

UNIVERSITY OF KWAZULU -NATAL



**SERVICE DELIVERY AT THE PROVINCIAL SPHERE OF
GOVERNMENT: A CASE STUDY OF OPERATION SUKUMA
SAKHE (OSS) IN KWAZULU-NATAL**

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By

Zwelini Lawrence Mkhize

Registration Number: 763000003

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Supervisor
Prof. P.S. Reddy

ABSTRACT

Service Delivery at the Provincial Sphere of Government: A Case Study of Operation Sukuma Sakhe (OSS) in KwaZulu-Natal

South Africa has been plagued by challenges of ineffective service delivery linked to poor coordination, competition and contestation of powers due to overlapping constitutional mandates, lack of cooperation and poor alignment of state entities despite the provision for improved intergovernmental relations and cooperative government in Chapter 3 of the Constitution of RSA (Act 108 of 1996). This has resulted in rising public discontent, declining public confidence and protests. In response, the Operation Sukuma Sakhe (OSS) model was introduced by the Province of KwaZulu-Natal in 2009, to improve service delivery, eradicate structural poverty, inequality and its manifestations. This study investigates the role of OSS as a framework for advancing coordination and cooperation to achieve effective service delivery in KwaZulu-Natal. As the objective, the study sought to examine the challenges in service delivery, analyse the context and philosophy behind the adoption of the OSS, evaluate the role of districts in integration of services and how the war room entrenches participatory democracy and obtain lessons for district based planning and budgeting. Guided by the interpretivist paradigm, this study was designed as applied research of a qualitative nature, utilising semi-structured interviews. The focus of data collection and analysis involved multiple sources of information and purposive sampling of 24 information-rich participants, representing Ethekwini, Harry Gwala, Umkhanyakude and Ugu municipalities, KwaZulu-Natal and national government and external stakeholders.

The main findings of the study indicate that transformation in South Africa has been characterised by advent of new concepts in intergovernmental relations from unitary and hierarchical powers to concurrent competences which created the necessity for cooperative government. This complexity reflects the global trend in liberal democratic models in which governance is a partnership between state and civil society stakeholders. Using the governance theories by Pierre and Peters and the Systems Theory, it is argued that complex, multi-level governance systems (due to concurrent competences) require institutional policy implementation mechanisms that can deal with the political, economic and social dynamics that affect service delivery. This is critical in South Africa where the impact of government service delivery programmes is sensitive to the maintenance of governability, which is affected by issues of authority and legitimacy of the State, public confidence, the efficient use of limited

resources, and prevention of mismanagement and corruption. The dissertation argues that OSS enabled effective service delivery through simultaneous implementation of five convergent principles: i) cooperative government, ii) intergovernmental relations, iii) good governance, iv) community participation and, v) integration of services. The convergence of these principles within OSS meant that the OSS operated as a coordinating institutional mechanism which is critical in multi-level governance and OSS further creates the necessary ‘spirit of cooperation’ akin to the German concept of *Bundestruhe*. The study concludes that lessons obtained from the OSS in KwaZulu-Natal should be applied nationally for district-based planning and budgeting model to successfully emerge.

ABBREVIATIONS AND ACRONYMS

AIDS	-	Acquired Immune Deficiency Syndrome
ANC	-	African National Congress
CBO	-	Community-Based Organisation
CCG	-	Community Caregiver
CDW	-	Community Development Worker
COGTA	-	Department of Cooperative Governance and Traditional Affairs
COSATU	-	Congress of South African Trade Unions
DDM	-	District Development Model
DTT	-	District Task Team
HIV	-	Human Immunodeficiency Virus
HOD	-	Head of Department
ID	-	Identity Document
IDP	-	Integrated Development Plan
IFP	-	Inkatha Freedom Party
IGR	-	Intergovernmental Relations
LTT	-	Local Task Team
MEC	-	Member of the Executive Council
MINMECs	-	Ministers of Cabinet and Members of Provincial Executive Council
MSA	-	Municipal Systems Act (Act 32 of 2000)
NACTU	-	National Council of Trade Unions
NCOP	-	National Council of Provinces
NP	-	National Party
OSS	-	Operation Sukuma Sakhe
OTP	-	Office of the Premier
PCC	-	Presidential Coordinating Council

PGDS	-	Provincial Growth and Development Strategy
RDP	-	Reconstruction and Development Programme
RED	-	Regional Electricity Distribution
SALGA	-	South African Local Government Association
TB	-	Tuberculosis
UDF	-	United Democratic Front
WC	-	Ward Committee
WTT	-	Ward Task Team

PLAGIARISM DECLARATION

DECLARATION

I, Zwelini Lawrence Mkhize, hereby declare that:

- (i) The research reported in this dissertation, except where otherwise indicated, is my original research.
- (ii) This dissertation has not been submitted for any degree or examination at any other university.
- (iii) This dissertation does not contain other person's data, pictures, graphs, or information unless specifically acknowledged as being sourced from other persons.
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Signature

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CHAPTER 1

INTRODUCTION

1.1 BACKGROUND TO THE STUDY

For service delivery to occur, a measure of coordination is necessary in government systems. Coordination requires cooperation. That cooperation can be legislated, highly structured and, to some degree coerced. It can also be produced through norms and practices in the spirit of cooperation. The challenge for government systems today is how to engineer or devise mechanisms that can produce cooperative governance that leads towards effective service delivery and better outcomes for society. This dissertation is concerned with these challenges and how coordination through different spheres of government was achieved through the establishment of Operation Sukuma Sakhe (OSS) in Kwazulu-Natal in the context of a growing democracy. The study appraises the challenges of service delivery, coordination, cooperation from the perspective of the province of KwaZulu-Natal and how it has implemented OSS as a solution for coordination, cooperation in a complex, multi-level government system in the face of challenging political dynamics. OSS was adopted in 2009 by the province of KwaZulu-Natal as an alternative model for service delivery and community development as part of the evolving post-apartheid strategies for coordination and integration of service delivery. The OSS programme was introduced in light of the complex challenges in service delivery having been identified at national, provincial and municipal level, particularly in relation to issues of a constitutional order in which intergovernmental relations across three spheres of government defined the boundaries of autonomy as well as overlapping mandates and concurrent powers. These challenges persisted despite the existence of the provision for intergovernmental relations and cooperative government in Chapter 3 of the RSA Constitution (Act 108 of 1996).

The dissertation provides an analysis of how the OSS Model contributed to resolving service delivery challenges through the adoption of five *convergent principles* which were embedded in the way the policy formulation was designed in the South African governmental system. *The five convergent principles* which enabled the adoption of the OSS for successful service delivery were:

- i) cooperative government,
- ii) intergovernmental relations,

- iii) good governance,
- iv) community participation and,
- v) integration of services.

The study shows that OSS required all five of these principles to be present in the model in an integrated fashion in order to function across the spheres of government- from province to local - with the ultimate objective of delivering services effectively and in the spirit of local democratic participation. The key contribution of this dissertation is to show that whereas the governance system that has concurrent competences requires that institutional linkages are established to ensure coordination across different spheres, the OSS Model provided such linkages; and represent a *spirit and moral responsibility* of cooperation and more effective coordination and partnership between different government spheres and stake holders. The OSS spirit will be shown to be a ‘homegrown’ model and spirit of cooperation and partnership in intergovernmental relations akin to the German concept of *Bundestruhe*. The study shows that OSS approached the South African intergovernmental system as it emerged in a context of a new democracy, inequality, and indigenous ethos of *ubuntu* and democratisation of the State. The argument here is that intergovernmental relations can be made more effective with both technical models such as the *five convergent principles* in OSS and an organic humanistic understanding of context that expresses local norms and values.

According to the then KwaZulu-Natal provincial government, –

“[t]he desired outcome of the service delivery model is the implementation of a comprehensive, efficient, effective, quality service delivery system that contributes to a self-reliant society in a sustainable manner. For a society to be self-reliant, it is important that its members are not passive recipients of services but that they participate actively in local interventions which will have an impact on their lives. Through community participation, individuals are able to connect with each other and they will be better placed to make decisions in terms of their individual and collective efforts towards a better life for themselves. The Government of KZN has published a Citizens’ Charter that spells out what services will be provided and how they will be provided with an emphasis on service delivery improvements.” (Province of KwaZulu-Natal 2012:1).

Furthermore, the study locates its analysis of OSS within debates on the nature and history of intergovernmental relations and concepts of cooperative government. To understand the adoption of OSS as a service delivery model which emerged in post-apartheid KwaZulu-Natal, this study provides a deeper contextualisation of how the intergovernmental system and

cooperative governance has evolved in South Africa. In a basic sense, even though South Africa is a unitary state, there was a major governmental shift from centralised power under apartheid to a more decentralised system with powers allocated to the three spheres – national, provincial and local. “Intergovernmental Relations [IGR] are conventionally defined ‘as important interactions between governmental units of all types and levels.’... Intergovernmental Relations are defined as an interacting network of institutions at national, provincial and local levels, created and refined to enable the various parts of government to cohere in a manner more or less appropriate to our institutional arrangements. It is an evolving system of institutional co-operation that seeks to address the relations of equality and interdependence as defined by the Constitution” (Parliamentary Monitoring Group, 2000; (<https://pmg.org.za>)).

The various services are delivered by all spheres of government at a local level and asymmetry across provinces is inevitable. The risk exists for the emergence of unmanageable tendencies that undermine national goals, targets and programs, making reconstruction and transformation turn into an unreachable mirage. There is a tendency for the national and provincial levels of government to operate in silos and implement projects without coordination or consultation. There are instances of misalignment of national priorities resulting in divergent expenditure patterns. Such tendency has in some instances resulted in duplication of services, making government inefficient due to inadequacy of resources. This happens despite the existence of legislation and policies promoting integration of government programs.

Cooperative government becomes key in fostering a conducive environment for intergovernmental relations. The provision for cooperative government in chapter three of the South African constitution is for national, provincial and local spheres to “cooperate with one another in mutual trust and good faith” (section 41.1.h). Cooperative government has been defined as “the day to day legislative and executive functions of government” (Coetzee 2010:85). This study appraises the concept of cooperative government in South Africa which was influenced by the experiences of federal and/or decentralised powers in other parts of the world. The political choices that came out of South Africa’s negotiated settlement at the end of apartheid informed the nature of both intergovernmental relations and cooperative government that South Africa has today (Woolman & Roux 2013:14-7).

While cooperative government is not a new concept in governance, it is new in South Africa insofar as the post-apartheid governance system has emerged since 1994 as a decentralised

system requiring cooperation across the spheres. Where prior, the white minority rule system had been satisfied with centralised unitary power; however, during the negotiated settlement, today's decentralised system is what emerged. These political choices gave powers to nine provinces and 257 municipalities, some of these powers being concurrent and some being exclusive, thereby giving rise to complexity when coordinated service delivery must be undertaken.

To this end, OSS was a provincial model that had to execute its mandate and find effect within this context of South African IGR and the need for cooperative governance. In the KwaZulu-Natal province, governance weaknesses were complicated by the unique challenges experienced by the province; namely, the severe social disruption resulting from it being worst affected by political intolerance and violence, the highest incidence of Human Immunodeficiency Virus (HIV) and AIDS, a high level of poverty, inequality, unemployment and the high number of women and child-headed families, as well as orphans. This necessitated finding innovative ways to strengthen service delivery.

The introduction of OSS as an alternative model for socio-economic development and service delivery that sought to institutionalise the cooperation of all spheres of government and create a platform to deepen integration of implementation plans, achieve socio-economic development; as well as mobilise society to address social ills. The OSS Model has since been adopted by several provinces in the country, after sending teams to study the model in KwaZulu-Natal. KwaZulu-Natal province regularly provides reports on the district-based service delivery activities guided by the OSS Model. The national government has recently decided that in order to ensure effective coordination and alignment in service delivery and community development in the whole country, a district-based planning approach must be adopted by all spheres of government “similar to the OSS Model” (State of the Nation Address 2019).

The dissertation demonstrates that mechanisms of cooperation and the spirit of cooperation need to be enhanced and models such as OSS have shown that this is possible, notwithstanding the limits.

1.2 RESEARCH PROBLEM

In chapter 3 of the Constitution there are provisions to guide the different spheres to cooperate and maintain sound intergovernmental relations for successful delivery of services. Despite this provision, there are increasing challenges faced by communities in relation to service delivery. A number of these emanate from the poor coordination, duplication, misalignment of programmes and poor cooperation among the different spheres of government since the programmes are implemented in individual wards in municipalities. In a number of cases disagreements and confusion resulted in litigation between different spheres of government because of poor management of mandates, overlapping jurisdictions and concurrent powers. These cases have been reduced by the introduction of the Intergovernmental Relations Framework Act of 2005. Based on their different experiences and circumstances, various countries have used different mechanisms to mediate intergovernmental relations such as service level agreements and other legislative tools (Woolman and Roux:2009:14-3).

In the case of South Africa, the different provinces have had to implement the provisions of the intergovernmental relations system using their own experiences. The Province of KwaZulu-Natal adopted OSS as an alternative model for service delivery in order to remedy gaps in intergovernmental relations and promote cooperative government so that service delivery could be achieved effectively. The OSS Model has become widely recognised within the South African government itself, and even by UNAIDS (<https://www.unaids.org/en/resources/presscentre/featurestories/2014/january/20140117southafrica>).

There is a need to evaluate models such as OSS so that lessons can be learnt in terms of its successes and its shortfalls. The OSS Model currently exists under different names in different provinces and has also generated a significant amount of analyses and research. The national government has also drawn from the OSS Model at national level as part of building up the District Development Model. In the Department of Cooperative Governance and Traditional Affairs (COGTA's) District Development Model Booklet, it is stated that the model will "Build on Lessons from implementing previous similar and Existing Good Practices – Current MTSF Alignment (DPME) and **Operation Sukuma Sakhe (OSS)** and other emerging best practice (own emphasis)" (Cogta 2023: 7). The renewed focus on OSS and the idea of a district-based national planning has prompted the need for a deeper analysis of the OSS Model to determine the best practices to be adopted in search of an alternative model of service delivery.

The main objective of this research is to trace the origin and evaluate the contribution of the OSS Model in strengthening government programs for effective socio-economic development and service delivery. Lessons from the study will be used to inform the approach on district based planning in order to improve service delivery in all spheres across the country and contribute to reducing public discontent.

1.3 RESEARCH OBJECTIVES

To address the research problem above, the study has set the following objectives:

- a. To examine the challenges that are faced by the different spheres of government in promoting cooperation in the implementation of service delivery, with particular reference to the KwaZulu-Natal Province.
- b. To analyse the context and philosophy behind the OSS that necessitated its adoption by KwaZulu-Natal as an alternative model for service delivery and community development.
- c. To evaluate how the OSS Model strengthens the role of metropolitan/district municipalities in the integration of service delivery and implementation of government policies.
- d. To elaborate on how the OSS concept of a “War Room” contributes in entrenching participatory democracy at the grassroots level in the formulation of ward-based Integrated Development Plans (IDPs) and promotion of accountability.
- e. To analyse lessons that can be learnt from the OSS Model to strengthen district-based planning in all spheres of government.

1.4 RESEARCH QUESTIONS

The study is underpinned by the following guiding questions which it seeks to respond to:

- a. What challenges are faced by the different spheres of government in promoting cooperation in the implementation of service delivery, with particular reference to KwaZulu-Natal Province?

- b. What is the context and philosophy behind the OSS that necessitated its adoption by the KwaZulu-Natal Province as an alternative model for service delivery and community development?
- c. How does OSS strengthen the role of district/metropolitan municipalities in the integration of service delivery and implementation of government policies?
- d. How does the OSS concept of a “War Room” contribute to entrenching participatory democracy at the grassroots level in the formulation of ward-based IDPs and promotion of accountability?
- e. What lessons can be learnt from the OSS Model to strengthen district-based planning by all spheres of government?

