens are addressed by the committees established by the council for each ward.

Category B municipalities may establish themselves as one of the following types: an inclusive executive system; a conjoined executive system combined with a participatory ward system; an executive mayoral system; an executive mayoral system combined with a participatory ward system; a plenary executive system; and a plenary executive system combined with a participatory ward system.

The Local Government: Municipal Structures Act also gives way to the separation of power between municipalities, membership of the council, operation and dissolution of municipal councils and the objectives of a municipal council which are: to achieve the objectives set out in Section 152 of the Constitution (RSA 1996); to carry out an annual review of the needs of the community; to prioritise the community's needs; how it will involve the community; its methods towards meeting the needs of the citizens and accomplishing the planned goals. In addition, the local government must devise the means to effectively communicate with its citizens regarding carrying out its activities and utilising its authority. The Act defines the functions and powers of the council, including the mayor, the speaker and committee members. It provides a reporting structure for the council, defines the meaning and role of the council of traditional authorities, and provides for elections and by-election terms of office for councillors.

The purpose of the Local Government: Municipal Finance Management Act (MFMA) is to ensure that municipalities manage their financial affairs in a sound and sustainable manner and initiate treasury regulations and benchmarks for the functioning of municipalities. The key aim of the MFMA is to improve financial management in municipalities and establish the discretionary powers of municipal accounting officers. Sections 63, 77 and 78 of the MFMA allocate responsibility for the integrity and good corporate governance concerning Supply Chain Management (SCM) matters and establishes a framework for the procurement and provisioning of goods and services. The SCM Treasury Regulations prescribe issues of compliance when tendering goods and services. Related legislation includes the Preferential Procurement Policy Framework Act (Act No. 5 of 2000), which places an obligation on

the administration to grant favourable acquisition points to co-operatives and businesses belonging to individuals who previously did not have opportunities while the Preferential Procurement Regulations (2001) provide details on the point system and formulae to be used.

The Intergovernmental Relations Framework Act establishes a framework for advancing and enabling interadministrative activities amongst various spheres of government. It provides for dispute resolution mechanisms and procedures. The Act acknowledges that while the three spheres of administration in government are different, unique, dependent on each other and autonomous, they are also interrelated. All spheres of government must address the challenges of apartheid, including the poverty, underdevelopment, and marginalisation of communities. This challenge is best addressed by working together and sharing resources. Intergovernmental structures – established by the Act – incorporate the President's co-ordinating council, national intergovernmental forums, provincial intergovernmental forums, municipal intergovernmental forums, intergovernmental technical support structures and consultation with organised local government.

It is evident that a very comprehensive regulatory framework for local government that guides and optimises the functioning of local government, exists. However, as Nzimakwe (2015) points out, legislation may not be the most important factor in the local government's environmental capacity. The 'real' challenge for an effective and efficient local government is the lack of funding and resources, specifically with inexperienced and uncommitted councillors and officials. Thornhill (2015) comments that achieving the goals of local government depends less on the existence of laws and more on their implementation. The implementation relies on the capacity of the institutional leadership and the adequacy of the financial and human resources available to them.

3.2.4 Financial and Human Resources

The financial budget and personnel available to municipal areas are considered when the municipal boundaries are determined. These considerations are necessary when

ensuring that every municipal area has adequate resources to undertake its basic service delivery and socio-economic development functions. The MDB conducts capacity assessments and determines municipal boundaries as provided for in the Local Government: Municipal Demarcation Act (Act No. 27 of 1998) and Section 85(4) of the Local Government: Municipal Structures Act (Act No. 117 of 1998). When determining or re-determining boundaries, the MDB assesses the ability of an administration to undertake its activities and instil its powers. Capacity, as a term used in the Local Government: Municipal Demarcation Act, means that a municipality has reasonable financial capital, human capital, and infrastructure available to carry out its development mandate and perform its service delivery functions.

a) Financial Resources

Many of the new municipalities established after 1994, are in areas where the communities are poor, and the municipalities cannot generate adequate income to be self-sufficient. To ensure that they are supported financially, National Treasury introduced a mechanism for annually distributing an equitable share of nationally raised revenue to local governments. This grant aims to assist municipalities in sustaining their administrations and delivering basic services.

According to Section 214(1)(a) of the Constitution (RSA 1996), provision for the equitable distribution of revenue between the national, provincial, and local spheres of government must be made through an act of parliament. The 1998 White Paper requires the national government to support local government transformation by developing an enabling legal framework and implementing capacity-building programmes through capital funding. The Division of Revenue Act was introduced in the 1998/99 financial year in response to these provisions. Since then, the Act has been amended annually to provide for funding needs regarding both recurring (equitable share) and special-purpose grants. A special-purpose grant system was also introduced to enable ailing municipalities to develop their infrastructure and update their citizens' survival delivery expectations.

Municipalities in other areas can raise operating revenue from rates and payments for services. However, these funding mechanisms are also available to them to assist

them in maintaining and enhancing their service delivery to communities. Whatever the source of their revenue, all municipalities must use money wisely to comply with regulations and avoid wasteful expenditure. For a municipality to be sustainable, it must deliver its service obligations by using its revenue collected effectively through sound financial management systems that must be in place. It should not rely on grant funding alone, and it should use grant funding to supplement its revenue sources. However, many rural municipalities lack resources because the citizens within their jurisdiction live below the basic wage level and cannot afford to pay for their services. Consequently, these municipalities must depend on allowances from the national government.

Much as these grants are necessary for municipalities to achieve their mandate, they carry the risk, as noted by Oosthuizen and Thornhill (2017), of causing municipalities to become dependent on them. That is, grants intended to strengthen local government have the potential to weaken its independence and sustainability and could cause municipalities to be less committed to raising their own income from the services they deliver.

Also, it is questionable whether the municipalities that need grant funding the most have the necessary competencies to use it effectively, especially equitable shares, which are unconditional grants. Criteria recommend proportional distributions based on the recipient organisation's analytical and speculative characteristics. Treasury uses the equitable share formulas when distributing certain conditional allowances like the MIG. However, special-purpose allowances are usually conditional grants based on criteria that consider how well the recipient has used previous grants.

Examples of conditional grants, provided by Oosthuizen and Thornhill (2017), include the following: the Municipal Urban Settlements Development Grant – to upgrade informal settlements; the Municipal Water Infrastructure Grant – to improve the delivery of clean water; the Rural Households Infrastructure Grant – to provide sanitation services to rural households; the National Electrification Programme Grant – to provide electricity to indigent households; the Capacity-Building Grant – for developing management, planning, technical, budgeting and financial skills; the Expanded Public Works Programme – to provide poverty and income relief; and the

Integrated Grant for Municipalities – to provide work experience opportunities to unemployed youth. Municipalities can also receive allowances in-kind for specific services such as the Integrated National Electrification Programme Grant (Eskom), the Bucket Eradication Programme Grant and the Water Services Infrastructure Grant.

While it is important, and even necessary, to ensure that municipalities have appropriate financial support, simply providing grants does not necessarily ensure their effective functioning. Developing institutional or organisational capacity is essential because it determines the ability of municipalities to use the grants effectively, efficiently, and honestly. Thus, the individual capacity is also the ability of officials and councillors to budget for, manage, and account for spending.

Section 229 of the Constitution (RSA 1996) gives municipalities the mandate to collect funds through revenue payments from property rates and surcharges for certain services like water, electricity, sanitation, and waste removal and to charge for municipal facilities like sports grounds. Each municipality is expected to: adopt and implement a tariff-and-rates policy; send accurate accounts to its customers; ensure that it gathers money due and payable to it; adopt and implement a credit control and debt collection policy. The capacity to carry out these tasks and raise its own revenue differs across municipalities. It is highest in urban municipalities, which raise most of their revenue and lowest in poor and rural municipalities that obtain substantial or most of their finances from various allowances. However, in most cases, the poor and rural municipalities do not have the skills to utilise the funds received from the allowance in the most effective manner. Even with the available financial resources, they might not deliver services as expected.

Another potential funding source for municipalities is increased revenue from local economic development. Local government is required to advance economic growth in municipal areas by supporting the establishment of small businesses, using procurement processes to increase business and job opportunities for black people and women and improving infrastructure to support new business. Local economic development is a long-term strategy that contributes to national, provincial, and local economic growth.

Long term borrowing is another way for local governments to finance infrastructure development projects. According to the terms of the borrowing policy framework, responsible borrowing by municipalities is encouraged.

Despite several mechanisms to provide funding, there is insufficient funding to achieve local government mandates, and many municipalities are not financially viable. In addition, corruption is an ongoing and significant challenge. Mle (2015) points to various oversight committees that were established to control corruption, while laws and guidelines were also introduced. These included codes of practices for political office-bearers and officials, the Guidelines for Political Office-bearers (2003), the Prevention and Combatting of Corrupt Activities Act (Act No 12 of 2004) and the Protected Disclosures Act (2000). These measures have not resolved the problem, and there have been insufficient consequences for corrupt behaviour in local government.

b) Human Resources

After the 1994 change in government, when local government was extended to cover the whole of South Africa, many new municipalities were established. Most of these new municipalities were in former 'homelands', which were poor, rural areas that lacked a pool of suitably qualified applicants who could be appointed to manage the administration of the municipalities. In addition, certain types of professional registration were cancelled. Ntliziywana (2018) notes that laws that recognised professional bodies such as the Institute of Town Clerks and the Institute of Municipal Treasurers and Accountants were repealed, weakening the regulation of appointment qualifications in local government, and allowing for the recruitment of officials who did not have appropriate qualifications and competencies to measure up to the key performance areas of the posts in which they were employed. As a result, currently, many local government administrations have reached alarming levels of dysfunctionality.

Regulations emanating from the Municipal Finance Management Act and the Local Government: Municipal Systems Act provide qualifications and competencies in certain positions within municipal administrations. However, these are not enforced,

and deadlines for municipalities to ensure that officials are properly qualified are extended whenever they are due. For example, Ntliziywana (2018) points out that the deadline for Chief Financial Officers (CFOs) to meet the qualifications criteria has been extended several times.

The first was in August 2018 in a practice note issued by the Minister of Finance, which extended the deadline to 1 March 2020. The municipalities never met this deadline. A new deadline is yet to be announced. However, because there are no penalties for not meeting the deadlines, the problem will persist until such a deadline is put in place to force compliance.

A critical factor that weakens the leadership and senior management of municipal administrations is the stubborn and seemingly widespread challenge of political interference in the appointment of senior municipal officials. Tshishonga (2015) notes that, although there is an enabling legal framework that includes laws such as the Labour Relations Act 66 of 1995) and the Employment Equity Act (1998), a trend has become entrenched in which best practice recruitment procedures are ignored; senior posts are reserved for politically connected individuals regardless of their qualifications for the post and junior posts are filled by unqualified people. The consequences of these actions are increasing local government dysfunctionality, poor and deteriorating service delivery and failures in local socio-economic development.

3.2.5 Capacity-building Interventions

Reddy (1996) lists six elements of environmental capacity that must exist before local government capacity will improve. These elements are: the calibre of elected representatives must be improved; financial resources must be sufficient for municipalities to achieve their mandate and officials must be qualified and competent; municipal plans must reflect the priorities of the community; government decisions must be made at the lowest level with municipalities and communities playing the strongest role in decision making; rural municipalities should be strengthened; rural development should be promoted; and traditional leaders should be involved in local government in rural areas.

There is no disagreement that all these elements need to exist as capacities or resources that are freely and fully available to local government. Section 154(1) of the Constitution (RSA 1996) enables municipalities to be supported to perform their functions, administer their activities, and exercise their powers through the support of national and provincial government through legislative and other means.

This capacity level is like the structural conditions described by Reddy, Nemec and de Vries (2015). As they point out, while financial resources are necessary to fund the local government development and service delivery mandates, the guidance provided by a regulatory framework of laws, policies and procedures is just as important. This section will describe key elements of the supportive framework that must be provided through sufficient capacity in the external environment of local government.

Municipalities are monitored and evaluated by COGTA, Provincial Treasury (PT) and other provincial departments. The key monitoring areas are financial performance, performance in achieving goals and targets, and skills resource needs. The outcome of the monitoring activities is to offer support interventions to assist municipalities in improving their performance. These monitoring and capacity-building mandates are provided in Section 154 of the Constitution (RSA 1996). Section 154 requires national and provincial government departments to "support and strengthen the capacity of municipalities to manage their own affairs, exercise their powers, and perform their functions". Section 139 provides for a situation when a municipality cannot function as required by law, and a stronger intervention is required.

The provincial government has implemented audit processes to monitor and support functions. The two key audits are annual financial audits by the AG and performance audits by COGTA.

a) Monitoring and Evaluating Financial Performance

The previous exclusion of some groups from economic activity and the ongoing inequality this caused in some communities, raises the importance of good governance in local government (Reddy, Sing and Moodley, 2003). Good governance includes transparency and accountability as well as efficiency and effectiveness. The

concept of accountability for the efficient, effective, and transparent use of public resources is a key concept in the Constitution (RSA 1996), and auditing is a statutory mechanism that ensures accountability.

Section 4(d) of the Public Audit Act (RSA 2005) requires the AG to carry out financial audits and, by implication, to confirm that a municipality is taking reasonable precautions to receive, keep and account for "property, money, stamps, securities, equipment, stores, trust money, trust property and other assets"; to make legal, financial transactions and ensure that resources are procured economically and used efficiently and effectively. The Public Audit Act (RSA 2005) also requires that audits and audit reports highlight cases where a grant or the resources for services have been exceeded or misused; where assets have been misused; where expenditure is unauthorised or wasteful, and internal control and management measures are not effective (RSA 2005).

When there are adverse findings, the AG's report requests a response from the municipality that receives the adverse findings. The response should be in the form of a plan to correct the deficiencies and prevent a repeat of the deficiency. The PT also assists municipalities by supporting them in preparing and implementing the plan, but these support measures do not appear to have been effective.

In his May 2017 media release, the AG highlighted a lack of consequences management against officials who did not comply with basic governance processes. Consequently, weaknesses in internal control and risks flagged over the previous five years were not addressed. The same accountability and governance challenges continued to exist, and there had been no significant positive change. There had been a reversal in audit outcomes.

b) Monitoring and Evaluating Municipal Performance

The Municipal Planning and Performance Management Regulations (2001) were compiled under Section 120 of the Local Government: Municipal Systems Act (Act No. 32 of 2000). According to Reddy, Sing and Moodley (2003), such performance management regulations are vital for local government because a performance

management system allows a municipality to monitor the achievement of its transformation goals and Integrated Development Plans (IDPs). Regulations detail the municipalities' processes to prepare, establish, and monitor the IDP and the Performance Management System.

The IDP sets key performance indicators, including input indicators, output indicators and outcome indicators, for each of its advancement priorities and goals. Communities must participate in setting the key performance indicators, and municipalities prioritise that the key performance indicators are aligned with the indicators they set for their administrative units, officials, and service providers. The performance management system describes how a municipality is expected to manage the planning, monitoring, measurement, reviewing, reporting, and improvement.

c) Reporting Requirements

Municipalities comply with reporting requirements imposed by several different pieces of legislation and institutions that need correct and updated information to allow the local government's support, observation, and supervision. While the flow and exchange of quality information between the spheres of government are necessary for planning and evaluation of services, the reporting requirements are excessive; they could impose a burden on municipalities, especially municipalities struggling to fulfil their basic mandates.

A review by the South African Law Reform Commission (2019) of the regulatory, compliance and reporting burdens on local government found, amongst other things, that there are several complex and prescriptive pieces of legislation that create an unnecessary burden for municipalities. These include Section 105(2) of the Local Government: Municipal Systems Act which authorises the MEC for local government in a province to instruct municipalities to provide information to the provincial government.

A separate inquiry conducted by the FFC (2014) found that some of the local government's reporting obligations are excessive, that compliance is both time-consuming and expensive, that these challenges might be producing poor quality data

and that the reporting obligations might be diverting focus and resources away from service delivery. The FFC identified more than 70 legislative reporting requirements with varying deadlines (annual, quarterly, and monthly) and found that the Municipal Finance Management Act alone has 40 reporting requirements. Some of the more than 70 reporting requirements overlap and duplicate each other. However, there are no structured processes to facilitate collaboration and co-ordination and reduce the burden on municipalities.

As a result of the amount of reporting, municipalities could be experiencing the legislative framework, not as empowering or supportive but as a burden and possibly as a barrier to achieving service delivery goals. However, a complete assessment of local government's regulatory obligations has never been carried out, and the impacts and implications of these obligations cannot be identified. An understanding of these issues is needed. Over ten years, there have been attempts by the Legislative Review Project, the Local Data Collection Forum, and the FFC to acquire such an understanding. However, these attempts were unsuccessful due to poor participation and a low response rate by municipalities. This alone suggests a serious challenge in compliance with reporting requirements, but it is impossible to state the reasons for this clearly; reporting obligations are likely too onerous, but it is also possible that a lack of individual, institutional capacity plays a role. Certainly, compared to other spheres of the government, local government could be the weakest sphere in terms of human resources.

d) The National Development Plan

Development agendas set high ideals, the achievement of these ideals requires effective implementation and effective implementation requires capacity. Hence, a capable state can only realise development goals (Reddy 2014).

In 2011, the National Planning Commission (NDP 2012) identified failure to implement policies as one of the main reasons for the government's slow progress in dealing with poverty and inequality in South Africa. It also recognised the challenges that led to the failure to implement policies, including challenges such as low-quality school education for poor people, inadequate and poorly maintained infrastructure, and

uneven service delivery by the government. The NDP was adopted in 2012 to address these challenges, and one of its key objectives was to build the capabilities of both the country and the people.

Chapter Thirteen of the NDP, *Building a Capable Developmental State*, identifies the interventions necessary to build a professional public service that can provide the institutions and infrastructure required to improve the living standards of all the country's citizens by significantly reducing poverty and inequality. The government needs to play a transformative and developmental role in the lives of the most disadvantaged South Africans. However, the quality of local government service delivery is often the poorest in areas that have been historically more disadvantaged. If historically disadvantaged people and communities are not benefiting from good quality services, poverty and inequality will continue. The most disadvantaged areas have the greatest need for effective intervention by a capable government.

Chapter Thirteen of the NDP registers that the main reason for poor delivery of services to the poorest communities is a tendency for appointments to be made based on political over skills considerations. When the NDP was compiled, political appointments of inadequately skilled and experienced local government administrators and managers were common. However, efforts have since been made to encourage the employment of capable administrators (Masondo 2015). However, the appointment of local government councillors who lack the necessary capacity and will to carry out their responsibilities remains a great challenge in improving the effectiveness of municipalities in delivering basic services and meeting development goals.

In South Africa, no qualifications are required to be nominated or appointed as a Local Government Councillor. With a few exceptions, such as a criminal record, any citizen who is qualified to vote for a particular municipality may stand for elections in that municipality (De Visser and Steytler 2016) and may be appointed as a Councillor if they belong to a political party that has won a seat in that municipality.

Section 158 of the Constitution (RSA 1996), Membership of Local Councils, provides that "every citizen who is qualified to vote for a Municipal Council is eligible to be a

member of that Council", with a few limited exceptions. Some political parties have their own selection criteria to ensure that competent persons are appointed, but others do not. In some municipalities, many councillors are not effective because they have insufficient education and work experience to read and analyse reports, read and analyse financial statements, and read and analyse applicable laws and regulations.

A little-explored aspect of environmental capacity is the education level of citizens. Monkam (2014) found that when most citizens have a secondary educational qualification, they can positively affect municipal efficiency levels if they participate in municipal decision-making processes. Overall, highly educated households in South Africa do not participate in public decision-making processes. Monkam's (2014: 275–298) findings suggest that capacity-building interventions should increase citizen participation in highly educated communities. However, he cautions that such initiatives would only work if the municipal officials were prepared to give up some control and be held accountable.

Monkam (2014: 275–298) also found that efficiency is enhanced by the political leadership when the majority political party holds more than 50% of Council seats. A clear majority might work to reduce political tensions in Council and shift the focus onto service delivery.

3.3 Conclusion

This chapter has explored aspects of the background or environmental context of capacity available to local government. Although there do appear to be some weaknesses, this level of capacity does appear to be adequate. There is a legal framework; there are clearly formulated national policies; and financial and other resources and support are available. Yet, most municipalities are not using this capacity effectively. They seem to be challenged in their ability to use the guidelines, opportunities, and resources available to them.

Chapter four will discuss organisational and individual capacity and review some of the capacity-building legislation and systems available to local government. It will also

consider theories and models of individual capacity-building and the subject matter of programmes being run by the COGTA and other provincial departments.

CHAPTER 4: LOCAL GOVERNMENT ORGANISATIONAL, INSTITUTIONAL AND INDIVIDUAL CAPACITY IN SOUTH AFRICA

4.1 Introduction

Section 73(1) of the Local Government: Municipal Systems Act (Act No 32 of 2000) defines how services must be delivered. Services should be equitable and accessible to all individuals within the municipal boundaries; decisions about services must be sensible and well-considered; and resources must be used effectively, efficiently, and cost-effectively. Service delivery must be fiscally and geographically supportable, and performance must be re-evaluated regularly towards ensuring that quantity and quality standards improve over time. These provisions can only be met if local municipalities are well run and functional organisations.

Some authors distinguish between the terms 'organisation', meaning a formal structure established to achieve certain goals and 'institution', meaning an informal set of norms or behaviours. Some, such as Scheepers (2015), use the terms 'organisation' and 'institution' to mean the same thing. Scheepers defines 'institution' as a general term that means both a formal organisation with its structure, systems and roles and a set of behaviours informed by social norms and values. Others, such as Andrews, Pritchett and Woolcock (2017), highlight the differences between the terms. They define 'organisations' as formal structures tasked to implement laws and policies and 'institutions' as informal structures, traditions or norms that influence officials' behaviour and could hamper the implementation of formal rules and regulations.

In terms of these definitions, institutional incapacity in South African municipalities can be understood as an organisational culture that tolerates norms and behaviours that do not align with constitutional values, for example, gender equality in the workplace. As a formal organisation, a municipality would have policies to guide behaviour towards increasing gender equality, while management might hold different values and ignore the policies. Subsequently, the policies are not implemented, and gender-based discrimination is entrenched in the workplace.

Andrews, Pritchett and Woolcock (2017) note that while laws and policies are important aspects of environmental capacity, they are useful only if the local government can implement them. Therefore, low organisational capacity may be one of the reasons for the lack of implementation, although it is not the only reason. Other possible reasons for low capacity include the laws and policies themselves being inadequate, causing poor implementation and societal norms of the communities within which municipalities are located that conflict with the values embedded in the regulatory framework. Any capacity-building intervention must ascertain and address the true cause of low organisational capacity to be effective.

When definitions of organisational and institutional capacity are distinguished, it becomes evident that the key to building local government capacity is building both institutional and organisational capacity. Moreover, capacity-building programmes must be sensitive to the social norms of the local communities and stakeholders. Their influence on the behaviour and decision-making of councillors and officials must also be considered. Any capacity-building programme designed to develop a municipality as an organisation must consider the social environment within which the municipality and its officials and councillors carry out their functions.

This chapter also addresses individual capacity, which is the third level of the UNESCO model. An effective way to build a functioning institution with capable staff is to appoint staff at the entry-level and develop their capacity to advance to higher-level positions. Eventually, when senior officials resign or retire, a staffing pool will be available from which to choose. This approach ensures that top management is experienced and skilled. The aspect of environmental capacity that has the greatest impact on this type of capacity-building is the ability of the basic education system to produce suitable entry-level candidates. Workplace skills development for employees in entry-level positions should be able to build on skills developed by the basic education curriculum.

The specific learning curriculum needed to develop skill sets for specific jobs must be clearly and comprehensively expressed. This type of learning is easier to do with motor or physical skills, like those required for junior technical positions. However, it is more difficult to articulate the skills for jobs that require analysis or making good decisions,

or encouraging the participation of stakeholders, like the job of the local government councillor. Similarly, non-technical jobs also require physical skills like using a computer or driving a vehicle, and administrative skills like maintaining a filing system, arranging meetings, and personal time management.

4.2 Organisational and Institutional Capacity

4.2.1 Organisational Capacity

Environmental capacity is the context for organisational capacity in municipalities, where local government services are planned and delivered. Each municipality must have the capacity to wisely utilise and access the resources, guidelines and support provided by the provincial and national governments to deliver services effectively and efficiently. The better the municipalities are at doing these things, the more effective local government will be in meeting the needs of citizens. Schutz (2003) lists the consequences of poor organisational structure as low motivation, low morale, poor decision making, poor co-ordination, conflict, and rising costs.

Building and developing a public sector organisation has much in common with building and developing a private sector organisation. Like private companies, municipalities face ongoing demands to deliver more and better services at a lower cost. These demands require them to continuously build their capacity by improving their organisational structure and design. However, organisational development is complex and requires skills and knowledge that might not exist in or be available to local municipalities.

According to Schutz (2003), effective organisations match their design characteristics to their environment. Municipalities would be most effective when their organisational design aligns with their service delivery and development goals, support environment, and stakeholders' needs.

This view is supported by Section 51 of the Local Government: Municipal Systems Act (Act No 32 of 2000), which provides for the establishment and organisation of the

administration of a municipality that has the capacity to: *"(a)* be responsive to the needs of the local community; *(b)* facilitate a culture of public service and accountability amongst its staff; *(c)* be performance orientated and focused on the objects of local government set out in Section 152 of the Constitution (RSA 1996) and its developmental duties as required by Section 153 of the Constitution (RSA 1996); *(d)* ensure that its political structures, political office-bearers and managers and other staff members align their roles and responsibilities with the priorities and objectives set out in the municipality's IDP; *(e)* establish clear relationships, and facilitate co-operation, co-ordination and communication, between (all stakeholders); *(f)* organise its political structures, political office-bearers and administration in a flexible way in order to respond to changing priorities and circumstances; *(g)* perform its functions through operationally effective and appropriate administrative units and mechanisms, including departments and other functional or business units; and when necessary, on a decentralised basis; *(h)* assign clear responsibilities for the management and co-ordination of these administrative units and mechanisms; *(i)* hold the municipal manager accountable for the overall performance of the administration; *(j)* maximise efficiency of communication and decision-making within the administration; *(k)* delegate responsibility to the most effective level within the administration; *(l)* involve staff in management decisions as far as is practicable; and *(m)* provide an equitable, fair, open and non-discriminatory working environment."

To ensure that municipalities are well organised and there is a clear separation between the functions and activities of the administration and the council, Section 53 of the Local Government Municipal Systems Act requires each municipality to clearly outline the role and area of responsibility of each political structure and political office bearer of the municipality and the municipal manager. Section 55 of the Local Government: Municipal Systems Act describes the position of municipal manager.

An accounting officer is responsible for formulating a viable administration that is effective financially because they are the head of administration but concurrently are subject to the decisions in line with the resolutions taken by the council. They are also accountable for formulating the strategy and implementing the IDP, achieving service delivery and other goals, and interacting and communicating with the council, employees, community, and other stakeholders.

They are responsible and accountable for forming, managing, and developing an economical, effective, efficient, and accountable administration in line with the relevant legislation. As the municipality's accounting officer, the municipal manager is responsible and accountable for the municipality's income, expenditure, assets and liabilities, and compliance with the MFMA.

A municipal council is responsible for the appointment of the municipal manager. In Section 56 and Section 57, the Local Government: Municipal Systems Act provides the process for selecting and designating the accounting officer, the CFO, and managers directly accountable to municipal managers and the terms of their employment contracts and performance agreements.

A local government administration is comprised of politically chosen representatives. Section 4 of the Local Government: Municipal Systems Act (Act No 32 of 2000) describes the rights and duties of municipal councils. These include the right to govern the local community's local government affairs, use the municipality's executive and legislative authority, and finance the municipality's affairs. The duties of the council of a municipality include the obligation to: utilise the municipality's resources to advance the community's needs; ensure that municipal services are provided to the local community; undertake development in the municipality, and inspire the participation of local citizens. The key office-bearers in a municipal council are the speaker and the mayor; the council members elect them.

A municipality includes all members of the local communities. Their rights and duties include the freedom to be part of the resolution-making processes of the institution and be enlightened about the resolutions of the municipality that affect them. Duties of members of the local community include respecting the processes and procedures of the municipality, paying the service fees, rates, taxes, and levies imposed by the municipality, and complying with the by-laws of the municipality.

In addition to descriptions of functions, rights and duties, the elements of organisational capacity include organisational structure, design policies, procedures and systems. Sisk (2018) identifies six elements: organisational structure, the role of

managers, the span of control, centralisation, job descriptions and formalisation. They are catalogued and explained in Table 4.1 below.

Table 4.1: Elements of Organisational Structure and Design

Element	Definition
Organisational structure	An organisational structure groups an organisation's functions into logical groups known as departments or business units. It also reflects reporting and accountability relationships and the direction of information flow in the organisation. Municipalities have a hierarchical organisational structure with levels of authority. The flow of information and resources can get stalled or slowed down if there are too many levels, and, on the whole, an organisation with fewer levels is considered to be more efficient.
Role of managers	In a hierarchical structure each employee reports to one manager. Managers play a key role in an organisation with this type of structure. They assign tasks and resources, set performance indicators and targets for employees, coach and motivate employees and assist them to solve problems and overcome performance challenges. A manager is also responsible for taking issues about performance constraints to the next management level. When the chain of command is clear, managers are able to play their roles effectively.
Span of control	The span of control clarifies the number of employees that should be under each managers' responsibility; it could range from 3 or 4 employees to 15 or more. Generally, senior managers have a higher and tighter span of control with direct responsibility for fewer employees. There is no ideal span of control; the best span of control for an organisation depends on various factors that include the size of the workforce, the

	number of departments and the organisation's goals and strategies.
Centralisation and decentralisation	Organisations can be centralised or decentralised. Although many municipalities have one central office and several satellite offices, they adopt a centralised structure in which top managers make the decisions and employees carry them out under the supervision of departmental managers.
Job descriptions	Most organisations document the responsibilities and duties for each position. A job description describes how a job contributes to the organisation's goals and allows the organisation to avoid unnecessary duplication of effort. Job descriptions also include the level of work experience, education and skills required to perform the job and this ensures that employees are not appointed to positions below or above their capabilities. In addition, job descriptions allow for jobs to be graded according to objective criteria and placed on salary bands.
Formalisation	Formalisation refers to policies, procedures, processes and systems which communicate to employees the values of the organisation and how they are expected to carry out their work. In local government, these guidelines must reflect legislation, best practice and quality and ethical standards for achieving work goals and interacting with the community. Policies also contribute to the workplace culture because they instil norms and values and determine other aspects of organisational culture, from treating each other with respect to how they are expected to dress for work.

Source: Sisk (2018) Elements of organisational structure and design

The basic elements of the organisational structure appear to be in place, and, as organisations, municipalities are well structured to perform their functions effectively

and efficiently. All municipalities have a hierarchical organisational structure. Depending on the size of the municipality, there could be many hierarchical levels or only a few. Figure 4.2 illustrates the organisational structure of the senior management in a municipal administration, and Figure 4.3 shows the organisational structure of a municipal council.

Figure 4.1: The Organisational Structure of Senior Management in a Municipal Administration
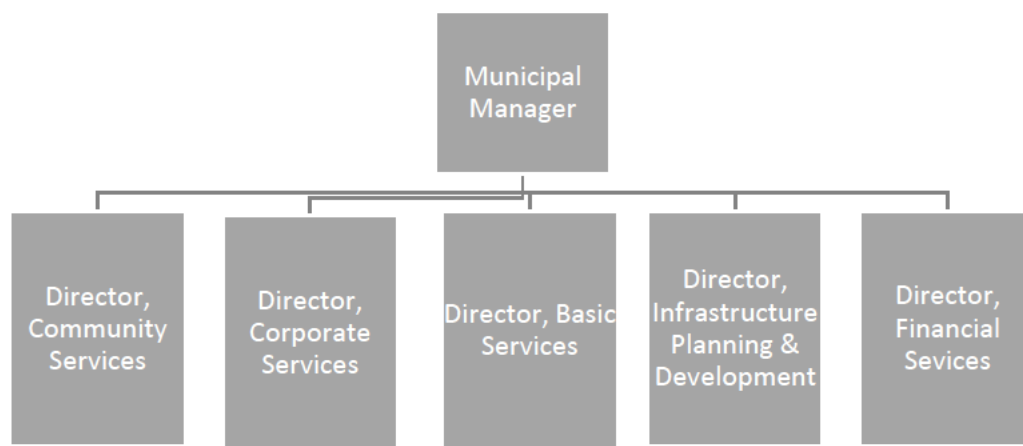
Source: Nzimakwe, T.I., Local government typical organisation structure, in Reddy and de Vries, eds (2015)

A municipal council can be arranged along various paths. The leadership could be vested in a collective, but it is usually vested in the executive mayor. A mayor could appoint council members to serve on a mayoral committee to which they would delegate responsibilities while retaining the power to take executive decisions, or the council could establish an executive committee that would take executive decisions and is chaired by the mayor.

Figure 4.2: Organisational Structure of a Municipal Council
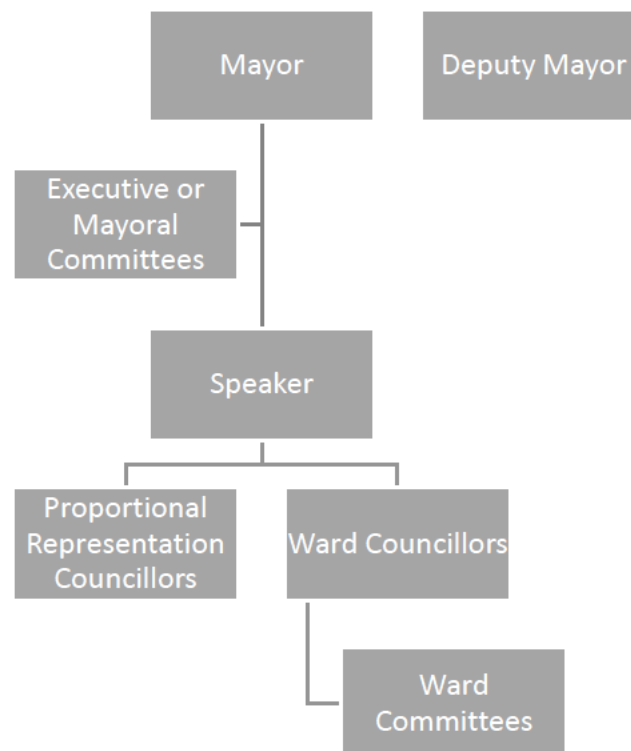
Source: (Nzimakwe 2015)

For an organisation to function efficiently and effectively, all organisational structure elements must be appropriately designed and applied, but these elements are not static. Any change in an organisation's operating environment affects the organisation's internal environment to some extent. Few organisations can continue for very long without needing to change some aspect of their structure and design. A simple example of organisational change in a municipality would be new supply chain management regulations published by the National Treasury. If changes are required to the municipality's procurement procedures, it would have implications for work allocation and job descriptions.