1.5 RATIONALE AND SIGNIFICANCE OF THE STUDY

There is a glaring need to establish satisfactory models to strengthen existing intergovernmental relations and at the same time achieve cooperative government. This calls for research evaluation of strategies and programmes that have been undertaken in government to date and refining them in order to learn from the best practices to improve planning and implementation of service delivery. This is urgent and necessary as South Africa has to address the severe challenges of inequality, poverty and unemployment.

The researcher had been part of the origin of the OSS Model, having been in the Executive Council since 1994 and ultimately the Premier until 2013 in KwaZulu-Natal. In undertaking this research, the researcher aimed to learn, and further, contribute to the theoretical and analytical aspects of understanding governance in the South African context. Several provinces adopted the OSS model and as stated previously, OSS has been adopted by the central government for implementation nationally as the District Development Model. More work is needed to study the OSS Model and identify its impact and gaps as well as make recommendations on how the model can be utilised to improve the delivery services in the country as a whole.

The OSS Model has been the subject of scholarly research from various aspects; the intergovernmental relations (Phakathi 2016); and decentralisation of services (Tshisonga 2017), etc. This study makes a distinctive contribution to the field by going beyond the focus

on intergovernmental relations in OSS studies and looking at the five convergent principles of OSS: i) cooperative government, ii) intergovernmental relations, iii) good governance, iv) community participation and, v) integration of services. The analysis of these key principles will assist in creating a framework to strengthen future service delivery models.

This study is conducted as an intellectual activity and a systematic investigation which will result in “correcting the present mistakes, removing misconceptions and adding new learning to existing knowledge” (Pandey & Pandey 2021:7). The justification and rationale of this study is to assist policy makers “to avoid subjective errors of judgement that general observations may result in” (Neuman 2014:4). In this dissertation, the outcome will be a refined model for deepening cooperative government, enhanced coordination and integration of government programmes and improvement of government performance, across three spheres for the benefit of society.

1.6 THE ORIGIN AND CONTEXTUALISATION OF THE OPERATION SUKUMA SAKHE MODEL

1.6.1 Challenges in service delivery

The historical background to the causes of poverty inequality and unemployment, which is prevalent today, is anchored in the colonial and apartheid policies of disenfranchisement and land dispossession of the indigenous people of South Africa under the Native Land Act and other laws which promoted racial segregation. Modise and Mtshiselwa (2013:1) argue that “many South Africans, especially black South Africans, are trapped in a cycle of poverty that emerged as a result of our history of colonialism and apartheid.”

Challenges in service delivery that confront the democratic government are largely part of the legacy of apartheid, which caused systematic institutionalised discrimination and marginalisation of the majority black population. The National Planning Commission of South Africa released a Diagnostic Report in June 2011, identifying the achievements and shortcomings of governance in South Africa since 1994. The report cited the following challenges: too few people worked, the poor quality of education for the black people, poorly located and inadequate infrastructure, spatial development hinders inclusive development, resource intensive economy that is unsustainable, high corruption levels, uneven and poor quality public services for the poor, inadequate health services and deep racial divisions in

society (NPC 2011). The Reconstruction and Development Programme (RDP 1994:7) states that “democracy cannot survive if the majority of its people live in poverty and are landless, thereby eliminating poverty needs to be prioritised. The transition to democracy was confronted by deep social divisions, racially segregated services and highly traumatised community based on the brutality of an oppressive apartheid system.”

1.6.2 Operation Sukuma Sakhe in context

When the new Constitution was adopted in 1996, provinces had options of drawing up their own coat of arms and the constitutions. At that time, KwaZulu-Natal had the worst manifestations of political violence. The political tensions, intolerance, suspicions and mistrust was evident as the political conflict and violence continued to rage, making governance a serious challenge. The KwaZulu-Natal province remained unstable. Based on the history of apartheid segregation and liberation struggles, three major political strands had to be merged into a single government of provincial unity, comprising the former Natal Provincial Administration by whites that co-opted the representatives of Indian and Coloured communities, the KwaZulu homeland government and the liberation movement mainly the African National Congress (ANC) and Pan-Africanist Congress (ANC 1994). The debate on the symbol of a united KwaZulu-Natal province, the coat of arms, took almost ten years before adoption in August 2004. At the point of adoption, the ravages of the province were the focus of the government resulting in the choice of the motto: *MASISUKUME SAKHE* (Let us Stand up and build). The motto was based on the Biblical book and story of Nehemiah (Chapter 2 verse 18), who issued a call to his people to stand up and build the city of Jerusalem that had been ravaged by fire after many years of neglect. This motto was politically neutral and not adapted from past regimes and represented something new, hence it did not invoke memories of past political tensions and differences. Instead, it was an all-embracing call to all of society to rise and participate in the reconstruction of the lives of survivors, their families, their community, institutions and their land. Formulated in vernacular language, the message on the motto resonated with over 87% of the population, making it one of the most easily identifiable brands in the province as a symbol of the provincial unity, reconstruction and development.

The overarching objective of the post-apartheid government is to address the structural legacy of apartheid and colonialism, namely poverty, inequality, unemployment, underdevelopment and marginalisation of the majority population. Several strategies were embarked upon to ensure coordinated and integrated development, initially in the form of the Reconstruction and

Development Programme (RDP), (<https://www.anc1912.org.za/policy-documents-1994-the-reconstruction-and-development-programme-introduction-to-the-rdp>) introduced by President Mandela in 1994. In 2005. The KwaZulu-Natal Premier J.S. Ndebele launched a programme of integrated service delivery called “*Operation Mbo*,” where all government departments, “working in a coordinated and integrated manner, descend on an identified area and working together with communities and local government structures, start implementing development projects” (OSS; Five-Year Review: Province of KwaZulu-Natal 2015:10). The term “*Mbo*” was adopted from the isiZulu word ‘*mboza*’ which means to “cover something up” (OSS; Five-Year Review: Province of KwaZulu-Natal 2015:10). The term denotes a strategy in which warriors collectively surround the opponent and attack *en masse* at the same time to ensure there is no way the opponent can escape and is therefore eliminated (OSS; Five-Year Review: Province of KwaZulu-Natal 2015:10). This encouraged departments to work together to ensure there was a visible impact in the community. The warrior tactic of *ukumboza* was thus being used as a metaphor for simultaneous, coordinated efforts.

Another integrated strategy to fight poverty was introduced by President Mbeki in 2008, named *THE WAR ON POVERTY* which was cascaded to all provinces for implementation (OSS; Five-Year Review: Province of KwaZulu-Natal 2015:10). Poverty was seen as central to most of the challenges that the government service delivery programmes had to confront and address, such as unemployment, hunger, illiteracy, crime, substance abuse, tuberculosis (TB), HIV and AIDS and other diseases. This situation necessitated the creation of an innovative approach to expediting service delivery in an effective manner (Mkhize & Reddy 2021:78); hence an integrated anti-poverty programme was launched as a flagship project in 2009 in KwaZulu-Natal. The flagship project was aimed at “implementing a holistic, comprehensive and inclusive plan that would promote community development and economic growth, employment creation and build local institutions that will result in poverty eradication” (Province of KwaZulu-Natal:2015:2).

This programme was later redesigned as an alternative model for service delivery and was launched by the then Premier of KwaZulu-Natal, Dr Z.L. Mkhize in April 2011, now named OSS (Mkhize State of the Province Address 2011:29), meaning “Operation stand up and let us build” (Phakathi 2016:3 & Mlambo & Tshishonga 2018:231). This was a call to all citizens to stand up and overcome the challenges that destroyed the fibre in society, such as poverty, unemployment, ravages of violence, crime, substance abuse, HIV and AIDS and TB and to

join hands in partnership with government and other stakeholders to build anew. It was so named to signal a new culture of a people's partnership with their government (as distinct from antagonistic relations with an oppressive apartheid government), to achieve post-conflict reconstruction. The model invoked the spirit of popular participation in rebuilding the broken lives and dignity of survivors, traumatised families, oppressed and impoverished society, social fibre, social institutions and an economy ravaged by apartheid policies of segregation and oppression, violence and HIV pandemic. OSS placed a focus on the community partnership, integration of government services, behavioural change, economic activities and environmental care. OSS used "the Ward based approach of people participating in governing," (Province of KwaZulu-Natal:2014:8).

The objective of OSS was to create an integrated, coordinated, interdepartmental, multi-sectoral and a multi-stakeholder platform for effective service delivery "by creating a partnership with the community thereby acknowledging that government cannot do it alone;" (Province of KwaZulu-Natal:2011). OSS was created from an amalgam of different strategies, namely Reconstruction and Development Programme, Operation Mbo, the WAR ON POVERTY, various integrated urban and rural development strategies taking on their strengths and wove them into an alternative service delivery model, targeting the poorest areas first.

The spirit of inclusivity is reflected on the OSS logo, which is a symbol of partnership and development, represented by a green tree with red leaves at the centre in the form of the red AIDS awareness symbol and the whole tree is made of images of hands.

1.7 KEY CHALLENGES THAT CONFRONT SOUTH AFRICA - NATIONAL PLANNING COMMISSION DIAGNOSTIC REPORT

Eliminating poverty and reducing inequality are key strategic objectives of the State of South Africa. The Reconstruction and Development Programme (1994:7) states that "[n]o political democracy can survive and flourish if the mass of our people remain in poverty, without land, without tangible prospects for a better life. Attacking poverty and deprivation must therefore be the first priority of a democratic government."

President Zuma of South Africa established the National Planning Commission (NPC) in 2010 to investigate and take an "independent and critical view...of the challenges and opportunities that the country faces and develop a vision for the year 2030, as well as develop a plan to

achieve the vision...The establishment of the National Planning Commission is our promise to the people of South Africa that we are building a state that will grow the economy, reduce poverty and improve the quality of life of our citizens” (National Planning Commission 2011:1).

The NPC developed a diagnostic report that identified the main challenges that confront the country and the underlying causes. The diagnostic report affirms that “after centuries of colonial conquest followed by many decades of protest, resistance and brutal repression, South Africa negotiated its way to full democracy and laid the foundations for a non-racial, non-sexist state” (National Planning Commission 2011:6). The country defied all doomsayers and avoided a calamitous journey towards racial explosion and intractable violence. The dismantling of apartheid registered huge progress in economic growth, increasing revenue, increased employment and diversity of the economy. Despite the rise in the proportion of the top twenty percent of black income earners, racial inequality remains a reality for the majority of the black population (National Planning Commission 2011:4-6). While some successes have been registered in the new democracy, new creative and innovative ways are needed to address the rising aspirations (which are the expectations of what democracy would deliver), as well as implement effective solutions to rectify the weaknesses and the challenges identified. To achieve the country’s objectives of creating a united, non-racial and democratic South Africa with opportunity for everyone, the advancement of change has had to be proactive in South Africa. Ongoing social and economic exclusion create a volatile and unstable political climate that is not conducive for the deepening of democracy (Levy B; Hirsch A; Naidoo V; Nxele M. (2021:5).

There is indisputable evidence that these high levels of poverty and inequality are the consequences of colonialism and apartheid oppression. National oppression ensured systematic marginalisation, land dispossession and impoverishment of the majority of the population and the perpetuation of an economy that served the interest of the minority, “driven principally by the fact that too few people work and that the quality of education for many black people remains poor” (National Planning Commission 2011:7). Unless this situation is rectified, the country runs a risk of the political change and new democratic dispensation being seen as a failure, resulting in the country degenerating into lawlessness and racial polarisation, which will be worse than the apartheid history. The National Planning Commission (2011:16) acknowledges that “Political change brings no guarantee of social, economic or political

progress, with many civilisations experiencing rising corruption, widespread poverty and rising inequality, poor economic management, skills flight and politics degenerating into ethnicity, regionalism, factionalism and deterioration of services and infrastructure management...Poverty and extreme inequality persist”. The NPC (2011) identifies entrenched structural problems and other sociological factors that confront the South African state such as slow growth, racialised inequality, unemployment, land inequality, poor quality education, skills mismatch, disease burden of the poor among many other entrenched socio economic struggles.

1.8 THE FIVE CONVERGENT PRINCIPLES IN OSS

The five convergent principles of OSS are defined as follows:

1.8.1 Cooperative government

As a concept, cooperative governance arose from examples of countries that adopted federalism with powers exclusive to each level of government. The term “spheres” of government was coined to avoid a hierarchical order of descending level of importance; but to reflect the uniqueness in which national, provincial and local government were seen as “interdependent and distinct” (Woolman & Roux 2013). The principle of cooperative governance requires that “all spheres of government cooperate as partners and constantly communicate” (Edwards 2008:92).

In Chapter Three of the South African constitution, it is stated that national, provincial and local spheres of government are “distinctive, interdependent and inter-related”. The spheres are autonomous. Although the constitution provides for autonomy, challenges in operating across the spheres manifest. Additionally, the co-existence of traditional leadership and democratically elected municipal governments creates disagreements and more challenges where the two governance forms are often in conflict. Challenges identified in this level of leadership include competition (Hornby 2002:32-3) and discontent (Reddy & Shembe 2016:39-49) between municipal and traditional structures. The practical implications of coordinating and aligning the different spheres and institutions of government necessitated the promulgation of various legislations, to resolve the various factors which create impacted on service delivery, despite the provisions of the constitution.

The provision for cooperative government was meant to ensure that the three spheres cooperate vertically, that is up and down the spheres, and horizontally across with others in their sphere. This study explores the extent to which OSS improves cooperation and ensures that partnership is built and reflects a constructive attitude between spheres (as opposed to a hostile or competitive attitude) and willingness to work together to achieve a common objective. This allows for the different spheres to commit resources in a common program for the benefit of the defined community. The success of this cooperation should be demonstrated by the efficiency in service delivery and measurable community satisfaction.

1.8.2 Intergovernmental relations

The concept of IGR in South Africa, imported from countries with federal states, was designed as a “dispute resolution mechanisms,” incorporating the procedures, organs and structures of the various spheres of government; to coordinate and align their activities (Woolman & Roux, 2013:25). Referring to the experience in Kenya, Gichuhi (2017:1) stated that IGR encompass all “the complex and interdependent relations among various spheres of government and the coordination of public policies”.

There are several formal structures created through many pieces of legislation in South Africa; such as the Intergovernmental Relations Framework Act, that ensure coordination among national departments and between them and provincial and local governments; including, *inter alia*: the National Council of Provinces (NCOP), Presidential Coordinating Council (PCC), Ministers of Cabinet and Members of Provincial Executive Council (MINMECs), Fiscal and Financial Commission; Premiers’ Coordinating Forums, Forum for Directors-General, among others.

For the integration of planning and successful implementation of policies, these structures need to be coordinated effectively. Evidence suggests that there are improvements in coordination as these structures become more entrenched; focusing on coordination, joint planning, budgeting and implementation of programs (S.A. Government: 15-Year Review 2008). The effect of these IGR structures is to reduce inter-spherical conflict, coordinate policy planning and implementation, and improve service delivery and development.

1.8.3 Good governance

Keping (2018:1) argues that “good governance is the active and productive cooperation between the State and citizens”. Some authors (Nelson 1996:329) attribute the origin of the concept of good governance to “language gleaned from documents of global financial institutions and donor agents (particularly the IMF, World Bank; UNDP, ODA, IDA) based on successful liberal democracies” (Nag 2018:127). Good governance is defined by the following features, namely accountability, equity and inclusiveness, transparency and openness, responsiveness, justice and the rule of law, effectiveness and efficiency, consensus and legitimacy (Nag 2018:127-129).

Good governance also requires competent public servants who can make informed decisions based on ethics, fairness and communicating with stakeholders (Nag 2018). According to the World Bank (1994), good governance is a “fundamental ingredient of sustained economic development” (Kaufman & Kraay 2007:5). As a concept, good governance, refers to acting in the public interest at all times and taking ethical decisions in accordance with public sector values, which include professionalism, leadership ethics and *Ubuntu*. The Constitution has dedicated section 195 to guide the conduct of the Public Administration to achieve good governance. The White Paper on the Transformation of Public Service introduced the concept of Batho Pele principles and the transformation of public service delivery (WPTPS 1997:4) in furtherance of good governance.