A more complex example of organisational change in local government is a provincial government Section 139 intervention. An intervention in Section 139 of the Constitution (RSA 1996) is a major organisational change process designed to shift a poorly performing municipality from a state of extreme dysfunction to an acceptable level of functionality and lay the foundations for further organisational development and improvement.

Organisational development is the way an organisation continually improves its performance. It requires periodic reviews and changes to an organisation's structure in response to changes in the external environment. It is also the way an organisation responds to pressures in the internal environment. For example, if poor goal achievement is due to incompetent officials, it could indicate the need to change the organisation's recruitment policies and procedures.

According to Hitt, Millar and Colella (2015), sources of pressure that drive organisational change can be in the external or internal environment. They include the failure to achieve goals; financial non-viability and failures of governance; changes in legislation and regulations; changes in reserves – including fiscal and human capital, demographic changes in the community; political changes – especially after elections – and changes in social values; technological changes; changes in the physical environment; changes in health and safety assumptions; and an out-of-date organisational structure and design.

An organisation facing pressure to change is in an undesirable state of compromised functioning (Hitt, Millar and Colella, 2015). Simply continuing along this path will increase dysfunctions as more goals are not achieved, more resources are badly managed, more skilled staff members leave the organisation, and more citizens become increasingly dissatisfied. To change the downward trajectory, an organisation needs to change; organisational change requires specific management capacities, including articulating a vision and consulting with stakeholders to commit to change. Some practical considerations for implementing organisational change are listed in Table 4.2.

Table 4.2: Considerations for Implementation of a Planned Change Process

Decision areas	Description
Speed of change intervention	Change can be implemented speedily or cautiously. Criteria for deciding the speed of a change intervention include:

	• Urgency of change – if change is urgent, a fast pace is needed • Support for change – if there is support, a fast pace can be used • Complexity of change – if the change is simple or small, a fast pace can be used • Financial and other resources– if resources are available, a fast pace can be used • Knowledge and skills– if knowledge and skills are available or easy to acquire, a fast pace can be used • Degree of pressure from internal/external environment – if pressure is high, a fast pace is needed
Style of change intervention	Change can be approached in a participatory or top-down manner. Criteria that can be used to make a decision about style include: • Urgency of change– if change is urgent, a top-down approach should be used • Support for change– if change is supported, a participatory approach is not necessary • Expertise of leaders– if leaders are trusted as experts, a participatory approach is not necessary
Resistance to change	Resistance is a fairly common response to change. Change means new ways of doing things and even when there is agreement about a need to change, there can be disagreement about what needs to change and how. Other factors that could cause resistance to change are a lack of understanding of the impact of change, fears about the consequences of change or simply a fear of change. As a result, groups within an organisation could act to block or delay change efforts. Resistance can be reduced by

	communication, consultation and participation when introducing change in an organisation.
Low tolerance for change	A workforce or management team that has a low tolerance for change might want to avoid taking risks or might lack confidence in their ability to cope with change. A workforce that displays these characteristics is unlikely to perform well and this is an issue that needs to be addressed through personal development workshops and possibly also job skills development programmes.

Source: Hitt, M. A., Millar, C., Colella, A. (2015). Organisational Behaviour.

Organisational development and change management processes are necessary for ensuring and maintaining organisational effectiveness. According to Schutz (2003), organisational effectiveness can be assessed by measuring four critical factors. These factors are goal achievement, availability of resources, the health of the organisation and stakeholder satisfaction. Goal achievement is measured by comparing actual performance (outputs) with planned goals and targets. Any discrepancies between plans and achievements require urgent corrective action. Available resources are inputs that are required to deliver services. An assessment of the type and quality of available resources, such as financial resources and management and technical skills, will assist in identifying the causes of poor performance. Organisational health is measured by the ease with which information flows between managers and workers and the level of employee satisfaction. Stakeholder satisfaction refers to several stakeholder groups, including national and provincial departments, communities, local businesses, and councillors. Any dissatisfaction amongst these groups is an important indicator of a lack of organisational effectiveness and requires urgent corrective action.

Schutz (2003) also lists the warning signs of organisational decline. Those relevant to municipalities in South Africa are the failure to respond appropriately to change in the external environment, tolerance of incompetence, poor communication with stakeholders, interference by special interest groups, outdated organisational structure and design, and resistance to change.

4.2.2 Institutional Capacity

Institutional capacity means the resources, knowledge, skills, and processes used by an organisation to achieve its goals. Regarding municipalities, institutional capacity means the resources, including financial, physical, and human resources, to achieve service delivery and developmental goals. Institutional capacity can be defined as the ability of an organisation to achieve its mission and continuously build its capacity effectively. While there is an overlap between the concepts of organisational capacity and institutional capacity, institutional capacity can be distinguished from organisational capacity by focussing on the effective acquisition and management of resources, fiscal responsibility and good governance, leadership development, human resources management and development and organisational learning.

Peters and van Nieuwenhuyzen (2013) define municipal, institutional capacity as potential or competencies that include the following: human resources; tactical leadership; administrative intent; institutional memory; knowledge management; inter-administrational dealings; authority; activity systems and processes; facilities; fiscal resources; assets and support systems; ethics; culture, and by-laws. These potentials or competencies must be actualised and applied to service delivery.

Scheepers (2015) points out that ability is a key component of capacity. "Capacity, in real terms, has to do with the execution of tasks, functions, powers or other actions. Being able to do what is required is a key part of having the capacity to do what is required". However, another key element in a definition of capacity is the "commitment to do something, often referred to as political commitment," which could be a collective or individual commitment or a lack of commitment. An example of this is the weakness of public participation in many municipalities, which might be caused more by the lack of commitment to engage with citizens than by the lack of ability to communicate with them.

Scheepers (2015) describes local government institutional capacity as having three key elements: mandate, motivation and means. A mandate gives the organisation the

authority and responsibility to act. Motivation provides incentives and a rationale for action. The means are the resources required for action. Scheepers also identifies three other elements of institutional capacity: people, resources, and process, with sub-elements that include organisational structure; process management; quality of leadership; attitudes and incentives; programme and performance management; financial resources; human resources; access to information; infrastructure and technology; communication within the organisation; and intergovernmental relationships.

It is not only the institutional quality of the administration but also the institutional quality of the council that is important for the effectiveness of a municipality. Mamogale (2016) conducted a study of municipalities in Limpopo and found that in the weakest councils, councillors' independent and critical opinion is restricted. Mamogale concluded that the political seniority in the governing political party or parties of some mayoral executive committee members means that ordinary councillors, who do not hold positions in the political party rankings, defer to the opinions of their political superiors. Similarly, COGTA (2019) has identified that when officials occupy higher rankings in their political party than their managers, political interference can undermine managers' role in the administration. The effect of this dynamic is that the quality of the work and decisions of municipal administrations and councils are compromised.

Municipal councils are not structured in the same way as the administrations, and they require different types of institutional capacity to function efficiently and effectively. Institutional competencies of councils, listed in the concept paper of the B2B approach (COGTA, 2014), include the ability to: conduct a regular audit of the social distance between public representatives and communities in a municipality; the ability to record the outcomes of meetings and preparation of monthly reports on community engagements; the ability to ensure governance responsibility and the presentation of basic services; fill top management positions with qualified, competent staff; conduct quarterly performance reviews of top management; the ability to oversee tender awards, infrastructure delivery, revenue collection, debtor management, capital budget spending, infrastructure maintenance plans and budgets and internal control and post-audit action plans. Political considerations can influence all these functions.

Chapter 13 of the NDP, *Building a Capable State* (National Planning Commission, 2012), expresses the concern that while the structural foundations for a capable state have been laid, weaknesses in the way the institutions function hamper the achievement of service delivery and development goals. It attributes the weaknesses to a complex set of factors: political interference, poor organisational design, low morale amongst staff, and inappropriate staffing. It identifies weak managerial capacity and a lack of professionalism as the key factors in local governments' inability to fulfil their mandate.

Section C of the White Paper on Local Government (COGTA 1998) is concerned with collective administration between the three levels of administration in government. It is mainly concerned with how the national and provincial governments can function with municipalities. It recognises that the various spheres of government are mandated to adhere to co-operative government principles and that all government components must work as one collaborative unit.

The role of the provincial government in building institutional capacity in local government includes establishing forums for consultation and communication between provincial and local government; the authority to evaluate the performance of municipalities in terms of their functions, especially in matters listed in Schedules 4 and 5; the duty to develop municipal, institutional effectiveness to carry out their duties and handle the activities of the institution.

Municipal councils and provincial government departments are duty-bound to provide building and training, which plays a fundamental part in the institution's development. Municipal councils, as employers, have a responsibility for developing their staff, and SALGA plays a key role in councillor training. Municipal administrations are responsible for training officials. The provincial government should be more focused on co-ordinating strategic functions to develop a framework for municipal capacity-building in the province and ensure that capacity-building is undertaken. Provinces also must assist municipalities in developing their fiscal management abilities and allowing local financial viability. This assistance is usually done through financial audits by the AG in the province.

There has been slow progress in building institutional capacity in local government, and Reddy (2014) suggests this is due to an assumption that municipalities can develop their institutions if they have sufficient management capacity. The focus of provincial departments has been on quickly achieving minimum standards for the municipality to build on rather than applying organisational development principles to achieve a sustainable result.

An organisational development approach would ensure that weaknesses were diagnosed in each municipality, recognising that outcomes that appear to be the same could have different causes in different municipalities. For example, one municipality might fail to deliver basic services because incompetent managers have not installed standard operating systems. In contrast, another might fail to deliver basic services because political infighting in Council has generated disruptive labour disputes in the administration. It is important to correctly identify the barriers to effective performance because inadequate institutional capacity leads to weak governance, diminished financial viability and poor service delivery (Scheepers, 2015). A case-by-case diagnosis is also important to determine each municipality's capacity to progressively improve their ability to deliver services and development to their communities. Assessment and diagnosis are, therefore, key to the ability of provincial departments to support and strengthen the capacity of local government, and the organisation development process is the necessary process for building institutional capacity.

The National and provincial governments have developed various capacity assessment models and tools, including Project Consolidate; the Municipal Information Monitoring System; MDB assessments; Treasury's assessments; Local Government Skills Audits; The B2B approach; and the Consolidated Local Government Toolkit recently developed by KZN's COGTA.

4.2.2.1 Institutional Capacity Challenges

Some aspects of institutional capacity appear resistant to provisions and interventions that aim to improve local government functioning. Challenges to building institutional capacity in local government include the workplace cultures of municipal councils and

administrations, attitudes of senior management towards monitoring and evaluation, integrated development planning, financial management and governance, infrastructure development, quality of leadership and the politicisation of human resources. Programmes and resources provided by national and provincial government departments to overcome the challenges and increase capacity in these aspects are described below.

4.2.2.1.1 Organisational culture

Support for establishing an appropriate organisational culture in municipalities is found in several documents. An appropriate organisational culture promotes a public service mindset and a commitment to goal achievement.

Schedules 1 and 2 of the Local Government: Municipal Systems Act (Act No 32 of 2000) provide councillors and administration officials with a code of conduct. The codes of conduct define how municipal councillors and administration officials conduct their duties.

The code of conduct for councillors defines the main roles of councillors as ensuring that the municipality delivers services that measure up to the needs of the citizens and making sure that municipalities are accountable to local communities, including the performance of the municipality in terms of service delivery goals. A councillor is expected to perform these duties honestly and transparently, in the municipality's best interests, to protect the municipality's credibility and integrity, without disclosing privileged or confidential information, and without interfering in the management or administration of the municipality.

The code of conduct for administration officials requires that staff members of a municipality perform their duties honestly and transparently, to the municipality's best interests, and in a manner that protects the truthfulness and principles of local government. In addition, they are expected to function unbiasedly in delivering services and, as public servants in a developmental local government, "foster a culture

of commitment to serving the public and a collective sense of responsibility for performance in terms of standards and targets".

The Batho Pele principles guide the behaviour of municipal officials in their interactions with communities. The Batho Pele culture is based on eight principles: consultation, people should be engaged regarding their requirements; service delivery, people must know the amount and level of services to expect; redress, people should receive an apology and a solution if service delivery standards are not met; access, everyone should have equal access to services; courtesy, everyone should be treated politely; information, everyone is entitled to full, accurate information about services; openness and transparency, people should know how service delivery decisions are made, and value for money, all services provided should offer value for money (DPSA, no date)

The B2B approach (COGTA, 2014) presents a list of competencies for councillors and a list of similar competencies for municipal officials considered necessary for establishing and sustaining a culture that promotes community interests and goal achievement. The competencies include the ability to provide good leadership; develop and implement policies and procedures; plan; set and meet goals; use resources wisely and manage the assets of the municipality; use good budgeting, governance, and procurement practices; resolve challenges and problems; manage change; manage crises, community protests, labour disputes and natural disasters; monitor and ensure legal compliance and manage relationships with all stakeholders.

4.2.2.1.2 Performance monitoring and management

Monitoring performance is essential for building capacity; it identifies performance gaps and failures, which signal areas for support, corrective action, and other capacity-building interventions. The preface to the Local Government: Municipal Systems Act (Act No 32 of 2000) provides for the establishment of "a framework for support, monitoring and standard-setting by other spheres of government to build local government into an efficient progressively, frontline development agency capable of

integrating the activities of all spheres of government for the overall social and economic upliftment of communities in harmony with their local natural environment".

Section 41 of the Local Government: Municipal Systems Act requires municipalities to develop and implement a performance management system to advance its council and administration's standard performance management process. Each municipality must be able to measure its performance by meeting advancement goals, and objectives set out in its IDP using the set key performance indicators; monitor and evaluate performance at least once per year; and take corrective action to improve performance if development priorities and objectives are not met.

Section 44 requires municipalities to set out their key performance indicators and performance goals within the municipality and community. Section 45 provides for audits of performance measurements as part of their internal auditing processes and by the AG. Furthermore, Section 46 of the Local Government: Municipal Systems Act requires each municipality to prepare an annual performance report for each financial year. This report must compare performance goals, targets, actual functionality, and corrective measures to advance functionality.

In addition to annual performance reports, previous strategies for improving local government capacity include the Local Government Turnaround Strategy and Operation Clean Audit. Current capacity assessment models include the B2B approach and the Consolidated Local Government Toolkit.

The concept paper of the B2B approach (COGTA 2014) identifies municipal incapacity as one of the most important problems confronting municipalities and undermining their sustainability and viability. It determines a need to build and maintain sound institutional and administrative capabilities. The basic requirements for institutional capacity include ensuring that administrative positions, especially the top six posts (The Municipal Manager, the CFO, and the Heads of the Infrastructure, Corporate Services, Community Development and Development Planning Departments), are filled with qualified, competent and committed people; that the organisational structure facilitates service delivery and good governance; that there are forums for constructive engagement with organised labour; that a performance management system is

implemented and managed; that measures of performance are aligned to the five B2B pillars namely putting people first, delivering basic services, good governance, sound financial management and building capacity.

The Consolidated Local Government Toolkit (COGTA 2019b) presents lists of documents organised by function area, which COGTA assessors verify to assess the organisational capacity of municipalities. The documents listed in the Toolkit include the following:

Good governance documents include: Roles and Responsibilities of Council, Committees of Council and Office-bearers; Delegation Framework; Rules and Orders for Municipalities; Uniform Standing Procedure for Breaches of the Code of Conduct for Councillors; Oversight Framework; Anti-Fraud and Anti-Corruption Strategy; Participation of Traditional Leaders: Regulations; Participation of Traditional Leaders: Protocol.

Municipal administration documents include: Organisational Design Process; Organisational Performance Management System; Individual Performance Management System; Generic Employment Contract; Generic Performance Agreement; Recruitment of Senior Manager: Process; Local Government Disciplinary Regulations for Senior Managers: Flow Chart; Leave Policy for Councillors and Municipal Officials; Subsistence and Travelling Policy for Councillors and Municipal Officials; Overtime Policy; Sexual Harassment Policy; and the Policy on Workplace Gender-Based Violence

Municipal financial management documents include: Generic Rate Policy; Generic Rate by-law; SOP on Property Rate Act; Generic Bid Document: Municipal values; Cost Containment Policy; Cost Containment checklist; Indigent Policy; Credit Control Policy; Audit Committee Assessment Tool; Tariff Policy; ICT SOP Manual; Debt Manual Protocol.

While the list of documents in the Toolkit is comprehensive, the assessment does not go beyond verifying that the documents exist. There are no quality criteria or

standards, and there is no collection of evidence that the documents are current or in use or that the municipality being assessed can use them appropriately. As a result, the value of this model – used alone – as an assessment tool is limited and unlikely to provide sufficient depth of understanding to inform effective capacity-building interventions. To be used to correct and identify weaknesses, an assessment must be able to provide in-depth, detailed information about performance and performance challenges.

In fulfilling their mandate to support local government, provincial departments work under significant constraints. Section 40 of the Constitution (RSA 1996) establishes the three spheres of government (national, provincial, and local) as distinctive, interdependent, and interrelated. Accordingly, local government has legislative and executive responsibilities for the activities pencilled in Schedules 4 and 5 of the Constitution (RSA 1996). Section 4 requires all spheres of government to respect the autonomy, institutions, and functions of the other spheres of government; avoid any encroachment on the other levels' physical operational or formal ethics, and deal with each other with honesty and integrity. Section 151 states that each municipality "has the right to govern, on its own initiative, the local government affairs of its community" and that "the national or a provincial government may not compromise or impede a municipality's ability or right to exercise its powers or perform its functions".

As Scheepers (2015) points out, Sections 40, 41 and 151 of the Constitution (RSA 1996) mean that a municipality enjoys its constitutionally guaranteed independence regardless of its financial and administrative capacity to carry out its powers and functions. While national, provincial, and local spheres of government are distinctive and interdependent, they are also interrelated. Chapter 3 of the Constitution (RSA 1996), co-operative governance, provides principles for co-operative government and intergovernmental relations for all three levels of government that will ensure, amongst other things, the provision by all spheres of effective, translucent amenable and developing government for the country in its entirety; acclaim high regard for the constitutional status, institutions, powers and functions of other spheres of government; exercise their powers and perform their functions in a manner that does not encroach on the geographical, functional or institutional integrity of government in

another sphere; and co-operate with one another in mutual trust and good faith (RSA 1996).

The purpose of co-operative governance is to encourage various departments to work together on programmes and projects to achieve development and service delivery goals. However, Govender (2015) notes that intergovernmental relations are beset with challenges, including poor leadership, ineffective structures, and a lack of capacity. He argues that a range of challenges impacts co-operative governance in the local government sphere, including: "inexperienced and uncommitted officials and political representatives; and vested interests and an organisational culture not conducive to the new realities".

These challenges in co-operative governance and intergovernmental relations can negatively affect the capacity of provincial government departments to support municipalities. Municipalities can, and do, resist, reject or ignore capacity-building interventions by the provincial government. Verbal reports by COGTA officials during an assessment by the KZN COGTA state that some municipalities even barred them from entering municipal premises and prevented them from carrying out their work (COGTA 2019).

This kind of behaviour by a municipality is very difficult to manage unless the municipality has become deeply dysfunctional. Suppose a municipality is judged to be in "serious or persistent material breach of its obligations". The relevant provincial executive may intervene to ensure that the municipality executes its duty to the community. Section 139 of the Constitution (RSA 1996) allows a provincial government to take over the administration and council of a failing municipality and implement necessary reforms and capacity-building interventions in consultation with but not subject to the municipality's leadership requiring intervention.

A Section 139 intervention should allow an administrator appointed by the MEC for COGTA in the province to conduct a thorough assessment of the specific challenges, weaknesses and other issues that have led to the municipality's failure. Such an assessment should produce an accurate diagnosis and action plan to repair the situation. However, progress is usually slow, and some municipalities remain under

administration by the province for several years. COGTA's report on its 2019 assessment of municipalities in KZN (2020)   found that even when a Section 139 intervention has been lawfully initiated, there is significant resistance by the affected municipalities to implement the recovery plan. The report cites instances of failure to provide accurate information and other forms of active resistance "sometimes amounting to sabotage" by council and administration leaders as well as by municipal staff members; an unwillingness to support investigations into maladministration, fraud, and corruption; failure to implement AG findings; and interference by provincial political structures.

An internal report by KZN's COGTA (2020) showed that between 2017 and 2019, nine out of 34 local municipalities (about 25%) were placed under constitutional intervention. These were Mpofana, Msunduzi, Richmond, Uthukela, Inkosi Langalibalele, Umzinyathi, Endumeni, Abaqulusi and Mtubatuba. By June 2020, the province had lifted the intervention in Endumeni, but the other eight municipalities remained under provincial administration. In January 2021, email notes from a virtual KZN Executive Council meeting confirmed that two more municipalities, Umkhanyakude District Municipality and Nquthu Local Municipality, had been placed under administration in terms of Section 139 (1)(b) of the Constitution (RSA 1996). Umkhanyakude District Municipality was engulfed by internal strife and had failed to hold three consecutive council meetings to consider matters that affected the functioning of the municipality and service delivery. It was unable to pass the IDP, and the budget and forensic reports were not acted upon. Issues at Nquthu Local Municipality included a dysfunctional Municipal Public Accounts Committee (MPAC), a failure to investigate unauthorized, irregular, fruitless and wasteful expenditure, and failure to pass the IDP and the budget process plan on time and an unlawful process for electing a new Mayor.

COGTA's assessment (COGTA 2019) evaluated municipal performance in three focal areas at each of the province's 54 municipalities to inform COGTA's support policy, strategy and programmes and develop a co-ordinated response. The three focal areas were: functionality and stability of political, administrative and community systems and processes; financial management and viability; and basic service

delivery. The intention was to diagnose real challenges in real-time and craft appropriate responses. Key observations from the assessment are listed below:

Focal Area 1: Functionality and stability are compromised by: widespread tensions between municipalities and political parties, weak council oversight structures and poor relationships between local and district municipalities; vacancies in key positions that cause administrative instability and lack of capacity in financial and technical functions; weak responsiveness to community concerns due to ineffective public participation; the lack of consequences for fraud and corruption. Focal Area 1 relates to institutional capacity. This focal area, particularly the aspects of leadership and good governance, is viewed as the key to resolving capacity deficiencies in all three focal areas.

Focal Area 2: Financial management and financial viability are compromised by ineffective governance and poor financial oversight, which have led to increased levels of unauthorised, irregular, fruitless and wasteful expenditure; a regression in audit outcomes; increasing levels of consumer debt and the failure to pay creditors on time.

Focal Area 3: Basic service delivery is compromised by poor management and a lack of budgeting and spending on operations and maintenance; non-performance on capital projects; and procurement delays.

The assessment by COGTA (2019) concludes by recommending that political interference in good governance and service delivery be addressed and similarly maladministration, fraud, and corruption.

4.2.2.1.3 Integrated development planning

An IDP is the primary strategic plan of local government. It regulates and notifies all planning and expansion initiatives in the municipality, including establishing facilities that provide domestic financial advancement and town planning to change apartheid spatial arrangements. In its preamble, the Local Government: Municipal Systems Act

(Act No. 32 of 2000) describes the IDP as an enabling framework for developmental local government because it supports municipalities in implementing the core development processes of planning, resource management, community participation and organisational change management. The Act addresses the components of the IDP, the process for developing the IDP and performance reviews. The components of the IDP are dealt with in Section 26. They incorporate the municipal council's goal for advancing the municipality; identifying the municipality's development needs; evaluating the current degree of advancement, especially regarding accessing essential amenities; and local economic development goals. Section 27 provides a process for planning, drafting, adopting, and reviewing IDPs. It states that each district municipality, in consultation with the local municipalities in its area, must adopt a framework for integrated development planning in the area as a whole; each municipal council must adopt a process set out in writing to guide the planning, drafting, adoption and review of its IDP and consult the local community before adopting the process.

Co-ordination between local municipalities, district municipalities and other spheres of government is critical to the success of consolidated development planning. Section 24(1) of the Local Government: Municipal Systems Act (Act No. 32 of 2000) states that "The planning undertaken by a municipality must be aligned with, and complement, the development plans and strategies of other affected municipalities and other organs of state so as to give effect to the principles of co-operative government contained in Section 41 of the Constitution" (RSA 1996). However, municipalities have faced serious challenges in advancing and executing consolidated advancement planning. Pillay, Reddy, and Sayeed (2015) point to a lack of well-planned and well-integrated amenities provision in municipalities because of, amongst other things, weak institutions and poor implementation, ineffective systems for integration with other spheres of government and the lack of a common vision with different leaders pursuing different interests,

In response to an item in the 2019 Budget Speech, COGTA (2019a) developed a district co-ordinated service delivery model known as the District Development Model (DDM). The DDM builds on the White Paper on Local Government (COGTA 1998) provision to "rebuild local communities and environments as the basis for a democratic, integrated, prosperous and truly non-racial society". It aims to integrate

the strategic plans of all three levels of government administration through co-ordination at the district municipality level and to create interrelated development hubs for the development, resourcing, and implementation of local municipality plans. The anticipated outcome of implementing the DDM is improvement in the planning, service delivery, and other local government functions.

According to the White Paper on Local Government (COGTA 1998), the role of district municipalities in district-wide integrated development design, incorporates land utilisation, economic arrangements, advancement, and transport planning. The IDP of each local municipality must be aligned with the IDPs of neighbouring municipalities to ensure that they do not set contradictory goals. Moreover, district municipality IDPs had to be acquainted with the reasons set by the local government and aligned to the plans and programmes of departments for the area.

The DDM is a One-Plan Approach that will integrate national and provincial plans and budgets with municipal IDPs, local economic development plans, trade and private sector agreements and international development goals and investments. Figure 4.6 illustrates the range of planning issues to be addressed by the DDM.

Figure 4.3: The One-Plan Approach of the District Development Model

Source: Department of Co-operative Governance and Traditional Affairs, (2019), Towards a District Coordinated Service Delivery Model.

The DDM is expected to significantly increase the institutional capacity of local government by: strengthening co-operative governance and impact at local levels; delivering integrated services; ensuring inclusive budgets; maximising and aligning resources to ensure sustainable development; and reducing poverty, unemployment, and inequality. Whether it is effective remains to be seen. Govender (2015) comments that the critical conditions for effective intergovernmental relations are mutual respect, trust, quality of co-ordination, conflict resolution and good decision-making. In addition, KZN's COGTA evaluation of the competencies of districts to facilitate the implementation of the DDM (2020) notes that the human resources, leadership, and financial capacity challenges in local municipalities also exist in district municipalities. The DMM does not address these factors and conditions, which might mean that the new model cannot resolve the factors that led to weak and poorly implemented IDPs.

4.2.2.1.4 Financial management and governance

The AG is one of the Chapter 9 institutions established by the South African Constitution (1996) to strengthen constitutional democracy in the Republic. The responsibilities of the AG are described in Section 188 of the Constitution (RSA 1996), and they incorporate: reviewing and disclosing the "accounts, financial statements and financial management" of all government organisations, including municipalities. To support compliance with Section 188 of the Constitution (RSA 1996), Section 121 of the Local Government: Municipal Finance Management Act (Act No. 56 of 2003) requires each municipality to a yearly review that comprises the municipality's yearly financial statements and the AG's audit report together with details of any corrective action to resolve issues raised in the audit reports.

Section 126 of the MFMA assigns the municipality's municipal manager to consolidate its annual financial records and submit them to the AG's office for auditing. Section 131 of the MFMA requires a municipality to address any issues raised by the AG's report and further requires the municipality's mayor to ensure compliance with Section 131. In addition, Section 131 requires the MEC for local government in the province to assess the audit reports and determine whether municipalities have adequately addressed issues raised by the AG's audit reports.

In the 2016/2017 report on the audit results of municipalities in South Africa over the past five years, the AG (2018) reported an overall deterioration in financial management and a lack of improvement in accountability, leadership, oversight, and governance challenges. The AG highlighted the lack of accountability as a critical challenge. Basic accountability controls, such as monitoring performance and consequences for maladministration – that most municipalities have not implemented – were identified. This lack of accountability is linked to the lack of respect for legal requirements in the running of municipalities.

In KZN, the AG found that audit outcomes in the province had regressed mainly because of the failure of municipal leaders to improve weaknesses that the office of the AG had identified. The warning issued was that "If these lapses in accountability are not dealt with, the regressions will continue." In the 2016/2017 financial year, 11% of KZN municipalities received clean audits compared to 20% in the 2015/2016 financial year; 74% submitted quality financial statements compared to 88% in 2015/2016; 47% submitted quality performance reports compared to 71% in 2015/2016; 11% had no findings of non-compliance with legislation compared to 20% in 2015/2016; and irregular expenditure increased by nearly R500m AG (2018).

The AG also noted that the recommendations to investigate non-compliance with supply chain management legislation and double deceit dealing or inappropriate behaviour were not followed up on by 47% of the municipalities nationally where he had identified such indicators. In the 2016/17 audit, these findings were repeated in 71% of the municipalities in 2015/16.

In addition to deteriorating financial management and accountability during the 2016/2017 financial year, the AG revealed that the audit teams' working environment had become more hostile. The teams experienced more disagreements with audit findings, more questioning of audit processes and motives, more failures to provide information and evidence and more pressure to change conclusions to avoid negative audit outcomes or the disclosure of irregular expenditure. In other words, the municipalities were increasingly rejecting the potential offered by the audits of the AG and the underpinning legislation to improve their institutional capacity.

The AG (2018) concludes in the 2016/2017 media release that: "We have seen again and again that many of the municipal problems we have flagged, can be turned around through strong, ethical and courageous leadership in the administration and council, with the support of provincial government if the basic principles of accountability, built around strong internal control and good governance, are in place, municipalities should be well geared to live up to the expectations of the communities that they serve."

The AG's media release of the 2019/2020 report on the audit of municipalities (2020) records further deterioration in that funds allocated to municipalities were not being managed in compliance with regulations and recognised accounting disciplines. He found that most municipalities were in debt; were unable to pay for water and electricity; failed to collect revenue; spent money in unauthorised, irregular, fruitless, and wasteful ways. The AG noted: "The financial statements of a municipality tell the story of how well a municipality is managed." He characterised the well-run municipalities as having a stable leadership that is "committed to a strong control environment and effective governance".

In the 2019/2020 financial year, the audit outcomes of KZN municipalities were like those of the previous year. In most local municipalities, the AG found weak accountability and a failure to implement financial controls. He also noted that most district municipalities did not implement basic financial and performance management processes and failed to implement audit improvement action plans.

4.2.2.1.5 Infrastructure and technical capacity

The Manpower Group's Talent Shortage Survey (2018) suggests the ten most difficult skills to source are skilled trades such as electricians, welders and mechanics; management and executive skills; sales representatives; engineers, including chemical, electrical, civil and mechanical engineers; technicians and technical staff; accounting and finance skills including certified accountants, auditors, and financial analysts; office support skills including administrative assistants, PAs and receptionists; drivers including truck, delivery, construction and mass transit drivers;

teachers; IT skills including cybersecurity experts, network administrators and technical support. The technical skills ratings on the list of skills lacking in the South African labour force required for service delivery and infrastructure development and maintenance in municipalities are: number one – skilled trades; number two – engineers; and number five – technicians.

Bardill and Hamza (2015) define municipal technical capacity as the recruitment and appointment of individuals with high levels of skills, knowledge, and competence in engineering and planning disciplines registered with recognised professional bodies and committed to the standards and ethics of their professions. Such skilled technical individuals are in short supply. Many municipalities have vacancies for technical positions at all levels, and critically technical positions in senior management, with the subsequent impact on service delivery and infrastructure management and maintenance.

In 2013, MISA was established as a component within COGTA to support and improve the provisioning, refurbishment, and maintenance of municipal infrastructure. MISA identifies municipalities needing technical support by assessing their institutional capacity to manage and maintain their service delivery infrastructure. MISA's goal is to build the capacity of municipalities to undertake effective planning, delivery, operations, and management of municipal infrastructure.

MISA's support programme includes a scientific and in-depth assessment of the state of the municipal infrastructure required for the provision of water, sanitation, roads, electricity, and refuse removal services; the provision of technical support to municipalities through the deployment of technical experts and professional service providers; building the in-house capacity of municipalities to be able to develop, operate and maintain their infrastructure on their own; building the technical capacity of local government through skills development programmes, and partnerships with tertiary institutions and professional bodies; and monitoring the development, management and maintenance of the municipal infrastructure. Unfortunately, a critical challenge MISA faces in achieving the goals of its programmes is a shortage of technical skills upon which it can draw.

MISA's capacity-building initiatives (2017) focused on the Limpopo and KZN provinces. Their programmes included technical skills training for municipal officials; artisan development; training of experiential learners; training of young graduates, and awarding bursaries. All these programmes failed to reach their planned target numbers due to poor absorption rates by municipalities. Other challenges to MISA's capacity-building initiatives were: high vacancy rates in technical departments meant that MISA's technical support staff had no one to transfer skills to; plans to place apprentices in municipalities did not achieve targets due to poor supervision of the work of apprentices by the host municipalities; and municipalities preferring to host young graduates as interns rather than experiential learners.

4.2.2.1.6 Leadership in municipal administrations

Qualified, competent, and committed leadership is an essential capacity common to all organisational and institutional capacity elements and fundamental to the effectiveness and efficiency of any organisation. The legal framework clearly provides a high quality of leadership in municipal administrations.

Section 3(b) of the Code of Conduct for Municipal Staff Members (Local Government Municipal Systems Act, 2000) requires all municipal officials to "foster a culture of commitment to serving the public and a collective sense of responsibility for performance in terms of standards and targets". Section 55 of the Code tasks the accounting officer of a municipality, as leader of the municipal administration, to shape and implement an "economical, effective, efficient and accountable administration" that can set and achieve the municipality's service delivery and development goals.

The Regulations on Appointment and Conditions of Employment of Senior Managers (Local Government: Municipal Systems Act, 2013) require a municipal council to create an appropriate number of administrative departments and senior management posts to ensure the effective capacity of local government administration and to ensure that senior managers have appropriate qualifications, experience and competencies to develop strategies for municipal transformation, achieve sustainable and measurable service delivery goals and establish the staffing and other resources

required to achieve the goals and strategies. The Regulations define the minimum qualifications, experience and competencies of a municipal manager as: an hours degree (NQF 7) in Public Administration or associated discipline; seven to eight years of experience at a senior management level; good knowledge of local government legislation, regulations and operations; and competencies that include customer and service delivery management, ethical conduct and professionalism, political astuteness, governance and risk management, policy conceptualisation and formulation, building and maintaining strategic relationships, facilitating transformation initiatives and managing change, defining clear performance goals and promoting a culture of performance accountability, providing strategic direction and leadership, managing resources including financial, human, knowledge and physical resources and equipment and tools, and planning and organising.

In addition, a municipal manager must have the financial and legal knowledge and experience to act as an accounting officer for the municipality and take responsibility for and oversee the legal compliance of the local government administration, financial administration, and internal control procedures. Section 60 of the Local Government: Municipal Finance Management Act (Act No. 56 of 2003) provides for the establishment of the municipal manager of a municipality as the accounting officer thereof, with the responsibility for exercising the functions and powers assigned to an accounting officer by the Act; and advising the political structures, political appointees, and administrative office-bearers on adherence to the Act.

Bardhill and Hamza (2015) emphasise the complexity of the role of top management in local government and the high levels of skills, knowledge and competence required in an 'almost bewildering array of areas'. Despite a legal framework that defines minimum leadership qualifications and competencies and enables good recruitment practices, there does not appear to be an appreciation in the local government of the complexity or the importance of professional leadership. Poor recruitment practices are a critical contributing factor in increasingly dysfunctional institutions.

For example, Tshishonga (2015) investigates increasing levels of politicisation of recruitment in local government and its role in entrenching a culture of 'cadre deployment,' which led to the appointment of unqualified and incompetent leaders and

employees and – by implication – the denial of employment opportunities in local government to qualified and competent job applicants. 'Cadre deployment' is a means of rewarding those who are loyal to the governing party. However, it is becoming clearer that the cost is very high and includes ineffective leadership of local government institutions, poor service delivery and the lack of community development, reduced morale, and job satisfaction for non-political employees.

4.2.2.1.7 Leadership in municipal councils

Before an election, registered political parties that want to contest the election must compile and submit lists of their candidates to the Independent Electoral Commission. Different political parties use different processes and selection criteria to decide on their lists. The ANC expects its councillor candidates to adopt and promote the values of the ANC. According to an ANC online publication (ANC 2016), these values include "selflessness, humility, discipline, and an unwavering commitment to the communities they have been elected to serve." The ANC also expects its councillors to be agents of transformation by partnering with communities and promoting citizens' participation in decision- and policymaking. It also acknowledges that political office bears must be capacitated with job skills, especially the technical skills required for preparing and implementing budgets and overseeing municipal finances.

These expectations align with the Code of Conduct for Councillors in Schedule 1 of the Local Government: Municipal Systems Act (Act No 32 of 2000). The code states that councillors are elected to represent local communities on municipal councils and ensure that municipalities are accountable to local communities to meet their priority needs and deliver services. In fulfilling this role, councillors must inform, account to, communicate and consult with the communities they represent. Councillors must carry out their functions honestly and transparently and in favour of the municipality. Regarding interaction with the management of a municipality, a political office bearer may not obstruct or interfere in the administration's management.

An audit of the educational levels of KZN's municipal councillors (COGTA 2018) found that councillors' educational qualifications ranged from no education to postgraduate degrees, with most councillors having less than a grade seven education. Mhlaba (2018) audited the educational levels of councillors in Bushbuckridge Local Municipality in Mpumalanga and found a similar wide spreading of qualifications. When he looked at the differences between proportional representation councillors and ward councillors, he found that 92% of proportional representation councillors and 79% of the ward councillors had a matric or higher qualification. Before being elected, 25% of proportional representation councillors and 29% of the ward councillors were unemployed.

The suggestion from these skills audits is that between 10% to 20% of councillors do not have enough education to benefit from workplace training programmes, and between 25% to 33% of councillors do not have the necessary work experience to have a context for understanding and applying the information they receive through capacity-building interventions. Mhlaba (2018) notes that because of the role councillors play in facilitating service delivery, they should possess leadership qualities and relevant job skills. Municipal councillors with low levels of education and a lack of work experience represent 'weak link in the service delivery chain'. Mhlaba recommends legislation to provide for minimum educational requirements for councillors. He concludes that some municipal councillors are unsuitable for the position, and appointing the wrong people to the job negatively impacts the well-being of citizens.

Both studies also found a turnover of around 65% amongst councillors after each local government election, with most councillors serving only one term. Mhlaba (2018) points out that continuity is an important contributor to successful service delivery and recommends that measures be considered to improve the stability of municipal councils. A high turnover of councillors every five years is problematic. It erodes institutional memory and means that most councillors are perpetually learning how to do their jobs and cannot apply experience gained during a previous term.

4.2.2.2 Organisational and Institutional Capacity-building

Peters and van Nieuwenhuyzen (2013) argue that practical capacity-building plans should integrate all three elements of capacity – organisational, institutional, and individual – and focus on long-term sustainability rather than short-term gains. They quote lessons that can be learned from the two countries' approaches to capacity-building in the public sector. First, Tanzania's approach included securing the commitment of key role-players, stabilising key positions and appointments, following a sector-wide approach, and restoring integrity and ethics. Second, the Philippines' approach included innovative peer-to-peer exchange and on-site coaching methodologies.

According to Peters and van Nieuwenhuyzen (2013), individual capacity-building interventions should ensure that municipal councillors and administration officials have the required technical abilities, knowledge, experience, and competencies for their positions. The most fundamental requirement for effective individual capacity-building outcomes is ensuring that the right person is in the right position and possesses the minimum competency requirements.

Organisational capacity-building should include collating realistic IDPs, applying practical and productive performance management structures and data management, and ensuring accurate and relevant reporting. Critical vacancies must also be filled with qualified persons.

Institutional capacity-building requires flexibility and responsiveness in the assignment of functions, based on the capacity of a municipality to manage them and the establishment of a co-ordinated capacity-building function across all national and provincial departments to clarify their roles in supporting local government. Fundamental requirements for effective institutional capacity-building are a stabilised senior management, enforcement of the minimum qualifications provided for in the MFMA and the Municipal Systems Act (MSA), greater insulation from political interference in recruitment and improved financial and supply chain management practices.

4.3 Individual Capacity

Since 1994, significant changes have occurred in all aspects of South African society, including the world of work and the education department. However, the implications of these changes for the basic education curriculum have not been sufficiently analysed and addressed. The basic education system does not deliver new entrants to the workplace with the skills required by employers. For example, there is a shortage of job applicants with a mathematical basis for developing technical or financial skills. Society and the workplace have changed, but the school curriculum has not; the focus has been on improving access to education and better quality of education and less on transforming the curriculum (Maclean and Ordonez, 2007). If there is a poor match between the outputs of the school system and the entry-level requirement of the workplace, then the issue of expertise enhancement in the workplace becomes more important.

The specific learning needed to develop skillsets for specific jobs must be clearly and comprehensively expressed. This specific learning is easier with motor or physical skills, like those required for junior technical positions. However, it is more difficult to articulate the skills for jobs that require analysis, making good decisions, or encouraging the participation of stakeholders, like the job of a local government councillor. At the same time, non-technical jobs also require physical skills like using a computer or driving a vehicle, and administrative skills such as maintaining a filing system, arranging meetings, and time management.

SETA qualifications do allow for some flexibility. They include fundamental verbal and written communication skills and relevant mathematical and life skills. They also include core skills essential for and directly related to the field of study and electives that offer a choice of additional, useful skills that are not so directly related to the specific job for which the qualification was designed. However, the subject matter is confined by assessment criteria. It does not allow much room for recognising individual needs, differences in the skills with which learners come to the programme, or diversity of emphasis in different workplaces.

Both education and skills development are treated more as a body of information to be supplied than a way to meet a demand for skills, knowledge, and personal development. This weighting of skills development and educational services towards the supply side rather than a demand-driven service, limits the usefulness of skills development and capacity-building initiatives. As Maclean and Ordonez (2007) point out, one buys only what one needs or wants. A demand-driven approach to determining a student's learning needs is to analyse what the learner already knows and can do and then design a programme that will include what is required to contribute to their future success. This approach does not mean that the traditional subjects are no longer needed; it suggests a re-evaluation and transformation of content and attention to personal needs.

Individual capacity usually refers to an individual's potential to achieve job competence. However, as Mhlaba (2018) notes, individual capacity alone does not improve job performance. Interventions designed to build these capacities are effective only if employees work within a performance culture and have the will and commitment to apply their individual capacities to their jobs. Andrews, Pritchett and Woolcock (2017) note that while laws and policies are important aspects of environmental capacity, their implementation relies on local government to have the capacity to implement the laws and policies. Therefore, low institutional capacity is likely a more significant reason for poor municipal performance than low individual capacity.

In the International Labour Organisation (ILO) report, Kawar (2011) notes that the three pillars of basic education, on the job training, and long-term learning are core to being employed, career advancement, and enterprise development. Basic education lays the foundation for employability; vocational or post-school training provides a focal point for employment ability skills and understanding to facilitate the transition into the world of work; while lifelong learning ensures that employees' skills and competencies are maintained and updated as the operational environment, technology, and customer needs change. Kawar (2011) defines and categorises skills for the workplace into fundamental skills such as literacy, numeracy and ICT skills and soft skills. Soft skills include communication and higher-order skills such as analysing and decision-making skills. Specialist or technical skills include leadership, management

and financial skills, and life skills such as attitude, co-operativeness and interpersonal skills.

4.3.1 An Historical Perspective on Workplace Skills Development

A significant consequence of apartheid policies was that most of the population, black South Africans, could not develop their skills potential. Even before the end of apartheid, it was clear that South Africa did not have the types and levels of skills needed by the labour market, especially technical and financial skills. This deficiency meant that the country's critical resources for economic development were unavailable.

Van der Merwe (1981) points out that, during the 1960s, certain countries, like the United Kingdom and the United States of America, found it necessary to revise their HRD policies to promote economic growth. These revisions resulted in legislative changes, changes to existing labour market institutions, new institutions, and new training and development programmes. About 15 years later, in 1977, a shortage of critical skills prompted the apartheid government to begin a similar review of its racially differentiated HRD policies. It started with two commissions of inquiry, the Wiehahn Commission, which was tasked to make recommendations about changes to labour legislation and the Riekert Commission of Inquiry into regulations and administrative practices related to the economic aspects of utilising human resources.

The reports of these two commissions concluded: "that the country's workers, irrespective of race, colour or sex, must be developed, utilized and conserved" (Van der Merwe, 1981). The scope of responsibility of the National Apprenticeship Board was broadened, and education and training were identified as areas for priority attention. Black youth were enrolled in apprenticeship training programmes, but interest was low, and the impact on the South African economy was below expectation.

A lack of skills constrains the growth of the private sector and the country's economy and harms government performance and its ability to deliver services and

development. Even when other capacities and resources are available to support good government performance, a lack of individual capacity can prevent this potential from being actualised. The commissions had focused narrowly on the needs of the labour market and had not addressed challenges and issues in the education and training system. Since the end of apartheid, the South African government has continued to address the scarcity of critical skills. It has initiated a legal framework, a funding framework, and various other interventions to encourage the development of generic and scarce skills for private and public-sector workplaces.

Since 1994 the democratic government has reformed education and training at the systemic level (SAQA, 2000). Nearly 50 years of apartheid created an education and training system with deeply embedded problems that impacted labour market skills, curriculum content, teaching methodology, and student learning. The problems raised many issues, including issues of relevance, such as access, progression, portability, and credibility. The decision was taken to discard the existing system and replace it with a system organised to produce appropriate learning results.

The NQF was adopted to place learning outcomes at the centre of the new system and ensure that the interests and attitudes of facilitators would not govern assessment, programme content or other education and training decisions.

4.3.2 The Enabling Framework for Developing Individual Capacity

Chapter 13 of the NDP, *Building a Capable State* (National Planning Commission, 2012), identifies five key areas requiring capacity-building interventions to improve government performance. Three of them are directly relevant to municipal administrations. First, replacing political appointments with professional appointments. Second, building a skilled and professional administration with career paths for junior officials. Third, developing a pool of officials with technical and specialist skills. The NDP favours long-term skills development interventions and professional qualifications over short training courses.

Skills development refers to the process of acquiring skills and is a term widely used in the South African skills development legislation post-1995. It reflects a conceptual

shift from teaching to learning. The concept of learning places the responsibility on the learner to engage enthusiastically in their own advancement. The impact of the new environment in skills development on local government is captured in the key pieces of skills development legislation listed in Table 4.3 below.

Table 4.3: Key Pieces of Legislation for Skills Development in South Africa

Legislation	Impact on local government skills development
Skills Development Act (Act No. 97 of 1998)	Provides for: • Sector skills planning • Workplace skills planning • Funding of skills development • Involvement of trade unions and employee representatives in the skills development process • Learnerships and skills programmes • Monitoring and reporting on the implementation of skills development programmes
Skills Development Levies Act (Act No. 9 of 1999)	Provides for payment of a monthly levy of 1% (currently) of monthly payroll to the Sector Education and Training Authority (SETA) to which the organisation is affiliated. If the organisation meets certain skills development conditions, the SETA will pay back a portion of this levy in the formation of a subsidy towards the cost of skills development interventions. Municipalities may be granted exemption from the payment of the levy under specific circumstances
South African Qualifications Authority Act (Act No. 58 of 1998)	Provides mechanisms for municipalities to: • Identify the required standards of learning • Participate in generating competence standards • Identify the criteria against which employee competence should be measured

	• Ensure that training providers and assessors are accredited
National Qualifications Framework Act (Act No. 67 of 2008)	The National Qualification Framework (NQF) locates all nationally recognised education and training interventions on a matrix of levels arranged by their degree of complexity and difficulty. The purpose of the framework is to ensure quality and consistency. An NQF qualification is awarded on evidence of competence rather than attendance at a training programme, that is, what a person is able to demonstrate that he/she understands and can do, rather than how or where the skills and/or knowledge were acquired.

Source: LGSETA (no date) Skills Development Handbook

4.3.3 Institutions and Programmes Created by Skills Development legislation

Several institutions and programmes have been created because of skills development legislation. They include:

- The National Skills Authority: Its functions include promoting skills development, developing policies, strategies, and guidelines to facilitate skills development, and allocating grants from the National Skills Fund to support skills development initiatives linked to the country's national expertise priorities.
- The National Skills Development Strategy: This programme was developed by the Department of Higher Education and Training (DHET) to address the national developmental and transformational skills development imperatives.
- The SETAs: These programmes have been established in 21 economic sectors in terms of the requirements of the Skills Development Act. SETAs are required to develop Sector Skills Plans, identify, and register learnerships, provide quality assurance of training and competence assessments, encourage the provision of training in the sector and disburse levy grants.

- The South African Qualifications Authority (SAQA): This institution regulates the advancement and actualisation of the NQF and national qualifications and unit standards, formulates policies and establishes criteria for Standards Generating Bodies and Education and Training Quality Assurers.

- The National Standards Bodies: These bodies have been established in each of the 12 fields of learning to oversee the processes of developing, writing, and reviewing unit standards and specify and oversee the application of the rules of combinations for qualifications.

- The NQF: This is a Ten-level qualifications framework divided into three bands, as illustrated in Table 4.4 below.

Table 4.4: The National Qualifications Framework

NQF level	Band	Types of qualifications
5 to 10	Higher education and training	Higher certificates, diplomas, degrees and advanced degrees
2 to 4	Further education and training	Grade 10 to Grade 12, national certificates in vocational qualifications
1	General education and training	Adult education and training (AET) certificate

Source: LGSETA (no date) Skills Development Handbook

- The Standards Generating Bodies give rise to updating and reviewing unit standards and qualifications in line with SAQA and the National Standards Bodies.

- The Education and Training Quality Assurers (ETQA) are located within SETAs and whose functions include accrediting training providers, registering assessors, evaluating assessments, and recommending amendments to existing unit standards and qualifications.

- The Quality Council for Trades and Occupations (QCTO) was established under the Skills Development Act to oversee occupational qualifications on the Occupational Qualifications Sub-Framework (OQSF).

4.3.4 The Post-School Education and Training System

The DHET (2016) envisions an integrated and co-ordinated post-school education and training system that creates access for more learners, improves the quality of education and training and increases relevance to the public and private workplace requirements. Quality education and training require an outcomes-based system that develops competence. The concept of competence implies that individuals can apply what they have learnt (through education and training) in the workplace context and to performance standards. A qualification must include theory and practical aspects to achieve this outcome. Competence is not simply the ability to do something. SAQA (2000) distinguishes three types of competence: foundational competence, which is the ability to understand a task and why it is required; practical competence, which means the ability to perform a certain task; and reflexive competence, which means that an individual can apply their foundational and practical competencies to new situations and adapt to change. A competent individual can demonstrate all three types of competence. However, competence can be developed differently and not only through formal education and training programmes.

One of the goals of the NQF is redressing past unfair discrimination in education and training. To achieve this goal, SAQA (2000) has implemented two processes. The first process, known as RPL, aims to recognise learning that has taken place outside of formal learning institutions. The second is an approach to assessment designed to facilitate RPL. Traditionally, educational institutions have used written examinations as the main method of assessing learners. However, written examinations are not appropriate for learners who have gained their skills non-formally. Other assessment methods are encouraged. For example, a portfolio of evidence or an 'inbox' exercise allows learners to demonstrate their level and type of competence against specific assessment criteria included in unit standards. A national Post-School Educational and Training System (PSET) has been designed to achieve competence outcomes. It has five components, as illustrated in Figure 4.4 below.

Figure 4.4: Components of the National PSET System
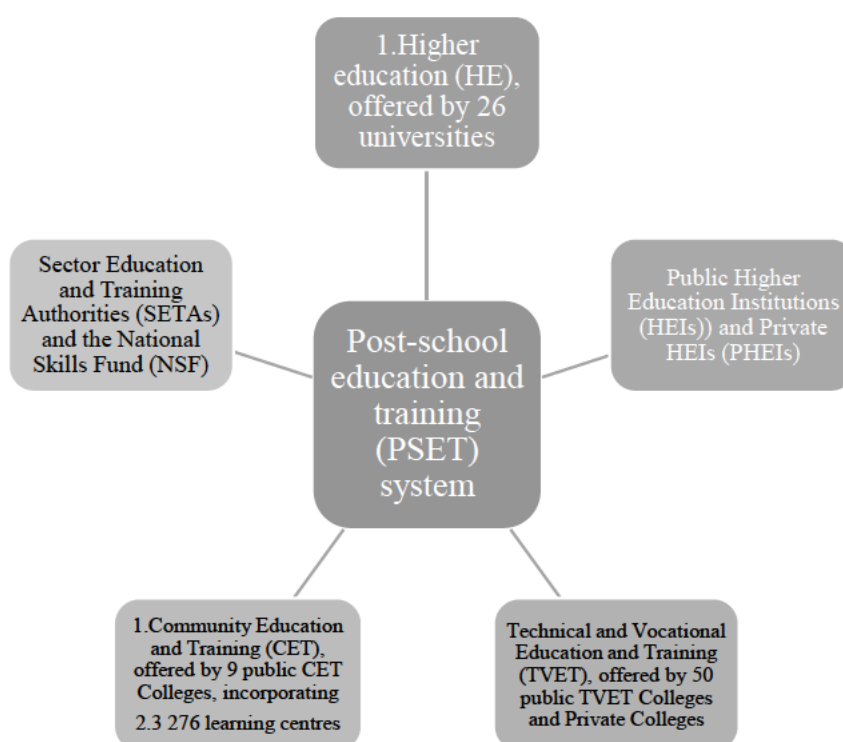
Source: Department of Higher Education and Training. (2016). Policy Overview of the Post-School Education and Training System.

An extensive regulatory framework for PSET includes the following: the White Paper for Post-School Education and Training (2014); the NDP 2030; the Skills Development Act; the National Student Financial Aid Scheme (NSFAS Act); the National Qualifications Framework Act (NQF Act); the RPL Policy and the Articulation Policy; the Workplace-Based Learning Policy framework; the Higher Education Act (1997); White Paper 3: A Programme for the Transformation of Higher Education (1997); the National Plan for Higher Education (2001); University Statutes; the Continuing Education and Training Act, 2006 (Act No. 16 of 2006) and the National Policy on Community Colleges 2016.

Several monitoring institutions are accountable for credentials and standard authorisation in the higher education system, including the Council on Higher Education (CHE), SAQA, QCTO and Umalusi.

However, significant challenges exist throughout the higher education and apprenticeship programme (DHET, 2016). Individual capacity-building in

municipalities relies mainly on the SETA component. There are significant challenges in the LGSETAs, including the lack of achieving goals, the lack of quality data regarding the sector, the poor quality of skills development, and questionable credibility. Many SETAs are perceived to have a weak skill planning system, insufficient research capacity, poor data management, a lack of planning and expertise, and weak leadership and governance. The original intention was to persuade employers to extend internships and enhance the standard and quality of skills development. However, achievement has been uneven, and there is still much reliance on unregulated short courses that operate outside the Post-School Education and Training (PSET) system.

In September 2013, the Human Resource Development Council (HRDC) published a review of the skills development system (Kraak et al., 2013). The review offers more detailed criticism of the SETA system. It cites ongoing problems with governance and financial management and a lack of effectiveness in addressing the country's skills needs. Despite high levels of investment from skills levies, SETAs have very limited impact on skills development in their sectors; do not effectively identify skills needs; do not match supply and demand; do not plan training programmes that effectively address identified skills needs; and do not plan effectively for future skills needs such as changes in employment because of technology. Even where there have been successes, like large numbers of learners registered on learnerships, most qualified learners have been unable to find employment. The SETA system has not contributed significantly to reducing unemployment in South Africa.

According to the HRDC review (Kraak et al. 2013), the problem starts with a poor education system. A substandard vocational education and tutoring model from which low numbers of skilled people emerge results in a "mismatch between the skills of those qualifying and the skills needs of employers" (Kraak 2013). The most serious criticism made by employers is that people who emerge with qualifications from the basic education or post-school systems are not employable because they lack both fundamental competencies and qualifications required in the workplace. The SETA system was designed to deliver both, but it delivers only qualifications and not competence from employers' perspectives. The review also found that many employers have low expectations of SETAs. Notwithstanding their low unmet

expectations, many employers are still required to pay the skills development levy despite having opted out of the system.

Finally, the HRDC review identifies that in the public service, the skills development framework is further weakened by confusion around the responsibilities of the DHET and its National Skills Development Strategy, the SETA's Sector Skills Plan, the Department of Public Service and Administration's HRD Plan and individual departments that have their own HRD plans. This criticism also applies to local government, where there are gaps in the alignment between the LGSETA's skills plan, individual municipalities' workplace skills plans, and the skills development plans developed by COGTA's CBUs for addressing skills advancement needs in municipalities. Moreover, there is a lack of alignment between municipalities' Workplace Skills Plans (WSPs) and their IDPs. These overlapping and uncoordinated responsibilities create a perception that the expertise structure in the public arena is difficult to understand and ineffective in building the types and levels of capacity needed by councils and administrations to meet service delivery and development goals.

The government has recognised and attempted to address this goal due to confusion and lack of co-ordination. The Department of Monitoring and Evaluating in the Presidency (2012) identified a need for clearly defined roles and responsibilities amongst the various departments and for mechanisms to improve co-ordination and alignment of capacity-building initiatives. These mechanisms include initiatives to: evaluate the capacity-building to ensure greater impact; develop the talent foundation for essential expertise needed by municipalities; promote sound oversight practices by municipal councils; strengthen the institutional capacity of municipalities and strengthen governance and financial management in municipalities. This initiative is known as the *Outcome 9 Agreement*, and it requires provincial departments to champion the allotment and management of capacity-building assistance to local government institutions like municipalities.

4.3.5 Initiatives to Improve Service Delivery Capacity

An attempt by the government to address the skills development challenges and lack of co-ordination can be seen in the KZN Premier's 2016/17 Provincial Growth and Development Plan (PGDP 2016), which sets out strategic goals and implementation plans for the next 20 years. The plan identifies a critical requirement to enhance state performance to execute the government's legislation, strategies, and initiatives. The lack of appropriate implementation capacity is a key reason for poor service delivery, especially in rural municipalities challenged by a lack of funds and the inability to attract applicants with technical and financial skills to their areas.

The KZN PGDP (2016) lists programmes to be prioritised in local government capacity-building plans. These priorities include: working with institutions of higher learning to make a qualification available in administration advancement for local government; working with the South African Institute of Chartered Accountants on developing a certificate in finance for local government accounting officers; participating in the piloting of a newly accredited training programme in the specialised domain of municipalities management; facilitating the direction of new accredited training in specialised domains of municipal administration; facilitating the participation of non-state-owned entities in assisting local government with fiscal administration matters; and producing a certifiable administration assistance strategy, co-ordinated through the KZN Public Sector Training Academy, to deliver continued administration advancement and assistance for municipal management.

Although a key focus of government departments has largely been on developing the qualifications and expertise of municipal officials in leadership and management positions through skills development programmes, if properly qualified and competent persons were appointed to critical positions in the first place, there would be less need for such interventions.

To appoint and retain qualified leaders and top managers, areas that might have to be addressed first, include eliminating political interference in recruitment and improving institutional capacity. In a study of the causes of inefficiency in local government service delivery, Monkam (2014) found a high vacancy rate in the top management of municipalities, namely the posts of accounting officers, CFO, and executive departmental heads (Section 57 managers) has a much more significant and negative

effect on efficiency than a high vacancy rate amongst lower-ranking officials. Monkam concludes that it is imperative to comprehend and address the motivations as to why such positions are often vacant to fill them with individuals with relevant skills and skills levels.

4.3.5.1 The Back-to-Basics Approach

The concept paper on the Local Government B2B approach (COGTA 2014) lists essential competencies for local government administrators and councillors. These competencies fall into five categories: prioritising community needs, provision of amenities, exceptional functionality of administration, appropriate budget management, and establishing solid organisations. For administrators, the list of competencies is generic and does not focus on the skills required for specific jobs. The list is also generic for councillors and does not address competencies required for specific positions like mayor or speaker. The capacity requirements for local government councillors are reproduced in Table 4.5 below.

The concept paper of the B2B approach (COGTA 2014) also aims to ensure that municipalities are led and managed by capable people. It specifies what is meant by this when it states that every municipal official and councillor should understand the vision and core mandate of local government; understand their specific role in delivering on the mandate; and act in a manner that prioritises the delivery of basic services to the people. The B2B approach further requires that focused outcome-based training interventions be dispensed for all who function in the municipal space to improve and develop their skills to undertake their relevant duties. It also requires the political executive in the municipalities to prioritise the citizens within their areas, be more open to change, and be able to manage change to improve service delivery.

Table 4.5: Back-to-Basics Competency Statements for Local Government Councillors

Category	Competence Statements
1. Putting people first: listen and communicate	• Understand community participation processes and mechanisms and able to give feedback about council planning and projects • Understand the principles of community development • Able to create platforms to engage with civil society and establish functional ward committees, meet and report back to constituencies • Understand HIV/AIDS its social impact, and the role of ward councillors in the struggle against AIDS
2. Adequate and community-oriented service delivery	• Ensure municipality provides basic services and maintenance and maintenance issues are promptly addressed • Ensure municipality improves mechanisms to deliver new infrastructure • Ensure and assist with long term facilities financing and repair programmes which are financed and understand local economic development • Understand Disaster Management Policy Framework
3. Good governance	• Understand Local Government principles of good governance, public participation, transparency and accountability and ensure municipality meets governance obligations • Understand the separation of powers between councillors and municipal officials and the implications • Ensure functional oversight committees are in place and prepare reports • Ensure municipal council structures are functional

4. Sound financial management and accounting	• Apply the basic principles of budgeting and financial management to Local Government councillor function, analyse and consult on annual budget • Analyse Auditor General's report and ensure action plans to address Auditor General's report • Monitor measures engaged in curbing maladministration, internal audit and controls and revenue collection and debtor management
5. Robust institutions with skilled and capable staff	• Ensure competency standards for managers and appointment of persons with the required skills, expertise and qualifications • Develop by-laws, policies, plans • Ensure skills development programmes for council and administrators • Understand Councillor roles and responsibilities

Source: Department of Cooperative Governance and Traditional Affairs. (2014). Local Government Back to Basics Approach.

Because most municipal councillors in KZN have an educational level of matric or less, the CBU of KZN's COGTA offers accredited training programmes to assist them in acquiring the skills and knowledge they lack. To do this, COGTA relies on the post-school education and training system, specifically the LGSETA's NQF Level 3 qualification, namely, the National Certificate in Local Government Councillor Practices, to train new councillors in their roles and responsibilities. NQF Level 3 is similar to the basic education Grade 10 level. It should, therefore, be possible for most learner councillors to achieve.

All National certificates registered by SAQA are comprised of three types of unit standards: those that address core competencies or basic job requirements; those that address language and mathematics to increase competence levels in these subjects for learners who dropped out of school before reaching the associated NQF level; and electives which offer a choice from various other relevant unit standards that would enhance a learner's job competence. The B2B approach categorises competencies

according to job responsibilities but does not distinguish between types as the SAQA qualifications do.

Significant mismatches are found when the B2B list of competencies for councillors is compared with the core, fundamental and elective unit standards of the NQF Level 3 qualification. The National Certificate in Local Government Councillor Practices contains no monetary (financial) unit standards, yet financial oversight is one of the most troubled functions in municipal councils. It also contains no unit standards that specifically address the critical challenges of service delivery, infrastructure management or socio-economic development and how to ensure and build the capacity of senior managers. Moreover, a significant portion of the National Certificate is devoted to project management and fundamental competencies requiring language and mathematics. Lastly, the B2B approach does not address language and mathematics skills; it focuses on job competence, not fundamental competencies.

Table 4.6 below illustrates the similarities between the competence statements in the National Certificate: Local Government Councillor Practices and the B2B concept. The similar competence statements are shown next to each other in the two columns, and the gaps indicate areas where there is no match. The two sets of competence statements list competencies for the same job, but there are very few matches. While the qualification was developed long before the Back-to-Basics Approach was adopted, it has not been updated, and in 2018, it was re-registered without changes. This action suggests that LGSETA is not planning to take account of B2B, or it disagrees with it.

According to the LGSETA's Sector Skills Plan (2018), its primary source of information about skills needs in the local government sector comes from the WSPs of individual municipalities. Still, because Skills Development Facilitators (SDFs), who compile the WSP, occupy junior positions within Human Resources Management Departments in municipalities, it is unlikely that they have access to information about the training needs of senior managers or councillors. This critical information gap could be bridged by COGTA's CBUs and indicates a need for greater co-ordination and collaboration between the LGSETA and COGTA at national and provincial levels.