Public media and scientific research publications that have been reviewed, are replete with various analyses of weaknesses in governance and service delivery, in the face of huge backlogs and inadequate resources (COGTA 2016 : 5). Challenges of poor governance have manifested in various ways, such as: ineffective service delivery; poor communication with the community; mismanagement; wastefulness; irregularities; misalignment; poor monitoring; inadequate consequence management; corruption; dysfunctional municipalities; political instability and lack of capacity (COGTA 2016:5; IDASA 2010:7). As a result of maladministration, many municipalities are classified as dysfunctional. Adverse audit opinions are a “testimony to the absence of good governance, professionalism, ethics and integrity” and corruption is a factor in civil unrest (Kondlo 2018; Maserumule & Vil-Nkomo 2015:118). The lack of integrity, ethical leadership and professionalism coupled with corruption have a negative impact on service delivery. Kondlo (2015:494) believes “personal integrity, *Ubuntu* philosophy, the conscience and consciousness of individuals” create ethical leadership.

While politics is an integral part of governance, managing the interface between politics and administration remains a challenge. The role of public representatives is to provide political leadership in policy development over the public service (Van der Waldt 2016). However, political interference, refers to unacceptable interventions that cause conflicts and paralyse the functioning of government and retard service delivery. Reddy (2017:242,248) referred to “disagreements and strained relations between senior managers and the elected political leadership” that often arises in national and subnational levels.

This researcher opines that good governance is fundamental to building public trust and credibility, as well as the moral standing of any government. Good governance provides the moral authority that enables the citizens to cooperate in partnership with the government, in support of programs for community upliftment and delivery of services. Keping (2018:5) refers to this concept as “legitimacy.”

1.8.4 Community participation

At the nub of this research is also the issue of deepening democracy through community participation; a concept that has been the subject of extensive studies. In the RSA Constitution of 1996 (Act 108), there is a clear constitutional provision (section 195) that is directed at the public administration for encouraging community involvement. Section 195-1e, (in Chapter 10) states: “The public must be encouraged to participate in policy-making.” The Constitution outlines the rights for citizens in the Bill of Rights; and elaborates extensively on various structures to guarantee the deepening of democracy. It is well established fact that there is the need for consultation with communities which must participate in the issues of their own development, formulation of policy or legislation and service delivery. This indicates that the Constitution envisaged more democratic participation than just voting every five years for the different spheres of government. A similar provision is part of the framework for municipal systems (Municipal Systems Act (MSA): Act 2000:16.1a-c.).

Community participation has been traced to the ancient Greek city-states (Mahamed in Zondi & Reddy 2016:29) to indicate that “participation enhance decision making” (Kotze 2009:37). This approach has been adopted by the new government in South Africa since 1994 as an instrument to deepen democracy (Zondi & Reddy 2016) and empowers previously disadvantaged groups in policy making (Creighton 2005:7). Communities have been encouraged to participate as individual members or in one form of organised formation or

another, in other words, civil society, labour, business, faith-based, youth, women, sports, arts & culture, professional. Zondi and Reddy (2016) concluded that “public participation was a commitment to enhance South Africa’s local democracy and promote constitutional values of public administration.” Community participation enhances accountability and consultation from policy-makers and it “inspires them to be responsive to the needs of communities” (2016:31) and contributes to better analysis of proposals and emergence of better developments (Enserik, Connor & Croal 2006:33), as well as promoting access of public to better information (Aulich 2009:45). Poor communication between the public representatives and the citizens tends to result in protests and disruptions. However, there are indications that the current mechanisms are not satisfactory. According to Botes (2018:242), “two million people per year are taking to the streets to protest about land and housing issues, poor public service delivery, authoritarian governance and political decisions and non-responsive governance”. The increased number of violent public protests with destruction of property and infrastructure is attributed to dissatisfaction with aspects of service delivery (<https://www.municipaliq.co.za/index.php> Municipal Iq 2018).

Public participation was prioritized in the strategy to turn around local government, in a government document entitled: “BACK TO BASICS”. With regards to public participation the document states that there will be performance measurements for, among others, “the number of effective public participation programmes and the regularity of community satisfaction surveys carried out” (GOGTA 2016:11).

1.8.5 Integration of services

The interaction between different spheres of government is supposed to result in an integrated plan. The IDP creates a comprehensive framework for the development of a defined location in a municipal area (Local Government: Municipal Systems Act 32 of 2000). The Reconstruction and Development Program policy framework brought in a notion of government working with the people for the people (RDP: ANC 1994). The IDP is “a management tool” (Dlamini & Reddy 2018:2) though its effectiveness was questioned by the submission by IDASA (2010:4) estimating that only 3% of the population participated in IDP processes. IDPs need to be promoted in the spirit of the RDP. The OSS Model sought to combine most of the above features of grassroots community involvement.

This researcher argues that it is the comprehensive approach involving the five convergent principles that have resulted in the positive impact of the OSS Model. Therefore, analysing its successes and shortfalls is the subject of this study to inform any further initiatives to improve service delivery.

1.9 RESEARCH METHODOLOGY UTILISED IN THE STUDY

This study is categorised as applied research of a qualitative or descriptive nature, as it aims at finding a solution for an “immediate problem facing society” (Neuman 2014:16). The study has been guided by the interpretivist worldview which utilises a qualitative research approach. The interpretivist paradigm enables the researcher to “interact with, study, analyse and interpret the views, personal, historical and cultural experience of the participants” (Creswell 2016:36). Drawing from writings of various authors, Creswell (2016:36) describes the four paradigms, namely post-positivism, interpretivism, transformative, and pragmatic worldview; a view supported by Denzin and Lincoln (Sadonik 2007:418).

Interpretivism as a perspective, is also referred to as the social constructivist worldview and generally adopts the experiences of participants as the focus of data collection and analysis. The research relies on the participants’ views. Broad, open-ended and general questions were employed to enable the participant to construct the meaning of various situations under research, based on their historical and cultural background and including the circumstances under which they live and operate. The researcher endeavours to interpret the situation through the views and observations of the participants; but acknowledges how the researcher’s own personal or cultural background influences their interpretation. This study was designed to elicit the experience and views of participants with regards to service delivery issues and their perception of the role of the OSS Model therein. The participants’ views and observations of the researcher have been analysed to arrive at findings and conclusions of this study.

Both primary and secondary sources of data have been utilised. The primary sources of data for the research “include finding out first-hand the attitudes of a community” through individual interviews and free and open discussion between the members of focus groups and the researcher (Kumar 2011:124-133). Literature from books, scientific journals, government reports, earlier research reports, media and records of relevant speeches provided secondary sources. This study, in line with qualitative studies, has used “observational, communicative

and documentary methods in natural settings,” with emphasis on describing phenomena, wherein the construction of hypothesis is meaningless and not advocated (Kumar 2011:86-92).

To fulfil the objectives of this study, the research strategy adopted by this researcher is the qualitative case study approach. Creswell (2006:68) defines case study research (also seen as a methodology) as “a qualitative approach in which the investigator explores a bounded system (a case)”. The researcher has selected this approach as it will achieve an in-depth analysis of challenges in service delivery and the OSS Model involving multiple sources of information; namely, conducting interviews and analysis of documents and reports.

The sample consisted of 24 participants, identified on the basis of their role in government or community service and may have intimate knowledge of service delivery in KwaZulu-Natal since 2009. They were divided into individual respondents and Focus Groups identified from public servants at national, provincial and municipal spheres, civil society, traditional leadership and international agents. A sample of 24 respondents was selected for individual interviews and focus groups. Owing to Covid-19 Regulations, most interviews were conducted through teleconferences that were recorded with all the respondents’ consent. The respondents were drawn from national and provincial government and four municipal districts were selected, namely the Ethekwini, Umkhanyakude, Ugu, and Harry Gwala districts.

1.10 LIMITATIONS OF THE STUDY

This research was designed as an analysis of challenges facing the three spheres of government and as a case study of the OSS as an alternative service delivery model. Lessons will be used in the improvement of service delivery and towards the strengthening of the district-based planning as proposed for the District Development Model (DDM).

The research was conducted on respondents that were directly involved in aspects of the OSS, at national, provincial and municipal levels. The respondents included elected political leaders and experienced public servants, traditional leaders and civil society involved in the implementation of OSS Model. Though the study was located in KwaZulu-Natal province and municipal districts, however, much benefit was obtained from respondents located at national government level and UNAIDS who have all contributed immensely in this study utilising their experience as they interacted with the OSS Model. No politicians were interviewed at national

levels. The study was limited only to four of the eleven districts. It is possible that some information may be altered by expanding the research to involve more districts.

1.11 CHAPTER OUTLINE: OVERVIEW OF THE STUDY

The dissertation is structured into seven chapters:

Chapter 1: Introduction

This chapter provides the introduction and background to the study, outlines the challenges in service delivery and introduces over-arching principles in the OSS Model, namely cooperative government, good governance, IGR, integration of service delivery and community participation. It outlines the structure of the dissertation with a brief outline of the literature review, theoretical framework and methodology used in this study.

Chapter 2: South African Governance and OSS in Context: Review of Literature

This chapter focuses on tracing the history of the systems of governance in South Africa, dating from the colonial to apartheid era to contextualise the choices made in drawing the democratic Constitution. The chapter uses analysis of literature to trace the evolution and legacy of governance systems over centuries, the genesis of the challenges of poverty, inequality and unemployment in South Africa. It demonstrates that colonialism and apartheid institutionalised segregation and racial discrimination unleashing land dispossession, disenfranchisement and deepening poverty for the majority. The chapter delves into the various lessons from countries across the world which created a post-apartheid system of governance (Chaskalson, Marcus & Bishop 2013:14-2), with both federal and unitary features of governance including the philosophy the German federal government called the *Bundestruhe*, which is critical for cooperative government. This analysis identifies the over-arching principles that made the OSS a successful model.

Chapter 3: Conceptual and Theoretical Framework

This chapter is focused on the theoretical framework that guided this study. The study utilised the Systems Theory as a basis for analysis. This approach was preferred due to the complexity of the government system and the focus on systems undergoing transformation and directed to achieve integration. The systems approach enables the study to be analysed from the micro and

macro-environments which enables the research to look at each component individually and collectively and analyse the interaction between various components of the system. The study relies on the Theory of Governance. The theory provides five governance models and analyses the IGR and the concept of multi-level governance. The analysis of the dynamic interactions exposes the challenges of coordination in planning and implementation, as well as issues of accountability, legitimacy and their impact on governability. The Theory on Governance was analysed to show the essential factors that determine governability and the important pillar of democratic participation in the strengthening of governance. These analyses took into account the theories of Public Administration, Public Management and New Public Management as background.

Chapter 4: Research Methodology

This chapter is focused on the approach used to do the research, clarifies the choice of qualitative research methodology, outlining the data collection and analysis undertaken. It justifies the use of focus groups, written and telephonic interviews, data analysis and other ethical considerations. It details the approach to the case study utilised to anchor this study.

Chapter 5: Findings: Challenges in Service Delivery and Operation Sukuma Sakhe Model

This chapter provides findings of this study with an outline of service delivery challenges. The responses encapsulate the views of respondents as they understand the service delivery challenges. The chapter contains documented responses to interviews by respondents which provide a case study on OSS in KwaZulu-Natal, through the views of the respondents interviewed, highlighting its origin, *modus operandi*, achievements and challenges. It demonstrates how the over-arching principles of OSS are applied in strengthening service delivery. It also demonstrates a home-grown solution to challenges experienced in federal systems, thereby creating a unique environment through the OSS structures to promote inter-spherical coordination and partnership with stakeholders that improves service delivery, thereby playing an important role in the elimination of poverty and inequality.

Chapter 6: Analysis and Discussion of Research Findings

This chapter contains and discusses the documented responses to interviews and records the findings of the research and provides an analysis. The analysis is done to demonstrate that the dynamics of concurrent competences are a feature of the liberal democratic model that require institutional linkages to avoid disjuncture in governance. It highlights the impact of OSS in service delivery, its effectiveness in coordination of service delivery and how it built public trust and improved communication. The analysis embraces the origin, concept and role of the war rooms in integration and entrenching participatory democracy. It further highlights the role of districts in coordination of IDPs and the role of champions in strengthening accountability. Lessons are identified to strengthen the district-based planning and budgeting in the DDM. Challenges are highlighted such as poor attendance by senior departmental officials, lack of standardisation of procedures, lack of dedicated budgets and how these have hampered the progress. Proposals are made about the future of the model and lessons for the district-based planning.

Chapter 7: General Conclusions and Recommendations

This chapter tables recommendations of the research. It highlights lessons learnt and weaknesses of the model and proposals for strengthening the model. The need for integration of OSS work in the key performance areas of senior managers and creation of standard operating procedures and ensuring planning and budgeting as well as education and training that is necessary to ensure the sustainability of the model and standardisation of the approach across different provinces. The study concludes that the OSS Model contributed to the implementation of the post-apartheid governance system by providing the spirit of cooperation and partnership similar to the *Bundestruhe* in German federation, which is unique in IGR in promoting cooperative government through the use of five overarching principles.

Recommendations have been made to strengthen the OSS Model and the DDM, to institutionalise the cooperation of all spheres of government and create a platform to deepen integration of implementation plans, achieve socio-economic development, as well as mobilise society to address underlying poverty which manifests in social ills.

1.12 CONCLUSION

The chapter introduces the research, outlines the research problem, research questions and objects of the research. It introduces the literature review that gives the background challenges in governance and service delivery in South Africa. The research methodology is highlighted. The findings are documented outlining the views of respondents on the OSS Model of service delivery, including the overarching principles and tables the analysis of the findings. The chapter further outlines the structure of the report in its conclusion.

CHAPTER 2

SOUTH AFRICAN GOVERNANCE AND OSS IN CONTEXT: REVIEW OF LITERATURE

2.1 INTRODUCTION

This chapter provides for a historical context of governance in South Africa. It sketches the historical development of the governance system in South Africa from colonialism to apartheid and the constitutional dispensations that defined the various eras of subjugation of the majority of South Africans leading to minority rule. The key challenges of poverty, inequality and unemployment have their roots in the systematic and institutionalised segregation which were a part of the legislative orders – these being ‘responsible government’ of colonies, the 1910 constitution, 1913 Native Land Act, Native Administration Act, 1961 Republicanism, 1983 Tricameral System and other oppressive laws. The resistance over the centuries by the oppressed majority was directed at reversing institutionalised racism and associated oppressive legislation in order to usher in a democratic dispensation culminating in the adoption of the 1996 Constitution as an attempt to reverse all the colonial and apartheid legislation.

This context provides a historical background for the dissertation and for the literature review which identifies the gap to be filled by this study. The literature reviews are an “integral part” of research which forms the foundations of the study, helps in designing the methodology and the interpretation of findings (Kumar 2011:46). Literature reviews form a foundation of successful research in which as much information is obtained regarding the study and this process shapes the study in question. Literature reviews are an “integral part” of research which forms the foundations of the study, helps in designing the methodology and the interpretation of findings (Kumar 2011:46). Literature reviews “entails obtaining useful references or sources on a particular topic” (Brynard & Hanekom 1997:31). Once the researcher identifies a topic that can and should be studied, “the search can begin for related literature on the topic” (Creswell 2014:20-31). The literature reviews contribute to the ongoing scholarly discourse and engagement on the topic and gives the researcher an idea of where the gaps are in the field that can be filled by their study.

According to Creswell (2014), the search on related literature assists the researcher to identify and evaluate the relevance of theories to their studies. When literature is presented in a separate

section as a review of the literature, this approach is “often acceptable to an audience most familiar with the traditional postpositivist approach to literature reviews” (Creswell 2014:62). He further advises that a “topic related to reviewing the literature is the identification and definition of terms that readers will need in order to understand a proposed research project”. This assists readers who may be unfamiliar with the subject of research. Creswell (2014:52-53) argues that “defining terms also adds precision to a scientific study, since words of everyday language are rich in multiple meanings. This explains why terms are given “technical meanings” for scientific purposes.”

2.2 HISTORICAL EVOLUTION OF SOUTH AFRICAN GOVERNANCE

The purpose of this discussion is to give a historical context to governance structures of the South African state, particularly in relation to the degree of centralisation versus decentralisation of authority. Villa-Vicencio (1991:144) argues that “[l]aw in South Africa has long been a composition of Roman, Dutch, and English influences, reconstituted to conform to the political needs of successive undemocratic and racist governments in South Africa.” The system of government in South Africa has its roots in the colonial government of the Cape Colony that was originally set up as a trading station by the Dutch East India Company (VOC), and later developed into a settler colony that began to expand into the interior and subjugated indigenous Africans. Although it was a corporation, the VOC had quasi-state powers that enabled it to establish administrative authority over territories on which it was stationed for trade or had conquered (Villa-Vicencio 1991). VOC governors, such as Jan van Riebeeck, were commercial and political heads of the enterprise. The VOC established itself as both a commercial monopoly over the Cape trading route, as well as a new political authority over the European colonists migrating to the Cape. The Dutch East India Company ultimately answered to its board of governors in Amsterdam. Between 1652 and 1799, the VOC was the European settler authority on the shores of the Cape. Thereafter the British took over the Cape Colony from the Dutch and built on the Dutch systems of administration, their own frameworks of colonial governance (Villa-Vicencio 1991:144).

2.2.1 British Colonialism and “Responsible Self-Government”

British colonial government evolved in two phases. At the outset in 1806, after finalising the takeover of the Cape Colony, the governors of the Cape initially reported directly to the British colonial office in England. Governors of the Cape colony were appointed from Britain.

Wilkinson (2000:196) stated that “[a]fter considerable agitation, the colony was granted “representative government” with the inauguration of a Legislative Assembly in 1854, followed in 1872 by the granting of “responsible government”, all on the basis of a qualified non-racial (but exclusively male) franchise.” The British imperial centre devolved powers of self-government to its colonies through the principle of “responsible government” which gave greater governing autonomy to the Cape and less involvement from Britain on some fiscal and military matters (Gwaindepi 2021: 340, 342, 345).

Devenish (2011:113) describes the forms of government of the four pre-union white colonies of South Africa as follows:

“In the Cape Colony there had been a long history of constitutional reform commencing from the time when the colony was autocratically administered by a virtually all-powerful governor and culminated in a parliamentary system of government, based on the cognate doctrines of Westminster parliamentary government and the Rule of Law, coupled with a relatively liberal non-racial qualified franchise. In Natal, although there was a parliamentary system of government, it was coupled to a de facto colour bar. In the Boer Republics there were two divergent constitutional traditions, both of which involved a contentious political colour bar, based on the idea of no equality in church or state. In the Free State there had been a rigid constitution modelled on the American Constitution, the concomitant testing right of the courts and a reputation for constitutionalism and judicial independence, but in the Transvaal Republic (ZAR) there had been executive aggrandizement and judicial subordination to the executive.”

Military dispossession was the main colonial instrument of subjugation up to the 1880s but by the late 1890s, the law was administered effectively as a tool of dispossession. The four white territories largely operated as federations for the two white power colonial blocs – Boer and English. Laws such as the Glen Grey Act of 1894 heralded an era of legally codified segregated land and residential administration which would result in Africans being legally dispossessed and while whites became legally entrenched in property and ownership – in both the Boer and British republics.

2.2.2 The 1910 Constitution of the Union of South Africa

The discovery of diamonds and gold in the 1870s and 1890s began to increase tensions between the two white colonial power blocs leading to the Anglo-Boer war. The war was eventually won by the British but in a turn of historical fate, instead of a winner-takes-all outcome, there was a recognition from both the British and Boer forces that the future of the white minority in

South Africa lay in their political unity. This then led to a reconciliatory pact through the Peace of Vereeniging that would give rise to The Union Act of South Africa of 1909 that led to the formation of a unitary state. Therefore, it can be argued that the act of Union of 1910 was the beginning of unitary governance in South Africa and established for the purposes of centralising white governmental power, to the total exclusion of the black majority. Constitutionalism is a representation of the relations between a government and the governed, as a phenomenon developed mainly in modern democracies, ultimately leaving the power in the hands of the community to control its elected representatives, “hence it is both an instrument for wielding and restricting power” (Hattingh 1998:2). The Union of South Africa incorporated the two British colonies of the Cape of Good Hope and Natal and the Boer republics of Transvaal and Orange Free State. The Union represented the consolidation of power for the white minority settlers and the indigenous population were stripped of any franchise and were separately administered through the Native Affairs. The Union of South Africa Act 1909 established the Union of South Africa in May 1910. The act provided for the Governor General to administer the union on behalf of the British Monarch, to whom all powers vest and may be delegated to his representative. With that authority, the governor general had powers to appoint ten members of the executive council to administer over departments that may be established. While Parliament had the responsibility to pass legislation, such legislation would be handed to the Governor General to present it to be assented to by the King before it can take effect. “All powers, authority and functions which at the establishment of the Union, are in any of the colonies, vested in the Governor or in the Governor in Council....” (The Union of South Africa Act 1909, section 16).

Villa-Vicencio (1991:145) argues that “[t]he South African legal and political system is a disease that grew and developed from what was effective government in Britain, given to the hard-won affirmation of individual rights, into a monster that eventually devoured justice itself when transplanted into colonial South Africa. In brief the monster has two limbs: the unrestrained supremacy of Parliament and the constitutional denial of democracy, both of which resulted in all-powerful white racist rule.”

This ultimate choice of the government model and subsequent policy decisions taken by the Union confirms the observation by Mathebula (2004:76) “that successive South African Constitutions have overtly defined their respective political moods at the time of drafting”. While supposedly premised on the lofty ideals of freedom, democracy, equality, justice and

unity for the white minority, in reality the 1910 Constitution became the instrument that entrenched oppression, racial segregation, disenfranchisement, land dispossession, inequality, injustice, poverty and loss of dignity of the majority, the black population. In the 1908-09 negotiations between the British and Boers after the Second Anglo-Boer War, one of the debates was on the nature of distribution of authority and powers in the future unified state that was envisaged. Devenish (2011:114) argues that the Cape liberals leaned towards federalism but were beaten out by unitarists, such as “Smuts and Merriman, (who) for political and economic reasons, were strongly committed to the unitary system of Westminster government...Smuts articulated clearly and forcibly why a unitary flexible constitution was considered necessary: “What we want is supreme national authority to give expression to the national will of South Africa.” The federal approach of Canada and Australia was not favoured but instead South Africa opted to create a strong white minority central government and establish a unified racial policy and armed forces to suppress all resistance from the black population (especially after 1906 resistance), thereby creating a strong economy in which the black population would serve as labour reservoirs. “Parliamentary Supremacy” enabled the passage of laws that would entrench white power and black subjugation (Villa-Vicencio 1991:144)

2.2.3 Republic of South Africa Constitution Act 32 of 1961

The Constitution of 1961 established the Republic of South Africa and abolished the Union (sections 1-3). The Republic emerged as a culmination of the rising Afrikaner nationalism, who resented the governance of South Africa as a British colony, yearning for self-determination. This nationalism was also propelled by a desire to implement harsher repressive laws against the majority black population and suppress the rising resistance against apartheid (Jisheng 1987:18). In a referendum that again excluded the majority, the white population voted to end the status of South Africa as a British dominion. The RSA Constitution of 1961 was in place from 1961 to 1984 and maintained a unitary state with the dominance of centralised powers and authority. It removed all references to the British Monarch and replaced the Governor General with the President. Parliament elected the President as the ceremonial head of state and the Cabinet was headed by the Prime Minister with executive powers (RSA 1961 Constitution; sections 7-9). The IGR and the rest of the structures and powers remained unchanged. Parliament consisted of the Senate and the House of Assembly in whom the legislative authority vested. The Senate was constituted by members elected by the provincial

councils and others appointed by the State President. The term of office was five years. The powers and functions of provincial councils were not altered. The provincial administrators were appointed by the State President for a five-year period.

2.2.4 The Constitution of 1983

The Constitution of South Africa, Act 110 of 1983, was passed by a referendum of only white voters. It created the Tricameral Parliament, comprising three Houses. The IGR were represented in a hierarchical order, with highest powers allotted to the House of Assembly for the whites and the least authority to the Bantustans and black authorities. Mathebula (2004) argues that “The 1983 Constitution became the most IGR-intensive Constitution ever to be promulgated in South Africa”. The constitution entrenched segregation by providing for the House of Assembly for whites, the House of Representatives for Coloureds and the House of Delegates for the Indian community. It continued with the separate government of black South Africans through various ‘tribal’ and Bantustan frameworks. Mathebula (2004: 90) argues that the “The IGR ‘web’ created by the establishment of self-governing territories, independent states as well as the Black Local Authorities for urban Black people, was further compounded by the existence of a second tier of government with colonial origins, that is, a Provincial Government. South Africa remained a three-tiered state comprising the provinces of Transvaal, Free State, Natal and Cape Province”.

2.2.5 The struggle for freedom, equality and democracy

The indigenous African communities always mounted resistance against colonisation and the associated land dispossession. The adoption of the Freedom Charter in Kliptown in 1955, outlined the aspirations of South Africans for a future South Africa beyond apartheid. The principles of the Freedom Charter highlighted the united country and the creation of a non-racial and equal society. The principles of equality before the law, the equal access to education, health and opportunities and the creation of a peaceful and democratic country were emphasised. The ownership of and sharing in the country’s wealth and restoration of land ownership and security of tenure were critical principles included.

The intensification of the struggle for democracy and freedom culminated in the liberation movements, such as the ANC, Pan-Africanist Congress, South African communist Party and others, being outlawed. Despite immense repression, the incarceration of leaders such as Nelson Mandela, Walter Sisulu, Mangaliso Sobukwe and the assassination of others such as

Steve Biko, Ruth First and others, many more South Africans reinforced the resistance against apartheid. More formations arose to take forward the fight against apartheid such as the rise in students' revolts of 1976 and rising militancy in the labour movement led by trade unions such as Congress of South African Trade Unions (COSATU), National Council of Trade Unions (NACTU) and others. These culminated in the formation of the United Democratic Front (UDF) that had heeded a call from the ANC to render the country ungovernable. The state of open revolt, with the army and the police unable to repress the popular uprisings, created an economic and political crisis for the apartheid regime leading to the initiation of negotiations after the unbanning of the liberation movements (Callinicos 1994 : 2357).

The unbanning of liberation movements, the ANC, Pan Africanist Congress, South African Communist Party and the release from prison of political prisoners, detainees and return of exiles, marked a significant turn in the history of South Africa. This heralded the all-inclusive negotiations under the auspices of the Convention for a Democratic South Africa. These developments managed to catapult the country towards the first democratic election based on one man one vote. This culminated in the election of the Constituent Assembly that ultimately adopted the 1996 Constitution. The spirit of the Constitution carries the sentiments of the aspirations for freedom, democracy, peace, justice, equality and harmony which are contained in the Freedom Charter. For the first time a constitution was drafted to end racial segregation, oppression and exclusion of the majority population, to herald a new dispensation characterised by unity, non-racialism, non-sexism, democracy, equality, peaceful co-existence of all the people in a prosperous country.

2.2.6 The 1996 Constitution (Act 98 of 1996)

The Constitution (SA Constitution, Act 98 of 1996), as the supreme law of the land, is an embodiment of several principles that define a huge departure from previous constitutions. It provides for the establishment of South Africa as a unitary state, comprising nine provinces (sections 103-105). It contains the Bill of Rights that has human rights enshrined in it and defines the principle of equality before the law (sections 7-39). The Constitution defines a constitutional democracy with three arms of the State: The Legislature, The Executive and The Judiciary. The parliament is constituted of the National Assembly and the NCOP (section 42). The public representatives are elected based on party proportionality. The legislative arm comprises the National Assembly and Provincial Legislatures. It provides for the executive

President to be elected by Parliament and the Cabinet Ministers to be appointed by the President (sections 83-102).

Government is divided into three spheres, national, provincial and local levels (section 40). The significant departure is the assignment of executive powers which are exclusive at the national sphere and concurrent powers to other spheres. Schedule 5 of the Constitution, namely “Functional Areas of Exclusive Provincial Legislative Competence” provides for powers of the provinces and the Schedule 4 “Functional Areas of Concurrent National and Provincial Legislative Competence” highlights the powers for the national sphere. There is provision for the resolution of conflicts where the two spheres have passed legislation on the same subject and highlights conditions on how to circumvent the disagreement.

This departure marks a new development in IGR, unique to unitary systems of government as the concurrency of powers introduces characteristics which are associated with federal governments. The decentralisation of powers to the provincial and local governments are certainly more pronounced in the 1996 constitution compared to the earlier constitutions which supported largely centralisation of power at central government level. It is this development that creates a new dynamic of overlapping mandates and duplication of services and the need for new instruments to enhance cooperation and coordination of planning and implementation of programmes for service delivery.

2.3 COOPERATIVE GOVERNMENT - UNITARY OR FEDERAL?

Different levels of governance have always existed in South Africa prior to 1994, though meaningful decision making has always been the preserve of national government. Federalism as a political model for South Africa was first mooted by the British government during the latter part of the nineteenth century, to resolve the challenges posed by the independent Afrikaner Republics to its imperial interests, though the National Convention in 1908-09 decided on a unitary model for South Africa (De Haas & Zulu 1994:433). Both the British colonial and Trekboer republican leaders rejected the federal model of Australia and Canada and recommended the unitary state and creation of the Union of South Africa to consolidate white minority rule and embark on oppressive policies to deal with the “Native question” (Jisheng 1987:18-27). A unitary model would consolidate the white population as one political bloc, and effectively exclude the black majority as a whole and, therefore, do away with the old, albeit limited, tradition of the Cape native franchise.

De Villiers (1994:430) argues that in the negotiations for a democratic South Africa, the “issue of the national and provincial governments was particularly fraught. In the initial stages of the debate opposing positions were taken along classic centralist and federalist lines”. Woolman and Roux (2020:1-23) point out that historically, “while different levels of government existed, all meaningful decision-making processes were concentrated in the national government”. De Villiers (1997:198) observed that there was a lacuna in the Interim Constitution (Act 200 of 1993) with regards to cooperative government and IGR, which indicates that the Multi Party Negotiating Forum had not considered the intricacies of multi-tiered dispensations and the political debate between the ANC and National Party (NP) concentrated on the merits of federal and unitary systems. The negotiation process was tumultuous, fraught with political tensions punctuated by frequent walkouts and witnessed conflicting approaches to the question of powers of the national and provincial governments, particularly of what the future relationship between various levels of government should be (De Villiers 1994:430).

In the negotiations to end apartheid, the debate initially took opposing positions along classic centralist and federalist lines, with the “centralists” (ANC and Pan Africanist Congress) or advocates for unitary state who believed that provincial and local governments should be “totally subordinate to the national government, with some powers allocated to them, but all decisions and actions being subject to a national override” (De Villiers 1994:430). The “federalists” (NP, Tricameral and Bantustans parties) demanded that the levels of government should be allocated powers that are “guaranteed and watertight with any encroachment to be nullified by the Constitutional Court” (De Villiers 1994:430). Inadequate attention was given to the importance of the development of a framework that would enable co-operation and coordination between the respective levels of government.

As the young democracy unfolded, in 1994, many departments began to experiment on vertical and horizontal relations in the absence of rules, system and procedures to guide them in the exercise of the concurrent powers allocated by the Interim Constitution. This situation ultimately had a bearing on the development of the section on cooperative government and IGR in the Final Constitution, notably sections 40 and 41. The need for cooperation and coordination does not suggest that the need for and role of separate tiers of government does not exist, but rather this has become necessary in diverse communities with multi-tiered governance and an increasing need for decentralisation and accountability in democratic

societies. Coordination and cooperation became necessary “due to the increased complexity of modern governmental activities and the number of concurrent legislative matters, interrelatedness and interdependency of many government functions and competitive tendencies of government agencies which operate in silos and the need for grassroots accountability and participation” (De Villiers 1994a:430).