Table 4.6: Comparison between the National Certificate in Local Government Councillor Practices and the Back-to-Basics competence statements

National Certificate in Local Government Councillor Practices – unit standards	Back-to-Basics – competence statements
Apply key municipal processes in a council function (SAQA ID: 244185)	Develop by-laws, policies, plans
Ability to incorporate the Batho Pele principles when perfuming duties o own work role and context (SAQA ID: 242860)	Understand Local Government principles of good governance, public participation, transparency and responsibility
Display comprehension of the policy and legal framework guiding Local Government (SAQA ID: 244175)	Understand the various levels within local government
Display expertise and knowledge of HIV/AIDS in an institution, and its impact to an institution, other entities, within the workplace and targeted workplace (SAQA ID: 13915)	Understand HIV/AIDS its social impact, and the role of ward councillors in the struggle against AIDS
Display expertise in the application of the code of conduct in the Public-Sector in relation to one's job task and framework roles and context (SAQA ID: 242858)	Competence statements implicit in Unit Standard
Exercise leadership in a councillor context (SAQA ID: 244180)	Competence statements implicit in Unit Standard
Facilitate co-operative governance and inter-governmental relations (SAQA ID: 244174)	Understand interaction and relationships with other spheres of government
Coordinate Council meetings and other relevant meetings towards the realisation of the municipality's goals (SAQA ID: 244186)	• Ensure municipal council structures are functional and meet regularly • Ensure Council Committees sit and process items for council decisions
Facilitate public participation and citizen involvement in Local Government processes (SAQA ID: 244188)	• Able to create platforms to engage with civil society and establish functional ward committees, meet and report back to constituencies • Understand community participation processes and mechanisms and able to give feedback about council planning and projects
Fulfil the roles and responsibilities of a councillor (SAQA ID: 244183)	Understand Councillor roles and responsibilities
Utilise advocacy and lobbying skills to represent municipal interests in inter-governmental structures and processes (SAQA ID: 244190)	Competence statements implicit in Unit Standard

Institute dialogue criteria and principles, propositions and activities in an executive responsibility position (SAQA ID: 120394)	Competence statements implicit in Unit Standard
Inclusion of all participants and context needs in oral/ nonverbal communication (SAQA ID: 119472)	Competence statements implicit in Unit Standard
Display knowledge in the ability of numeracy and measurement units and vigilance in error identification in the context of relevant calculations (SAQA ID: 9010)	Competence statements implicit in Unit Standard
Outline, apply, dissect and calculate shape and motion in 2-and 3-dimensional space in different contexts (SAQA ID: 9013)	Competence statements implicit in Unit Standard
Analyse and utilise information from documents (SAQA ID: 119457)	Competence statements implicit in Unit Standard
Discover life and work-related challenges utilising using data and variables (SAQA ID: 9012)	Competence statements implicit in Unit Standard
Utilise linguistics and communication in subject educational courses (SAQA ID: 119467)	Competence statements implicit in Unit Standard
Utilisation of numeracy to discover monitor and evaluate financial aspects of personal, administrative and national issues (SAQA ID: 7456)	Competence statements implicit in Unit Standard
Written/presentation/sign texts for a range of interactive contexts (SAQA ID: 119465)	Competence statements implicit in Unit Standard
Illustrate ability and comprehension programmes and the programme activities (SAQA ID: 123462)	Competence statements implicit in Unit Standard
Illustrate knowledge of sexual category fairness and diversity issues in advancement projects (SAQA ID: 242894)	Competence statements implicit in Unit Standard
Facilitate community participation in democratic processes and structures (SAQA ID: 123436)	Able to create clear engagement platforms with civil society
Provision of support in execution and confirmation of standard requirements to projects (SAQA ID: 120383)	Competence statements implicit in Unit Standard
Apply a range of project management tools and techniques (SAQA ID: 120385)	Competence statements implicit in Unit Standard

Application of managerial criteria in the execution state policy processing (SAQA ID: 242900)	Competence statements implicit in Unit Standard
Application of leadership skills to relationship management (SAQA ID: 120391)	Competence statements implicit in Unit Standard
Illustrate the capacity to administer the criteria for dealing with obstacle identification analysis and decisive decision making during critical task execution (SAQA ID: 242902)	Demonstrate an ability to apply the principles of problem identification, analysis and decision-making
Motivate and Build a Team (SAQA ID: 242819)	Competence statements implicit in Unit Standard
Additional Unit Standards may be required or sourced from SAQA	Understand the principles that underpin community development
Additional Unit Standards may be required or sourced from SAQA	Ensure proper maintenance and immediate addressing of outages or maintenance issues
Additional Unit Standards may be required or sourced from SAQA	Ensure municipality provides basic services and maintenance
Additional Unit Standards may be required or sourced from SAQA	Ensure municipality meets governance duties and the actual delivery of basic services being provided
Additional Unit Standards may be required or sourced from SAQA	Ensure municipality improves mechanisms to deliver new infrastructure at a faster pace whilst adhering to the relevant standards
Additional Unit Standards may be required or sourced from SAQA	Ensure and participate in with multiyear infrastructure investment and developmental efforts and budgets
Additional Unit Standards may be required or sourced from SAQA	Understand Disaster Management Policy Framework
Additional Unit Standards may be required or sourced from SAQA	Understand the application of concepts and tools for local economic advancement
Additional Unit Standards may be required or sourced from SAQA	Understand the separation of powers between councillors and municipal officials and the implications
Additional Unit Standards may be required or sourced from SAQA	Ensure that operational supervision panels are established, e.g., Committee and MPACs
Additional Unit Standards may be required or sourced from SAQA	Undertake awareness programmes on 'culture of payment for services' led by councillors
Additional Unit Standards may be required or sourced from SAQA	*Apply the basic principles of budgeting and* financial *management to the Local Government* councillor *function*

Additional Unit Standards may be required or sourced from SAQA	Analyse and consult on annual budget
Additional Unit Standards may be required or sourced from SAQA	Analyse Auditor General's report
Additional Unit Standards may be required or sourced from SAQA	Analyse financial statements and reports
Additional Unit Standards may be required or sourced from SAQA	Monitor activities being undertaken to combat maladministration and wasteful and fruitless expenditure
Additional Unit Standards may be required or sourced from SAQA	Ensure post Audit Action Plans.
Additional Unit Standards may be required or sourced from SAQA	Monitor Internal audit and controls
Additional Unit Standards may be required or sourced from SAQA	Revenue collection and debtor management processes
Additional Unit Standards may be required or sourced from SAQA	Ensure competency standards for managers
Additional Unit Standards may be required or sourced from SAQA	Ensure appointment of persons with the requisite skills, expertise and qualifications.
Additional Unit Standards may be required or sourced from SAQA	Ensure skills development programmes for the council
Additional Unit Standards may be required or sourced from SAQA	Ensure skills development programmes for administrators

Sources: Back-to-basics concept paper (2014) and National Certificate in Local Government Councillor Practices

The NQF Level 3 qualification, the National Certificate in Local Government Councillor Practices, addresses skills required by both Proportional Representation and Ward Councillors. However, there is also an NQF Level 2 qualification, the National Certificate in Ward Committee Governance, that addresses the practical skills needs of ward councillors and ward committee members. There is considerable overlap between the two qualifications, especially on the fundamental and project management unit standards, although mostly at different NQF levels and the NQF Level 2 qualification is also not aligned to B2B competencies.

4.3.6 Adult Education and Training Methodologies

Any review of individual capacity-building must consider the content of training interventions and theories and models of how the content should be delivered. According to the KZN's COGTA Skills Audit Report (2021), municipal councillors are all adults, about one third are women; very few are young, most are 50 years old or

older; many did not complete high school and a few have no schooling at all; many speak, read and write only Zulu which is not the official language of government, some have experience as community activists, all have experience of political processes and structures, but most have no work experience and no experience of tertiary education or expertise. Towards determining the training methods that will best deliver the intended training outcomes, these characteristics of the learners need to be understood within the framework of theories of adult education

As defined by the University of South Africa's tutorial letter entitled *Principles and theories of adult education*, Andragogy is a theory of adult learning that emphasises the value of learning and identifies principles that differentiate processes for teaching adults from the processes used in teaching children. (UNISA 2015). Andragogy promotes an approach to learning that is problem-based and collaborative. It encourages respect for what the learner already knows rather than assuming that the teacher has all the knowledge and the learner has none.

There are five key principles of adult learning: adults learn best when they understand why something is important to know or do; adults learn best when they have the freedom to learn in their own way; when learning is experiential; when they feel the time is right and they need this new skill or information and when the learning environment is positive and encouraging. Adult learners are practical about learning, so they are motivated when they perceive that new skills or knowledge will help them carry out tasks they confront in life or work situations. Pedagogy, the art, and science of educating children, is a teacher-focused approach to schooling in which the onus rests on facilitators to develop a comprehensive outlined curriculum implementation programme. Andragogy recognises that adults learn differently from children. It places the individual at the heart of the learning transaction and encourages self-direction. This arrangement requires the educator to be a facilitator of learning rather than a teacher.

The concept of andragogy has existed since the 19th century, but it was popularised in 1984 by Malcolm Knowles. Knowles' work reoriented thinking about adult educators from the notion of teaching people to the notion of helping them learn. He identified five ways that adult learners are different from child learners.

1. Self-concept. An adult is a self-directed learner, while a child depends on teachers for direction.
2. Experience. An adult has accumulated life experience that they can use as a resource for learning.
3. Readiness to learn. An adult is less ready to learn for the sake of learning and prefers to link learning to needs that arise from their work and social roles
4. Orientation to learning. An adult learner has a greater need to perceive the relevance of new skills or knowledge for their current situation, which shifts their learning orientation from subject-centredness to problem-centredness.
5. Motivation to learn. An adult's motivation to learn is internal and aligned to their perceived need for new skills and knowledge

In a learner-centred system, instead of sitting in a classroom and being led by a teacher, learners should have opportunities to practise and refine their new skills. They should be engaged in informal learning activities where they share knowledge with their peers and learn by doing.

Another theorist who has had a noticeable impact on the concept and practice of adult capacitation is Paulo Freire (UNISA 2015). He also emphasised the learner-centred approach, but he viewed teaching as a political process and highlighted the need for the educator and the learner to work together as equals and for both to be aware of a power imbalance between educator and learner, for the educator to respect the knowledge the learner already has and to help the learner apply their existing knowledge to a new situation.

For Freire, in addition to competence, adult learning should produce outcomes such as more self-understanding and increased self-respect; an ability to challenge ideas without threatening people; greater openness to new opportunities and change; an ability to analyse problems and understand that solutions to problems lie in their causes; and the ability to participate in making decisions that affect society.

Freire believed that facilitators should encourage learners to engage in problem-solving and social tasks like group projects and presentations that empower learners.

He also identified critical reflection as an important part of the learning process. He believed that the more critically aware learners become, the more they can develop their own potential and transform society.

Jack Mezirow in UNISA (2015) also emphasised the importance of critical reflection. He refined the concept of transformational learning to refer to learning that significantly impacts the learner and shapes the learner's future development. Such learning is achieved through experience, critical reflection, and discussions with peers, with critical reflection being the most important factor. Mezirow in (UNISA 2015) viewed critical reflection as the vehicle by which learners question their assumptions about the world and develop their worldview. The learning environment required for transformative learning to occur is one in which learners have full access to information, can form their own opinions and are willing to search for common ground between different points of view. This theory involves learning through task-oriented problem solving to achieve short-term objectives such as improving their work performance and communicating their feelings and ambitions.

The use of transformational learning as a training technique requires the creation of a learning environment that promotes a sense of safety and acceptance; group participation and collaboration; exploring alternative perspectives, posing problems, and assisting students in scrutinising the presumptions that lie beneath their faith, sentiments, and behaviour; giving feed-back and encouraging self-assessment.

4.3.7 SAQA and Education and Training Methodology

SAQA's mission is to develop and implement an NQF that promotes each learner's personal and skills development. Its values align with respect, dignity, personal growth, and self-directed learning that underpin the theories of adultism education summarised above. This mission implies that learning programmes should be educationally transformative. They must enhance currently existing references of the learners; be learner-orientated, empirical, and results-driven; encourage critical learners to develop the power of analysis and critical thinking. Also, in this technologically changing world, prepare for lifelong learning. The NQF, therefore, is

not just a framework of qualifications; it is a framework for the empowerment and development of learners and a way for them to reach their full potential.

All unit standards include critical cross-field education and training outcomes to support this development goal. These outcomes describe qualities necessary for developing learners' capacity for life-long learning regardless of the specific content area of learning. They contribute to the development of the full potential of learners and society by requiring that a learning programme makes learners aware of the importance of critical reflection, exploring new strategies to learn more effectively, community participation, developing career and business opportunities, and being culturally sensitive in different social contexts.

The critical cross-field outcomes include the capacities to identify and solve problems using critical and creative thinking; work effectively with others as a member of a group; organise and manage one's own activities; collect, organise, analyse, and evaluate information; communicate effectively verbally and in writing; use science and technology effectively and show responsibility towards the environment; and demonstrate an understanding of the world as an integrated system.

4.4 Conclusion

Chapter 4 has presented a description of the support provided by the national and provincial governments for organisational and institutional capacity in local government. It is evident that a broad assortment of support is available and relevant. However, it is also clear that municipal institutions are failing to meet their goals, manage their resources or meet the needs of their communities. The environment within which capacity and support are provided is complex and challenging. It appears to be becoming more and more resistant to efforts to support and improve the functioning of municipalities.

Chapter four has also reviewed the skills development legislation and the post-school education system. It considered the impact of apartheid policies on education and skills development. It describes the legislation and the skills development systems that

enable building individual capacity in local government. It has considered the programme content of qualifications designed for local government councillors and several models and theories of skills development and adult education. Finally, it has highlighted challenges in the individual capacity-building support available to local government. In preparation for describing the research results in Chapter 6, Chapter 5 will present the research design and methodology used in this study.

Appropriate capacity is available for local government and relevant. However, it is also clear that municipal institutions are failing to meet their goals, manage their resources or meet the needs of their communities. The environment within which capacity and support are provided is complex and challenging. It appears to be becoming more and more resistant to efforts to support and improve the functioning of municipalities.

Reddy (2015) expresses the view that failures in the provision and development of local government institutional capacity are the outcome of "systemic factors linked to the local government model, legislative and policy consideration, political factors, accountability systems that are deemed to be weak, skills and capacity constraints, intergovernmental support and oversight construed as being weak, and issues linked to the intergovernmental system." Despite legislative solutions and turnaround strategies, institutional capacity remains weak and municipal performance deteriorates. Govender (2015) suggests that this is because 'urgent necessities' such as building an organisational culture of co-operation, mutual respect, trust, commitment and good leadership are not being addressed.

Chapter 5 will consider research design theories and discuss the research design and methodology used in this study.

CHAPTER 5: RESEARCH DESIGN AND METHODOLOGY

5.1 Introduction

Van Wyk (no date) describes the analysis format as the complete strategy that identifies the types of data required to respond to the research questions and achieve the research objectives. In contrast, research methodology refers to the tools and procedures that will be used. Both the types of data and the way they are collected must be appropriate and relevant to the purpose of the study. Research purposes include exploratory research, descriptive research, evaluation, and predictive research.

This chapter details the research design and methods used in this study and describes the philosophy behind the research decisions.

5.1.1 The Research Process

A research process describes the method for identifying a research problem, gathering and analysing data and appending findings that answer the research question or address the problem. A research process has several stages. There are different models for the research process. They all have at least five stages but can have nine stages. Hyman and Sierra proposed the model selected for description here (2015). It has six stages, as illustrated in Figure 5.1 below.

The stages in a research process are not separate from each other. The outcomes of each stage flow into and inform the next stages. For example, the problem statement indicates what the research design should be. Moreover, when designing the research and selecting the sample are closely related and can be done at the same time. Also, the flow goes backwards as well as forwards. For example, an analysis of the results must answer the research question. Good research requires thorough planning in advance and careful attention to detail.

The stages can be thought of as links in a chain that is only as strong as its weakest link. If the research questions are not properly constructed, the data cannot answer them. If a research study is poorly designed or conducted, the findings will not provide reliable and valid data. Flawed data analysis cannot provide useful information. A failure to communicate results clearly to decision-makers means they do not have the information to make a good decision.

Figure 5.1: A Six-Stage Research Process

Stage 1: Identifying the Problem

Stage 2: Designing the Study

Stage 3: Selecting a Sample

Stage 4: Gathering the Data

Stage 5: Analyzing the Results

Stage 6: Communicating the Findings and Their Implications
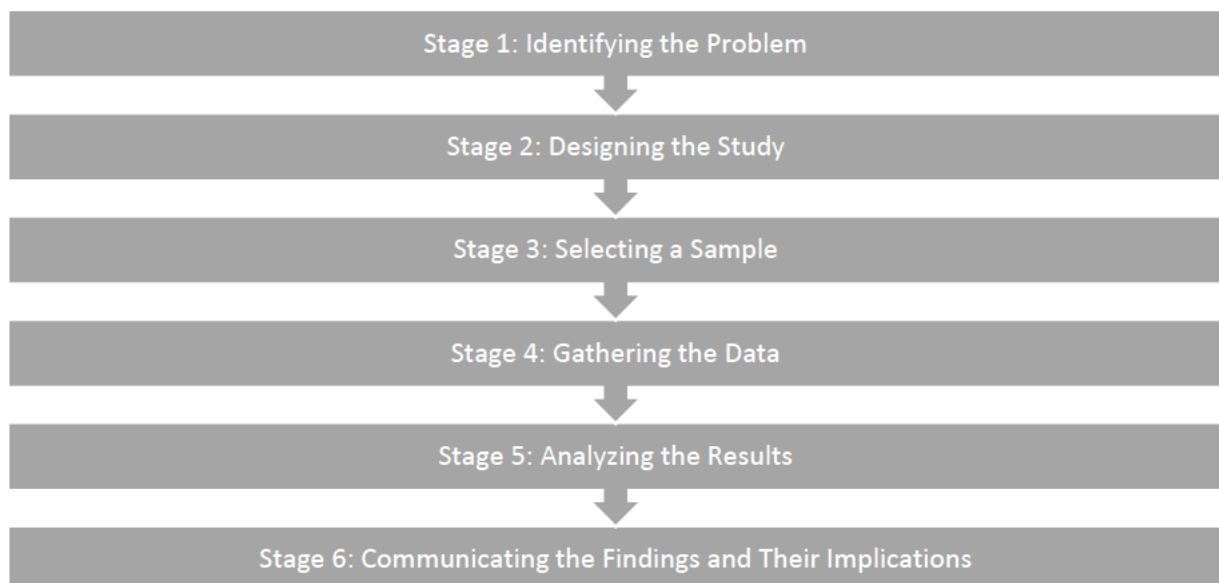
Source: Hyman, M.R. and Sierra, J.J., (2015), Marketing Research process: six stages, *Business Outlook April 2015 (Volume 13, Issue 4)*

Hyman and Sierra (2015) describe the six stages in the research process as follows:

Stage 1: Identifying the Problem

To accurately identify a problem, it is necessary to understand the context or background and then ensure that the actual problem – not the symptoms of the problem – is identified. When the problem has been correctly identified, the research questions can be stated, and the research goals formulated. This approach makes it possible to identify an appropriate unit of analysis, for example, groups or individuals, for the sample and the dependent and independent considerations that will determine the focus of the study

Stage 2: Designing the Study

The research design is also known as the research plan. In designing the study and making decisions, questions must be asked about how data will be collected to answer the research questions, such as conducting surveys, experiments, or secondary data analysis. Questions that would need to be considered for a survey include: Who, what, and where is the data source for a survey? What questions would need to be asked? Should data be collected via a questionnaire or an interview schedule, or focus groups? Should questions be asked, or behaviour observed, or should secondary data be used? Will this be a quantitative or qualitative study?

Stage 3: Selecting a Sample

Considerations for selecting a sample would include: What is the unit of analysis? What is the population size? Is a sample necessary? Is a scientific sample required? How accurately must the sample represent the population to be studied?

Stage 4: Gathering the Data

Data collection is a critical stage. This is what will provide answers to the research questions and objectives. Key questions here include: How will the data be collected? How long will it take? What resources are required? Who will collect it, and how will they be supervised? How will it be recorded and stored?

Stage 5: Analysing the Results

In order to extract meaning from data, it has to be analysed. Considerations here include the nature of the data. For example, is it qualitative or quantitative? How will the data be edited and coded? How will it be categorised to facilitate statistical analysis?

Stage 6: Communicating the Findings and Their Implications

The findings must be presented meaningfully for the research to have any tangibility. It is necessary to know who will read the report and how they might use the findings? Are there any requirements for the report's format, style, or content?

5.2 Research Method

The purpose of this study is evaluation. The type of data required indicates a positive impact that has been made by capacity-building interventions, a level of satisfaction with the interventions, or confidence that they are worthwhile. Gathering data requires co-operation between the study participants and those who interview them. Therefore, evaluation research is usually associated with a qualitative rather than a quantitative approach. Evaluation research is used when the study's objective is to determine the impact of an intervention on the research problem (Coyle, S.L., Boruch, R.F., Turner, C.F., eds., 1991).

5.2.1 Evaluation Research

Evaluation is a methodical process that describes the intervention programmes, examines their outcomes, and critically analyses the implications and consequences of the outcomes. Outcome evaluation research designs need to allow for assessing the results of an intervention on program participants. It is seldom possible to know this directly, so the researcher must make inferences from the data collected. Evaluation research design includes analysing existing data, such as plans and reports and generating data through interview schedules to standardise the data gathered and record feedback from participants.

Evaluation research is more a form of applied research rather than pure research. It is not conducted only for a scientific purpose but is meant to result in tangible, implementable outcomes. Evaluation research means collecting and analysing data to provide useful feedback about a programme and assess the value obtained from the resources used to achieve the programme's goals. It considers the interests of the various stakeholders in the programme being evaluated. Evaluation research methods include both qualitative and quantitative methods. Qualitative data is

collected in various ways, including monitoring, consultations, case studies, and group and individual interviews. Structured interviews can include open-ended questions that help understand a person's perceptions and motivations.

As Bhat (no date) and Trochim (2020) describe, evaluation research requires gathering statistics regarding organisations, procedures, activities, projects, amenities, and reserves, followed by a systematic interpretation of the statistics gathered. The outcome of the evaluation examination is enhanced knowledge and better-informed decision-making about an organisation's programmes due to measurable feedback. Although evaluation research has a real-life impact on an organisation or a programme, the data it yields cannot be automatically applied to another organisation or other programmes.

The advantages of an inspection examination include perceptions regarding the programme, what works and what does not, so that strengths and weaknesses can be understood; measures taken to improve past performance, which indicates how practice can be improved; an assessment of the effectiveness of a programme; and an analysis that shows how the effectiveness and efficiency of the programme can be improved. The limitation of qualitative data for evaluation research is that it is laborious, expensive, and hard to analyse and clarify objectively.

Trochim (2020) distinguishes between formative and summative evaluation. Under the category of formative evaluation, he includes a needs assessment, which determines who needs the programme; structured conceptualisation, which helps stakeholders define the outcomes they would like from the programme; implementation evaluation which monitors the required delivery standard or quality; and process evaluation which investigates the different ways in which the programme could be delivered.

He includes the following actions as part of the summative evaluation. Outcome evaluations investigate the program's effects on specific stakeholders; impact evaluations assess the program's overall effects; cost-effectiveness evaluations assess efficiencies and costs; and meta-analysis integrates the data from multiple studies to arrive at a comprehensive evaluation.

5.2.2 Quantitative and Qualitative Research

Research is a systematic investigation conducted to generate knowledge about a particular issue. (The Open University 2014). Different types of knowledge may be required, and the nature of the knowledge a study seeks to acquire varies according to the research objectives. Different research objectives and intentions require different approaches and methods. There are two broad categories known as quantitative and qualitative research.

Qualitative research seeks to explain 'how' and 'why' a particular issue or programme works the way it does in a specific context. Qualitative research is used to investigate topics such as people's experiences, social processes or cultural practices or evaluate the impact of a programme. Qualitative data is non-numerical and deals with written texts and written or spoken words. The data is collected through individual or group interviews using semi-structured or unstructured interview schedules.

This study gathered both numerical and verbal data, and it used a qualitative research approach to collecting and analysing data. Interviews were semi-structured to gather both numerical data and freely volunteered comments from respondents, and the responses of each respondent were recorded onto the interview schedules. The responses were collated into a single document to facilitate numerical and critical analysis. The researcher also analysed the content and reports of existing capacity-building programmes and compared them with competencies and capacities identified by regulation and respondents' needs.

5.3 The Research Design and Methodology of this Study

5.3.1 Research Design

As a plan for conducting a study, the research design should provide clear reasons for the options of the selection inhabitant, where these respondents are located, how they will be engaged in the examination analysis, and how relevant data will be collected

and processed. Towards achieving the outcomes of this analysis, the analyst chose to engage based on qualitative research analysis. A limited number of municipalities in one province, KZN, were selected to study them in-depth.

In developing a research design, the researcher must understand and consider four dimensions: the research problem and the reasons why the study is being undertaken; the theoretical context or framework of the subject area of the research; the conditions in which the research is being carried out; and the methods to be used to gather and analyse the data.

The research design emerges as the researcher reflects on these dimensions and considers how the research will answer the research questions. This study required collecting information that points towards evaluation and judgment rather than statistics. So, this design is qualitative and not quantitative.

This study was designed to provide descriptive data that could be analysed to identify themes that would contribute to an evaluation of local government capacity-building interventions carried out by provincial government departments in KZN and an understanding of the issues, challenges, and constraints that support or work against effective outcomes.

5.3.2 Research Methodology

Research methodology is an organised procedure used to collect, analyse, and interpret data in such a way as to achieve the research objectives (2005). The quality of a study relies on the ability of the researcher to collect and analyse appropriate and sufficient data, and different research methodologies yield different types of data. The two main types of data in this study are primary data and data in existing departmental documents.

Primary data is generated from interviews, surveys, experiments, and case studies. Existing data is obtained through content analysis, critical analysis of academic or historical texts or numeric data.

To reach the goal of this study, the researcher established a set of interview schedules to guide interviewers in collecting data. The qualitative approach allows the researcher to be fully involved in administering the interview schedules to ensure that all research questions are addressed, additional responses or comments are freely made, and these responses are probed, if necessary, to obtain a deeper level of information.

5.4 Data Collection Methods

Capacity-building in local government in KZN was evaluated by collecting data from interviews, and local government competence analyses, including the B2B approach and the regulations emanating from the Local Government: Municipal Systems Act, and from the capacity-building plans and reports of recent interventions by provincial government departments.

There were two sets of analyses. First was the analysis of documents such as capacity-building strategies and plans, skills audits, minutes of meetings, reports, and the comparison of these documents with the skills outlined in the B2B approach and the core competencies listed in the regulations emanating from the Local Government: Municipal Systems Act. The second analysis was of interview schedules completed through face-to-face interviews with councillors and senior administrators working in municipalities. The interview schedules generated both numerical and textual data and indicated the context within which individual competencies are applied and the individual levels of job-related competencies.

The researcher developed three interview schedules for face-to-face interviews with respondents: senior administrators, municipal councillors, and skills development officials working in municipal administrative offices. The interview schedules are based on the skill requirements listed in the B2B concept literature and the Local Government: Municipal Systems Act guidelines regarding both individual and institutional capacity required by local government. The interview schedules also included questions about each individual's experiences with departmental capacity-building interventions. The interview process gathered and recorded respondents'

views regarding the skills and knowledge they require to carry out their work effectively, the institutional capacity-building requirements, the content of capacity-building programmes, and the techniques used and conditions under which capacity-building is provided.

5.5 Data Analysis

Data analysis refers to how raw data is ordered into categories and interpreted. In qualitative research, the quality of the data analysis relies on how well the researcher understands the data and the information it potentially contains. Accordingly, the researcher must ensure that responses to the interview questions are clear and unambiguous. Qualitative research requires the researcher to identify patterns in the data. Qualitative data analysis is a process that seeks to organise a lot of data gathered from different sources and documents so that answers to the research questions can emerge.

The findings of any research study must be both reliable and valid. Reliable findings are based on an organised and transparent process of gathering, presenting, and analysing data so that the research can be repeated to verify the findings in another situation. In a later chapter of this thesis, the researcher describes the findings and details the interview schedules and content analysis processes.

Validity refers to a scientifically structured method of gathering and analysing data to confirm that the findings indeed flow from the data and do not have another explanation. The structured interview and document analysis processes used in this study generated valid data.

5.5.1 Data Quality Control

The credibility of the data collected was ensured by consistency and thoroughness in carrying out structured data-gathering processes. The consistent and thorough application of techniques was used to design the interview schedules, identify the study respondents, prepare the respondents for the interview, conduct the interviews, record the responses, and collate the responses. Regarding the content analysis, the

consistent and thorough application of processes was used to collect relevant documents, identify data categories, analyse the documents, and record and collate the data.

5.6 Ethical Considerations

The ethics of science concerns adhering to accepted norms and values in the research. In this study, the researcher was guided by the ethical principles of informed consent and anonymity and confidentiality. Informed consent means that research participants know that they are subjects of a study and have the freedom to pull out whenever they require to do so. It also requires that the potential participants be informed about the study and agree to be included in the study. Namelessness means that amidst the analysis process, the identity of those taking part in the research is not disclosed to anyone apart from the researcher. Confidentiality means how the researcher protects the data and the participants' identity.

The researcher has ensured informed consent, privacy, anonymity, and confidentiality. Compliance with these requirements was done by conducting interviews anonymously and ensuring that the interview schedules were confidential and that individual responses were not made available to any other person. In addition, participants were informed in writing about the research and their right not to participate and asked for their consent. At the interview, more information about the research was presented to them, and any questions about the study were fully answered.

5.7 Focus of the Study

This study had two focus areas: a primary and a secondary research focus.

5.7.1 Primary Research Focus

The study sites were seven municipalities in KZN: six local municipalities: Umzumbe, Msunduzi, Inkosi Langalibalele, Emadlangeni, Edumbe, Mtubatuba and the Umkhanyakude District Municipality. Except for the Msunduzi Local Municipality,

situated in Pietermaritzburg, the second-largest city in KZN, these municipalities are in rural areas of the province. They are all challenged in meeting their service delivery and other performance goals and targets.

The participants in this study were volunteers from three groups. They were all individuals who responded positively to the researcher's requests for participants. The first group was municipal councillors, the second was senior municipal administrators, and the third group was skills development officials. The participants in these groups were drawn from the seven study sites. The range of groups selected for the study allowed for collecting the depth and scope of information characteristic of a qualitative research method.

5.7.2 Secondary Research Focus

The study sites were provincial government departments in KZN that conduct capacity-building interventions in municipalities in the province. The research was undertaken to determine whether they all have similar challenges in building capacity in municipal councils and administrations.

The participants in the secondary research were volunteers who were active in conducting capacity-building in municipalities in the area of expertise of their department. They were all individuals who responded positively to the researcher's requests for volunteers. The secondary study provided a different perspective to that of the primary study that would enhance an understanding of the issues and challenges in capacity-building in municipalities in KZN and thereby improve the quality of the evaluation.

5.8 Sampling Strategy

Qualitative research often identifies a limited number of respondents who have been purposefully selected to participate because they have experience or knowledge of the research problem (The Open University 2014). While purposeful sampling allows for selecting individuals based on criteria related to the study objectives, this sampling

method does limit the researcher's ability to produce findings that represent the wider population.

The sampling strategy selected for this study was purposeful sampling. Members of the groups and municipalities chosen for the study were individually informed and requested to be willing to be interviewed. According to Palinkas, 2015, purposeful sampling is used in qualitative research because it allows the researcher to gain rich information while effectively using limited resources. Purposeful sampling means identifying and selecting a sample that is undeniably impacted by the matter being investigated and can reflectively communicate opinions.

A secondary research study was planned to gather data from provincial government departments in KZN that were engaged in capacity-building interventions in municipalities. The sampling strategy selected for the secondary study was purposeful sampling. Officials from all KZN provincial departments were individually informed about the study and requested to be interviewed.

5.8.1 Sample Size

The actual sample size of municipal councillors and senior administrators was bigger than the planned sample size for these two groups. In comparison, the actual sample size of skills development officials was lower than the planned sample size. The differences are recorded in Table 5.1 below.

Table 5.1: Planned and Actual Sample Size for each Group

Group	Planned sample size	Actual sample size
Municipal councillors: this is the group most often targeted by capacity-building programmes.	150 councillors from 7 municipalities	201 from 8 municipalities
Senior administrators: this group is often overlooked	50 senior administrators from 7 municipalities	80 senior administrators from 8 municipalities

by capacity-building interventions, yet the capacity of senior administrators is vital to the performance of a municipality. The group included Municipal Managers and Section 56/57 Managers.		
Skills development officials: there is normally only one skills development official in each municipality.	7 skills development officials from 7 municipalities.	6 skills development officials from 6 municipalities.
Total	257 participants from 7 municipalities	286 participants from 8 municipalities

A secondary research study was conducted using a sample of eight officials from eight provincial government departments in KZN who were engaged in capacity-building interventions in municipalities.

5.9 Conclusion

The chapter has laid out the research design and methodology used in the study. It has described the rationale for the research decisions, and it includes a detailed description of the sample and the final group of respondents. It has distinguished between a primary research focus and a secondary research focus. Chapter 6 presents and analyses the findings of the secondary research focus, a desktop study conducted amongst eight provincial government departments in KZN. The findings of the primary research focus are presented and analysed in Chapter 7.

CHAPTER 6: DESKTOP ANALYSIS OF CAPACITY-BUILDING INTERVENTIONS IN KZN MUNICIPALITIES BY KZN PROVINCIAL GOVERNMENT DEPARTMENTS

6.1 Introduction

In addition to functions set out in Schedules 4 and 5 of the Constitution (RSA 1996) and other duties and responsibilities provided for in Chapter 6 of the Constitution (RSA 1996), Section 154(1) requires that provincial governments "must support and strengthen the capacity of municipalities to manage their own affairs, to exercise their powers and to perform their functions". Consequently, each provincial government department has programmes to support municipalities and build their capacity in functions related to the area of responsibility of that department. The capacity-building interventions by provincial departments are also aligned with the objectives of local government, as stated in Sections 152 and 153 of the Constitution (RSA 1996). These include: the provision of amenities, socio-economic advancement, a safe and hygienic environment, administration, budgeting, and planning processes that prioritise the basic requirements of the local community.

In the financial year: 2020/2021, eleven provincial government departments in KZN ran one or more capacity-building programmes in municipalities. The number of programmes per department is pencilled in Table 6.1 below.

Table 6.1: Number of Individual Capacity-building Programmes Implemented During the 2020/2021 Financial Year

KZN Provincial Department	Number
Community Safety Forums	1
Department of Transport	1
Department of Arts and Culture	2
Department of Economic Development	2
Department of Social Development	2

Department of Health	3
Department of Human Settlements	4
Department of Public Works	4
Municipal Infrastructure Support Agent	5
South African Local Government Association	27
Department of Co-operative Development and Traditional Affairs	35

Source: Khunoethe, H., (2021), Presentation to Local Government Branch Strategic Planning Session: Capacity Development Chief Directorate

This chapter will review some of the key interventions made by provincial departments in meeting their obligation to support local government and build its capacity. Due to the variety and number of interventions by COGTA, it will be described separately from the other provincial departments.

6.2 Capacity-building Interventions by KZN Provincial Departments

Due to the unavailability of records and reports, the researcher telephonically surveyed representatives of eight provincial government departments in KZN engaged in capacity-building interventions in municipalities during the 2018/2019 financial year. They were asked a series of questions about their capacity-building interventions in municipalities. The departments that agreed to participate in the survey were PT and the Departments of Economic Development; Arts and Culture; Agriculture and Rural Development; Transport, Human Settlements, the Office of the Premier and some business units within COGTA. The findings of the survey are recorded below

6.2.1 Customers

The eight departments surveyed provided capacity-building interventions to councillors, managers, and officials in all local and district municipalities in KZN. Some also provided capacity-building interventions to traditional leaders, community groups, and members interested in women, physically challenged individuals, and youth. One department has a programme to place graduates in internships and other suitable positions in municipalities.

6.2.2 Partners

The departments work with a wide range of partners including: LGSETA; SALGA; UKZN; Durban University of Technology (DUT); TVET colleges; the Department of Public Administration; the United Nations Population Fund; external training providers; COGTA; and other business units within their own departments.