2.3.1 Federalism and cooperation

Modern federalism has most commonly been characterised by IGR that fuelled conflict, being characterised by the ‘dual’ and ‘conflicting’ nature of national and subnational relations (whether these were states, regions or provinces) as was the case with the United States Constitution when it was adopted” (De Villiers 1994a:431). The term ‘dual federalism’ was used originally in the United States “to describe the uncoordinated coexistence or even hostility between the union and the constituent states” (De Villiers 1994a:431). Litigation was a frequent occurrence. This was based on the notion that the national and state governments had separate powers and functions and, therefore, as De Villiers (1994a:431) argues, the “dual approach had as its basis the fact that the national and state governments were in competition and even conflicting with each other, and that they were viewed as competitors rather than partners. This notion emphasised the separate spheres in which the State and federal governments acted and their separate powers and functions; it disregarded the important linkages uniting national and subnational governments.” The drafters of the USA Constitution had not envisaged the constitutional and legal frameworks, system, procedures and rules necessary to make the powers of the different spheres smoothly implementable (Woolman & Roux 2020:1-23). It can be argued that the constitution of the United States was seen as being sufficient in wisdom and foresight so as to mediate such matters. De Villiers (1994a:431) argues that “the drafters of the Constitution of the United States of America paid little attention to the question of IGR, coordination and cooperation and little effort was made to provide a constitutional framework or formal institutions to facilitate the development of such relations. It was assumed that the institutional framework provided for by the Constitution would be sufficient to deal with matters of intergovernmental relations, should the need arise.”

2.3.2 Cooperative federalism

Cooperative federalism can be defined as “a partnership having horizontal and vertical cooperation, bilateral and multilateral cooperation, a combination of voluntary and obligatory

cooperation and involvement of the judicial, legislative and executive branches of government” (De Villiers 1994a:432). Originally, countries such as the United States of America, Canada, Germany, and Australia had no formal framework for IGR, but they would eventually evolve practices of coordination and cooperation across states. Therefore, strictly speaking, the concept of IGR has been mostly applicable to federal states – “notably, most of the world’s states are unitary and not federal” (Woolman & Roux 2009:ch14-p6). According to De Villiers and Sindane (2011:9), the first reference to “cooperative federalism” and formal steps to formalise the IGR were taken in the USA in 1930s due to an increase in the federal responsibilities and activities. In the context of Canada, P Hogg (quoted in Woolman & Roux 2009:ch14-p5) defines co-operative federalism “as a network of relationships between the executives of central and regional government, through which relationships, mechanisms are developed particularly to fiscal mechanisms for continuous redistribution of powers and resources without recourse to the courts or the need for legislative amendments”. The Canadian Constitution – the British North America Act of 1867, allows for general autonomy of provinces while giving a role to the national government to “make laws for the peace, order, and good government of Canada” (See <https://laws-lois.justice.gc.ca/eng/const/fulltext.html>) – that is to manage any tendency for provincial autonomy to fuel any potential separatist tendencies.

2.3.3 *Bundestreue*: The soul of intergovernmental relations in Germany

According to Woolman and Roux (2009: 5, 6) “Integrated federal states provide for the exercise of both exclusive and concurrent powers by different levels of government and develop procedures designed to enhance co-operation between levels and organs of state... Sharing competence does not mean coordinated action, but coordinated action is generally a function of mediation and not only institutional arrangements.” In Germany, different levels of government are designed to cooperate, this system from which South Africa draws. Within the German system, there are systems of interlocking reliance and interdependency which enable a cooperative form of federalism (Woolman & Roux 2009: 5). The Constitution and practice of the Federal Republic of Germany managed “to constitutionalise the duty of national and subnational governments to co-operate” (De Villiers 1994a:432). This was achieved through a “comprehensive network of structures and institutions, provided for by the Constitution, by law, others by convention, some ad hoc and spontaneous, but all united in the aim of facilitating and encouraging closer intergovernmental relations” (Woolman & Roux 1994:432).

The concept given to this spirit of mutual trust and obligation for intergovernmental cooperation in Germany is *Bundestreue*. The German Constitutional Court has defined *Bundestreue* as the “constitutional obligation of trust and friendship that the *Bund* and the *Länder* have towards each other” (De Villiers 1994a:432). *Bundestreue* operates as a normative principle, a spirit and ethic of how to interact and cooperate, as well as a legal duty. “The obligation to co-operate and to adhere to a relationship based on trust is therefore not a mere moral aim or political ideal. The relationship between the *Bund* and the *Länder*, as well as between the *Länder* themselves, is regulated by the unwritten constitutional norm of *Bundestreue*” (De Villiers 1994a:432). *Bundestreue* is “simultaneously a constitutional obligation and a justiciable right for both the *Bund* and the *Länder*, with both levels treated as equals, with jurisdiction clearly defined in law, both with an obligation to consult and both levels have the right to legal recourse which may result in legislation being nullified” (De Villiers 1994a:433).

2.3.4 Competing forms of federalism in South Africa

Democratic South Africa has evolved its own kind or forms of federalism and IGR, shaped by the evolution of its constitutional framework flowing from the nature of the negotiated settlement. First, the nature of the South African system is unitary, as Woolman and Roux (2009:2) indicates that the Constitutional Assembly did not create a strong federal state, as the national government “retains both the power of the purse and the ability to override provincial and local government decisions” (Woolman and Roux 2009:4). Within this system however are forms of decentralisation and constitutionally mandated cooperation between the different spheres of government even as national has a form of unitary control – this situation is what Woolman and Roux (2009:6), citing work by Watts and Steytler and characterise as having “cooperative IGR” and “coercive IGR”. It is argued that ‘cooperative IGR’ “assumes relative parity of power between the national government and our subnational constituents”, while ‘coercive IGR’ “— reflects a hierarchical distribution of power: national government largely dominates the nation’s subnational constituent parts”. The German and South African systems are somewhat comparable because “during the negotiations in South Africa, one of the most frequently cited examples of government was Germany - to the extent that specific passages derived from the German Constitution are to be found in the new South African Constitution” (De Villiers 1994a:431). However, where the German model is governed by the normative *spirit/principle* of *Bundestreue*, in South Africa, the tension between cooperation and coercive

IGR owes to the contextual formation of the intergovernmental system where the ANC maintained the necessity of a unitary state against more extreme forms of federalism which had been favoured by pro-National and Bantustan forces as the end of apartheid was negotiated, as will be shown further on in this chapter.

2.4 SOUTH AFRICAN PERSPECTIVE: UNITARY OR INTEGRATED FEDERALISM?

Schwella (2016:73) argues that “federalism in South Africa is a contested concept and reality”. According to Hattingh (1998:110), “it will suffice at this stage to note that South Africa has a unitary form of government”. Opinions continue to differ on whether South Africa is federal or not and whether it should become. Based on the political debates during the negotiation process, the question of the extent and nature of provincial autonomy became a “vehicle for expressing the expectations, insecurities and anxieties of the fundamental political changes the new constitution might put into effect” (Haysom 2016:73). Parties that supported the maximal autonomy of provincial governments were associated with the desire to retain, in some form, the features of the pre-1990 government structure, mainly from the following parties; the NP, Freedom Front (FF), Democratic Party (DP), Inkatha Freedom Party (IFP). Parties that advanced the transformation of institutions and patterns of power and privileges were mainly those from the anti-apartheid struggle, the ANC and Pan Africanist Congress (PAC).

The debate arises from strong conflictual historical and societal perspectives owing to a history of deep social division based on the long history of colonialism and apartheid and the protracted liberation struggle to create an egalitarian society. Thus the debate about whether South Africa should be a federal or unitary state necessarily emerged given the divided nature of the society (Schwella 2016:74).

Based on his German experience, De Villiers (1994:434) believed that South Africa has a federal-type constitution that will require the IGR to be appropriately structured to manage diversity and unity. That means that: “the various levels of government treat each other with respect, taking each other's interests into account, allowing each other the opportunity to make maximum use of their constitutionally allocated powers and functions, while at the same time co-operating, co-ordinating and liaising with one another for the benefit of the public good”. There is no reference to “Federalism” in the Constitution, however, there are federal features

in the constitution despite the reluctance in governing party since 1984, the ANC to admitting it.

However, Haysom (quoted in Schwella 2016:77) argues that “if the South African constitutional schema were to be analysed against a formal federal check-list, it could, with justification, be classified as federal”. The following features supporting federalism are cited: the provinces with boundaries, powers and the administration that are constitutionally protected; as well as public representatives elected (into legislature and executive) democratically by and accountable to local population.

According to Schwella, the final Constitution reflects “an integrated system of government in which both national and sub-national governments are deeply implicated in each other’s functioning and more so than one might expect in a federal system” (Schwella 2016:77). This is supported by Sturm (2016:17-20) who refers to South Africa as an example of “unitary federalism” and Brand (quoted in Schwella 2016:77), who cites features of “integrated federalism” in South Africa, namely; the division of fiscal authority, powers divided among three spheres, but the bulk of concurrent power allocated at provincial and national levels. Quoting Haysom, Schwella concluded that the word “federalism” was omitted in the final Constitution because it “became a hindrance” in the negotiations (Schwella 2016:77).

2.4.1 Cooperative government in South Africa

The concept of ‘cooperative government’ appears for the first time in the 1996 Constitution and in no previous constitutions. This concept introduces the complex IGR due to the balance of power allocated in the new dispensation that differs significantly from previous South African constitutions. The existence of concurrent powers assigned by the constitution has necessitated this concept in Chapter 3 of the constitution as a mechanism to facilitate IGR. The genesis of the concept of “Cooperative government” in the South African governance system can be traced to the unique history of political negotiations. The spirit of cooperative governance in Chapter 3, reflects a “linguistic turn away from a hierarchal relationship between national, provincial and local government” (Woolman & Roux 2008:ch-14 p1).

The Constitution (Chapter 3) prescribed for national, provincial or local spheres to co-operate vertically and horizontally, directs that mutual respect be afforded to all spheres of government and state entities to fully utilise all political means for conflict resolution, before the litigation

is contemplated. Ruling on this matter, the Constitutional Court has emphasised “that one sphere of government or one organ of state may not use its powers in such a way as to undermine the effective functioning of another sphere or organ of state”. The Goncourt emphasised that the actual integrity of each state entity or sphere of government “must be understood in light of the powers and the purpose of that entity” (Woolman & Roux 2020:9), citing the cooperative government doctrines as being “flexible to allow the court the latitude to decide on the necessity of judicial intervention in or referral for political resolution of, any dispute tabled before the court.” The number of court challenges has significantly declined since the promulgation of the Intergovernmental Relations Framework Act 13 of 2005, which provide mechanisms for dispute resolution.

2.4.2 Intergovernmental relations

According to Hattingh (1998:23), IGR refer to “mutual relations between governmental bodies, with the legislative framework for such relations embodied in the Constitution or other legislation in terms of which governmental bodies are established for specific purposes”. IGR, among the spheres or entities of government, are exercised at the horizontal and vertical levels as determined on the hierarchical order in the legislative framework. IGR, as a dispute resolving mechanism, defined it as “the engines, mechanisms, procedures and structures by which spheres of government and organs of state co-operate to achieve their various ends are collectively known as intergovernmental relations” (Woolman & Roux 2008:24). The study of governmental relations has been confined to case studies on aspects of legal, financial and other conceptual relations (Hattingh 1998:10).

2.5 MODEL FOR INTEGRATED SERVICE DELIVERY: OPERATION SUKUMA SAKHE IN CONTEXT

An elaborate study was undertaken to contextualise OSS, focusing on the origin of the concept, highlighting its structures and concluding that the OSS Model facilitated IGR (Phakathi 2016:ii). The study identified various challenges that impacted negatively on the effectiveness of the model which include inconsistency in implementation, in attendance by departmental officials, among others. This researcher agrees with the findings in this study. However, while this researcher confirms the role of the OSS Model in managing IGR, this study is aimed at demonstrating that the challenges experienced in service delivery, namely the lack of coordination in implementation, are structural and more fundamental. **The findings of this**

study demonstrate that the weaknesses in coordination and alignment are inherently associated with the Liberal–Democratic Model of governance, with its federal features of concurrent competences and multi-level governance. This study, therefore, goes beyond these findings to demonstrate the value of the OSS Model in fostering a spirit of cooperation and partnership, employing five convergent principles which account for the success and effectiveness of the model.

Mkhize and Reddy (2021:77) did a descriptive analysis of the model and its structure. They highlighted that the OSS Model was introduced in response to challenges of ineffective coordination, silo mentality in departments and poor consultation with communities as recipients of the services. Mkhize and Reddy (2021:77) state that “OSS seeks to identify basic community needs, deliver services successfully, promote nation-building, combat HIV and AIDS and other diseases, address the impact of violence, fight crimes and other social ills. OSS is based on services integration at the ward, municipal and provincial levels, thereby, ensuring a coherent, multi-sectoral response through public participation.” These authors believe that the OSS Model has had a positive impact in improving integration of services and behavioural changes in the community. The study highlights the challenges the OSS has suffered, such as lack of standardised operating procedures and changing focus of implementation of OSS affected by changes in leadership. The inconsistent attendance of departments and lack of resources have a significant impact.

Ndlovu (2016:83-84) studied the nature of participation of the community in the city of Umhlathuze. Community involvement is important in deepening democratic participation in service delivery. Ndlovu (2016:83-84) utilised Arnstein’s Ladder of community participation to arrive at conclusions that the involvement ranges from non-participation to tokenism, and, therefore, there has been no learning and growth by the community through the OSS Model. The access to the war room was via meetings, walk-ins and door to door visits. The study concluded that the main focus of OSS was the interaction to elicit the needs of communities but did not involve communities in getting the solutions to the challenges faced by the community. This led to a conclusion that the interactions constituted a top-down approach consistent with the lowest level of the Arnstein Participation ladder. The benefits to the community were receiving food parcels and issuance of birth certificate and identity documents (IDs). While useful, the study concluded that the findings confirmed that the programme focussed on provision and not implementation.

A study conducted by Coopoo (2019) commends the creation and implementation of the OSS Model as having been a timeous intervention and an effective model in KwaZulu-Natal at the point of inception. The study, however, found that the OSS had lost effectiveness and the province experienced as many challenges similar to those faced by other provinces that had followed and implemented the OSS Model. Comparing the war rooms and ward committees (WCs), the study confirmed the inconsistency in implementation of war rooms within each province and across provinces and identified war rooms in Mpumalanga as holding a better promise of all. The study focused on the failures of WCs and concludes that despite such weaknesses, war rooms cannot be seen as an alternative to WCs. “There is a general view, as confirmed through the interviews, that WCs have failed. War rooms are sometimes presented as alternative mechanisms to WCs and as a means through which integrated service delivery will be achieved. This research shows that the War Room Model works in some places and not in others. The research also indicates that senior government officials even in those provinces where the model is not working as well believe it is” (Coopoo 2019:37). The study locates the role of the war rooms as ensuring inclusivity, coordination of development efforts and notes that there is no focus by government officials to learn from the strengths and weaknesses in implementation of the war rooms. The latter is another concern that informs the finding of this study that there is inadequate evaluation of previous strategies to government officials before new ones are adopted. The findings of the study enhance the understanding of the OSS Model and highlights the need for further work to be done to define and refine the working relationship between war rooms and WCs to avoid duplication of roles. This researcher agrees with the observation that the war rooms and WCs should be seen as working in partnership and not be seen as one as an alternative to the other. Tshisonga (2019:1) argued that “the effective functioning of OSS depends on the full and equal commitment of government, underpinned by a new social contract with other departments, the community, and citizens as both recipients and agents of decentralized service delivery”. This researcher supports the view by Tshisonga that OSS reflects a social contract between the community and government departments to establish a partnership for effective service delivery with communities acting as agents for service delivery.

Further literature has analysed and described the features of the OSS Model as expressed by various authors. The OSS is a service delivery model to implement a comprehensive program that would involve all spheres of government and ensure community participation (Mlambo & Tshishonga 2018:231; Province of KwaZulu-Natal 2015:2). Integrated Service Delivery is the

anchor of the OSS Model. Institutionalisation of the model was achieved through a process of developing relationships, practices, procedures, requisite skills and systems and using existing structures. The institutional framework of OSS adopted in 2011 comprises four key elements, namely Political Oversight, Coordinating Task Teams, Oversight Committees and AIDS Councils. The model is led through various structures. For accountability, the Premier is the overall champion of OSS in the province, supported by the Members of the Executive Council (MECs) and technical teams of public servants deployed in each district, joining the municipal champions, namely, the District and local municipal Mayors and the Ward councillor (Figure 1).

The coordinating structures comprise the Premiers OSS Forum, Provincial Task Team (PTT), District Task Team (DTT), Local Task Team (LTT), Ward Task Team (WTT). Technical committees support the PTT, namely the Committee of Heads of Department and all Cabinet clusters, which have a standing item on the agenda on OSS. The Premiers and the MECs provide political support to the OSS (Phakathi 2016:67 & Province of KwaZulu-Natal 2015:19-20).

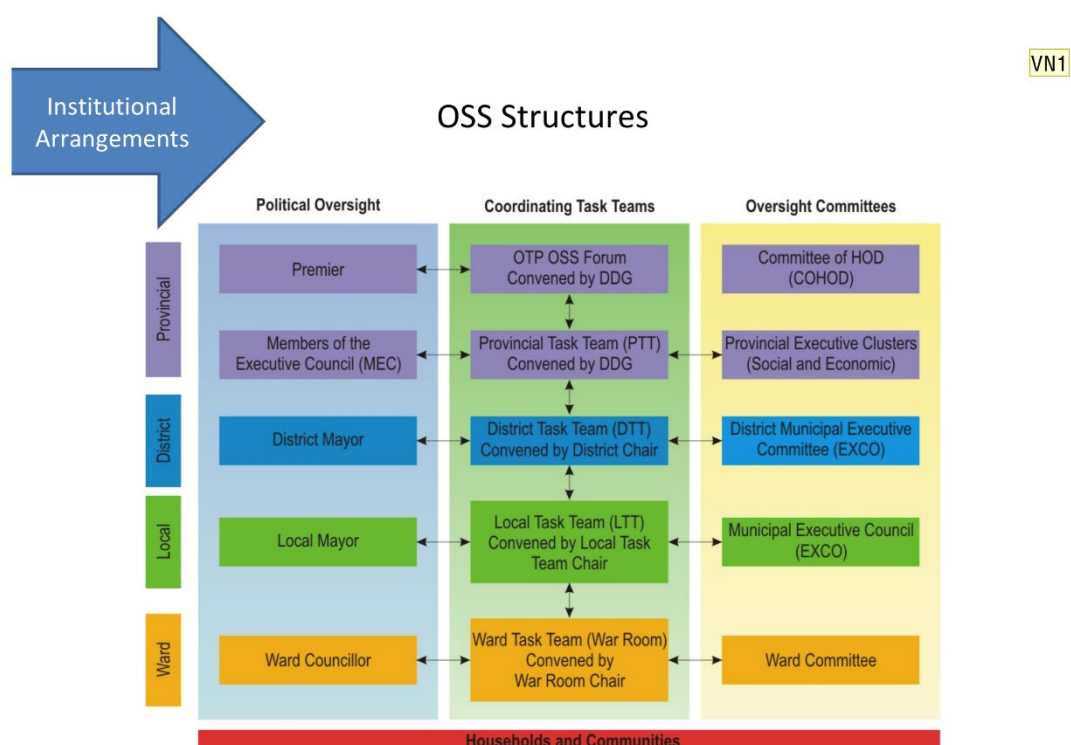


Figure 2.1: OSS Structures

(Province of KwaZulu-Natal: 2012: 27)

2.6 CONCLUSION

This section outlines the history of governance systems in South Africa, developed from the colonial days, creating a unitary system with hierarchical powers which are centrally controlled.

This study confirms that constitutionalism in South Africa was introduced as a weapon to enforce segregation and racial subjugation of the majority black population, in favour of white settler minority. The struggle against apartheid culminated in a negotiated settlement and a new constitution which ushered in a democratic dispensation. The system of governance that resulted from the process of negotiation created a hybrid model of governance which is a unitary state with federal features. Various concepts of federal relations have been canvassed in this chapter to explain why the concepts of IGR and cooperative government became essential features of the constitution for the first time in the history of Constitutionalism in South Africa. The concurrent competencies enshrined in the constitution, created a potential for contestation between spheres of government and introduced the tensions associated with federalism and multi-level governance among the State entities. As a result of this reality, a constitutional provision (Chapter 3), was introduced to guide on IGR and cooperative government, a concept arising from federalism and not unitary states. The chapter contextualises the research that has been done on OSS Model and highlights role of the OSS Model in resolving the challenges of coordination in the implementation of policies and service delivery in the Liberal–Democratic Model of governance, with concurrent competencies and multi-level governance.

CHAPTER 3

CONCEPTUAL AND THEORETICAL FRAMEWORK

3.1 INTRODUCTION

This section focuses on the theoretical framework for this research. Theory is defined as a “number of statements, including scientific laws which have a systematic relationship to one another which are scientifically verifiable or measurable” (Kotze & Van Wyk 1986:184). Through theory, a framework and foundation are developed through which to deliberate on phenomena (Van der Walldt & Greffrath 2016:57). This research is premised on the Theory on Governance and the Systems Theory, with the Public Management and Administration Management theories as the background. First, the Theory on Governance outlines the principles that guide the operations of governance systems, the role of the State actor and the interaction with social partners. Key is that it demonstrates that governance has increasingly become a partnership between the State and society. Governance principles and democratic participation have a major role in ensuring effective service delivery, the legitimacy of government and governability (the willingness to be governed). Secondly, the Systems Theory creates a framework to analyse the complexity of and transformation within the political system, the public service and public management principles that would be required to implement a complex, multi-pronged policy such as OSS. The Systems Theory helps to make sense of the complexity inherent in relationships within and between state structures that need to operate in an integrated fashion to achieve comprehensive service delivery. The systems approach focusses on the moral obligation on all entities to cooperate, on the role of individuals in shaping up the public management environment and entrench coordination and alignment of the stakeholders in the context of IGR and cooperative government.

3.2 GOVERNANCE THEORIES

The current debate on governance with regard to the role of political institutions, has led to the conclusion by Pierre and Peters (2005:1-3) that “the concept of governance is not precise”. They identify the State and society as the two principal actors in governance and propose that “Understanding governance is basically a matter of understanding the nature of State–society relationships in the pursuit of collective interests” (Pierre & Peters 2005:6). Furthermore, they point out that these two actors cannot be simplistically defined, by stating –

“that the two principal actors in each of the models are state and society. That simple dichotomy, however, masks a great deal of underlying complexity. This complexity is particularly important for the role of the state. In much of the literature on the state there is a tendency to treat the state as a unified actor, and to act as if there is a single entity involved in the political process. In reality, that is not the case in many, if not most, cases.”

Therefore, Pierre and Peters (2005:1-3) emphasise that governance means a bit more than government, and an effective form of government requires a strong state working together with social actors and networks. Pierre and Peters (2005) recognise that the changing international environment is perceived by some scholars as having resulted in reduced roles for formal institutions of government, resulting in inability to govern their societies and control policy outcomes. However, the State retains its capability of resolving complex challenges and allocation of resources (Pierre & Peters 2005:1-5).

Pierre and Peters (2005) propose a theory in governance based on their belief that “there is a non-linear relationship between societal involvement in governing and governance capacity, with the two ends of the continuum having less governing capacity than the systems toward the middle of the distribution” (Pierre & Peters 2005:1-3). This means that governance is a dynamic interaction between government and social actors in a complex and at points, unpredictable manner. This is key in understanding the role of the State in the implementation of a policy such as OSS in which the effectiveness of the model is determined by the degree to which the State and various other public, private and social actors can converge together to tackle problems. OSS-style partnering, and integrated model of delivery, depends on the public participatory approach, thereby producing a form of governance in which the State is a key factor, yet allowing itself to be open and shaped by the needs as they emerge from the ground, while having the mechanisms to effectively use feedback from the ground to give effect to service delivery. The **Model of Governance** produced by OSS, therefore, has to be theorised and understood. This is even more important given the fact the South African experience of governance is still one that is evolving under new democratic conditions. Theorising governance that has the potential to work effectively under this context is, therefore, valuable and necessary to produce meaningful knowledge for public management and administration.

Pierre and Peters' (2005) theorisation of governance is useful for the purposes of this study and, therefore, forms the core framework. Pierre and Peters (2005) argue that five models of governance exist, which demonstrate the authority and nature of the governance of a state. Pierre and Peters (2005: 8) argue that these models exist on a spectrum of level of state legitimacy, presence and authority with "an étatiste model dominated by the State to the 'governance without government' perspective which assumes a minimalist state". Important in their theory is the degree to which social actors are positioned in relation to the State's expression of governance. According to Pierre and Peters (2005:11-12), these models are –

1. Étatiste;
2. Liberal-democratic;
3. State-centric;
4. The Dutch Governance School; and
5. "Governance without government".

Pierre and Peters (2005:11-12) define each model as follows: The **Étatiste Model** is based on the constitutional doctrine of the Westminster system in which government is the main actor and a stable actor in governance and "can control the manner of participation by social actors". The **Liberal–Democratic Model** has the government as the principal actor in governance based on strong representative democratic government. The liberal-democratic model tends to emphasise accountability and legitimacy based on the framework of political institutions premised on electoral democracy. The state in this model is thus open to influence amongst a range of competing actors both in the state and in society. Within the state, there are internal divisions and lack of coherence within the state actor that create a stage for bureaucratic politics as "they tend to compete for legislative space and budgetary resources" (Pierre and Peters 2005: 26). The public stakeholders can similarly be in competition thus strengthening the state actor. The State can lean selectively towards certain social actors and, in turn, the State itself can be influenced by these actors who would have an influence in governance processes and policy outcomes. The **State-Centric Model** is based on the State wielding enormous powers and being at the centre of the process with rigidly institutionalised relations to social actors which cannot easily be discarded, even though the State itself is the dominant force. The **Dutch Governance Model** is reflective of the nature of Dutch politics in which there is a stronger role for social networks and society in organising against or in spite of the power of the State.

“Governance without government” describes a condition in which the State’s legitimacy is weak in society where private and social actors have greater legitimacy.

In Pierre and Peters’ formulation (2005:46), the five models of state and society interactions in governance are the main forms now operating globally among contemporary political systems. These government models represent different countries in the world based on “political histories and state traditions” (Pierre & Peters 2005:10). Pierre and Peters (2005:46) argue that within these five models, the capacity of the State in relation to the two variables of i) authority and ii) the ability to gather information, are inversely proportional on the spectrum of the five models. That is, these variables are inverse to one another at extreme ends of the spectrum. At the one end of the spectrum, the *Étatiste Model* “ranks very high on the first variable of authority but lacks connection with society. This combination makes it a powerful, but often blind, governor” (Pierre & Peters 2005:47). However, on the other end of the spectrum, the ‘governance without government’ model ranks low in authority.

The South African constitutional framework, and general democratic ideals emphasises and legislates processes which include consultation, accountability, planning and other organising frameworks which give the State the mandate to go about its duty to govern however within a context of public accountability and public participation. Therefore, South Africa can be argued to lean more towards a **Liberal–Democratic Model** of governance where the State retains a measure of legitimacy and engages with a range of social actors who can influence it; however, the State “has the opportunity to pick and choose the interest groups or other social actors that it will permit to have influence...and maintains a strong commitment to representative democracy” (Pierre & Peters 2005:11). Pierre and Peters (2005:29) argue that the “liberal-democratic system of governance moves that activity away from the almost complete domination of the process by the state toward some form of cooperation between the public and private sectors in steering society. That cooperation is, however, asymmetric with the state retaining the dominant position.”

3.3 GOVERNANCE AND GOVERNABILITY

Pierre and Peters (2005:67) argue that “[g]overnance has moved away from the hierarchical, institutionally constrained and state-centric conception, the more disjointed notion of governing is increasingly appropriate. The incoherent governance emerging in most industrialised democracies is structured by political power than is even the State-centric

models”. The reality is that governance is occurring with an increasing involvement of societal actors in governance, the process is sometimes “ more than a little chaotic” and as such “policy outcomes may not be structured by conscious design but rather by accidental events and conjunctures” (Pierre & Peters 2005:65).

For governance to be able to take place with such interactive and non-linear processes, then it is implied that there must be a corresponding state of “governability”. Pierre and Peters (2005:66) argue that “Governability is the flip side...for any success in providing collective direction to society, then there must be willingness to be governed”. Governability comprises several dimensions that focus on the nature of the society that is to be governed, but also on the links between state and society (Pierre & Peters 2005). In recent years, the growing partnerships between state and society and different partnership forms in the process of governance have been characterised by scholars as “new governance” (Salamon 2002, quoted in Pierre & Peters 2005). This mode has challenged the hierarchical conception of governance and produced an emergent model of a ‘devolved governance’ where social and other actors outside of the State play a role in partnership or alongside the State. This model has its problems as these partnerships are also known to fail, therefore, calling into question whether or not the State has retreated or abdicated its ultimate duty. Regarding the relationship between governance and governability, as Pierre and Peters (2005:67) argue, “governance and governability are linked and that to be successful there must be linkage. The second, and related, premise about governance is that different forms of linkage are appropriate for different configurations of states and societies.” The latter is important in drawing attention to how state and society linkages emerge in different contexts and what works and what does not. For this study’s purposes, the issue at hand would be to understand the configurations of state and society linkages that prove effective and appropriate (for example, the role of the War Room in OSS is discussed in further chapters as a platform for converging various actors in policy implementation).

Governability has the following elements (Pierre & Peters 2005:68-70):

- Confidence in institutions: For governability to be possible, there must be an aspect of trust and public confidence in institutions. Without public confidence then governability, and in relation, governance, become challenged. There is a growing view

that confidence in institutions is declining universally in the contemporary era, even in the traditionally stable parts of the developed world (Pierre & Peters 2005:69).

- Networks: Networks, at their optimal, can create linkages between the State and society, and in the context of certain State forms, can be crucial in enhancing the State's ability to deliver and, therefore, enable some element of governability. However, networks pose their own problems with respect to governance and the management of interests. Networks cannot do what the State must actually do with its mechanisms (Pierre and Peters: 2005:68).
- Civil society: The role of civil society within the domain of governance has been more prominent in recent years, particularly the advocacy and mediatory role played by non-governmental and other organisations in putting forward social demands on behalf of constituencies. Society's engagement through civil society could also reveal less trust in the State and the tendency towards the formation of social organisation "may decrease rather than increase the governability of society" (Pierre & Peters 2005:70).
- Regulation: While regulation is an intrinsic feature of statecraft, it can be viewed as playing a role in governability where regulation acts as a linkage between state and society insofar as it reflects any "preferences and desires" of state and society (Pierre & Peters 2005:70).

3.4 MULTI-LEVEL GOVERNANCE

Finally, governance in the context of this study must be understood in the context of South African IGR in which the concepts of governance and governability are expressed in a system where three different spheres of government must cooperate. Pierre and Peters (2005:72-73) identify this as multi-level governance (MLG). Multi-level governance speaks to the well-known realities of governmental structures that operate within legal frameworks that distribute differing powers and duties to different levels and spheres of government. MLG is essentially about governance, which is wider than government and involves state and non-state actors interconnected in a contextually unique relationship. Similarly the state actors at different levels or spheres remain inter-related, in that while lower spheres are "embedded in regional, provincial and National structures," and are still subject to authority of higher structures, they are "not invariably constrained by higher-level institutions' decisions and actions" (Pierre and Peters 2005: 83 – 84).