6.2.3 Programmes

The departments base their capacity-building interventions on the following theoretical models of AET: individual on-the-job training using both in-person contact and virtual interactions; formal group education and skills courses; informal discussion and workshops, and on the institutional and individual capacity levels of the UNESCO/IICBA model of capacity.

During the 2018/2019 financial year, the institutional capacity-building interventions offered to municipalities included: management development through training courses, conferences and workshops; organisation development through assessment of policy and procedure documents; systems development; support for planning and goal setting; assistance with human resources administration, organogram development and training management; support for improved financial management; resource management; performance management; and community development, women development and youth development programmes.

Techniques and processes used in interventions to build institutional capacity in municipalities included: actions to strengthen policies; strategic planning workshops to encourage the development of mission and vision; workshops to strengthen change management capacity; support for the use of the DDM and B2B models; assessments to improve or restructure organograms; and support for the use modern of technology-based methods of working.

Institutional capacity-building needs in municipalities were identified through: formal skills audits; municipal performance reports; assessment and analysis of weaknesses in municipalities; the requirements of the department or organisation; skills requirements for positions; challenges in municipalities; legal or national policy requirements; analysis of norms and practices in organisations; public and community feedback and complaints; and community requests and needs.

Individual capacity-building needs in municipalities were identified through: skills audits; assessment and analysis of weaknesses in municipalities; training requests made by the municipalities; the requirements of the department; legal or national policy requirements; and service delivery issues or complaints raised by communities.

Individual capacity-building interventions offered to municipalities during the 2018/2019 financial year included: recruitment of graduates; graduate internship programme; bursaries for qualifications in scarce technical skills; records and registry management; inspection of records; provincial and local economic development initiatives; assessments of IDP's and spatial development frameworks; support for community safety structures; a Makhosi training programmes; councillor training programmes; housing consumer education; financial management support; grant management support; reviewing and commenting on annual financial statements; monitoring the implementation of MSCOA and DORA; alignment of tender documents; project and financial management; support for rural development programmes; transport infrastructure planning workshops; school sports co-ordinators' training; club development co-ordinators training; recreation leaders training; water and safety champions training and support for programmes for special groups, including women skills development programme; youth skills development programme; induction for councillors to the Extended Public Works Programme
(EPWP); capacitation on the new EPWP reporting system; and skills for one-on-one engagement with public bodies.

The departments used the following methodologies: short courses delivered through interactive workshops, learning programmes based on unit standards, certificate courses, management training, specific job skills training, diploma or degree courses, on-the-job training, conferences, mentoring, study bursaries or grants and

performance monitoring. There is a strong interest in replacing in-person training with virtual sessions and other techniques, including computer-based training. Suggestions for improved methodologies included: improving the relevance of training to the needs of participants; improving training techniques; using more modern technology; improving training material.

6.2.4 Challenges

In delivering individual capacity-building interventions, the departments faced challenges presented by their customers and challenges and constraints in their own support environment.

Challenges in working with municipalities included: low attendance rates; lack of interest in the programmes offered; lack of a learning culture in municipalities; no enthusiasm for study; poor completion of assignments and assessments; poor learner participation and interaction during workshops; high dropout rates during programmes; resistance to change by individuals; low morale; unsuitable training times; too busy to attend training; lack of or poor information about capacity-building needs; lack of planning for capacity-building interventions; low priority given to training; no evaluation of impact; training effectiveness doubtful; no follow up support; and municipalities overwhelmed by too many interventions.

Challenges within the departments and in the skills development system included: lack of financial resources; lack of skills in HRD; lack of quality training material and irrelevant content; lack of relevant unit standards; lack of quality training providers and facilitators; unqualified training providers who provide irrelevant content and do not understand municipal institutions and public sector job skills and knowledge requirements; long travel times due to distances; similar training offered by other departments and lack of co-ordination with or support from other departments or organisations involved in capacity-building in municipalities.

The departments' representatives also suggested measures they could take to overcome the challenges. Their suggestions included: advertising courses in advance so municipalities can plan to attend; collaborating with other departments offering

similar courses; making political parties aware of the lack of interest in training and other challenges; refining the criteria used to select individuals for training, and basing them on an analysis of skills needs; making training more practical and more relevant to job requirements; following-up training to support and guide the application of new skills; improving the criteria used to select training providers; eradicating corruption in the appointment of training providers; eradicating corruption in selecting officials to attend training; and allocating more funds for training.

Challenges and constraints in municipalities that hamper the building of institutional capacity include factors such as: long-term vacancies in critical positions; weak competence in management; lack of organisation in the workplace; poor understanding of how to build a strong institution; low morale of officials; lack of attention to complaints from the community; weak management practices; poor management skills and lack of experience; lack of technical skills; unqualified and underqualified persons in critical positions; nepotism and fraud in recruitment and selection; and the negative impact of corruption on all municipal functions. These challenges were expounded in KZN's COGTA Assessment of Districts in 2020.

According to KZN's COGTA Annual performance plan 2016/2017, factors in provincial departments that hampered the building of institutional capacity in municipalities were the scarcity of financial reserves, the scarcity of human resources, and the lack of co-ordination with or support from other departments or organisations involved in capacity-building in municipalities. Measures suggested for overcoming these challenges and constraints included: evaluating officials' qualifications against the requirements for their jobs; removing or demoting unqualified and underqualified officials; reviewing recruitment and selection practices; investigating and eradicating corruption, political interference and nepotism; filling vacant positions with qualified, competent individuals; filling management positions with qualified, competent individuals and motivating employees.

6.3 Capacity-building Interventions by KZN's COGTA

The effectiveness and efficiency of local government are the key focus areas and responsibility of the provincial COGTAs. Therefore, it can be said that everything they do is designed to support and build institutional and individual capacity in local government. KZN's COGTA CBU was established to focus on individual capacity-building. Its 2020/2024 Strategic Plan (COGTA 2019) identifies its vision as "building local government capacity towards a skilled and capable workforce." This statement suggests that the KZN COGTA CBU views its mission as building capacity in municipal councils and all occupational categories and levels of municipal administrations in the province.

6.3.1 Customers

Municipal councillors are the CBU's main customers, especially at the beginning of each new term after the local government elections, when new councillors must be inducted into the requirements of their positions and provided with skills and knowledge to function effectively as soon as possible. The capacity of the top management of municipalities is also critically important to the effectiveness and efficiency of the administration of municipalities. The CBU maintains a focus on building management capacity in local government.

Another group of customers in the administration of municipalities are the skills development facilitators. The key role of a skills development facilitator is to assess training needs in the organisation and prepare and implement workplace skills development plans to build the capacity of officials and improve their job performance. The CBU trains the skills development facilitators and monitors their performance to ensure that they carry out their functions effectively.

Traditional leaders are also customers of the CBU. Traditional leaders play a vital part in ensuring that municipal councils are conversant of and act to facilitate the urgent priorities of the community in terms of services delivery and development. The CBU provides capacity-building interventions to enhance the skills of the traditional leaders to carry out this function and lobby effectively on behalf of their communities.

6.3.2 Partners

The KZN COGTA CBU meets the needs of its customers by engaging with partner institutions and training service providers. Its key partner institutions are: the national DCOG; LGSETA; SALGA; KZN PT; other provincial departments; and UKZN. The CBU also contracts LGSETA-accredited training providers who run training programmes based on unit standards and NQF qualifications.

6.3.3 Programmes

According to the CBU's 2020/2024 Strategic Plan (COGTA 2019), the programmes of KZN's COGTA CBU are informed by two decisions made by the national sphere of government. First is adopting Outcome 12 of the 2014/2019 MTSF, namely, "An efficient, effective and development-oriented public service". To achieve this goal, KZN's COGTA CBU plans individual capacity-building interventions to ensure that skilled public servants staff municipalities. The first step in implementing Outcome 12 was a skills audit for all senior managers in municipalities to identify skills development needs, first for senior managers and then for officials in all other job categories and levels.

Second, the programmes of KZN's COGTA CBU are informed by Vote 8, Programme 4, which requires public sector monitoring and capacity development interventions to build the institutional capacity of municipalities to develop and implement plans and provide services. These programmes align with Priority 6 of the 2020 KZN State of the Province Address (SOPA), *A capable, ethical and developmental state*.

The main programme is the LGSETA's National Certificate in Local Government Councillor Practices at NQF Level 3. This programme requires a minimum of 122 credits, and it is run over about 18 months. The National Certificate in Local Government Councillor Practices does not contain finance-related unit standards. Since financial oversight is a critical function of municipal councillors, the CBU supplements the certificate course with short courses designed and run by PT. These

include the MPAC training course. Other additional training courses are arranged at the request of municipal councillors.

Another critical and ongoing programme is the skills audit programme. The DCOG has developed a skills audit tool for local governments known as GAPSKILL, which has been made available to provinces. The KZN's COGTA CBU has used GAPSKILL to audit the skills of councillors and officials in every municipality in the province and collected and collated data to inform capacity-building decisions for councillors, senior and top managers, and other officials. Recently, KZN's COGTA CBU has also applied GAPSKILL to audit the skills and identify the training needs of members of MPACs and the councillors and officials participating in the DDM for the development and implementation of IDPs.

Other ongoing programmes include capacity-building programmes to enhance: workplace training; employee, councillor and amaKhosi development; strengthen workplace skills planning; enhancing the skills of SDFs and HRD practitioners; job-specific workplace training for current and future needs; change management (anticipated future needs include developments in technology and management of the environment and natural disasters); and capacity-building for traditional leaders. The capacity-building training program for traditional leaders included improved communication and lobbying skills to enhance their capacity to ensure the council considers community needs and specific job skills to improve capacity in their traditional roles and increase their awareness of gender-based women's needs, violence and change-management.

Additional individual capacity development programmes under consideration (2020/2024 strategic plan, 2019) include interventions to increase the availability of: technical, financial, and professional skills; advocating advancement proposals; internships; learnerships; internship training courses; bursaries; elevating the administration advancement channel and promoting e-learning.

Institutional capacity development programmes under consideration (2020/2024 strategic plan, 2019) include: reviewing recruitment and capacity-building policies and procedures; improving management support for workplace skills planning and

capacity-building implementation; improving the allocation of fiscal, structural, human capital and infrastructure for capacity-building; ensuring capacity-building reactiveness to the agenda of transformation adopted by the government concerning the physically challenged, sexuality, ethnicity, young job seekers; enhancing contributions to the realisation of the NDP, namely, the HRD Strategy for South Africa, the Provincial Growth and Development Strategy, the PGDP and the IDP's; enhancing responsiveness to the SDGs; and developing and implementing learning programmes for CBU staff to equip them with skills to improve their own job performance.

6.3.4 Challenges

KZN's COGTA CBU must address challenges in implementing its institutional and individual capacity-building programmes in municipalities lie in several areas. There are general challenges that apply to all customers and stakeholders. Then some challenges apply specifically to councillors; top managers and administration officials; and stakeholders. The information presented below was acquired verbally from CBU officials.

a) General Challenges

Four key challenges reduce the effectiveness of individual capacity-building interventions by the provincial government. The first and most significant challenge is the failure to ensure that GAPSKILL contributes to developing a learning culture in local government institutions. GAPSKILL is a web-based skills audit tool for collecting data on officials' qualifications, work experience, and personal characteristics (such as race and gender). It was also intended to collect data on how officials and councillors have the competencies, qualifications and work experience required by their position in municipal administrations and councils. However, it is not yet aligned with the qualifications and experience required by specific positions, nor does it collect data on or assess job competence.

According to Greyling (no date), the GAPSKILL tool was developed in 2006 to measure individual capacity. Individual capacity was defined as the combination of

qualifications, experience, and competence required for a position. At least 15 years after it was initiated, it still does not measure individual capacity. This fact considerably weakens the value of the tool. It does not assist the user in determining the appropriateness of the type and level of skills possessed by officials or identify their skills development needs. Therefore, the tool is incomplete and, in its current form, not useful for building individual capacity. Greyling points out that the intended outcome of the skills audit was a Personal Development Plan (PDP) for every municipal employee in every job category and level. The PDPs would inform the WSPs, thus ensuring well-planned individual capacity-building interventions and building a culture of learning within municipalities. Training interventions cannot be targeted to bridge individual skills gaps with no data on individual competencies or job requirements. The failure of GAPSKILL to fulfil its intended function has reduced the capacity of both municipalities and provincial governments towards addressing individual capacity-building requirements in municipalities.

Second, COGTA assesses the performance of municipalities according to B2B criteria. The B2B approach includes important competence statements, but LGSETA has not adjusted the National Certificate in Local Government Councillor Practices. The qualification is reviewed every few years as required by SAQA, but it has not been adapted to respond to change. For example, pressures to improve financial oversight and governance skills have not been adapted to include any of the B2B competence statements. There are no B2B-aligned unit standards for use in local government training programmes. Consequently, the training of municipal councillors and officials is not aligned with the criteria on which municipal performance is assessed.

Third, capacity-building interventions in local government face ongoing issues related to councillors' and officials' low level of interest in learning and lack of motivation to develop their skills and improve their job performance. Furthermore, there is sometimes an actual resistance to learning or any change. Even when participants sign up for programmes, attendance is normally poor. They frequently do not arrive, arrive late, leave early, or drop out, and those who attend, seldom complete assignments and competence assessments, even when a tutor is assigned to assist with them. It is believed that these factors are caused by the lack of a culture of

learning, weak performance management systems and no consequences for the lack of interest in skills development.

Fourth, KZN is not a large province. It is geographically the seventh largest of the nine provinces in South Africa. The distance from the northern end to the southern end is quite large compared to other larger provinces, and some areas are very rural and difficult to reach. Whether participants come to a central venue or training providers travel to where participants are located, travel times and costs are significant and represent challenges to thin budgets and inadequate staff quotas. Electronic and other remote learning solutions have been considered, but they have not been attempted significantly, mainly because related challenges would have to be resolved first. Such challenges include: the most distant and hard to reach municipalities also have unreliable internet and network services. In addition, these municipalities often have no information technology equipment or technicians to support users.

b) Challenges Related to Councillors' Characteristics and Behaviours

In addition to low interest in learning and poor attendance at training programmes, some councillor participants have either not had enough years in school to become literate and numerate or have not had enough exposure to English to allow them to read and write in that language. The result is that many councillors are unable to read legislation and regulations for themselves or are unable to benefit from workplace training programmes, including the National Certificate in Local Government Councillor Practices. Many of these councillors would benefit from AET programmes. However, they are expensive and take time and effort that many adults are unwilling to give, especially when they also have demanding jobs. This constraint is a challenge that appears to have no solution within capacity-building, while it also further disadvantages the most disadvantaged councillors and communities. It might be that the only solution to this challenge is for political parties to review the criteria they use for appointing councillors.

c) Challenges Related to the Management of Capacity-building

Properly managed and resourced capacity development can improve the effectiveness and efficiency of an organisation. Nevertheless, far from championing capacity development, the top management of municipal administrations seldom show much interest or support. Skills development planning is often left to junior officials or interns who are expected to make training plans without any information about training needs and arrange training courses without a training budget. In addition, the HRD process is weak in most municipalities; the capacity-building is not linked to performance management; PDPs are not based on identified training needs and are not monitored for follow-through.

d) Challenges Related to Stakeholder Factors

Although KZN's COGTA CBU policy is to contract only training providers accredited for LGSETA unit standards, the quality of the training facilitators is poor, and their training material is weak. They lack knowledge of the job-specific training needs of councillors and officials in municipalities, and they do not understand the public sector workplace. The CBU is considering developing its own material for training providers to use. Doing so would ensure that the training is practical and job-specific and that the CBU's customers' needs are met.

Regarding capacity-building in other provincial departments, co-ordination and information sharing is poor. Consequently, there are overlaps with different departments offering similar programmes to municipalities. The CBU is considering re-establishing a forum it previously managed to facilitate co-ordination and information sharing between KZN provincial departments.

6.4 Capacity-Building Interventions Identified by Section 139 Recovery Plans

Section 139 of the Constitution (RSA 1996) gives the provincial government the mandate and duty to mediate in a municipality when "a municipality cannot or does not fulfil an executive obligation in terms of the Constitution or legislation". Provincial COGTAs are tasked with placing such 'to take appropriate actions to ensure the

recovery of the distressed municipality. According to its report *Municipalities under Administration* (COGTA 2020c), KZN's COGTA intervened in the recovery of nine municipalities under Section 139 administration during 2020.

The reasons were identified for the failure in these nine municipalities to fulfil executive obligations. Then, the necessary recovery interventions and recovery plans were prepared and implemented for each municipality. There is a high correlation between the recovery plans, which indicates that municipalities that fail, do so for the same or similar reasons.

The recovery plans recommend actions to correct these issues in the municipalities. However, they did not identify the causes or recommend actions to ensure they do not happen again. In fact, regression after an intervention is common. The reasons for the failure were usually related to weak institutional capacity. COGTA could generalise the identified weaknesses to inform capacity-building interventions in all KZN municipalities. Three key interventions recommended in the recovery plans are presented below.

6.4.1 Governance

Two governance issues stood out, long-term vacancies in critical positions, which caused the neglect of important functions and a lack of consequence management for transgressions by councillors and managers, which allowed unacceptable behaviours to continue.

Of the nine municipalities under administration, eight had at least one vacant position in the executive management team and vacancies in critical technical positions. The recovery plans made provisions for filling the vacant posts with qualified and competent persons within six months.

None of the nine municipalities had implemented appropriate consequence management procedures. Councillors had not been disciplined for behaviours and actions in contravention of the Councillors Code of Conduct; misconduct and

corruption by senior administration officials had not been investigated, nor had the findings of investigations conducted been implemented. Even in cases where serious corruption was a clear finding, and the municipal manager had a legal obligation to report the matter to the police, it was not done. The recovery plans made provision for establishing forensic investigations where they had not been established and implementing the recommendations already made by investigators.

6.4.2 Sound Financial Management

Financial management was particularly weak in these municipalities; there were failures in applying sound financial controls by all nine municipalities in the following areas.

Debtors' management: Revenue collection was poorly carried out; there were no strategies for reducing debt, outstanding debts were not collected, services were not disconnected for non-payment, and record-keeping was poor.

Expenditure management: Monthly expenditure, budget variances and capital budget implementation were not reviewed regularly by both EXCO and Council. Cash flow and cost containment were poorly managed and not reviewed regularly by Management Committee (MANCO), EXCO and Council. There were high unsanctioned, inappropriate, unproductive, and exorbitant spending levels. AG findings were not addressed, and the causes were not corrected. This neglect meant that the same issues were repeated, and any possibility of a clean audit in future was excluded.

Financial governance: There was a lack of risk management planning; weak internal audit activities; ineffective MPAC and other council oversight committees; and performance targets against the Service Delivery and Budget Implementation Plan (SDBIP) were poorly monitored.

6.4.3 Basic Service Delivery

Two areas of weakness were common to all nine municipalities: a scarcity of operations and maintenance plans and poor Municipal Facilities Grants (MFG) spending.

6.5 The District Development Model Skills Audit

COGTA's assessment (COGTA 2020) of the capacities of local and district municipalities in KZN to implement the DDM, asked municipalities to rate their skills levels in the following skill sets:

a) Governance and financial management skills, including planning, budgeting, procurement, financial and performance management, stakeholder co-ordination, community engagement and infrastructure delivery.
b) Skills to prepare a communications strategy.
c) Skills to undertake integrated planning, spatial planning, capacity-building, impact monitoring and sharing resources.
d) Skills to implement monitoring, evaluation and reporting systems.

In a range from poor to good, most district municipalities rated themselves as good to fair on these skills, and most local municipalities rated themselves as fair to good. COGTA's assessment also asked municipalities to rate their staffing capacity in essential functions, including developing a communications strategy, integrating planning, spatial planning, building capacity, monitoring impact, and sharing resources. Again, most district municipalities rated themselves as good to fair on these skills, and most local municipalities assessed themselves as fair to good, except for the capacity to monitor impact, which some local municipalities rated as poor.

Most district and local municipalities rated their capacity for monitoring, evaluation and reporting as fair and capacities for contract management, stakeholder management, and information management systems were also rated mainly as fair. In contrast, capacity for research and analysis was generally assessed as poor. Municipalities with

technical capacity rated it as good to fair, but several local municipalities did not have any technically skilled staff.

COGTA's assessment indicates that district municipalities are better resourced than local municipalities regarding skills and staffing levels for implementing the DDM. It concludes that these resources could be sufficient for successful implementation. The core principle of the DDM is intergovernmental co-operation, especially co-operation between the district and local municipalities. However, meaningful co-operation requires that the parties are on an equal level. It is difficult to see how the DDM can be successful without significant interventions to develop skills and capacities in local municipalities.

6.6 The Municipal Public Accounts Committee Skills Audit

Between October 2016 and February 2017, KZN's COGTA (COGTA 2021) conducted an audit of the skills of political office-bearers that were part of MPACs in municipalities in KZN. The background to the skills audit was the non-functionality of MPACs in the province. The objective of the audit was to determine the competency gaps and training needs of MPAC members.

MPACs are established in Section 79 of the Local Government Municipal Structures Act (Act No. 117 of 1998). Their purpose is to assist the council in holding the executive and the municipal administration to account. The MPAC conducts oversight over the financial affairs of the administration towards ensuring that the resources in the municipality are used effectively and efficiently. It is tasked with reviewing AG and Internal Audit reports, preparing the municipality's Annual Oversight Report, and making recommendations to Council.

The documents MPAC members must be able to understand and analyse include: in-year and end year reports; financial statements; reports issued by the AG; investigation reports of disciplinary actions taken in terms of the MFMA, audit reports; performance reports; SCM documentation and any other documents or evidence,

including information relating to personnel, books of account; records, assets, and liabilities of the council.

The AG has highlighted the need for MPACs to be able to understand the 'business chemistry' of local government' outside of the financial statements. MPAC members must possess relevant experience, high-level skills and knowledge in municipal finance and governance matters to be effective.

Only 58% (213 of 367) KZN MPAC members from both district and local municipalities participated in the audit; 64% of the participants were councillors serving their first term of office; 48% (94 of 213) participants had an education level of Grade 12 or below, and 31 had a bachelor's degree or higher qualification. Previous work experience was low, and 48% of the participants were unemployed before being appointed to the council. The participants identified their own training needs. The top 15 training requests are shown in Table 6.2 below.

Table 6.2: The Top 15 Training Requests made by Participants in the MPAC Skills Audit

Training need	Number of requests (213 participants)
Leadership development	133
Municipal financial management	118
Disaster management	118
Local economic development	114
Project management	114
Municipal service delivery	114
Communication	113
Strategic planning	113
HIV/AIDS	112
Performance management	111
Public participation	108
Municipal governance	105

ABET	26
Computer Skills	21

COGTA KZN Report (COGTA 2018)

Some of the training requests are relevant to the skills needs of an MPAC member, like municipal governance, but some are not, like HIV and AIDS.

COGTA recommended a support package to develop the skills of MPAC Members that includes: portfolio-specific training; benchmarking against municipalities that have consistently performed well in their financial oversight committees; formulating a description of the roles and responsibilities of MPAC (including the sources of the documents); the flow of documentation amongst council committees, processing the documentation received; and together with the designed training, to inform and support MPAC members in carrying out their functions.

6.7 Critical Analysis of the Support and Capacity-building Interventions

As recorded in Chapter 5, provincial departments engage in a range of capacity-building interventions in local government. Yet, they are struggling to fulfill their mandate to support and build capacity in local government. The local government is not becoming more effective, efficient, and cost-effective. Provincial departments themselves need support in dealing with deep-rooted challenges in municipal councils and administrations.

The challenges arise from several factors. The criteria used by political parties for selecting councillors do not appear to include the knowledge and skills required for the position or evidence of the potential to acquire them. Training in how to do their job is left entirely to the provincial government and SALGA. Many councillors do not have the basic literacy and numeracy levels necessary to benefit from training programmes. The educational levels and work experience of about half of the municipal councillors in KZN are also substantially below the levels that would be expected of persons who must fulfil a leadership and oversight role. As individuals, most local government councillors are weak in all three of Kawar's (2011) pillars of basic education, vocational

training, and lifelong learning, which he has identified as central to employability, career advancement and enterprise development.

Nevertheless, provincial departments have been unable to generate interest in improving the situation. There appears to be resistance to learning and change at the level of institutions and individuals. These observations are supported by Mhlaba (2018), who notes that interventions designed to build individual capacities are effective only if employees work within a performance culture and have the will and commitment to apply their individual capacities to improve job performance.

However, there is no evidence of local government institutions' learning or performance culture. Provincial departments must attempt to build capacity in institutions that do not plan for skills development and performance improvement and do not champion learning. Provincial departments also must deal with participants, many of whom show little to no interest in learning, do not plan for or prioritise their attendance at learning programmes, have no PDPs, and face no consequences when they do not meet service delivery standards and targets.

Municipalities are an autonomous level of administration; provincial government departments can oversee and assess municipalities' effectiveness and efficiency but do not have the authority to force them to act on the development opportunities. An appropriate example of this is the AG's annual reports. Year in and year out, they show that irregular expenditure is not only not being reduced, but the number of negative audit findings is increasing. Policy directives that include the White Paper on Local Government (COGTA 1998), the NDP, the regulations emanating from the Local Government: Municipal Systems Act on the appointment of senior managers, the Code of Conduct for Councillors, the Code of Conduct for Administration Officials, the Batho Pele principles and the B2B approach as well as the Constitution (RSA 1996) and a long list of local government laws, all seek to improve the effectiveness and efficiency of municipalities and foster a culture of accountability and commitment to the public. However, as Andrews, Pritchett and Woolcock (2017) point out, laws and policies rely on the institution's capacity to implement them. While individual capacity is an obvious factor, weak institutional capacity may be more important in poor municipal performance than low individual capacity.

Provincial government departments should be made aware of the importance of institutional capacity in realising their objectives. They should be encouraged to focus on building institutional capacity while lobbying political parties to solve the challenges of capacitating individual councillors. Another party with the power to influence local government and hold it accountable is the community. Perhaps if provincial government departments enhance the capacity of communities to be aware and utilise their democratic rights more effectively to demand better services, municipalities will show more interest in the support and capacity-building opportunities provincial departments make available to them.

6.8 Conclusion

Chapter 6 has presented data from a survey of capacity-building interventions by eight provincial government departments as well as capacity-building interventions by KZN's COGTA. It is clear that all of the departments are hampered by similar challenges, including councillors who do not have the expertise and capacity they require to undertake their oversight roles or to be trained in how to do their jobs; a lack of interest in learning by officials and councillors; poor attendance without consequences at training interventions; and municipal institutions that do not plan for or manage training.

This chapter contains data from an analysis of Section 139 recovery plans and skills audits of municipal councillors, MPAC members, and officials who participate directly in the DDM. All these analyses show that there are challenges in capacity-building. These challenges go beyond the actual interventions designed to build capacity. Although there are significant challenges in individual capacity, the most serious challenges appear to be in institutional capacity.

Chapter 7 presents and analyses the results from interviews with 287 participants.

CHAPTER 7: NUMERICAL AND CRITICAL ANALYSIS OF INTERVIEW RESULTS AND FINDINGS

7.1 Introduction

Three groups of participants were interviewed: councillors, senior administrators, and skills development officials. The interviews covered the same categories of information for all participants, but the questions in each category differed according to the participant group.

The categories were:

- Each group of participants assessed their own job competence based on the 5 Pillars of the B2B approach. The administration participants also assessed their own competence in the core competencies for senior managers.

- Each group of participants evaluated COGTA's training programmes – if they had attended any.

- Each group of participants assessed the institutional capacity of the municipality.

- Each group of participants was asked to comment on any aspects of the interview schedule.

Seven municipalities were selected for the study. The Umkhanyakude District Municipality and six local municipalities: Edumbi, Emadlangeni, Inkosi Langalibalele, Msunduzi, Mtubatuba and Umzumbe. In addition, responses were gathered from Umdoni Local Municipality. All councillors, senior administrators, and skills development officials from these municipalities, who could be reached, were requested to participate, and those who accepted the invitation were interviewed.

A total of 287 individuals from these municipalities participated in the study. The participants in each selected municipality and each selected group are listed below. Most participants were from Msunduzi Local Municipality, which is the largest of the municipalities in the sample. Most councillor participants were also from the Msunduzi Local Municipality, but few senior administrators were willing to be interviewed. Most

administration participants were from the Mtubatuba Local Municipality. Participation was voluntary, and the reason for higher levels of co-operation by this municipality is unknown.

Municipalities selected for study	Participants			
	Councillors	Senior Administrators	Skills Development Officials	Totals
Edumbi Local Municipality	12	8	--	20
Emadlangeni Local Municipality	22	9	1	32
Inkosi Langalibalele Local Municipality	18	8	1	27
Msunduzi Local Municipality	64	15	1	80
Mtubatuba Local Municipality	17	16	1	34
Umkhanyakude District Municipality	15	9	1	25
Umzumbe Local Municipality	19	8	1	28
Umdoni Local Municipality	34	7	--	41
Totals	201	80	6	287

A detailed report of collated interview results for each participating group follows, with a comment highlighting some of the most notable responses.

7.2 Councillors

7.2.1 Profiles of Participating Councillors

Current positions

Of the 201 councillors who participated in the study, the majority (117) were ward councillors, 67 were proportional representation councillors, and the rest (17) held senior positions in the council.

Mayor	7
Deputy Mayor	7
Speaker	3
PR Councillor	67
Ward Councillor	117

Portfolio Committee membership

Most of the participating councillors were members of one – or more than one – council portfolio committee. The Budget and Finance Committee had the highest membership (45), followed by the Executive Committee (38), the Planning and Economic Development Committee (37) and the Technical Committee (35).

Executive	38
Budget and Finance	45
Planning and Economic Development	37
Infrastructure	8
Housing	7
Technical	35
Community Development	25
Local Labour Forum	21
MPAC	13
Community Policing Forum	2
Corporate Services	3

Age

Fifteen of the participating councillors did not respond to this question. Of those who did, the majority (73) were in the age group 41 to 50; 17 were older than 60 years of age; and 48 were younger than 40 years of age.

Age	<40	41-50	51-60	>60
	48	73	48	17

Gender

There were almost twice as many women as men amongst the participating councillors. One participant did not respond to this question.

Gender	Male	Female
	76	124

Population group

Of the 200 participating councillors, 193 were African. One participant did not respond to this question.

Population Group	African	White	Indian	Coloured
	193	1	4	2

Disabilities

Almost all the participating councillors (183) claim to have no disability. Sixteen participants did not respond to this question.

Disability – physical or mental	Yes	No
	2	183

Qualifications

There was a wide range of qualifications and educational levels amongst participating councillors. One hundred thirty-two had post-matric qualifications, and of these, 69 had qualifications relevant to the work of a councillor, e.g., public administration, engineering, or finance; 63 had qualifications, such as nursing or marketing, that do not appear to be directly useful in terms of most of the skills and knowledge required, while 34 participants had an educational level of Grade 12 or less, and 35 did not respond to this question.

Highest educational or job-related qualifications	Postgraduate degree/diploma	6
	Degree/BTech – relevant to this position, e.g., finance, engineering	22
	Degree/BTech – not related to this position, e.g., public relations; teaching	10
	Post-school diploma – relevant to this position	17
	Post-school diploma – not related to this position, e.g., nursing; marketing	32
	Certificate/unit standards related to this position	24
	Certificate – not related to this position, e.g., information technology; marketing	21
	Grade 12	23
	< Grade 12	8
	< Grade 10	1
	< Grade 6	2

Work experience

Of the participating councillors, 144 had served one term or part of one term. This figure is 2.5 times the 56 participants who had served two terms or more. One participant did not respond to this question. Regarding other work experience, 39 participants had worked in a municipality in another position: 17 for 1-5 years and 11

for 6-10 years; while 134 participants had worked in another sector; 46 for 6-10 years and 33 for 1-5 years.

Terms in Council [1 term = 4 years]	1 term or less	2 terms	3 terms	4 terms	5 terms
	144	30	22	4	--

Years of work experience in a municipality in other positions	1-5	6-10	11-15	16-20	21+
	17	11	8	1	2

Years of work experience in other sectors	1-5	6-10	11-15	16-20	21+
	33	46	31	19	5

Satisfaction with existing qualifications

Of the participating councillors, 106 were satisfied that their current qualifications, skills, and experience were sufficient for their positions; 75 were not; and 20 did not respond to this question.

Position	Yes	No
Mayor	6	2
Deputy Mayor	4	2
Speaker	3	0
PR Councillor	47	21
Ward Councillor	46	50
Total	106	75

Of the participating councillors, 23 wanted an opportunity to gain an educational qualification that would assist them with improving their personal profiles and not necessarily support their performance in their current positions; and 86 did not respond to this question. The remaining 92 councillors said they wanted an opportunity to gain a job-related qualification (in some cases, more than one qualification) in the subject

areas listed below. The greatest interest was in a qualification in local government, followed by qualifications in public finance and administration.

Qualification subject area	No. of Participants
Public administration	10
Public finance	14
Local economic development	5
Co-operative governance	6
Environmental management/disaster management	7
Ward Committee governance/practice	6
Meeting management	1
Stakeholder relationship management	2
Leadership development/management	5
Local government legislation [esp. MFMA] and functions	15
Community participation/public participation	5
Project management	5
Planning	3
Local procurement	1
Fire and rescue	2
Road traffic law enforcement	1
HIV/AIDS	5
Electoral management and mass mobilisation	1

Of the participating councillors, 137 were currently attending a training programme or were enrolled in a tertiary institution for a qualification.