In terms of the concept of MLG, according to Pierre and Peters (2005:84), the typical hierarchical relations have disappeared and instead;

“...competencies and jurisdictions are increasingly defined at one institutional level only and not—as was previously often the case—as sectoral “silos” where central, regional, and local government had clearly defined roles and relationships to each other.”

Pierre and Peters (2005:84) argue that for effective governance in MLG, there has to be a “continuous linkage” between the different spheres of government which is created through institutions rather than individual actors. Pierre and Peters (2005) argue that multi-level governance opens up the processes of governance to uncertainty and indeterminacy. When decision-making power is not centralised and concentrated in a governmental system, then “Rather than being structured by formal rules and constitutions, decision-making situations in MLG appear indeterminate and negotiable among the parties” (Pierre & Peters 2005:73). This means there is a high measure of complexity at play in the way in which governance and governability will be produced in a multi-level governance system. Multi-level governance can be very democratic in certain instances where it enables marginalised interests to have a voice especially at the local level. However, multi-level governance can also empower the State where its ability to use its mechanisms to guide processes can favour it (Pierre & Peter 2005:73). Indeterminacy, negotiation and uncertainty in multi-governance systems, therefore, requires that complexity in governance be better understood.

3.5 GOVERNANCE: ACCOUNTABILITY, LEGITIMACY AND OVERLOADED GOVERNMENT

According to Pierre and Peters (2005:117), debates on the concepts of accountability and legitimacy have become complex. This is because contemporary democratic processes are not always adequate in holding the state accountable in its performance. Theories of governance do not necessarily provide an idea of how state performance is ultimately to be measured. Performance refers to the appropriateness and the quality of services delivered, as well as the state’s ability to respond to the demands of the electorate and successful maintenance of public satisfaction. There is no one effective tool for determining how the state should be held properly accountable for performance. This is particularly the case in the contemporary world where “One of the main issues has been the capacity of the state to govern society in an era when the

state is cutting back at the same time as the external environment of the state is becoming increasingly complex” (Pierre and Peters 2005: 115).

In general, globally, governance has been bedevilled by inadequate performance in many countries over the past half century. There was thus an attempt over the past 20 years or so, to bring in private sector features to improve public governance. This led to the rise of the New Public Management Theory which was introduced in search of market-type efficiency in state performance; (Pierre and Peters 2005:118). The ‘cutting back’ of the state was seen to be bringing new forms of accountability based on efficiency and ‘customer service’ has brought about complex dynamics.

The introduction of the New Public Management model however created new pressures for the liberal-democratic model which was previously seen as having clear institutional coherence between elected public representatives, the formulation of public policy and the voter population. New Public Management brought its own dynamics into the liberal-democratic model. NPM emphasised several factors, such as the empowerment of autonomous career civil servants focused on delivery, and the involvement in governance of non-state and non-elected stakeholders in service delivery (such as private sector). Private sector features were included to strengthen the decision-making power of the civil servant with less regard to the political authority of the leadership who were meant to be supervising them.

These New Public Management factors resulted in the inadvertent loss of accountability of the state because its agents – the career public servant and the private sector – were further politically distant from the electorate and the politically elected authority. The private sector actors’ approach tended to weaken internal checks and balances within the state bureaucracy because the civil servants acquired far more institutional power with less accountability within. Pierre and Peters argue (2005: 118) that “The problem of ensuring accountability of career public servants with the devaluing of politicians in these models and the empowerment of managers was never properly resolved.”

To further complicate this, the involvement of the private sector in service delivery further detached the governance process from political accountability. The private sector acting as an agent of the state was not accountable to electoral processes and was ever more removed from societal accountability. Thus, NPM failed to resolve the problem of state accountability and in many cases, did not necessarily improve performance which itself is hard to properly measure

in terms of what satisfies the electorate. Pierre and Peters (2005: 117 – 118) state that “the list of unsettled incidents of public service errors which has not been politically resolved is already extensive ... and there is little reason to believe that the NPM school of public service production will come up with a satisfactory answer to these problems.”

With NPM approach weakening accountability, this makes the state’s level of legitimacy questionable. The liberal-democratic model is supposed to imply that because we are elected, we are legitimate. Even though political authority is democratically elected, the electoral processes no longer gives legitimacy. It raises the question of its legitimacy even though it was elected properly. The failure of NPM to deliver performance and accountability leads to the political authority being regarded as illegitimate because the state becomes seen as unresponsive and unaccountable. The weakening of accountability has the effect of eroding the legitimacy of the state actions, notwithstanding the fact that the state (such as in the liberal-democratic model) would have been elected through a democratic process. For legitimacy of the state, the public policies, actions and programmes must be undertaken by public representatives who are subject to accountability processes by electorate or where administrative irregularities are addressed through public officials being subjected to internal processes which are overseen by accountable political representatives. Erosion of legitimacy of the state, may result in lack of cooperation by the public and result in ungovernability. Ungovernability may trigger social and economic disruptions which the state may struggle to effectively control.

Where that doubt hangs over the state, it is also caused by another dynamic. This is the problem of the overloaded state. According to Pierre and Peters (2005: 120)

“The general idea in the “overload” literature is that government becomes unable to respond to all demands and expectations placed on it by the public, organized interests, or other actors in the external environment of the state. Such an overload of functions, in turn, undermines the legitimacy of the government.”

People judge the performance of the state on the basis that it responds or does not respond but in the instance of the overloaded state, the demands have become too huge for the state to meet. Thus, the ineffectiveness of the state owes not objectively to what it delivers, but because of what the populace has come to expect. This thesis that OSS provided a mechanism for improving accountability and legitimacy in the manner in which its processes allowed an interaction with the public so that the constraints of state resources could be understood. The

level of expectations was moderated through prioritisation which has been established through the public consultations of the OSS.

The reforms in public administration, advocated by the NPM, had the added intention of addressing the concern over “overloaded government.” Overloaded governments are those that are perceived to perform below the expectations of their electorate. Pierre and Peters (2005:122) state that:

“overload and ungovernability both denote a situation in which some kind of imbalance exists between state and society in terms of policy capacity and societal demands.”

This situation arises either because of inadequate resources to satisfy the public demands or due to successes that create excessive expectations from the state, beyond its reasonable means. Involvement of social partners is meant to harness additional resources and thereby focuses the public on other non-state providers for service delivery than just the state actor.

Pierre and Peters (2005:122-123) further state that governance has been used to address the challenges of overload and ungovernability. Governments derive legitimacy critically from their performance and not only from the democratic processes through which they are elected. Overload is the characteristic of the state that can be caused by objective factors outside the control of the state, or subjectively, the state’s declining capacity. Overload can also result from a sense of public entitlement, wherein the state becomes a victim of its own successes, that creates expectations that everything must be addressed by the state. The inability of government to demonstrate success in this regard creates a perception that the government is ineffective. Ineffective governments tend to be perceived by citizenry as unresponsive or failing and therefore illegitimate.

On the other hand, ungovernability is a characteristic of society in its complexity, becoming “incoherent and unpredictable” while the state institutions that leverage society are weakened as they are seen as illegitimate; (Pierre and Peters:2005:123). Based on these arguments, it is clear that beyond constitutional provisions for regular democratic elections of government, other institutional instruments are necessary to ensure governance results in accountability, legitimacy and governability. The OSS model is being analysed in the context of its role in governance to ensure accountability, legitimacy and governability.

3.6 SYSTEMS THEORY AND COMPLEXITY IN THE PUBLIC SERVICE

To analyse the complex relationships and the interactions between the various components of government and society, the systems approach was found suitable. The systems approach enables the researcher to understand how complex systems function, “with a focus on understanding the dynamic relationships between system components, and an emphasis on studying the system as a ‘whole’ instead of individual components” (De Savingy & Adam 2009; Hawe et al. 2004, quoted in Mansoor & Williams 2018:2). The aim of the system approaches is to find a more “holistic approach to programme design which consider the interdependence and contingencies, evaluation of the policies to understand what, works, for whom, how and why. Systems researchers are question- or problem-driven and usually linked to government in its conceptual development and execution” (Mansoor & Williams 2018:3). The question of how the system for public service delivery should be configured, “takes into account the framework models; based on functions it performs, or stakeholders, inter-relationships, communication flows, accountability in the system and resources in the sub-systems” (Mansoor & Williams 2018:2). In the context of multi-level governance as discussed above, a Systems Theory approach would recognise in particular that “the importance of policy implementation and bureaucratic performance, but also their complexity and unpredictability” (Mansoor & Williams 2018:2).

Ludwig von Bertalanffy (1968), who is considered one of the main proponents of the General Systems Theory, encapsulates the basis of the origin of this theory in the works entitled: ***“General System Theory Foundations, Development, Applications.”*** Drawing on the analogy of study biological systems, Von Bertalanffy (1968:31) states that “it is necessary to study not only parts and processes in isolation, but also to solve the decisive problems found in the organization and order unifying them, resulting from dynamic interaction of parts, and making the behaviour of parts different when studied in isolation or within the whole”. This general systems theory was further developed to apply in social sciences to explain the concept of society not as atomised individuals but as rather through a holistic macro view in “superordinated” fashion (Von Bertalanffy 1968:31). Von Bertalanffy stated “that models, principles, and laws exist which apply to generalized systems irrespective of their particular kind, elements, with principles that could be applied to biology, physics, social science, economics, and the nation as a whole”. This raised the necessity not to study individual parts and processes in isolation in attempting to resolve challenges found in organisations. It was

observed that, resulting from the dynamic interaction of parts, the behaviour of the parts is different when studied in isolation compared to when it was studied within the whole.

According to Chen and Stroup (1993:448), “the general system theory has represented an effort to provide an intellectual framework capable of unifying the various domains of empirical understanding”. This unifying aspect of General Systems Theory where analysis is concerned is helpful in thinking about the need for public service systems integration particularly where multi-level governance is the nature of the governmental system such as in South Africa, and unpredictability is the order of the day in the delivery environment. There is a need to understand how many parts of a governmental system come together and integrate, to bring about policy implementation and service delivery. Chen and Stroup (1993:448) note that general systems theory brings to bear multiple levels of analysis, “a sound scientific account requires facility in moving between the macro- and micro-levels. These levels work in concert. An understanding built on the two levels must be mediated.” More importantly, this multi-level analysis must be understood to be happening with reality in mind, namely the Human-Made World (Chen and Stroup 1993:448). Chen and Stroup (1993:457) articulate this well when they argue the following:

“The ability to understand the world on more than one level is important for engaging complexity. We believe large and complex systems need to be analyzed at both the individual (micro) and collective (macro) levels. The ability to relate individual and aggregate behavior is crucial for understanding complexity. Insight requires shifting back and forth from the micro-level to the macro-level and back again. Neither level can be reduced to or fully explained without the other. System thinking articulates the tension between these levels and the need to engage both levels in constructing understanding.”

These authors utilised the General Systems Theory in “science education and technology” based on the following principles, that it addressed the “challenge of creating a powerful framework for discipline integration and provide a coherent alternative,” and enabled the individuals and society involved to “analyse and take decisions to resolve complex issues such as to resource depletion, environmental management, appropriate technology, population control, energy use, building ecologically sustainable economies” (Chen & Stroup 1993:448). As will be seen further on in the data analysis in this thesis, public servants implementing OSS constantly spoke to the multi-level nature of the policy implementation and service delivery environment and the necessity of an integrated approach.

3.7 THE SOUTH AFRICAN POLITICAL SYSTEM: COMPLEXITY, TRANSFORMATION, AND INTEGRATION

The Systems Theory defines two types of systems. Van der Waldt (2016:69) argues that “the concepts of open systems and closed systems, synergy and receiver/client are of particular importance in the systems approach.” Open systems are those that have a dynamic interaction with and are influenced by the environment they operate in. Closed systems are neither influenced by nor are dependent on the environment. Public institutions, by their very nature, should be considered to be open systems that “operate in synergy with the larger system and other subsystems and thus become productive through co-ordination and cooperation;” (Van Der Waldt: 2016:69-71). This study, therefore, takes this Open Systems approach as a helpful theoretical device to comprehensively analyse from different perspectives the South African intergovernmental environment which exists within the dynamism of unpredictable and uncertain social reality. In this context, Van der Waldt (2016:101) states that:

“a government can be regarded as a subsystem of the public which has been established to provide for the community’s needs”

This means that the community as a system utilises structures and instruments of government to process the needs and transform them into service delivery. The community views and mandates constitute the inputs which results in policy decisions as outputs; through processes which are influenced by the environment through economic, political, social, cultural, legal, technological factors. Van der Waldt (2016:101) concludes that the Open systems approach enables the researcher to analyse this “interdependency in the interaction” between the system and the environment, the processes within the system as well as the interaction between the different parts of the environment.

The Open Systems approach provides a framework for engaging the dynamics in our environment and understand the evolution of the system and its transformation given the complex evolution of the South African state and its governance systems from authoritarianism and colonisation into a democratic dispensation over the past 30 years. Schwella (2008:27-28) argues that –

“[p]ublic leadership is exercised in open systems requiring a constant study of the forces from the context which impinge on it. Leaders are some of the main sensors detecting, interpreting, analysing and acting on these contextual influences... Systems thinking requires everyone to consider the big picture. There is a need to

be continuously aware of the context or ‘environment’. These views support the importance of context in order to understand leadership and to act as a public leader.”

The dismantling of apartheid ushered in a new constitutional order in South Africa. The Constitution signalled not only the removal of discriminatory legislation but created an impetus for fundamental transformation of the political and social systems in the country. Among the fundamental changes was the introduction of a different political system based on the introduction of federal features in a unitary hierarchical system. The RSA Constitution of 1996 (s195.1.a-j), prescribes that the public service needs to be transformed, accountable and operate in a professional and non-partisan manner to serve all the citizens equally.

The advent of exclusive and concurrent powers allocated to the three spheres of government, created an untenable situation where tensions and contestation of powers would compromise service delivery. To avoid the experience in USA of “conflictual federalism” marked by regular conflicts and litigation, Chapter 3 was added in the Constitution to regulate IGR and cooperative government. There was a challenge that confronted the State entities. There was a need for coordination and alignment of all the spheres and departments to deliver services efficiently and effectively and ensure maximal benefit from the meagre resources, to eliminate the legacy of apartheid and colonial past, namely poverty, unemployment and inequality. This challenge arose because the different experiences showed that appropriate instruments were needed to enable the coordination of various government spheres and entities, while ensuring democratic participation for effective service delivery which is integrated, exemplified by the Reconstruction and Development Programme (RDP). The RDP document identifies integration as the prerequisite for the fulfilment of the mission to eradicate the legacies of apartheid: “The RDP is an integrated, coherent socio-economic policy framework. It seeks to mobilise all our people and our country's resources toward the final eradication of apartheid and the building of a democratic, non-racial and non-sexist future.” (RDP Document 1994:4- 5).

The principle of integration in the RDP Document (1994:8) recognises the multi-level nature of governance, the complexity of the apartheid legacy and the need for a multi-stakeholder and multi-sectoral approach within the governance system.

“1.3.2 An integrated and sustainable programme. The legacy of apartheid cannot be overcome with piecemeal and uncoordinated policies. The RDP brings together strategies to harness all our resources in a coherent and purposeful effort that can

be sustained into the future. These strategies will be implemented at national, provincial and local levels by government, parastatals and organisations within civil society working within the framework of the RDP.”

A programme was later devised named “the war on poverty” which called upon all entities of government to integrate their effort to eliminate structural poverty. The OSS Model was introduced as a contextually relevant approach to implement integration of service delivery and promote cooperation among various spheres and departments and entities of government and promote democratic participation at the grassroots level. The degree of OSS success is determined by an understanding of this integration and complexity. This requires analysing what defines the public service, the political system (based on existing frameworks, structures, systems and processes); actors and their interactions, relationships and objectives; as well as powers of various spheres and entities which guide their processes of allocation of resources and what constitutes effective service delivery and environment within which OSS Model operates.