Number of Councillors	Name of programme
128	Unit standards from the National Certificate: Local Government Councillor Practices
2	COGTA short courses – not specified
1	Human Resources Management Diploma

1	Honours: Business Administration
1	Degree: Public Administration
1	Diploma: Public Administration
3	No programme named

7.2.2 Individual Competencies

The B2B approach lists essential competencies that individual local government officials and councillors would have to adhere to, to demonstrate effectiveness in the five basic focal points of local government, referred to as pillars. The five pillars are putting people first; appropriate and community orientated amenities delivery; proficient and accountable administration; reliable fiscal administration; and competent administration establishments. Participating councillors were asked to self-assess their competencies according to the 5 Pillars of the B2B approach as defined for local government. There were significantly more claims of high competence than there were of medium or low competence, except in a few instances:

Pillar 1: Putting people first – listen and communicate. [195 responses]

Most of the participating councillors (150+) selected a high rating to indicate their level of competence in this pillar, and the medium and low ratings were by small minorities of less than 25% of the respondents.

Skills statements	Rate your level of competence in each skill		
	1= low	2= medium	3= high
Understand community participation processes and the importance of giving regular feedback to communities regarding council planning and projects that affect them	--	27	168
Understand the principles that underpin community development	--	32	163
Able to create clear engagement platforms with civil society	--	35	160
Establish functional ward committees	3	39	153
Able to provide regular feedback on petitions and complaints	--	44	151

Meet and report back to constituencies quarterly	--	43	152
Exercise leadership in a councillor context	--	38	157
Understand HIV/AIDS its social impact, and the role of ward councillors in the struggle against AIDS	7	35	153

Pillar 2: Adequate and community-oriented service delivery. [195 responses]

Most of the participating councillors selected a high rating to indicate their level of competence in this pillar. However, more than 30% (67) selected a medium rating in achieving and ensuring appropriate maintenance, urgently attending to outages or maintenance issues, and ensuring and assisting with financing and servicing long-term public facilities sustainment strategy and budgets.

Skills statements	Rate your level of competence in each skill		
	1= low	2= medium	3= high
Ensure proper maintenance and immediate addressing of outages or maintenance issues.	1	83	111
Ensure municipality provides basic services and maintenance.	--	40	155
Ensure municipality improves mechanisms to deliver new infrastructure faster whilst adhering to the relevant standards.	--	51	144
Assist with financing and servicing of long-term public facilities sustainment strategy and budgets.	--	77	118
Understand Disaster Management Policy Framework.	--	47	148
Understand the application of ideas and tools for domestic fiscal advancement.	--	44	151

Pillar 3: Good governance and transparent administration. [201 responses]

Most of the participating councillors selected a high level of competence in this pillar, but 82 claimed a medium rating in activating supervision panels that can oversee the appropriate utilisation of funds, e.g., the Municipal Public Accounts Panel and Evaluation Panel.

Skills statements	Rate your level of competence in each skill

	1= Low	2= Medium	3= high
Understand Local Government principles of good governance, public participation, transparency, and accountability	--	22	179
Understand the separation of powers between councillors and municipal officials and the implications.	--	41	160
Ensure municipality is transparent, accountable and has regular engagements with communities	--	27	174
Ensure active supervision panels are in place, e.g., Evaluation panel and the Municipal Public Accounts Panel	1	82	118
Ensure municipal council structures are functional and meet regularly	--	39	162
Ensure Council Committees sit and process items for council decisions	--	37	164
Ensure municipality meets governance duties and that service delivery is realised.	--	39	162
Compile reports on ward committee meetings	2	43	156
Prepare reports on public participation	1	46	154
Conduct campaigns on 'culture of payment for services' led by councillors	2	47	152

Pillar 4: Sound financial management and accounting. [201 responses]

Most of the participating councillors selected a high rating to indicate their level of competence in this pillar. However, more than 30% (67) selected a medium rating for analysing and consulting the annual budget; analysing the AG's report; analysing financial statements and reports; and revenue collection and debtor management processes, while 66 claimed low competence in revenue collection and debtor management processes. More than 60% of participating councillors claimed to be mediumly competent in ensuring post-audit action plans and monitoring internal audits and controls.

Skills statements	Rate your level of competence in each skill		
	1= Low	2= medium	3= high
Apply the basic principles of budgeting and financial management to the Local Government councillor function	5	57	139
Analyse and consult on annual budget	2	78	121

Analyse Auditor General's report	4	92	105
Analyse financial statements and reports	4	86	111
Ensure continuous follow up on interventions to curb fraud and corruption	5	50	146
Ensure post Audit Action Plans.	7	130	64
Monitor Internal audit and controls	6	140	55
Revenue collection and debtor management processes	66	67	68

Pillar 5: Robust institutions with skilled and capable staff. [195 responses]

Assessments of medium competence were higher than assessments of high competence for the skills statement: 'Ensure competency standards for managers'. They were nearly equal to 'Ensuring the appointment of persons with the requisite skills, expertise, and qualifications'. Skills statements where the medium ratings were more than 30% (67) of the ratings were: 'Develop by-laws, policies, plans'; 'Ensure skills development programmes for administrators'; and 'Understand interaction and relationships with other spheres of government'.

Skills statements	Rate your level of competence in each skill		
	1= Low	2= medium	3= High
Ensure competency standards for managers	1	102	92
Ensure appointment of persons with the requisite skills, expertise, and qualifications.	1	95	99
Develop by-laws, policies, plans	2	85	108
Ensure skills development programmes for the council	2	45	148
Ensure skills development programmes for administrators	1	78	116
Understand Councillor roles and responsibilities	--	41	154
Understand local government structures	--	43	152
Understand interaction and relationships with other spheres of government	--	75	120
Display the capability to resolve challenges: through recognition, examination and option choosing toward a resolve	--	51	144
Use endorsement and campaigning capabilities to advance local governments opinions in interstate systems	--	58	137
Inclusion of attendees needs in oral context communication	1	42	152

Produce written submissions for a variety of informative perspectives	2	51	142

7.2.3 Evaluation of Training Offered by COGTA

Of the 201 participating councillors, 196 answered this research question, and 173 had attended COGTA training courses. Their evaluations were mainly positive, with four areas criticised by a few participants: training times conflicted with work schedules; the sessions did not always start on time; the venue was not always suitable; and learning material was not always presented clearly and well.

Question	Responses		
	Yes	No	If the answer is 'no', please explain
Have you attended any departmental training courses?	173	23	• Training times conflict with my work schedule/meetings [7]
Have you recommended departmental training courses to other councillors?	172	1	• I don't know what is available
Do you think departmental training courses help learners reach their goals?	173	--	-- --
Do you think departmental training courses have relevant course content?	173	--	-- --
Do you think departmental training courses present learning material clearly and well?	172	1	--
Do you think departmental facilitators make things easy to understand?	171	--	= --
Do you think departmental facilitators make things easy to implement?	171	--	-- --
Do you think departmental facilitators are knowledgeable about municipalities?	171	--	--
Do departmental training courses usually start on time?	168	5	• Sometimes they start late • Learners come late [2]
Do you think departmental training methods help participants to learn?	173	--	--
Do you think the training venues are suitable?	164	9	• Too far from the municipality • It was in the municipality, and this is not suitable / we are called out for work matters [6]

Do you think the training equipment is suitable?	171	2	• It must be upgraded

Participants were also asked to comment on how well they thought training courses catered for the needs of women and people with disabilities. Of those who answered this question, their responses were mainly positive and 86 felt that COGTA training courses benefitted women and people with disabilities. At the same time, ten said that women should be assisted to be more confident as leaders, and five felt a lack of facilities for some disabilities like blindness.

How could training courses, venues, techniques, materials, and equipment be more helpful to women?	• No need for any action; courses are accessible/helpful to women [86] • Empower women to participate in all structures / give them more confidence as leaders [10] • Training must be accessible to everyone [1] • Change women's behaviour [1] • Separate the groups [2] • We should not use gender stereotypes [1] • They should consider women's responsibilities at home [1] • More equipment is needed for women [1] • More skills for women to understand local government [1] • The number of women must increase [1]

How could training courses, venues, techniques, materials, and equipment be more accessible and/or helpful to people with disabilities	• No need for any action; courses are helpful to people with disabilities [86] • Most disabilities are catered for / buildings have ramps / are accessible [9] • Courses are too time-consuming [1] • Movable and relevant equipment [1] • Better facilities are needed, including braille [5] • Separate the groups [2]

7.2.4 Institutional Competencies

Most of the participating councillors rated the institutional competencies as medium in their assessments. Three participants did not respond to this question. The highest number of medium ratings were for institutional competence in 'Setting and meeting economic development goals' (125); 'Achieving IDP goals' (128); and 'Setting and achieving skills development goals' (129). The highest number of high ratings were for 'Policies and procedures' (94); and 'Setting and meeting service delivery goals' (94). However, medium ratings were higher for both competencies at 101 and 104, respectively. The highest number of low ratings (9) was for the 'Quality of leadership in council'.

[198 responses]

Capacity statements	Rating of institutional competence		
	1=low	2=medium	3=high
Quality of leadership in Council	9	105	84
Policies and procedures	3	101	94
Performance management, setting KPIs resolving problems and achieving goals	2	107	89
Setting and meeting service delivery goals	--	104	94
Setting and meeting infrastructure development goals	2	119	77
Setting and meeting economic development goals	4	125	69
Achieving IDP goals	2	128	68
Setting and achieving skills development goals	7	129	62
Knowledge resources: systems to retain institutional memory	2	121	75
Physical resources: vehicles, computers and other equipment, facilities and systems	3	114	81
Planning including action plans, project plans, operating plans, maintenance plans, annual plans, development plans, strategic plans, etc	7	109	82
Financial management, including budgeting, good governance and procurement practices	7	123	68
Managing change	2	120	76
Managing community protests and labour disputes	3	123	72
Managing crises and environmental disasters	3	117	78

| Relationships with stakeholders including IGR, communities, employees, traditional leaders, councillors | 2 | 121 | 76 |
| Legal compliance, including reporting and public participation | 1 | 117 | 80 |

7.2.5 Comments by Participating Councillors

The participants were asked to make comments at several stages during the interview. The subjects they selected for their comments were not solicited, but the preceding interview topics likely influenced them. For reporting purposes, the participants' comments are divided into five sections: general comments about training; specific training requests; comments about COGTA training courses; comments about the management of training; and comments about institutional capacity. Not all participants made comments. Some of those made very few comments, and some participants made several comments.

Participants' general comments about training:

The general comments about training reflect the participating councillors' personal concerns about future employment as their term ends. Twenty-eight participating councillors said that capacity-building programmes should prioritise job-related training for those who lack market-related job skills; 18 felt that the municipality should offer opportunities to councillors without a post-matric qualification to gain a qualification; and 12 wanted the municipality to provide financial assistance or bursaries for tertiary education for councillors.

The municipality should offer training/qualification to further my career/everyone without a post-matric qualification should be offered training/training to help get a job after term ends	18
The municipality should offer financial assistance/bursaries for tertiary education for councillors	12
Education/training to prepare councillors for an exit should start at the beginning of their term	5

Prioritise job-related training for councillors and officials to improve skills, especially for those who lack job-related skills	28
Prioritise councillor training to improve their performance	3
Training should focus on scarce skills such as technical skills	7
Training for Council and Administration should be compulsory to raise the level of service delivery	11
Compulsory training for administration and council leaders and senior managers	2
More regular/quarterly training needed / training must be ongoing and improve the functioning of the institution	4
Women should have the same opportunities for training as men do	3
Councillors need peer learning to share best practices	2

Participants' specific training requests:

The specific training requests reflect concerns about the financial management capacity of the municipal administration and council. These concerns are also indicated in the self-assessments of Pillar 4. Thirty-seven participating councillors requested ongoing training in financial management, budgeting and public finance for council and administration. The rest of the specific training requests cover a wide range of subjects, with nine participating councillors suggesting training in leadership and management for senior administration officials.

Ongoing financial management/budget/public finance training for Council and Administration	37
I would like training in leading/managing change	3
I would like training in ethics and the constitution	4
I would like training in stakeholder co-ordination	1
I would like training in internal audit	1
I would like training in politics	1
I would like training in community safety	1
I would like training in planning skills, including strategic planning, operational planning and development planning	3

I would like training in project management	1
I would like training in basic service delivery	1
More training is needed in consequence management	1
I need computer training	3
I want to improve my understanding of HIV/AIDS. HIV/AIDS is a major challenge in the community	3
I want to know more about labour relations	1
Training in policy development/how to improve policies and procedures	4
Training needed in planning and organising skills	2
Training to assist the institution to improve stakeholder co-ordination and relationships	1
Training needed in communication and community participation	1
More training in leadership and management for administration	9
Administration leaders need training in competence management	3
Councillors need training in competence management / recruitment	1
Training to assist the institution in setting and achieving development goals	1
More training for administration officials to improve the municipality	2
Training needed in new developments, e.g., technology; climate change; COVID	1
Courses on gender stereotyping and how to deal with it	3
Responsibilities of women in leadership positions	3
Leadership management for councillors	1
Training should be job-related	1
Councillors should be trained on all medium and low B2B competencies	1
Councillors need to know more about local government	2
Councillors need to improve their written and verbal English	1
Councillors need mentoring skills	7
Councillors need training in legislation related to local government	1
Training in public administration for councillors to understand how the municipality functions	2

Participants' comments about COGTA training courses:

Comments about COGTA training courses are generally positive, with 81 participating councillors saying that COGTA's courses are very helpful and assist them in improving their job performance. Twelve want COGTA to do more training and offer a wider range of subjects; and 12 want COGTA's courses to be more job-specific.

COGTA's courses are very helpful. The course/s I attended assisted me to do/understand my job better on a range of issues	81
COGTA's courses opened our minds and empowered us	3
COGTA's courses assisted me to update my personal profile / obtain a qualification	5
We should get documents to take home	1
COGTA should offer more training / more courses / more often	12
COGTA training should be compulsory	3
COGTA training should be more job related and job-specific	12
COGTA should prioritise skills shortages	1
COGTA should prioritise qualifications to help councillors get a job	3
COGTA should focus on councillors	1
COGTA should have a skills development academy for councillors who want to obtain qualifications	6

Participants' comments about the management of training in their institutions:

Comments about the management of training also indicate a desire for more training. Thirty-six participating councillors want more training, more often; and 19 think more funds should be made available for training.

More funds to be allocated for training / bigger budget	19
Training funds should be used better	1
Spend more on training	1
More skills audits	1
More training more often	36

More courses	1

Participants' comments about institutional capacity:

Comments about institutional capacity show concerns about the negative impact of political interference in recruitment, especially the appointment of unqualified people to senior management positions in the administration and poor service delivery. Thirty-six participating councillors want only qualified people appointed to senior positions in the administration and an end to political interference in recruitment; 12 want only qualified people appointed to all levels in the administration; and 23 want the eradication of corruption, nepotism, maladministration, and wasteful expenditure.

Appoint qualified people to senior positions in the Administration/people in leadership positions must be qualified and skilled / remove political interference in recruitment	36
People in leadership positions must be financially skilled	1
Appoint qualified, skilled people to all levels in the Administration	12
Not enough officials are qualified/skilled for their jobs / all staff must be qualified, skilled for their jobs	3
Appoint qualified people to technical positions in the Administration	1
Improve recruitment policies and procedures	1
The institution must plan training needs	1
Fill vacant posts in the administration with qualified, skilled people	8
Appoint more women to senior positions/leadership positions	4
Leaders to do a better job of leading and managing/improving staff performance	2
Poor quality of leadership in Council	1
Poor leadership and corruption are the biggest problems	4
Eradicate corruption, nepotism, maladministration and wasteful expenditure	23
Rid the administration of corrupt, unskilled officials at all levels and of corrupt tenders for companies that don't meet the criteria	5

Corrupt officials must be removed, face charges and pay back the money	6
Do more to improve service delivery/performance of the municipality	6
Do more to improve financial management and economic development	2
Gender inequality must be addressed	1
All is well / all is fine in the institution	2
We could do more if we had more funds	1
The monocolpate is dysfunctional / under administration	5
The administration should communicate more often with councillors	1
The administration needs to understand the role of the councillor	1
Public participation is the key challenge	1
Leaders in the administration need to understand community needs	1
Community unhappy with municipality's performance	1
The administration must work better with community/community complaints about poor service delivery	6
Legal compliance needs to improve, especially in public participation	2
The computer system is down so often we are hampered in doing our work/need to improve system	2
Councillors do not all understand their role in the same way	1
The community doesn't understand how the municipality works	1
Lack of budget, not skills, hampers some activities such as 'culture of payment' campaigns	1

7.3 Senior Administrators

7.3.1 Profiles of Participating Senior Administrators

Current positions

Eighty senior administrators, including eight municipal managers and 28 Section 56 managers, participated in the interviews. In addition to the eight municipal managers, 38 of the 80 senior administrators were in finance-related positions; and five were in

technical positions. Most of the remainder (9) were in human resources and legal positions.

Municipal Manager	8
Chief Financial Officer	9
Revenue Manager	1
Expenditure Manager	1
Budget, Planning, Implementation and Monitoring Manager	1
Corporate Services Manager	6
General Manager Infrastructure Services	1
Electricity Manager	1
Manager in MMs Office	4
Supply Chain Manager	9
Asset and Liabilities Manager	2
Human Resources Manager	9
Legal Services Manager	6
Manager Financial Control	7
Senior Manager Governance and Performance	3
Information and Communication Technology Manager	3
Human Settlements Manager	4
Chief Audit Executive	2
General Manger Community Services	1
Project Management Manager	2
Total	80

Age

Most participating senior administrators (57) were between 41 and 50 years of age; three were below 40; and none were older than 60.

Age	<40	41-50	51-60	>60
	3	57	20	--

Gender

Of the 80 participating senior administrators, 47 were male, and 33 were female.

Gender	Male	Female
	47	33

Population group

Seventy-five of the 80 participating senior administrators were African, and none
were white

Population Group	African	White	Indian	Coloured
	75	--	4	1

Disability

None of the participating senior administrators had a disability

Disability – physical or mental	Yes	No
	--	80

Educational qualifications

Seventy-nine of the participating senior administrators answered this question. All
claimed to have relevant post-matric qualifications; 37 had a degree; and 29 had a
postgraduate qualification.

Highest educational or job-related qualifications	Postgraduate degree/diploma	29
	Degree – relevant to this position	37
	Post-school diploma – relevant to this position	13

Work experience

Fifty-six participating senior administrators had 1 to 5 years of experience, while 22 had 6 to 10 years. None had more than ten years of experience in their current position. Two did not respond to the question.

Years of service in this position	1-5	6-10	11-15	16-20	21+
	56	22	--	--	--

Forty-seven participating senior administrators had 6 to 10 years of experience in a municipality in another position, and only 3 had more than 15 years of experience.

Years of experience in a municipality in other positions	1-5	6-10	11-15	16-20	21+
	8	47	21	2	1

Most of the participating senior administrators (35) had 1 to 5 years of experience in another sector, and only 3 had more than 15 years of experience.

Years of experience in other sectors	1-5	6-10	11-15	16-20	21+
	35	6	19	3	--

7.3.2 Individual Competencies

The B2B approach lists essential competencies that individual local government officials and councillors would have to apply to be effective and efficient in local government's five basic focal points, referred to as pillars. The five pillars are: putting people first; adequate and proficient administration and transparency; reliable financial administration and accounting; community-oriented service delivery and competent establishment of robust municipal institutions. Participating senior administrators were asked to self-assess their competencies according to the 5 Pillars of the B2B Approach as defined for local government. There were significantly more claims of high competence than there were of medium or low competence, except in a few instances.

Pillar 1: Putting people first: listen and communicate. [78 responses]

About half of the participants rated their competence as medium in providing regular feedback on petitions and complaints and supervising and reacting to grievances, appeals and other opinions. All participants rated their competence as high in creating clear engagement platforms with civil society; implementing responsive and accountable processes for communities; and understanding the principles of co-operative government and intergovernmental relations.

Skills statements	Claimed level of competence in each skill		
	1= Low	2= medium	3= high
Create clear engagement platforms with civil society	--	--	78
Implement responsive and accountable processes in communities	--	--	78
Provide regular feedback on petitions and complaints	--	26	52
Monitor and act on complaints, petitions and other feedback	--	28	50
Implement community engagement plans targeting hotspots and potential hotspots areas	--	3	75
Utilise the CDWs, Ward Committees and Ward Councillors to communicate projects earmarked for implementation	--	2	76
Communicate plans to deal with backlogs	--	1	77
Understand the principles of co-operative government and intergovernmental relations.	--	--	78
Act appropriately to resolve areas of protest, including labour disputes	--	10	68
Hold regular engagements with organised labour.	--	7	71

Pillar 2: Adequate and community-oriented service delivery. [80 responses]

Thirty-one of the 80 senior administrators had a medium level of competence in delivering basic services like electricity, water, sanitation, and waste removal. More than half of the participants selected the medium rating to indicate their level of competence for ensuring that the minimum basic services are provided (54);

increasing CWP sites that target the unemployed youth in informal settlements to render day to day services such as cutting grass, patching potholes, cleaning cemeteries, etc. (48); and improving policing and installation of high mast lighting (53). There were no skills on which all the participants rated their competence as high.

Skills statements	Claimed level of competence in each skill		
	1= Low	2= medium	3= high
Identify, analyse and resolve service delivery failures urgently	--	5	75
Deliver the minimum basic services	--	31	49
Ensure that services such as cutting grass, patching potholes, working robots and streetlights and consistent refuse removal are provided.	--	54	26
Provide basic services and maintenance	--	21	59
Improve mechanisms to deliver new infrastructure at a faster pace whilst adhering to the relevant standards	--	4	76
Maintain existing infrastructure to ensure continuity of service provision	--	5	75
Ensure long term finance for infrastructure and multiyear facilities strategy for up keeping the facility	--	15	65
Increase CWP sites targeting the unemployed youth in informal settlements to render day to day services such as cutting grass, patching potholes, cleaning cemeteries, etc.	--	48	32
Extend the reach of basic services to communities living in informal settlements	--	9	71
Improve policing and installation of high mast lighting	--	53	27
Ensure proper maintenance and immediate addressing of outages or maintenance issues.	--	7	73
The role of municipalities, communities and community leaders in local economic development	--	6	74
Understand how procurement can assist in improved service delivery, local economic development and black economic empowerment	--	1	79

Pillar 3: Good governance and transparent administration. [80 responses]

Forty-six of the 80 senior administrators indicated a medium level of competence in undertaking awareness drives against illegal connections, cable theft, and manhole covers. All participants selected a high rating to indicate their competence in acting decisively against fraud and corruption and cutting wasteful expenditure.

Skills statements	Claimed level of competence in each skill		
	1= Low	2= medium	3= high
Role clarity between various structures	--	12	68
Ensure active and functional supervision panels are in place e.g., Evaluation panel, and Municipal Public Accounts Committee	--	11	69
Act decisively against fraud and corruption.	--		80
Cut wasteful expenditure	--		80
Undertake awareness drive in communities regarding illegal connections, cable theft, manhole covers etc.	--	46	34
Monitor how many tenders were awarded, how long the tender process takes and the total value of awards	--	1	79

Pillar 4: Sound financial management and accounting. [80 responses]

Most senior administrators selected a high rating to indicate their competence in the assessment.

Skills statements	Claimed level of competence in each skill		
	1= Low	2= medium	3= high
Ensure a functional financial management system that includes rigorous internal controls.	--	4	76
Address Post Audit Action Plans	--	4	76
Ensure effective revenue collection and debtor management processes	--	5	73
Supply Chain Management structures are in place and functional according to regulations.	--	4	76
SCM structures and controls with appropriate oversight	--	5	75
Prepare cash-backed budgets	--	9	71

Timeous monthly reports required by National Treasury	--	7	73
Timeous annual financial statements	--	12	68
Enhance the municipality's capabilities to be able to spend the allocated budget	--	3	77
Achieve clean audit	--	4	76
Follow up Auditor General's findings	--	13	67

Pillar 5: Robust institutions with skilled and capable staff. [80 responses]

All the participating senior administrators assessed their competence as high in: 'Strategic and long-term planning' and 'Managing diversity and employment equity'. Approximately half of the respondents assessed their competence as medium in appointing persons with the requisite skills, expertise, and qualifications; filling vacancies in critical positions; monitoring senior personnel functionality agreements; and addressing gaps in the functionality standards of senior managers.

Skills statements	Claimed level of competence in each skill		
	1= Low	2= medium	3= high
Recruit personnel with relevant skill sets and qualifications	--	38	42
Fill vacancies in critical positions	--	54	26
Implement and manage performance management systems	--	5	75
Monitor senior manager's performance agreements.	--	36	44
Address gaps in the capability norms of executive admiration	--	36	44
Develop and update policies and procedures	--	4	76
Action plans to implement policies	--	3	77
Operational planning	--	2	78
Strategic and long-term planning	--	--	80
Organisational design and structure	--	1	79
Managing diversity and employment equity	--	--	80

Core competencies in compliance with the regulations emanating from the Municipal Systems Act.

Seventy-nine of the 80 participants responded to this question. Adequate competence levels in these skills are required to appoint municipal managers, Section 56

managers, and certain financial positions such as the Supply Chain Manager. The vast majority of the 79 participating senior administrators claimed high levels of competence in these skills.

Skills statements	Claimed level of competence in each skill		
	1= Low	2= medium	3= high
Knowledge of local government and related legislation	--	--	79
Customer and service delivery management in terms of Batho Pele	--	--	79
Ethics, integrity and professionalism	--	--	79
Impact and influence in exchanging information and gaining cooperation	--	--	79
Political astuteness to achieve mandate through co-operative functioning	--	2	77
Governance and risk management	--	--	79
Policy conceptualisation and formulation	--	1	78
Build and maintain strategic relationships and influence decision making	--	--	79
Facilitate transformation initiatives and manage change	--	4	75
Define clear performance goals and promote a culture of performance accountability	--	--	79
Create a vision, provide strategic direction and leadership	--	--	79
Critical and innovative thinking	--	--	79
Resources management, including financial, human, knowledge and physical resources and equipment and tools	--	3	76
Negotiation and conflict management	--	2	77
Planning and organising	--	--	79
Programme/ project management	--	--	79

7.3.3 Evaluations of Training Offered by COGTA

All 80 participants responded to this question, but only about a third (27) had attended any COGTA courses. Most of those who had not attended any COGTA courses (70) said it was because no relevant courses were available; and six said they did not have time or were studying independently. All of those who had attended COGTA courses were satisfied with them.

Participants were also asked to comment on how well they thought training courses catered for the needs of women and people with disabilities. Of those who answered this question, 19 felt that COGTA training courses benefitted women; and 25 felt that COGTA training courses benefitted people with disabilities.

Questions	Responses		
	Yes	No	If the answer is 'no', please explain
Have you attended any departmental training courses?	27	53	• Studying part-time [3] • No relevant courses were offered [7] • No technological courses [1] • Not enough time [3] • Conflicts with work priorities [1]
Do you recommend departmental training courses to officials?	27	--	--
Do you think departmental training courses help learners reach their goals?	27	--	-- --
Do you think departmental training courses have relevant course content?	27	--	-- --
Do you think departmental training courses present learning material clearly and well?	27	--	-- --
Do you think departmental facilitators make things easy to understand?	27	--	-- --
Do you think departmental facilitators are knowledgeable about the subject matter?	27	--	-- --
Do you think departmental facilitators are knowledgeable about municipalities?	27	--	-- --
Do departmental training courses usually start on time?	27	--	-- --
Do you think departmental training methods are helpful?	27	--	-- --
Do you think the training venues are suitable?	27	--	-- --
Do you think the training equipment is suitable?	27	--	--

How could training courses, venues, techniques, materials and equipment be more helpful to women?	They are catered for. No change is needed [19] Courses are helpful to everyone [1] There should be more training for women [1]

How could training courses, venues, techniques, materials and equipment be more accessible and/or helpful to people with disabilities	They are catered for. No change is needed [25]

7.3.4 Institutional Competencies

There were 80 responses to this question. Most of the participating senior administrators assessed most of the indicators of institutional capacity as high; 63 rated the quality of leadership in council as medium; and 7 rated it as low. Fifty-eight rated the quality of leadership and management in the administration as being medium, and seven rated it as low. Sixty rated human resources management that involves policies, procedures, practices, outcomes, organograms, job descriptions and filling critical vacancies as being medium; 59 rated employee attitudes including customer service, timekeeping, goal achievement and skills development as being medium; and 50 gave a medium rating to setting and achieving skills development goals with two participants rating this competence as low.

Capacity statements	Rating of organisational competence		
	1=low	2=medium	3=high
Quality of leadership and management in the administration	7	58	15
Policies and standard operating procedures	--	8	72
Performance management, setting KPIs resolving problems and achieving goals	--	21	59
Setting and meeting service delivery goals	--	5	75
Setting and meeting infrastructure development goals	--	3	77

Setting and meeting economic development goals	--	3	77
Achieving IDP goals	1--	13	66
Human resources management: policies, procedures, practices, outcomes, incl. organogram, job descriptions and filling critical vacancies	1	60	19
Setting and achieving skills development goals	2	50	28
Knowledge resources: systems to retain institutional memory	--	2	78
Physical resources: vehicles, computers and other equipment, facilities and systems	--	3	77
Planning including action plans, project plans, operating plans, maintenance plans, annual plans, development plans, strategic plans, etc	--	4	76
Financial management, including record keeping, AFS, budgeting, good governance and procurement practices	--	6	74
Managing change	--	3	77
Managing community protests and labour disputes	--	10	70
Managing crises and environmental disasters	--	4	76
Relationships with stakeholders including IGR, communities, employees, traditional leaders, councillors	--	24	56
Legal compliance, including reporting and public participation	--	3	77
Employees attitudes including customer service, timekeeping, goal achievement and skills development	--	59	21
Quality of leadership and management in Council	3	63	14

7.3.5 Comments by Participating Senior Administrators

The participants were asked to make comments at several stages during the interview. The subjects they selected for their comments were not solicited, but the preceding interview topics likely influenced them. For reporting purposes, the participants' comments are divided into five sections: general comments about training; specific training requests; comments about COGTA training courses; comments about the management of training; and comments about institutional capacity. Not all participants made comments. Some of those who did, made very few comments, and some participants made several comments.

Participants' general comments about training:

Thirty-nine of the participating senior administrators think training should focus on developing job-related training towards improving the functioning of the municipality. Twenty-two think training should be compulsory for all staff, to develop skills to improve service delivery. Twenty-one think training should be compulsory for all councillors to ensure they have skills to do their jobs and assist those with no educational qualifications; and 21 think employees should be encouraged to improve their qualifications by making bursaries available.

Employees should be encouraged to improve their qualifications/bursaries for tertiary study should be available for all	21
Training should focus on developing scarce skills, especially technical and financial skills	15
Training should focus on developing/improving job-related skills to improve the performance of the municipality	39
Training should focus on underqualified staff to help them do their jobs	6
Training should be compulsory for all staff, to develop skills and improve service delivery	22
Training should be compulsory for leaders/senior managers to develop leadership skills	3
Training should be compulsory for all councillors / many have no qualifications/councillors need to be trained to do their jobs	21
More training for all councillors, managers and officials	15
Training is not taken seriously enough	1
A lot of training is needed	1
Money used for consultants should be used to train under-skilled staff	10

Participants' specific training requests:

Most of the participating senior managers suggested specific training subject areas for councillors as well as for administration officials; 13 want higher priority to be given to leadership/management development; ten want to ensure qualifications for councillors

with low levels of education together with more funds or bursaries for councillor qualifications; 8 think training should address technological skills, such as social media and internet to ensure staff keep up with the times; and eight have listed job-related subject areas for councillor training courses.

Councillors need training in all aspects of their jobs, especially • governance • importance of council meetings • leadership development • financial management • project management • community development • electronic media	8
Training to improve councillors' communication with the community	3
Training to improve councillors' interaction with administration	2
All employees should have training in legislation that applies to local government	2
Training should address 'new' technological skills, such as social media; the internet, to ensure staff keep up with the times	8
Higher priority should be given to leadership/management development for senior managers and councillors	13
Capacity-building and performance management should be prioritised	1
More training in technical, ICT and financial skills	5
Prioritise training in finance to improve audit outcomes	3
Qualifications for councillors with low levels of education / more funds or bursaries for Councillor qualifications,	10
Senior managers should be able to mentor and motivate staff/support and develop staff	4
Employees need skills to improve service delivery	1

Participants' comments about COGTA's training programmes:

Twenty-two senior administrators would like COGTA to train more administration officials and offer more training sessions, while 12 think COGTA's training programmes should be job-specific.

Senior managers should attend COGTAs courses	1
COGTA's courses are relevant and helpful	5
COGTA's training should be job-specific	12
COGTA should focus on scarce skills	1
COGTA should do more training / more often for administration officials	22
COGTA training should be compulsory for all staff and councillors	7
Align COGTA training to the skills audit	1
COGTA should focus on councillors	1
COGTA should focus on underqualified staff and councillors	3
A pool of people with critical/scarce skills should be trained, so they are available for municipal recruitment	1

Participants' comments about the management of training in their institutions:

Of the 80 participating senior administrators, 56 think the training budget should be increased so that more funds are available for training; 12 want to see SDF vacancies filled by qualified professionals who can plan and implement training strategies; and nine believe that training resources are being used to develop the skills of unqualified political appointees and should be used to improve the abilities of properly appointed, qualified employees.

Higher priority should be given to monitoring and evaluation of training	3
More funds to be allocated to training / bigger training budget	56
Spend more on training	3
Training funds are limited and should be used properly / should not be used to train unqualified appointees	4
Only reputable training providers with a good track record should be used	8

SDF vacancies should be filled by qualified professionals who can plan and implement training strategies	12
Sector skills development strategies should be implemented	2
There should be monthly training reports	1
There should be an annual training plan	1
Skills audits should be carried out more often	1
There should be a process for developing a training plan	1
COGTA's skills audit/skills development strategy should inform training plans	6
Spend more on skills development to improve job performance	1
Political interference and nepotism in hiring means some staff are under-qualified; consequently, training resources have to be spent on them instead of skills development for qualified staff	9

Participants' comments about institutional capacity:

There is significant concern amongst participating senior administrators about the impact of political interference on the institution. Thirty-two say that the municipality should hire only skilled, qualified persons at all echelons, regardless of political affiliation, to assure excellent service delivery; and 28 believe that political influence in hiring unqualified persons hampers the progress of the municipality to rid the municipality of political interference in recruitment, especially senior positions. Twenty-two senior administrators want senior and critical positions in administration and council to be filled by qualified, skilled, experienced people.

Political influence in hiring unqualified persons hampers the progress of the municipality/ rid the municipality of political interference in recruitment, especially in senior positions	28
Remove political interference in appointing staff to senior critical positions	5
Councillors/politicians should not interfere in decisions made by the administration, especially recruitment decisions	4

Senior / critical positions must be filled by qualified, skilled, experienced people in administration and council	22
Leaders should make decisions that are ethical and for the good of the municipality and the community without fear, favour or political influence	4
Hire only skilled, qualified persons at all levels, regardless of political affiliation, to ensure good service delivery / do not hire unqualified people	32
Lack of technically skilled staff / attract people with technical skills	7
Attract skilled finance staff	3
Attract skilled ICT staff	1
Councillors should have at least a post-matric qualification	1
Quality of leadership in Administration and Council needs improvement / senior managers' job specifications should require higher qualifications and more experience	12
Councillors and senior managers should engage more with communities / listen to their views/communities complaints about service delivery	6
There should be women in leadership positions	1
Maladministration, corruption and wasteful expenditure must stop. They impact negatively on the functioning of the municipality	4
The municipality is doing well	2
The municipality's performance is poor / needs to improve service delivery, communication with the community	13
Fill vacant posts with skilled, qualified persons	10
Fill critical vacancies, there a shortage of specialised employees/ lack of staff with special skills	5
Rid the municipality of unqualified, unskilled officials who ruin the reputation of the municipality	1
Remove unqualified, unskilled employees from their posts and send them for training	1

7.4 Skills Development Officials

Each municipality typically has one official for skills development. Eight municipalities participated in this study, and six skills development officials were interviewed.

7.4.1 Profiles of Participating Skills Development Officials

Age

All the participating skills development officials were less than 40 years of age.

Age	<40	41-50	51-60	>60
	6	--	--	--

Gender

Five of the six participating skills development officials were male.

Gender	Male	Female
	5	1

Population group

All the participating skills development officials were African.

Population Group	African	White	Asian	Coloured	Other
	6	--	--	--	--

Disabilities

None of the participating skills development officials had a disability.

Disability – physical or mental	Yes	No
	--	6

Qualifications

All the participating skills development officials had a degree or diploma. However, only two qualified relevant to a skills development function.

Highest educational or job-related qualifications	Public Administration	2
	Administration and Finance	2
	Human Resources Management	2

Experience

Three of the participating skills development officials had four years of experience or less in their current position; and three had five years or more.

Years of service in this position	0-4	5-9	10-14	15-19	20+
	3	3	--	--	--

Three of the participating skills development officials had four years of experience or less in another position in a municipality; and one had five years or more.

Years of experience in a municipality in other positions	0-4	5-9	10-14	15-19	20+
	3	1	--	--	--

None of the participating skills development officials had any experience in another sector.

Years of experience in other sectors	0-4	5-9	10-14	15-19	20+
	--	--	--	--	--

7.4.2 Individual Competencies

The B2B approach lists essential competencies that individual local government officials and councillors would have to apply to be capable and productive in the local government's five basic focal points, called pillars. The five pillars are: putting people first; sufficient community-focused service dispatched; good governance and transparency; value for money and accounting; and robust institutions. Participating skills development officials were asked to self-assess their competencies according to the 5 Pillars of the B2B approach as defined for human resources practitioners. There were significantly more claims of medium competence than there were of high or low competence, except in a few instances.

Pillar 1: Putting people first: listen and communicate

Of the 13 skills listed in Pillar 1, all six participating skills development officials assessed their competence as being medium in all of them except for 'Interact with local, provincial and national media to effectively advertise vacant positions', where four assessed their competence as low, and 'Takes the role of a liaison person between Sector Education and Training Authority (SETA) and the employer', where 3 assessed their competence as being high.

Skills statements	Claimed level of competence in each skill		
	1= low	2= medium	3= High
Interact with local, provincial and national media to effectively advertise vacant positions	4	2	--
Interact with management regarding filling of critical vacancies	--	6	--
Set up and train an interview panel	1	5	--
Set up and train a Training Committee according to the Skills Development Act	--	6	--
Give guidance to members of the administration on capacity advancement	1	5	--
Give guidance to members on their duties and obligations of the organisation engaging in capacity advancement	1	5	--
Conduct regular engagements with labour	--	6	--

Takes the role of a liaison person between SETA and the employer	--	3	3
Keep the employer informed on the implementation of the WSP	--	6	--
Communicate with all employees concerning events and grants being offered at the Seta.	--	6	--
Communicate Seta initiatives, grants and benefits to the employer.	--	6	--
Becomes the key liaison with regards to all aspects of Skills Development.	--	6	--
Analyse, interpret and communicate information	1	5	--

Pillar 2: Adequate and community-oriented service delivery

All the skills development officials assessed their competence in 'Making an effort towards comprehending the attributes of the work domain' as being medium. Three selected a high rating, and three selected a low rating to indicate their level of competence in 'Prepare interview questions to identify applicants' competencies'. Four selected low to indicate their competence in 'Analyse IDP and organisation's strategic plans to identify skills development and staffing needs' and 'Identify actions [e.g., learnerships, interns] to increase the skilled labour pools available in the municipality'.

Skills statements	Claimed level of competence in each skill		
	1= Low	2= medium	3= high
Analyse IDP and organisation's strategic plans to identify skills development and/or staffing needs	4	2	--
Analyse affirmative action plans to identify recruitment preferences	2	4	--
Examine external characteristics that have an effect on physically challenged individuals	1	5	--
Make an effort toward comprehending the attributes of the work domain	--	6	--
Identify actions [e.g., learnerships, interns] to increase the size of the skilled labour pools available to the municipality	4	2	--
Prepare or update job descriptions to ensure they are relevant to current needs	3	3	--
Prepare interview questions to identify applicants' competencies	3	--	3

Pillar 3: Good governance and transparent administration

All six of the participating skills development officials rated their competence as being medium in 'Ensure compliance with LRA; EEA; Skills Development Act; Levies Act, MFMA, etc.'; 'Apply principles, regulations, and legislation underlying SCM in the public sector'; 'Facilitate identified training programmes within the institution' and 'Conduct skills development administration in an organisation'.

Skills statements	Claimed level of competence in each skill		
	1= low	2= medium	3= high
Ensure compliance with LRA; EEA; Skills Development Act; Levies Act, MFMA, etc.	--	6	--
Ensure fair recruitment policies and practices	1	5	--
Examine the training advancement laws and implement them in the occupational precinct	1	5	--
Apply principles, regulations and legislation underlying supply chain management in the public sector	--	6	--
Advise, capacitate and contract service providers	1	2	3
Establish an institutional skills advancement programme	--	6	--
Develop an organisational staffing plan	1	5	--
Develop an organogram that is fair and supports goal achievement	2	4	--
Carry out an examination to consider results of studying for training competencies improvement	2	4	--
Facilitate identified training programmes within the institution	--	6	--
Conduct skills development administration in an organisation.	--	6	--
Evaluate a skills development proposal	4	2	--
Develop plans for implementing Learnerships and Skills Programmes within a learning organisation	1	5	--
Utilise training on good governance principles, standards and acceptable behaviour in the municipal sector management and administration	1	5	--

Pillar 4: Sound financial management and accounting

Four of the six participating skills development officials rated their competence as low in 'Engage in fiscal and regular financial administration procedures regarding public-sector work context'; and five assessed their competence as being medium in applying

accounting principles and procedures when preparing reports and making decisions. Three rated their competence as low: "Compile the annual training report for the SETA and access the return on the SDL".

Skills statements	Claimed level of competence in each skill		
	1= low	2= medium	3= high
Engage in fiscal and regular financial administration concerning public sector work context	4	2	--
Application of relevant numeracy principles and procedures in consolidating documents and decision making	1	5	--
Apply fair compensation practices	3	--	3
Negotiate with labour unions for annual increases	3	--	3
Compile the annual training report for the SETA and access the return on the SDL	3	--	3

Pillar 5: Robust institutions with skilled and capable staff

Five of the six skills development officials selected a medium rating to indicate their level of competence on three of the six skills in Pillar 5. Three participants rated their competence as low in 'Establish competency standards for managers'.

Skills statements	Claimed level of competence in each skill		
	1= low	2= medium	3= high
Establish competency standards for managers	3	3	--
Recruit, select, appoint persons with the requisite skills, expertise and qualifications	1	5	--
Insist that skilled and educated personnel occupy the top six executive managers posts (Municipal Manager, Finance, Infrastructure, Corporate Services, Community development and Development Planning)	1	2	3
Advise, capacitate and contract service providers	1	5	--
Ensure implementable personnel capacity advancement and administration projects	1	5	--

7.4.3 Evaluation of Training Offered by COGTA

Three of the six participating skills development officials had attended COGTA training courses, and they expressed general satisfaction.

Questions	Responses		
	Yes	No	If the answer is 'no', please explain
Have you attended any departmental training courses?	3	3	Dates clashed with other meetings
Do you recommend departmental training courses to officials?	3	--	--
Do you think departmental training courses help learners reach their goals?	3	--	-- --
Do you think departmental training courses have relevant course content?	3	--	
Do you think departmental training courses present learning material clearly and well?	2	1	Sometimes
Do you think departmental facilitators make things easy to understand?	3	--	-- --
Do you think departmental facilitators are knowledgeable about the subject matter?	3	--	-- --
Do you think departmental facilitators are knowledgeable about municipalities?	3	--	--
Do departmental training courses usually start on time?	3	--	--
Do you think departmental training methods are helpful?	2	1	Managers do not attend training
Do you think the training venues are suitable?	3	--	--
Do you think the training equipment is suitable?	3	--	--

Participants were also asked to comment on how well they thought training courses catered for the needs of women and people with disabilities. Of those who answered this question, three felt that COGTA's training courses benefitted women, and one felt that COGTA's training courses benefitted people with disabilities. Two felt that better access and facilities should be provided for people with disabilities.

How could training courses, venues, techniques, materials and equipment be more helpful to women?	No need for any action. They are fine [3]

How could training courses, venues, techniques, materials and equipment be more accessible and/or helpful to people with disabilities	No need for any action. They are fine [1] Training should provide better access and better facilities for disabilities [2]

7.4.4 Institutional Competencies

Most of the participating skills development officials selected a medium rating for the institution on most of the competencies listed. Four of the six participants rated institutional competence as low in 'Quality of leadership and management in the administration'; 'Quality of leadership and management in council'; and 'Employees' attitudes including customer service, timekeeping, goal achievement and skills development'.

Capacity statements	Rating of organisational competence		
	1=low	2=medium	3=high
Quality of leadership and management in the administration	4	2	--
Performance management, setting KPIs resolving problems and achieving goals	3	3	--
Setting and meeting service delivery goals		6	--
Setting and meeting infrastructure development goals	1	5	--
Setting and meeting economic development goals		6	--
Achieving IDP goals	3	2	1
Human resources management: policies, procedures, practices, outcomes, incl. organogram, job descriptions and filling critical vacancies		6	--
Setting and achieving skills development goals	1	5	--
Knowledge resources: systems to retain institutional memory	2	4	--
Physical resources: vehicles, computers and other equipment, facilities and systems	2	4	--
Planning including WSP, action plans, project plans, operating plans, maintenance plans, annual plans, development plans, strategic plans, etc	--	6	--
Financial and other resources for training	1	5	--
Managing change	1	5	--
Managing community protests and labour disputes	--	6	--
Managing crises and environmental disasters	--	5	--

Relationships with stakeholders including LG SETA, IGR, communities, employees, traditional leaders, councillors	1	3	2
Legal compliance, including reporting and public participation	2	4	--
Employees attitudes, including customer service, timekeeping, goal achievement and skills development	4	2	--
Quality of leadership and management in Council	4	2	--

7.4.5 Comments by Participating Skills Development Officials

The participants were asked to make comments at several stages during the interview. The subjects they selected for their comments were not solicited, but the preceding interview topics likely influenced them. For reporting purposes, the participants' comments are divided into five sections: general comments about training; specific training requests; comments about COGTA's training courses; comments about the management of training and comments about institutional capacity. Not all participants made comments. Some of those who did, made very few comments, and some participants made several comments.

Participants' general comments about training:

Participants' comments in this section refer to offering more training for different groups.

Do more training for councillors	2
Do more skills development for people with disabilities	1
Do more skills development for women	1
Do more skills development for senior managers – they do not attend training	1
SDFs need training – municipalities appoint unskilled public administration interns	1

Participants' specific training requests:

There were no responses in this section.

Participants' comments about COGTA's training:

The comments in this section suggest satisfaction with COGTA's training programmes. However, one participant expressed a desire for courses to be presented on more than one date to allow people to select a date that did not conflict with other work commitments.

COGTA training is good	2
COGTA should provide more training dates for each course to assist SDFs in selecting a suitable date	1

Participants' comments about the management of training in their institutions:

The comments in this section suggest a need for training to be properly managed and funded.

Increase the training budget	4
Need a specialised skills development unit with professional staff, reporting to Corporate Services Manager	3
A proper training plan should be developed, tabled to the council and approved	2
SDFs should have a platform to engage with officials and councillors on training matters	1
SDFs should attend and participate in meetings with managers on training matters	1
SDFs should make training decisions – they compile a draft WSP/ATR, which a manager completes	1

Participant's comments about institutional capacity:

There were only two comments in this section, and they both refer to increasing diversity in the institution.

| There should be more people with disabilities in the management | 1 |
| The municipality should provide more tools for people with disabilities | 1 |

7.5 Critical Analysis of Interview Results

The interview responses recorded above should be read in the context of several factors that have influenced participants' thinking as they responded to the interview questions. These include the approaching local government elections and the pressure this period creates for councillors as the end of their terms of office approaches, and many fear they will soon find themselves unemployed; increasingly rapid changes in spending priorities in municipalities due to COVID-19, natural disasters and new technology; high unemployment and the economic recession which impacts communities; a growing intolerance for corruption and poor performance together with increased consequence management; and a recent increase in performance management programmes conducted by COGTA which has increased the pressure to improve performance, especially in service delivery, governance and financial management. These factors appear to have created a degree of defensiveness amongst local government councillors and administrators, manifesting in resistance to participating in this study.

Consequently, the researcher faced many challenges to find participants for this study. However, those who participated were generally positive and co-operative. Six participating councillors and three senior managers said that the interviews had helped them understand the skills required to improve the functioning of their institutions.

Some of the desktop analysis findings, including COGTA's skills audits, will be included in the following description to present an evaluation of capacity-building.

7.5.1 Key Characteristics of Participants

Table 7.1 presents a consolidated picture of the characteristics of the councillors, senior administrators and skills development officials who participated in the interviews.

Table 7.1: Majority Characteristics in each Group

Characteristic	Councillors (201 participants)	No.	Senior Administrators (80 participants)	No.	Skills Development Officials (6 participants)	No.
Age	41 – 50	73	41 - 50	57	< 40	6
Gender	Women	124	Male	47	Male	5
Race	African	193	African	75	African	6
Disability	No	183	No	80	No	6
Education	Post-matric qualification	132	Degree	37	Post-matric qualification	6
Years in current position	1-5 years	144	1-5 years	56	1-7	6
Previous LG work experience	1-5 years	17	6-10 years	47	None	0
Work experience in another sector	6-10 years	46	1-5 years	35	None	0

This study was conducted on only eight of the 54 municipalities in KZN. However, the education levels claimed by councillors appear to be higher than expected based on the findings from skills audits of all municipalities conducted by COGTA, which indicated that most municipal councillors in KZN left school before Grade 12. The qualifications claimed were mainly certificates and diplomas; they might be post-school qualifications, but it is unlikely that almost 66% of the municipal councillors in

this sample have a post-matric qualification. However, the participants' responses were anonymous, so checking them against other records is impossible.

Similarly, the educational levels claimed by administrators were unexpected. Of the senior administration officials in this study, 37% claim to have at least one degree, but the number should be 100% at their occupational level. The skills development officials are interns who have recently completed tertiary qualifications but do not have prior work experience.

7.5.2 Participants' Self-Assessments of their Competence Levels

The three groups of participants provided self-assessments on competencies listed in the 5 Pillars of the B2B approach. The competence statements relate to each group's job functions. Therefore, each group was presented with a different set of statements.

7.5.2.1 Councillors' self-assessments

More than 150 of the 195 councillors who responded to this section selected a high rating to indicate their level of competence in all the competencies listed in Pillar 1 (Putting people first: listen and communicate); and between 111 and 155 selected a high level of competence in Pillar 2 (Adequate and community-oriented service delivery). Surprisingly, this included the statements: 'Ensure municipality provides basic services and maintenance' and 'Understand the application of concepts and tools for local economic development'. Both service delivery and economic development are significant weaknesses in the municipalities studied.

Regarding Pillar 3 (Good governance and transparent administration), between 118 and 174 councillors assessed their competence as high in all the competence statements. All the municipalities that were study sites in this research were either under Section 139 intervention or had been assessed by COGTA as dysfunctional in terms of B2B criteria. So, it is highly unlikely that the councillors' self-assessments were realistic. In fact, during the same year (2020) as this study was conducted, the performance of councillors in their oversight function (Pillar 3) was so poor that

COGTA conducted a skills audit of MPAC and Audit Committee members to arrange interventions to address their skills gaps.

Pillar 4 (Sound financial management and accounting) was the only pillar where a significant number of the 201 councillors who responded to this section assessed themselves as having medium competence. More than 30% selected medium ratings in 'Analyse and consult on annual budget'; 'Analyse AG's report'; and 'Analyse financial statements and reports'. More than 60% of participating councillors selected a medium rating to indicate their competence in: 'Ensure post-audit action plans and monitor internal audit and controls'. Sixty-six selected a low level of competence in 'Revenue collection and debtor management processes'. In general, self-assessments for Pillar 4 seem to be unrealistically inflated, given the poor financial performance of these municipalities. However, there does seem to be some recognition of deficiencies in the required competencies.

In Pillar 5 (Robust institutions with skilled and capable staff), between 92 and 154 of the 195 councillors who responded to this section assessed their competence as high in all competence statements except two. Self-assessments of a medium competency level were higher than assessments of high competence for the skills statement 'Ensure competency standards for managers', and they were nearly equal to 'Ensure appointment of persons with the requisite skills, expertise and qualifications'. This correlation indicates that councillors are aware that they are failing or struggling to appoint competent municipal managers or to ensure the appointment by municipal managers of competent Section 56/57 managers.

Councillors' institutional capacity assessments were lower than their own competency assessments but still very high given the municipalities' dysfunctionality. Most of the 196 councillors who responded to this question assessed institutional competencies as medium. The highest number of medium ratings were for institutional competence in setting and meeting economic development goals (125); achieving IDP goals (128); and setting and achieving skills development goals (129).

7.5.2.2 Senior administrators' self-assessments

Senior Administrators provided self-assessments on a different set of competencies listed in the 5 Pillars of the B2B approach. Self-assessments by senior administrators also painted a picture of unrealistically high self-assessments and little in the way of critical assessment of institutional capacity. However, there was more variety in the responses. This variance is possibly due to administrators having different and separate responsibilities, whereas the work of councillors is less differentiated. For example, some senior managers are not directly responsible for meeting service delivery goals, but all councillors must oversee basic services. Therefore, a medium or low self-assessment is more likely to mean that the statement refers to an activity that is not part of the official's job description than it does to a skills gap.

In Pillar 1 (putting people first: listen and communicate), all 78 respondents rated their competence as high on 'Create clear engagement platforms with civil society'; 'Implement responsive and accountable processes to communities'; and 'Understand the principles of co-operative government and intergovernmental relations'. If senior administrators do have a high degree of competence in these activities, the question is, why are they not doing them? Part of the reason for implementing the DDM is poor intergovernmental relations and weak engagement with communities.

In Pillar 2 (adequate and community-oriented service delivery), most respondents rated their competence as high on most of the statements and in Pillar 3 (good governance and transparent administration), most assessed themselves as highly competent in 'Ensure functional oversight committees are in place, e.g., Audit Committee and MPAC's'. All participants claimed high competency levels in 'Act decisively against fraud and corruption' and 'Cut wasteful expenditure'. However, according to the AG, local government performance in these areas is very poor and deteriorating.

Pillar 4 (sound financial management and accounting) addresses critical municipal weaknesses, including poor supply chain management and the failure to achieve a clean audit. Nevertheless, the majority of the senior administrators assessed their competence in these skills as high. In fact, on the statement 'Achieve clean audit', 76

of the 80 respondents assessed their competence as high. However, none of the municipalities in the sample were achieving clean audits.

In Pillar 5 (robust institutions with skilled and capable staff), all 80 respondents assessed their competence as high on most stated competencies. If true, these high levels of competence would ensure well-staffed and well-functioning institutions; this is demonstrably not the case.

Senior administrators were also asked to assess their competencies against the competencies listed in the regulations emanating from the Local Government: Municipal Systems Act for the appointment of senior local government administrators. Seventy-nine of the 80 participants responded to this question. The council should ensure an adequate level of competence in these skills before senior administrators are appointed, but they are unlikely to do so. Seventy-five of the respondents claimed high levels of competence in the competencies listed here. None of the respondents claimed a low level of competence on any of the competence statements. If this was true, it is very unlikely their municipalities would be distressed unless some significant negative factor is outside of their control. Given the dysfunctionality of their institutions, evidence of political interference that leads to the appointment of unsuitable senior administrators, and a lack of interest in learning, the respondents' generally high self-assessments on all sets of competence statements are not credible.

7.5.2.3 Skills development officials' self-assessments

The skills development officials' self-assessments are very different from those of the councillors and senior administrators. This group is young and educated, and they are both self-critical and critical of their institutions, but their self-assessment might still be unrealistically high. The skills development officials were asked to self-assess their levels of competence on a set of human resource management-related competence statements listed on the 5 Pillars of the B2B approach. There were significantly more selections of medium competence than there were of high or low competence, except in a few instances.

In Pillar 1 (putting people first: listen and communicate), in 11 of the 13 competence statements, all six respondents assessed their competence as medium. In Pillar 2 (adequate and community-oriented service delivery), five respondents assessed their competence levels as low or medium. Concerningly, four of the respondents assessed their competence as low in the statement 'Analyse IDP and organisation's strategic plans to identify skills development and staffing needs', which is one of the critical functions of a training plan. In Pillar 3 (good governance and transparent administration), all six of the respondents rated their competence as medium in three critical skills development functions: 'Ensure compliance with LRA; EEA; Skills Development Act; Levies Act, MFMA, etc.'; 'Develop an organisational training and development plan'; and 'Conduct skills development administration in an organisation'.

Most of the competence statements In Pillar 4 (Sound financial management and accounting) and Pillar 5 (Robust institutions with skilled and capable staff) do not relate directly to the skills development function. The respondents rated their competence on these as medium to low. However, on competencies that directly relate to their responsibilities, three of the six respondents rated their competence as low in: 'Compile the annual training report for the SETA'.

7.5.3 Description of the Self-Assessments

While individual and institutional competence are not the only factors that produce efficient and effective performance, they are important causal factors. Given the poor performance of their institutions, nearly all the councillor and senior administrator participants in this study overestimated their individual competence and the competence of their institutions. What is not clear is why they did this. Possibly, they do not know what 'a high level of competence' means or understand the link between competent employees and good organisational performance. It is also possible that they feel they have learned so much during their terms of office that they feel highly competent compared to their first year or two in the position.

Another possibility is that they are resistant to recognising or dealing with challenging facts. Municipalities in KZN have experienced many audits and assessments recently,

and they have consistently been found wanting as institutions, leaders, and managers. Performance assessments, skills audits and AG audits have been generally negative; five of the eight study sites are under Section 139 administration, while the remaining three have been assessed as dysfunctional. Environmental capacity and capacity-building interventions provided by the national and provincial governments – while not perfect – have not been identified as causal factors in failed municipalities. The full focus has been on corruption and fraud, political interference in recruitment and procurement, and local government's weak individual and institutional capacity as the causes. Perhaps by the time this study was conducted, the participants had absorbed so much criticism that they wanted to deflect the possibility of any more criticism by using their self-assessments to say something like: 'I am not the problem; I know what I am doing'.

Concerning the GAPSKILL skills audit tool, Greyling (no date) notes that the tool should make it possible for a competence profile to be developed for each employee. She defines a competency profile as a summary of the qualifications, experience, and leadership or managerial and functional (or technical or professional) and generic competencies (knowledge, skills, and attitude) that an individual requires to perform that job successfully. Competence levels should also be recorded for each competence listed on the competence profile. If individual councillors and officials had competency profiles, they would have a tool to help them assess their own levels of competence more realistically. Greyling describes levels as noted in Table 7.2 below.

Table 7.2: Descriptions of Proficiency Level per Competence

Level	Level Description
Expert	a) Able to perform effectively and efficiently. b) Able to understand the impact of one's responsibilities on service delivery and innovation, adjust and adapt accordingly.

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	c) Able to advise others and set a benchmark for performance for colleagues and Council
Advanced	a) Able to effectively and efficiently perform one's responsibilities independently. b) Able to understand the impact of one's responsibilities on overall service delivery and administration. c) Perform one's functions confidently with significant and noticeable efficiency.
Intermediate	a) Able to effectively perform one's responsibilities with measurable impact on the organisation. b) However, it still requires support and guidance from managers/and or relevant stakeholders
Basic	a) Able to perform one's responsibilities at a basic level. b) Require constant monitoring and significant support from senior/direct reports and other stakeholders.
Below Basic	a) Performs below basic requirements and requires handholding to be able to perform at a basic level. b) It might require considerable effort and time to develop such an employee at this level. c) It might be advisable to be placed at a level lower.

In the 1970s, Noel Burch, an employee of the Gordon Training Institute, developed a model he called the Conscious Competence Ladder, also known as the Hierarchy of Competence. This model is illustrated in Figure 7.1 below. It identifies four stages in the development of a high level of competence. It is based on the idea that people are unaware of what they do not know or cannot do. As people become more aware of what is required, they progress through stages of competence until they are so skilled,

the practice of the skill is automatic, and they do not have to pay close attention to their actions.

This model supports the importance of institutional practices such as performance management that lead to the compiling of PDPs and competence profiles. In the absence of these practices, or when they are weak, it is possible that even though local government as a whole is criticised for poor performance, or an individual municipality is placed under Section 139 administration, individual councillors and officials do not link poor institutional performance with their own job performance or competence. The model suggests that any local government councillors or senior administrators at the 'unconscious incompetence' stage would not know they were incompetent and might genuinely believe that they are performing well and do not need to learn anything. Only at the next stage – the stage of 'conscious incompetence' – would a person realise things they need to know but do not know and become open to learning. This assertion is also supported by adult education theory, which suggests that adults are more open to learning when they perceive a need for learning.

Government departments offering capacity-building interventions to local governments have identified challenges related to a 'lack of interest in learning'. This research underscores the importance of performance management, competence assessments, and PDPs to raise an individual's awareness of a need for development to improve their job performance. Negative consequences for not implementing PDPs and rewards for implementing PDPs would provide further incentives for skills development. Compulsory training for basic skills development and a programme like continuous professional development programmes that require ongoing refresher and development courses would contribute to developing a learning culture in local government.

Figure 7.1: The Hierarchy of Competence
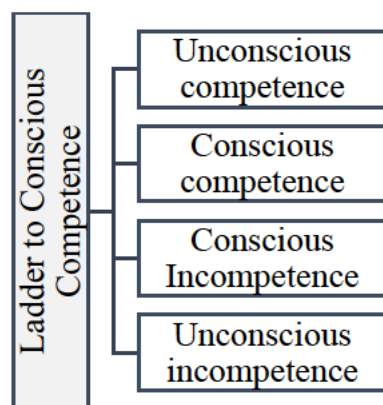
Source: RMS Recruitment website

Based on Burch's model, a study by Dunning and Kruger (1999) concluded that people with low levels of competence on a task could not also accurately evaluate their performance or recognise their own and other people's skill levels. They found that the poorest performers on a task judged themselves as above average regarding competence for the skill they were being tested on, even when presented with evidence of their ineptitude. This tendency to wrongly overestimate one's knowledge or ability in a specific area is known as the Dunning-Kruger Effect, caused by a lack of self-awareness. People cannot accurately judge their own competence and objectively examine their abilities and performance.

7.5.4 Key Capacity-Building Needs That Participants Raised

7.5.4.1 Individual capacity-building needs

The top five individual capacity-building needs identified by councillor and senior administrator participants are recorded in Table 7.3 below. The skills development officials who participated in the study did not mention any training needs for their group or the other groups.

Table 7.3: Individual Capacity-building Needs

Councillors (201 participants)	No.	Senior Administrators (80 participants)	No.
Prioritise practical, job-related training to improve councillors' job performance	40	Training should be practical, job-related training to improve the performance of the municipality	61
Provide ongoing training in financial management and public finance	37	Employees should be encouraged to improve their qualifications/bursaries for tertiary study should be available for all	22
The municipality should offer training or bursaries for councillors without a post-matric qualification to help them find employment after their term ends	30	Training should be compulsory for all councillors. Many have no qualifications and need to be trained to do their jobs	21
More training in leadership and management for administration	9	Training should focus on developing scarce skills, especially technical and financial skills	15
Training should focus on scarce skills such as technical skills	7	Prioritise leadership and management development for senior managers and councillors	13

Despite self-assessments indicating low levels of job competence, none of the skills development officials identified any training needs. In contrast, self-assessed high levels of job competence, the councillor and senior administrator participants identified many training needs. Also, surprisingly, the top training need expressed by both of the latter were similar. Forty of the participating councillors and 61 senior administrators want practical, job-related training to improve performance. This need suggests that they are aware that the poor performance of their institutions could be improved through developing individual capacity. Raising this also suggests that they believe that the training offered is not sufficiently job-related or practical to impact performance.

The subject matter they identify is different for the two groups. While 37 councillors request more training on the financial aspects of their jobs, senior administrators request leadership development for themselves and councillors. Nine councillors agree that leadership development is needed, but only for administrators. Senior administrators are concerned that councillors are not qualified to do their jobs, while councillors want more attention to technical and scarce skills. Finally, both groups are interested in developing scarce technical and financial skills.

7.5.4.2 Institutional capacity-building needs

The top three institutional capacity-building needs identified by each of the three groups of participants are recorded below. Table 7.4. records the top five issues and comments regarding training management in the institutions, and Table 7.4 records the top 5 issues and comments regarding institutional capacity. The participants were silent about the management of training in councils. It appears that this function may not be carried out.

Table 7.4: The Management of Training

Councillors (201 participants)	No.	Senior Administrators (80 participants)	No.	Skills Development Officials (6 participants)	No.
More training more often	37	More funds for training	56	Increase the training budget	4
More funds for training	20	SDF vacancies should be filled by qualified professionals who can plan and	12	Need a specialised skills development unit	3

		implement training strategies			
Training funds should be used better	1	Better planning and management of training	11	A proper training plan should be developed, tabled to the council and approved	2
More skills audits	1	Training funds are limited and should be used properly, not for staff appointed without job qualifications	11	SDFs should have a platform to engage with stakeholders on training matters	2
None		Only reputable training providers with a good track record should be used	8	SDFs should make training decisions	1

All participants appear to want organisation and structure in planning, implementing, managing, and resourced training.

Thirty-seven Councillors want more courses offered more often. This request might be to make it easier for them to attend. If a course is presented only once and it is on the same day as an important meeting, they must choose to attend the meeting, but if a course is presented several times, they can attend on another day.

Twenty councillors, 56 senior administrators and four skills development officials think there should be more funds for training; and one councillor and 11 senior administrators think that training funds should be better used; specifically, training

funds should be used for improving the skills of qualified employees and not for qualifications for unqualified appointees.

Twelve senior administrators and most of the skills development officials would like to see skills development officials properly qualified to manage training and given full responsibility for skills development in the municipality. Eight senior administrators want a better selection of training providers.

Table 7.5: Institutional Capacity Issues and Challenges

Councillors (201 participants)	No.	Senior Administrators (80 participants)	No.
Appoint qualified people to senior positions in the Administration/people in leadership positions must be qualified and skilled / remove political interference in recruitment	36	Hire only skilled, qualified persons at all levels, regardless of political affiliation, to ensure good service delivery / do not hire unqualified people	32
Eradicate corruption, nepotism, maladministration, and wasteful expenditure	23	Political influence in hiring unqualified persons hampers the progress of the municipality/ rid the municipality of political interference in recruitment, especially in senior positions	28
Appoint qualified, skilled people to all levels in the Administration	15	Senior and other critical positions must be filled by qualified, skilled, experienced people in administration and council	22

Rid the administration of corrupt, unskilled officials at all levels and of corrupt tenders for companies that don't meet the criteria	11	The municipality's performance is poor; it needs to improve service delivery, communication with the community	13
Fill vacant posts in the administration with qualified, skilled people	9	Quality of leadership in Administration and Council needs improvement/senior managers' job specifications should require higher qualifications and more experience	12

Most of these responses refer to political interference in recruitment and its impact on the municipality. Both groups, councillors, and senior administrators, have similar concerns about the impact on the institutional capacity of unqualified or underqualified leaders, managers, and officials. Councillors made 71 comments about this issue, and senior administrators made 94. Irregular staff appointments to positions in the administration, especially critical positions, are clearly perceived to be the main factor in poor municipal performance. There were also 23 comments by councillors about various forms of corruption, and they appear to be linked to the issue of political interference in recruitment.

7.5.4.3 Key challenges and trends raised by participants:

Two challenges stand out from the data given by study participants, the survey of departmental representatives and observations made by several authors cited in the literature review in Chapters 2 to 5. The challenges are political interference and a lack of financial skills. These challenges play a significant role in preventing municipalities from functioning effectively. They both negatively impact effective capacity-building in local government.

Political interference is commonly taken to mean interference by municipal councillors in the administrative affairs of a municipality. This interference is contrary to the foundation standard of segregation of authority. It is a distortion of the role of a councillor who should be engaged in oversight and not micro-managing administrative functions. It probably occurs when leadership and governance in an administration are weak. Moreover, it could sometimes be a well-intentioned, though not well-informed, effort to help. However, interference by councillors is not the only type of bureaucratic impediment within the affairs of the administration. Another is interference by political parties, whether by party representatives – directly or through municipal officials who hold positions in party structures – that undermines the integrity and functioning of municipal councils and municipal administrations.

SALGA (2010) describes three types of political interference and the impact of each on a municipality as follows:

1. Undue interference by councillors in the administration significantly obstructs service delivery.
2. Inappropriate political disturbance by party-political constituencies in municipal administration has a detrimental effect on all municipal functions especially public participation and accountability to the public.
3. When senior and middle administration workers also hold senior posts in political parties, reporting channels in an institution can be distorted. Senior personnel may follow the lead of officials who should be reporting to them, and the municipality's goals may be set aside in favour of the goals of a political party for that area.

Various municipality functions could be targeted by political interference, especially recruitment, with consequences for staff competence, performance, procurement, and irregular expenditure and corruption implications. Broader implications include poor job performance, preventing officials from doing their jobs properly, leading to negative attitudes and a lack of interest in improving their performance. Political interference could weaken a municipality to the extent that it may be insurmountable. SALGA (2010) suggests that management capacity should be strengthened to professionalise the administration and develop its capacity to resist interference.

One way that the provincial government could strengthen the capacity of an institution to resist political interference is to ensure that Section 139 recovery plans address the competence of senior management by demoting or dismissing unqualified and incompetent senior officials, especially those who appear to have been appointed through political interference and replacing them with properly qualified and experienced senior managers. Both this suggestion and SALGA's suggestion rely on an understanding and implementing appointment criteria for senior officials such as those in the regulations emanating from the Local Government: Municipal Systems Act. While Section 139 recovery plans acknowledge challenges in management competence, they appear to have become standardised. Whereas the challenges that cause a municipality to fail are similar, the underlying reasons could differ. The Section 139 recovery plans do not seem specific and analytical enough to identify root causes, so these are not addressed. Many KZN municipalities regress after an initial recovery. The reason could lie in a problem analysis that is too superficial or prefers not to address political challenges. Because the spheres of government are autonomous and a Section 139 intervention is a legal process, the Section 139 recovery plan is perhaps the only tool the provincial government must override decisions of a municipal council or administrations that are not well aligned with local government legislation and national policy.

The other key challenge is financial capacity in councils for conducting oversight over the administration's finances and in administrations for good financial management practices and obtaining a clean audit. In the in-house presentation titled Challenges in Local Government: Towards the Development of a Road Map 2021-2026 (COGTA 2020a), COGTA breaks down the financial capacity challenges in local government as follows: 'High proportion of municipalities in financial distress; growing consumer debtors and debts owed to Eskom and Water Boards; adoption of unfunded budgets; non-compliance with SCM processes and disregarding legislative processes; poor revenue collection and management, e.g. dysfunctional billing systems; increasing unauthorised, irregular, fruitless and wasteful expenditure; high and increasing negative audit outcomes; ineffective budget planning and implementation; underspending on capital budgets; and unfunded and underfunded mandates'.

LGSETA has developed municipal finance unit standards that cover most of these issues and could be useful in ensuring that officials and councillors have the financial skills required for effective financial management and oversight. It should be possible to ensure that all municipal officials in finance positions can meet the assessment criteria in the LGSETA finance unit standards. However, because the unit standards are at NQF Levels 5 and 6, they are likely to be too difficult for any councillors who have not obtained the matric (NQF 4) level of schooling. The LGSETA finance unit standards should be examined to ensure they address the required competencies, and if they do not, LGSETA could be approached to develop additional unit standards.

Table 7.6: Finance Unit Standards in the Certificate in Municipal Finance Management, NQF Level 6 (SAQA ID 48965)

NQF level	SAQA ID Number	Title
5	116345	Implement and practice the relevant regulations of budgeting within a municipality
5	116351	Undertake auditing planning and implementation in a SA municipality
6	116339	Undertake risk management in SA municipalities
6	116341	Undertake performance management within the SA municipal arena
6	116342	Implement strategies towards appropriately maintaining the municipalities revenue and spending contained in a long-term system
6	116343	Adhere to the code of standards in the local government arena
6	116348	Carry out consultations on local government fiscal projects with stakeholders
6	116353	Engage in the configuration and execution of local government SCM processes
6	116358	Participate in the strategic planning process in a SA municipality

6	116361	Interpret SA legislation and policy affecting municipal financial management
6	116362	Manage a municipality's assets and liabilities
6	116363	Prepare and analyse municipal financial reports
6	116364	Plan a municipal budgeting and reporting cycle
6	116344	Apply the Intergovernmental Fiscal Relations Act to municipal financial management
6	116357	Contribute to audit planning and process in a South African municipality

7.6 Conclusion

The findings from interviews with three groups of participants consisting of 201 municipal councillors, 80 senior administrators and six skills development officials were presented in this chapter. These findings, especially the self-assessments, raise several questions. Participants also indicated areas where training programmes could be improved to meet their capacity-building needs, and these are useful contributions that provincial government departments should consider. However, in the opinion of the participants in this study, the quality of capacity programmes is not where the key challenge to the performance of their municipalities lies.

From the participants' point of view in this study, the key challenges that hamper individual and institutional capacity development are a combination of councillors with low levels of education and senior officials with weak or no qualifications in three critical areas. These areas are: technical services that impact negatively on service delivery and development; financial management that impacts negatively on governance and the effective and efficient use of financial resources; and poor quality of leadership that frustrates the building of robust institutions. When the weak individual capacity in these areas is combined with a resistance to good recruitment and HRD practices, there is no possibility that capacity-building interventions can change the situation.

Chapter 8 considers the findings in Chapter 7 and links them to the research objectives, the findings of the desktop analysis and the literature review.

CHAPTER 8: GENERAL CONCLUSIONS AND RECOMMENDATIONS

8.1 Introduction

The three-levelled capacity model, proposed by the IICBA, was used as the conceptual framework for evaluating capacity-building interventions in local government by the provincial government in KZN. The three levels are environmental capacity, institutional capacity, and individual capacity. Each level was considered to identify and assess the level's types of capacity for local government.

The three levels of capacity were explored through analysis of several sets of information: a review of the academic literature relevant to each level; a review of government reports and other documents relevant to each level; internal reports of KZN's COGTA relevant to institutional and individual capacity-building challenges and interventions; interviews with 201 municipal councillors and 80 municipal administrators from eight municipalities to explore their perceptions of local government capacity and institutional and individual capacity-building interventions; a survey of representatives of KZN provincial departments to explore their perceptions of institutional and individual capacity-building in local government; Section 139 recovery plans; and various capacity-building interventions in local government by the KZN COGTA, including training programmes and skills audits.

The UNESCO/IICBA model analysis has demonstrated a considerable degree of agreement between all the sources of information used. Although significant and appropriate amounts and types of capacity have been implemented in local government over the past 27 years, most municipalities in KZN are performing below an acceptable standard, and their performance is getting worse. While environmental capacity, which the national government generally supplies, could be improved in many ways, its type, quality, and quantity are reasonably appropriate and relevant. The biggest challenges to effective and efficient municipal performance lie in institutional and individual capacity, which are weak. Although the provincial government has an important support role, building institutional and individual capacity is the responsibility of each municipality. However, municipalities appear to be unable

or unwilling to use the freely available policies, resources, and capacity-building interventions constructively and proactively.

8.2 Research Objectives

The research objectives arose from the research questions. Research questions define the purpose of the study, and they provide direction for the study. Five sets of questions informed the direction of this study:

a. What are the issues and constraints that have hampered efforts to develop the skills and knowledge of councillors and administration officials in municipalities in KZN?

b. What processes, techniques and methodologies are appropriate for conducting skills audits and identifying capacity-building needs in municipalities in KZN?

c. Are current capacity-building interventions relevant and appropriate, and what other or additional capacity-building programmes should be offered to councillors and administration officials in municipalities in KZN?

d. What issues and constraints have prevented municipalities in KZN from becoming robust institutions?

e. What techniques and processes are appropriate for building institutional capacity in municipalities in KZN?

8.2.1 Research Objectives

Based on the research questions listed above, the objectives of this study are:

1. To identify issues and constraints that have hampered efforts by provincial departments to develop the skills and knowledge of councillors and administration officials in municipalities in KZN.

2. To identify appropriate processes, techniques, and methodologies for conducting skills audits in municipalities in KZN.

3. To identify appropriate individual capacity-building programmes for councillors and administration officials in municipalities in KZN.

4. To identify appropriate processes, techniques, and methodologies for conducting institutional capacity assessments in municipalities in KZN.

5. To identify appropriate techniques and processes for building institutional capacity in municipalities in KZN.

8.3 Research Findings for each Research Objective and Recommendations

8.3.1 Research Objective Number 1

The research objective was to identify issues and constraints that have hampered efforts by provincial departments to develop the skills and knowledge of councillors and administration officials in municipalities in KZN. Several constraints were identified. The findings affecting the individual capacity of councillors and municipal officials are different and will be described separately.

The first constraint relates to the responsibility of municipal councillors to fulfill leadership roles and conduct oversight over the functions of the administration, including financial governance, service delivery and development functions. For a municipal council to build the capacity to analyse, oversee and provide direction on these functions, it would have to have a solid core of councillors who have appropriate levels of experience, skills, and knowledge in these areas. However, most councillors serve only one term, and some municipal councils cannot build up a sufficiently large core of expertise.

Second, it is possible to build a basic level of the required expertise fairly quickly through the implementation of LGSETA qualifications, but only if participants have the required entry-level skills, knowledge, and experience that a training programme can build on. However, after each local government election, it is evident that few new councillors meet the entry requirements for the NFQ Level 3 qualification. Many councillors enter their positions with little or no formal education and are low-skilled or have no work experience. This situation, combined with the fact that most councillors serve only one term of office, effectively prevents them from developing the level of

skills required to perform legislated duties that require them, amongst other things, to be able to understand and apply legislation, analyse written reports in English; analyse and evaluate financial statements and respond to auditors' findings; make good decisions; propose effective solutions to challenges; monitor the effective use of resources and communicate with stakeholders at various levels – from foreign investors to grassroots community members. Political parties appoint municipal councillors, and some political parties appear to appoint councillors regardless of their educational levels, skills, or experience. These appointees usually have experience and knowledge of their communities and understand political party policy and structures. However, this experience alone is not enough to effectively perform the job of a councillor in a municipality.

Third, although municipal councillors request training, they often fail to attend when it is arranged. The provincial departments in KZN attribute this to a lack of interest in learning which is manifested by a reluctance to enrol in programmes, poor attendance and non-completion of assignments or assessments. There is no institutional or political incentive for councillors to attend training programmes. There also seems to be a lack of an internal incentive to learn more and perform better. Training is evidently not a priority, and given that many councillors did not complete high school, it could also be a source of conflict. They might want it but at the same time fear exposing their lack of knowledge and looking 'stupid'.

Concerning the skills development of administration officials, the findings indicate a significant challenge in the planning and implementation of training. A suitably qualified and experienced skills development facilitator should conduct the skills development function in a municipality. There was no data on skills development officials for two of the eight municipalities sampled in this study. Of the six skills development officials who did respond, all were interns and had a post-matric qualification; three had a public administration or finance qualification; and only three had a human resource qualification. Regarding their job functions, none of the skills development officials were authorised to make training decisions or finalise a training plan, and there was no budget for the training function. The conclusion that can be drawn is that little to no skills development is taking place in municipalities. That means that officials' skills are not being improved or updated in a planned or strategic way, officials are not being

prepared for promotion, and the value of training as a tool to improve the performance of a municipality is not recognised. Some of the senior managers interviewed also expressed concern about their municipalities' poor training management.

Various issues and challenges were identified regarding management capacity in the municipal administrations. These challenges centred around the consequences for municipal managers, institutional capacity, political interference in recruitment and the appointment of unqualified municipal managers and senior managers. There were two key challenges. First, unqualified senior managers were not competent to lead and manage the municipal administrations, which was reflected in deteriorating municipal performance. Second, either these senior managers were resistant to training, or their needs were so great that the cost of training them would be high and would deplete the funds available for training other officials.

Several issues and constraints that have hampered efforts by provincial departments to develop the skills and knowledge of councillors and administration officials in municipalities in KZN were identified. The issues and constraints that hampered the individual capacity-building of councillors were different from those that hampered the individual capacity-building of senior administrators and officials. These issues and constraints are significant enough to prevent participants from benefiting from capacity-building interventions, which have ongoing and serious impacts on municipal performance.

8.3.1.1 Recommendations

- The capacity-building challenges and constraints identified in each group must be attended to, addressed, and resolved with the focus on advancing the effectiveness of individual capacity-building interventions.
- Political parties should set criteria when recruiting municipal councillors and ensure that councillors can benefit from capacity-building programmes.
- Political parties should establish a core group of competent councillors in each municipality who retain their positions over time and who can mentor new councillors.

- Municipal councils should set performance standards for councillors, including PDPs, to encourage learning.

- Recruitment practices in municipal administrations and councils should be reviewed to ensure that only competent and qualified senior managers are appointed. Performance agreements should include PDPs to encourage learning.

8.3.2 Research Objective Number 2

The research objective was to identify appropriate processes, techniques, and methodologies for conducting skills audits in municipalities in KZN. It was found that COGTA is the only government department that conducts skills audits in KZN. However, these skills audits are limited due to significant constraints addressed below.

First, the only skills audit tool available is not yet fully functional. A skills audit is a means of measuring whether an organisation has the skills it needs to achieve its objectives. In other words, conducting a skills audit aims to examine the degree of correspondence between the skills possessed by employees and the skills required by their employer. National COGTA has developed an online skills audit tool, known as GAPSKILL, that provincial departments are expected to use. GAPSILL can potentially become a valuable database of information concerning government officials' skills and skills levels. However, currently, it does not match the qualifications and skills of officials to the qualifications and skills required by their positions. Consequently, the reports it provides are weak, and it is impossible to draw meaningful conclusions from the data gathered regarding capacity-building.

Municipalities do not use standardised job descriptions. Each municipality designs its own organogram, allocates and groups responsibilities, and develops job descriptions based on its own requirements, size, and resources. However, all municipalities apply the same job grading system and the same constitutionally mandated set of duties, so officials' responsibilities and levels are similar in different municipalities. If a standardised skills audit tool were to be used, it would have to be linked to responsibilities and not to positions.

KZN's COGTA has used GAPSKILL to conduct several skills audits despite its deficiencies. It has been used to identify the general education levels and work experience of new municipal councillors; the availability of skills required for the successful implementation of the new DDM; and the financial and governance skills and knowledge of municipal councillors who are members of the MPAC. When GAPSKILL is fully functional, it will be possible to develop PDPs for individual councillors and officials or identify key areas of weakness in specific positions or municipalities as organisations.

Second, many municipalities are currently refusing to co-operate with skills audits. The current climate within KZN local government indicates a growing defensiveness and resistance toward assessments and audits. Several environmental factors could have triggered this development. Recently, performance assessments by COGTA have increased, followed by criticism of performance weaknesses and increasingly negative audit reports by the AG and public criticism of municipal failures to pay debts to institutions like Eskom and the Water Board. These findings have exerted more and more pressure on municipalities to improve their financial, governance and service delivery performance. In addition, the approaching 2021 local government elections will place further pressure on service delivery. The COVID-19 pandemic has compounded matters by imposing increased workloads and exposing the failures in providing amenities, such as a lack of clean water and sanitation in several KZN communities.

Third, the study found that self-assessments by municipal councillors and administration officials were unrealistically high. This finding suggests that this method of obtaining data for a skills audit is unreliable. The other methods available include extracting data from personnel files and performance assessments and conducting an RPL exercise. The latter would provide the most reliable data, but an initial audit using RPL would also be costly and time-consuming. RPL is also useful because unit standards could be linked to specific job responsibilities. Another important benefit of RPL is that the underlying principle is that people learn and increase their skills and knowledge as they proceed through their lives, regardless of how little or how much formal education they have had. Current skills audits of councillors generally show low

educational levels but no details about the actual skills and knowledge they bring to their positions. Using RPL to audit the skills of municipal councillors would provide a detailed picture of what each individual knows and needs to learn about the work they are required to do.

8.3.2.1 Recommendations

- The study demonstrated that the provincial government in KZN does not have a reliable tool for conducting skills audits. GAPSKILL should be completed to identify existing job competencies and training needs of individuals in specific positions.

- The study has demonstrated that self-assessments are not a realistic method of determining job competence and that a more effective method might be the application of RPL.

- To ensure that a skills audit is used to build individual capacity, the outcome of the skills audit should be linked to PDPs, prepared during performance reviews, and the implementation of PDPs should be linked to promotion and career advancement. This system would have the added value of encouraging a learning culture and developing individual capacity within local government.

8.3.3 Research Objective Number 3

The research objective was to identify appropriate individual capacity-building programmes for councillors and administration officials in municipalities in KZN. It was found that no uniform theoretical model exists on which to base capacity-building programmes presented by provincial government departments. This absence suggests weak skills development capacity in the KZN provincial government and, subsequently, the lack of co-ordination and consultation between them and between departments and the LGSETA regarding individual capacity-building initiatives.

Most of the KZN government departments that offer capacity-building interventions to local government appear to be using either short courses they have developed themselves, giving *ad hoc* advice, or simply having information-sharing sessions. The AG's reports require audited organisations to prepare a plan to correct the causal

factors of each negative finding and prevent their re-occurrence. KZN's COGTA uses NQF qualifications developed by LGSETA. None of the departments conducts impact assessments, so there is no data on the effectiveness of individual capacity-building programmes in local government in KZN.

The greatest challenge in local government regarding individual capacity is the scarcity of technical and financial skills. MISA supports the development of technical skills for local government, nationally through apprenticeships and engineering graduate programmes, but there is no agency dedicated to developing financial skills. Moreover, the challenge of the scarcity of financial skills is further exacerbated by two factors. First, the council is duty-bound to oversee the quality of financial management in a municipality. So, both the council and the administration require financial skills. Second, financial skills development is based on an educational and numeracy level higher than most councillors. LGSETA's financial qualifications are pitched at NQF Levels 5 and 6, whereas the more general councillor qualification is an NQF Level 3. Financial skills are also the point where the differences between the LGSETA NQF Level 3 qualification and the B2B competence statements are highlighted.

The COGTA skills audit has indicated that councillors who join financial council committees such as MPAC do not have to meet selection criteria; that many MPAC members do not have a sufficient level of financial skills to carry out their role; and that financial unit standards are available only at NQF Level 5 and above, which is higher than the entry-level qualifications of most councillors. The B2B approach does provide a model that all provincial departments could use. However, while it has been implemented as a set of criteria for assessing the functionality of municipalities, it has not been developed as a capacity-building programme.

The research objective was to identify appropriate individual capacity-building programmes for councillors and administration officials in municipalities in KZN.

Concerning the individual capacity-building programmes for councillors, it was found that unit standard-based qualifications are available from LGSETA. They are relevant to most councillor job functions, but below the level at which a municipal councillor should work. These are unit standard-based qualifications at a range of levels

appropriate to the educational levels of individual councillors rather than the level required by the councillor's job. However, most councillors do not meet the entry requirements for qualifications above NQF Level 3. A further challenge is that the NQF Level 3 qualification is below the level at which financial unit standards can be included.

Financial unit standards are available only in qualifications at NQF Level 5 and higher. Given enough time, it should be possible to develop councillors to NQF Level 5, but this seldom happens since most councillors serve only one term of office. The B2B approach identifies critical financial skills, but no individual capacity-building programmes are based on the B2B competence statements. COGTA should lobby LGSETA to develop unit standards based on the financial competencies identified by the B2B approach.

Regarding administration officials, qualifications in public administration are available from LGSETA and the Public Service SETA, from NQF Level 2 to NQF Level 6 and municipal finance and administration qualifications are available from LGSETA from NQF Level 4 to NQF Level 6. These qualifications allow for a clear career path. An official who starts working in a municipal administration – at an entry-level position – could work their way up to a senior position by progressively gaining these qualifications. However, the HRD function in municipalities is weak, and this type of career development pathway is unlikely to be available to officials.

8.3.3.1 Recommendations

- It is clear that appropriate individual capacity-building programmes for local government councillors and administration officials are available, although a review of the programmes is indicated. First, qualifications should be reviewed to align them with the B2B approach. Second, it is important to ensure that more councillors can access financial unit standards and be available to councillors at lower NQF levels.
- Another pressing issue is that the available training resources are not well utilised. COGTA uses some of the LGSETA qualifications and unit standards, but other

provincial departments do not appear to be using them. Municipal administrations have very little focus on HRD or skills development planning, and the available resources for individual capacity-building are not used. All provincial government departments should adopt the same model of capacity development and use (and contribute to the development of) the resources provided by the state.

8.3.4 Research Objective Number 4

The research objective was to identify issues and constraints that have prevented municipalities in KZN from becoming robust institutions. In this study, most interview participants from both council and administration assessed the institutional capacity of their municipalities as weaker than their own individual job capacity. However, provincial government departments do not appear to have a tool for auditing local government institutional capacity.

Most provincial departments focus on individual capacity. The exceptions are COGTA and PT, which, through the AG's reports for each municipality, sometimes identifies institutional factors contributing to irregular, wasteful and fruitless expenditure. COGTA's Consolidated Local Government Toolkit lists organisational capacity factors, but these departments still focus on individual capacity. The B2B approach also recognises institutional capacity. It offers a comprehensive list of organisational and institutional capacity factors, but it does not indicate how they could be assessed.

The IICBA's definition of institutional capacity combines organisational and institutional capacities while defining institutional capacity as the availability of the resources required to achieve objectives. It could also be used to develop an institutional capacity audit tool. These resources include human resources such as skills and experience; physical resources such as facilities and equipment; intellectual resources such as the capacities for strategic planning, knowledge management and good intergovernmental relations; financial resources such as funding, grants and income; an organisational structure with roles and responsibilities, reporting relationships, job descriptions and systems; organisational culture including policies, procedures and practices; and quality of leadership and management. An assessment

of the availability and degree of each of the resources listed above could provide the basis of an institutional capacity assessment tool.

There is much information about organisational and institutional capacity, and an audit tool could be developed quite easily. However, institutional capacity in local government appears to be so weak that it might not be possible to obtain valid and reliable results from an audit conducted.

The research objective was to identify issues and constraints that have prevented municipalities in KZN from becoming robust institutions. It was found that although there is substantial agreement that local government institutions are weak, and there is also agreement on the reasons why this is so, there are no institutional capacity assessments taking place in municipalities in KZN.

Local government institutional capacity might currently be too weak for any meaningful audit to be carried out. The appointment of unqualified officials at any level hampers performance, especially in service delivery. The appointment of unqualified senior officials hampers all areas of functioning, especially the achievement of IDP and other goals, HRD, governance, public participation, and accountability to the public. In addition to political interference in recruitment, when middle management administration officials occupy senior positions in political parties, the authority of their managers could be weakened, and the reporting lines in the municipal administration can be distorted. This situation would weaken the organisational structure.

8.3.4.1 Recommendations

- Local government institutional capacity is weakened by political interference in recruitment. Political interference is alleged to be the most fundamental challenge that must be resolved before any institutional capacity-building interventions will be effective.
- Institutional capacity must be built in three key areas. The factors causing challenges to effective institutional functioning in these areas are: vacant posts must be urgently filled by appointing persons with the required expertise,

experience, and qualifications; the quality of leadership and management in the administration must be improved; the quality of leadership and management in Council must be improved.

8.3.5 Research Objective Number 5

The research objective was to identify appropriate techniques and processes for building individual capacity in municipalities in KZN. Normally this objective would refer to the management and delivery of training, but the special challenges in local government require the inclusion of recruitment and appointment practices. Techniques and processes for building individual capacity in a workplace can normally take some things for granted. For example, participants are already qualified for their positions or selected for training based on relevant criteria. They need or want to learn the skill or knowledge offered by the programme. Provincial departments in KZN that offer individual capacity-building interventions to the local government cannot make these assumptions, complicating every aspect of the techniques and processes used to build individual capacity in municipalities.

In their assessments of training offered by COGTA, both councillor and senior administrative participants were generally positive on all aspects, including the following: Do you think departmental training courses present learning material clearly and well? Do you think departmental training methods are helpful? Do you think departmental training courses help learners reach their goals?

On the question about COGTA, they also gave positive assessments: Do you think departmental facilitators make things easy to understand? Do you think departmental facilitators are knowledgeable about the subject matter? Do you think departmental facilitators are knowledgeable about municipalities? However, when they were expressing their opinions about the quality of all training programmes delivered by other provincial departments and by municipalities, they were critical of the quality of training providers; specifically, that they do not appear to understand how public service works and that their approach is too theoretical, and they do not address practical and concrete aspects of the work done by participants. The responses might

differ because COGTA does not have internal training facilitators, and LGSETA accredits all the training providers it appoints.

Administration participants were also critical of the management and planning of training in the municipalities. They wanted to see a more organised approach, including identifying training needs, consultation with employees, training budgets, formal plans, approvals process, and follow-up reports. These factors are basic to the management of the training function in an organisation, but in the municipalities sampled in this study, they are weak or lacking. These municipalities do not appear to have training managers. The skills development officials are not qualified to manage a training function. COGTA supports skills development officials, but this is limited to compiling WSPs required by LGSETA. Though COGTA also conducts skills audits intending to identify training needs, it is required to use a flawed tool, GAPSKILL. It is, therefore, unable to determine the skills demanded of individual officials. The lack of training needs analyses is a gap in the institutional capacity that would have to be addressed before municipalities can effectively build the capacity of municipal officials.

A training management function will not only identify skills gaps and training needs in the everyday functions of new and experienced officials, but it will also ensure that a municipality is able to identify the skills required to achieve its strategic goals, such as the IDP goals, and prepare in advance to build the capacity for meeting them. In addition, a training manager will monitor and build skills required to manage change, such as technological developments. For example, when the COVID-19 virus spread, the municipalities in this study were not prepared for remote working, nor did councillors and officials have the necessary internet and other computer skills. Delivering training to rural municipalities is difficult. Time and money could be saved if training and assessments were computerised. However, these municipalities often do not have reliable internet access and lack adequate computer user support. Potential training participants in these municipalities are not sufficiently skilled to learn this way.

The South African skills development system is built on the premise that workplace training needs must be identified to build capacity for a purpose. It places the key responsibility for learning on the learner and encourages methodologies that support learning rather than teaching. None of these aspects of the South African skills

development system are implemented. Furthermore, the implemented system could be described as having been reduced to completing the WSP to obtain a return on the skills development levy.

The research objective was to identify appropriate techniques and processes for building institutional capacity in municipalities in KZN. Human resources, the skills, knowledge, expertise, and experience employees bring to their work, are essential for institutional capacity. In the municipalities sampled, it was found that there are critical challenges in human resources. The qualifications and competence of senior administrators are questionable. There are long-term vacancies in some positions, especially scarce skills such as technical and financial positions. The management of the training function is weak, which implies that skills development is inadequate or inappropriate.

8.3.5.1 Recommendations

- The institutional capacity of municipalities must be improved to enable them to withstand alleged political interference, make competence-based appointments, attract people with scarce skills and understand and implement the South African skills development system.
- Effectively, there appears to be no management of training or HRD. The training management and HRD functions in municipal administrations and municipal councils should be established, staffed, and maintained according to best practices in the field

8.4 Key Findings

There are significant challenges in the institutional and individual capacity of local government. As institutions, municipalities have not instituted the fundamentals for effective HRD, such as PDPs, targeted training plans and training budgets. Suitably skilled and qualified persons are not selected for councillors' positions by political parties. In addition, there appears to be no learning culture at all in either the administrations or councils and no consequences for not attending training

programmes designed to develop job skills. A significant number of senior municipal administrators and municipal councillors in KZN are simply not equipped to carry out their duties or make effective use of the support or capacity-building resources and interventions available to them, which further reduces the institutional capacity of municipalities.

8.5 Reliability and Validity

The findings of any research study must be both reliable and valid.

Reliable findings are based on an organised and transparent process of gathering, presenting, and analysing data so that the research can be repeated to verify the findings in another situation. In Chapter 7, the content analysis details findings from a survey of representatives of provincial government departments and various documents relevant to an evaluation of capacity-building in local government in KZN. The participants in the survey are anonymous and their detailed responses are confidential, but the names of the departments are presented. Some of the documents referenced are not published on the departmental website. However, if any researcher wants to repeat the analysis, the documents can be obtained by requesting them from the department. Chapters 8 and 9 provide a detailed numerical and critical analysis of the interview responses. The interview schedules completed by the interviewer for each participant are confidential. Though the participants are anonymous, all the questions asked and the collated numerical responses are presented in Chapter 8. The findings have been interpreted and described regarding the documents used in the literature review and other recorded documents in the list of sources.

Validity refers to a scientifically structured method of gathering and analysing data to confirm that the findings indeed flow from the data and do not have another explanation. This research was a qualitative study, and it was not, therefore, subject to rigorous statistical analysis. However, the interview schedules were semi-structured. All participants in each of the three groups answered the same questions and responded to similar invitations for their personal opinions and comments.

The researcher contends that the findings of this study are both reliable and valid.

8.6 Correlations between this Study and other Studies in the Literature

This study has focused on some of the worst-performing municipalities in KZN, and it has found that the quality of leadership in municipal councils and administrations is weak. Critical financial skills are at levels that are too low for financial oversight, and positions essential for ensuring service delivery are vacant for long periods because there are no applicants with the required level of technical skills. In addition, political interference has made the situation worse. Altogether combined, these challenges have created an environment in which capacity-building interventions, whether institutional or individual, cannot succeed unless they are first resolved.

In the chapters of this study dedicated to institutional capacity, authors were cited who raised concerns about the negative impacts on institutional performance and the capacity of unqualified and underqualified officials and councillors. They paint a troubling picture. The challenge of poorly educated local government councillors is not unique to KZN. On their own findings, SALGA has commented that about 30% of local government councillors did not complete school (Eyewitness News, 2021). It has called on political parties to improve the calibre of the people they appoint to local government councils. The challenge of unqualified senior managers in municipal administration is not unique to municipalities. According to the Minister of Public Service and Administration (IOL, 2021), nearly 35% of senior managers employed by national and provincial departments do not meet their positions' qualification and experience requirements.

Palmer, Moodley and Palmer (2017) identify three sets of criteria that should be met by an ideal candidate for senior management positions in government, including the position of municipal manager. These are:
- Professional competencies - qualifications and experience that demonstrate the candidate can do the job.
- Representivity - especially candidates who represent previously disadvantaged groups.

- Values - service delivery, accountability, integrity and a social transformation and development orientation.

However, these authors note that top management has become increasingly politicised, especially the municipal manager and CFO positions. Representativity and alignment to party-political values are more important appointment criteria than professional competence and service delivery values. Councils are also responsible for the oversight of municipal managers, and they have allowed political relationships to become more important considerations than meeting performance goals.

Palmer, Moodley and Palmer (2017) also point out that technical skills are critical for service delivery, especially electricity, water, and sanitation. However, the total number of qualified engineers in South Africa is low. Only 15% work in the public sector, with merely 4% in local government, mostly in urban municipalities. The number of technicians and artisans in South Africa and local government is also low. It is likely to continue to be low because a lack of technically qualified officials hampers the development of technical capacity for the future in that municipalities cannot contract apprentices if there is no one to supervise or mentor them.

These authors identify a lack of balance between regulation and environmental capacity as a basic factor that has allowed the development of local government's institutional and individual capacity challenges. An example that would support their contention is the list of competence criteria in the Local Government: Regulations on Appointment and Conditions of Employment of Senior Managers (2013). Appointments made according to these criteria or PDPs based on these criteria would ensure qualified and competent senior managers in municipalities. Although participants in this study claimed to have a high degree of competence in the criteria listed in the regulations, their self-assessments were not objectively verified. Other participants were critical of the qualifications and quality of the leadership in the administrations, and their municipalities are in severe distress. So, it is unlikely that their self-assessments are accurate. However, other than the potential failure of the municipality, there are no consequences for appointments that do not comply with the regulations.

This study has found that capacity-building interventions by provincial departments are often resisted or rejected by municipalities and that the lack of balance referred to by Palmer, Moodley and Palmer (2017) is manifested in the freedom of local government, as an autonomous sphere of government, to reject support and capacity-building interventions by the provincial government. Except for applying the legal provision in Section 139 of the Constitution (RSA 1996), the provincial government's ability to implement support and capacity-building measures in individual municipalities is weak if the municipalities resist them.

8.7 Conclusion

This study has evaluated local government capacity-building interventions by the provincial government in KZN. There were two categories: institutional capacity-building interventions, such as performance monitoring and financial audits and individual capacity-building interventions, such as skills audits and training programmes. The interventions appear to be reasonably sufficient and appropriate, but they have been largely ineffective, and despite the interventions, many municipalities in KZN are dysfunctional.

Provinces have a constitutionally mandated responsibility to support and build capacity in local government. However, some special challenges and constraints would have to be resolved before the support and capacity-building resources and interventions made available to local government by the provincial government, can be effectively used. Challenges and constraints hampering institutional capacity-building include weak leadership capacity in the council and the administrations. This situation could be resolved by strengthening legislation such as the Local Government: Municipal Systems Act and the MFMA to ensure the competence-based appointment of senior administrators and by the adoption by political parties of better councillor appointment criteria.

South Africa's post-school skills development system is good. Unit standards, qualifications, and the potential for relevant RPL and individual capacity-building are available, including career development for disadvantaged students. Challenges and

constraints hamper individual capacity-building, including a lack of interest in learning and low educational qualifications. They could be resolved by developing the HRD function in municipal administrations and councils. With the provincial government's support, a well-managed HRD function would ensure that all councillors and officials are properly qualified for their positions, with each individual having skills development goals and incentives to achieve their goals. The municipal workplace environment is not conducive to institutional and individual capacity-building interventions without these provisions.

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APPENDICES

Appendix A: Approval to Undertake Research
(Gate keepers' letter)

Appendix B: Ethical Clearance Letter

Appendix C: Final Turn-it-in Report