3.8 CONCEPTUALISING OSS AS A HARMONISING SPIRIT IN A COMPLEX, MULTI-LEVEL GOVERNMENTAL SYSTEM

3.8.1. OSS and Governance: Accountability, Overload and Legitimacy

South Africa has emerged as a democratic dispensation after hundreds of years of institutionalised oppression with inequality and poverty and skewed provision of services to the disadvantage of the majority population. This has put huge demands and ever rising expectations to government to deliver services and address backlogs. This is creating huge discontent, community protests based on concerns of poor service delivery and a government that is not responsive to huge societal demands. Inefficiencies due to administrative irregularities, inadequate skills and resources have worsened the situation. This is all complicated by the misalignment of spheres of government and tensions over the concurrency of powers, resulting in overlaps in roles and functions.

Consequently, South Africa can be said to exhibit features of overloaded government. Questions of accountability and legitimacy sometimes arise in public discourse. The OSS evolved as a strategy to address weaknesses identified in service delivery and address ramifications of poverty and legacy of oppression. Amongst the effects of the OSS model, that this study demonstrates, has been to improve governance and address the overloading of

government, improve accountability and restore legitimacy. This has been done by utilising the capacity, practices and processes of the OSS model of transparently discussing the finite capacity of the state resources to respond to various demands, through public participation, then set priorities that can legitimately be addressed through available resources. The study confirms that the OSS model improves the responsiveness and efficiency of the state. In line with Pierre and Peters, this approach has the effect of restoring legitimacy and thus reduce the risk of ungovernability. This way the participants in OSS can be seen as “gate-keepers” managing the public expectations as articulated in Governance Theory by Pierre and Peters (2005:120), as follows:

“...overload can be caused either by an increasing number of demands on the state, or on a decreasing capacity of the state to respond to address and respond to demands, or because the “gate- keepers” fail to keep demands at a sufficiently low level to allow the political system to process those demands.”

The non-partisan disposition of the OSS model addresses the caution by these authors that local interest groups and political parties as gate keepers may aggravate the situation of high expectations when they adopt populist approaches to maximise support for their parties by making demands that are impossible for state resources to fulfil (2005:121).

Accountability is now seen more as the important feature of governance, rather than focussing on political institutions as emphasised in liberal-democratic models of government, it has “become exclusively a performance-related problem.” The emphasis in accountability is in the processes and dynamics of stakeholder interactions. The OSS model, by involving “public–private partnerships, voluntary associations, private businesses, political institutions existing at different levels of government” fulfils the description by Pierre and Peters (2005:126), which describes this role it plays as follows:

“Governance is about developing processes through which those actors can cooperate in order to govern the society and do so in a more democratic and inclusive manner than might be possible in conventional state-centric conceptualizations (and practices) of governing.”

3.8.2. OSS in Multi-level Governance: Overarching Principles and Inter-linking Concurrent Competencies

The desire to ensure integrated service delivery as first articulated in the Reconstruction and Development Programme led to the advent of several strategies for integrated service delivery indicates that a solution had not been found to ensure successful integration of services. The OSS Model should be seen through the lens of efforts to **harmonise the impact of exclusive and concurrent powers of the different spheres** and entities in ensuring coordination of planning, resource allocation and successful implementation of effective and efficient service delivery which satisfies the community needs in a complex situation of Multi-level Governance that is a result of the concurrent powers enshrined in the Constitution. The value of the OSS Model has to be understood in the context of institutional inter-linkages that are utilised to ensure harmony and cooperation across all spheres and achieve integration in MLG, (Pierre and Peters;2005:84). In this context, the OSS Model has to be viewed in the light of these institutional interlinkages which, according to Pierre and Peters (2005:84) “operate at multiple levels as political authorities.... or facilitate inter-linkages in the shape of arenas for political actors.”

To achieve integration, requires that the web of powers and relations between government spheres, departments, district and local municipalities be navigated. For the OSS Model to achieve integration, the principles of the IGR and cooperative government had to be understood and embraced since these are an embodiment of any form of coordination and alignment in planning, resource allocation and implementation. However, for efficiency and effectiveness, there is a need to ensure that more services are obtained using limited resources. To ensure the community’s needs are adequately addressed, the involvement and soliciting the views of the community (as clients) becomes paramount. This not only ensures that appropriate services are delivered that meets with the expectation of the community, but it addresses the issue of democratic participation, which is the fundamental reason for the dismantling of apartheid and ensuring that people play a meaningful role in determining their destiny. The effectiveness in operating government processes and community participation are hallmark of good governance. These are additional principles that the study will demonstrate are integral to the success of the OSS Model.

Guided by the systems approach, this research was directed to analyse and understand the influence of various factors in the public management environment and their interaction to

create a harmonious and cooperative spirit that resulted both in successful delivery of services and in the involvement of civil society. The latter addresses concerns of the society as citizens and voters who expect democratic participation to be more meaningful in their daily life experiences beyond voting in every five years. The researcher posits that there are key overarching principles that resulted in the successes of the OSS Model that enabled the alignment of the different spheres, departments, entities of government and eliminated tension, contest, competition and discordance that was associated with conflicts arising from unmanaged effects of “hostile federalism” as a result of South African political system having adopted federal distribution of powers. These federal powers have diluted the dominance of the central authority to be less than what powers were wielded in the previous hierarchical order under unitary system of government.

Federal powers have emboldened the provincial and local governments to litigate against the central governments where they believe there is incursion on their powers, themselves driven by the “semi-autonomous” legislative authority they are assigned by the constitution. In the previous dispensation, the unitary state delegated most of the powers enjoyed by lower levels and simply revoked them in the face of what may be considered uncooperative attitude of the subordinate structures. That reflected the political order of the time. The current political system is based on a constitutional dispensation that was a compromise between the “federalists” (Nationalist Party and allies) and the “unitarists” represented by liberation movement (ANC, Pan Africanist Congress, UDF and Mass Democratic Movement). The unresolved tension of how this hybrid model would operate was deferred to the Chapter 3 of the Constitution providing for Cooperative Government and IGR. These provisions apply in the federal and not unitary states that South Africa professes to be.

The provisions of Chapter 3 did not prevent litigation among the different spheres and departments, especially in the early days of democracy. However, the advent of the Intergovernmental Relations Framework Act of 2005, reduced the level of litigation, where courts had the unenviable task of presiding over matters that should have been resolved at political and administrative levels without resorting to the judicial processes. This meant that the existing mechanisms were inadequate to ensure harmonious application of the powers provided by the constitution. These differences often reflected political differences of the political principals entrusted with service delivery yet belonging to different political

ideologies. The necessity for cooperation across different levels further complicates a system and heightens the sense of uncertainty of outcomes in governance, as discussed above.

The matter of cooperation lies squarely on the value and belief system of the individuals, since it is individuals that participate in planning, resource allocation, implementation of programmes, consultative processes based on their human values, respect, integrity, honesty, diligence, and ability to negotiate and act as advocates for development and service delivery. Describing public administration, Thornhill and van Dijk (2010:95) believe that it “studies human beings engaged in administrative and managerial duties in organs of state”. Accordingly, the authors argue that “any study should consider the behaviour and actions of human beings in an organisational setting operating in a political environment” (Thornhill & van Dijk 2010:95). Therefore, “the real values of humanity are not those it shares with biological entities, the function of an organism or community of animals, but those which stem from the individual mind” (Bertalanffy 1968:52-53).

3.8.3. The OSS: the basis for the Spirit of Cooperation and *Bundestruhe*

What has been observed is the existence of a unique German culture which encourages cooperation among the *bunde* and *landes*, referred to as “*Bundestruhe*”, interpreted as “federal solidarity.” The German court have referred to this as the “moral obligation for the *lande* and the *bunde* to cooperate.” The “*Bundestruhe*” can be described as the moral spirit and obligation to cooperate. This is an intangible moral sense of responsibility that provides the spirit to cooperate which is not driven by the fear of transgressing legal obligations but by the positive commitment to succeed together and ensure successful delivery of services. The researcher has observed that the prevention of the real, or potential tension in exercise of federal powers, requires a mechanism of management that is unique to each country, based on the history, culture and political conditions that obtain in that environment. The USA constitution never provided for the mechanism for conflict resolution among central and state governments, resulting in “hostile” or “conflictual” federalism. It was this recognition in the 1930s that resulted in the creation of the “intergovernmental relations” as a discipline for conflict resolutions. In Australia, a variety of service level and performance agreements have been designed and combined with the allocation of resources is linked to the induction of the necessary cooperation among the affected government structures. More of the federal features of South Africa are associated with the lessons from the German Federal Republic (De Villiers: 1994:434).

This is where beyond the legal provisions the role of *Bundestruhe* deepened cooperation in the German context and this researcher sees a similar role played in South Africa by the OSS Model. This researcher argues that this phenomenon enshrined in the OSS Model, provides the **intangible spirit** that encourages in individuals and groups of individuals in different structures, the desire to cooperate both through formal statutory frameworks and in informal relations built through the OSS networks and their interactive processes. The OSS Model invokes presence of *Ubuntu* spirit in the culture of South Africa, that encapsulates the intrinsic sense of responsibility for one human to serve others, combined with the human obligation to help those who are disadvantaged and belief in the need for democracy to deliver to the majority are all features that the research demonstrates created the spirit akin to the German concept of *Bundestruhe* in South Africa.

In the context of complexity and uncertainty it is not simply laws, processes and procedures which will determine the ability for different parts of systems to function but from a human point of view, there has to be an intangible binding spirit of solidarity and moral obligation among individuals and government structures to cooperate and succeed together irrespective of (and over and above) legal framework compelling the government entities to work together as provided in the constitution and other statutes.

The above theorisation is one of the key contributions this thesis seeks to make in the understanding of governance in South Africa. The OSS Model it will be shown through this dissertation, promoted among participants (in government and society) a progressive consciousness that transcended narrow selfish interest (similar to *Bundestruhe* in German Federal Republic). This consciousness infused a spirit or intrinsic sense of commitment to work together for the benefit of society and commitment to fighting the legacy of apartheid colonialism in eradicating structural poverty and meet the aspirations of the people who have struggled against oppression. The common commitment must act as a drive to ensure the successful implementation of service delivery. OSS must be seen in the context of a search for a model that ensures integration of plans, budgets, programmes and achievement of common outcomes.

3.9 CONCLUSION

The theoretical background of this research demonstrates that the political system exhibits complexity which can best be analysed on the basis of the Systems Theory. The chapter drew

from the work of Pierre and Peter (2005) which posits five models of governance in contemporary democratic societies in which the relation between the State and social actors gives rise to the nature of governance and governability of a political system. South Africa was seen to fit more of the Liberal–Democratic Model. It was then argued that governance produces a measure of complexity as determined by the relative positioning of the State and social actors in the governance framework. Owing to this complexity, a systems approach was identified as a useful framework to understand the uncertainty and multi-level nature of governmental systems in South Africa. The Systems Theory was adopted because it provides an approach which sees policy implementation and service delivery in a holistic, contextual manner. It was argued that complexity presented the necessity of integration across governmental spheres in the South African context and that OSS was an attempt to create a model of such integrated delivery. The study demonstrates that OSS model has impacted positively on governance, accountability and legitimacy thus reducing the risk of ungovernability.

The chapter argues that the necessity of integrated approach in complex systems has led to conflict and hostility in certain governments. However, the German approach of '*Bundestruhe*' was argued to be a form of binding spirit which deals with the struggles of such complex multi-level governance systems. The chapter concludes by proposing that OSS must be conceptualised as a similar harmonising spirit in the midst of complex systems in which service delivery must occur in order to overcome historical socio-economic challenges.

CHAPTER 4

RESEARCH METHODOLOGY

4.1 INTRODUCTION

This chapter focuses on the research methodology utilised in this study, including the worldview or paradigm that underpins the study and the approaches used in the collection of essential information and its findings, since sound knowledge of research methodology is essential for a valid study (Kumar 2011:20). Similar to all studies, decisions on this study had to take into account the various social, historical, political and other contexts in which it is being conducted (Cherryholmes 1992:13-14). To decide on the research approach, a number of factors were taken into account, such as the nature of the research problem, the researcher's practical experiences and the audience for the study. The decision on the study was further guided by "the researcher's philosophical assumptions, procedures of inquiry and research methods, data collection, analysis and interpretation" (Creswell 2014:31).

Redman and Mory (1933:x) define research as "systematised effort to gain new knowledge". The Merriam-Webster Online Dictionary refers to the term having its origins from the French word 'recherche' meaning 'search'. "Some people consider research as a movement from the known to the unknown" (Redman & Mory 2010). Research "involves defining and redefining problems, formulating hypothesis or suggested solutions, collecting, organising and evaluating data; making deduction and reaching conclusions; and ultimately carefully testing the conclusions to determine whether they fit the formulating hypothesis" (Kothari 2004: 1-2). Kothari (2004: 1-2) provides an understanding research as a "systematic method of enunciating the problem, formulating a hypothesis, collecting the facts or data, analysing the facts and reaching certain conclusions in the form of solutions towards the concerned problem, has guided this study."

The researcher has to determine early on in the formulation of the research proposal, which type of research will be applicable in their study. Creswell (2014:31), describes three approaches to research i.e. qualitative, quantitative and mixed. The quantitative research is guided by the positivist approach to scientific analysis (White 1999), which is heavily reliant on "numerical measurements and statistical analyses; controlling events through a process of prediction based on explanation which use statistical method" (White & Adams 1994). This

study has followed the qualitative research approach where the researcher interacts directly with participants in order to document their perspectives on the phenomena being studied. While qualitative research focuses on collecting participant perspectives, it must do so without preconceived assumptions and must follow where data leads them.

The researcher has to determine very early whether the research will follow the qualitative, quantitative or mixed approach. The researcher must be familiar with various debates in that subject, such as that in public administration, whether qualitative research is rigorous enough to be classified as good social science research. The Public Management Research Association (PMRA), defines it as follows:

“...non-empirical pieces that develop a theory or theoretical framework that provides insight into a compelling research question or subject of study in public management. Strong conceptual papers should identify foundational assumptions and key concepts, develop an internally consistent logic or model of causation, and result in specific programmes or testable hypotheses” (Public Management Research Association 2007).

Public administration research has received critical evaluations by various authors such as Perry and Kraemer (1986:218-220), who have pointed out the weakness that methodologies utilised did not demonstrate a conscious effort to advance knowledge in Public Administration. They concluded that research in public administration is more applied than basic and overwhelmingly focused on problem delineation or variable identification. Perry and Kraemer did an analysis of South African Public Administration journals, between 1994 and 2006 and considered the research articles to be superficial, adopting a descriptive stance rather than the generation of new theories or hypotheses. Cameron and McLaverty quoted Stallings and Ferris (1988:596) who arrived at a similar conclusion and argued that the research in Public Administration was confined to its preliminary stages with little evidence of theory testing or causal analysis. In a study conducted in the dying days of apartheid in South Africa, Cameron and Wessels concluded that “the majority of articles analysed fell within what could be termed a functionalist perspective, lacking any critical analysis and not scientific in nature” (Hubbell 1992:13). Wessels (2006:1 506) remarked that this situation was “an early indication of a possible bias towards practice application and a possible theory-less empiricism”. These authors state that similar challenges that American academics identified regarding research in Public Administration, also apply in South Africa. Theory development is weak because studies tended to be too practice-focused.

Prentice (1984:499) stated that “public administration research is evaluative rather than basic and tend to follow practice rather than determine it, results in improvement of operations whilst not breaking new grounds”. This research study falls into this category of research observation as its findings will contribute in the improvement of operations and strengthen the skills of practitioners involved in the public administration. The audience for this research includes the academic research community as well the public administration practitioners and leaders in this field. This researcher accepts that “the core problems and knowledge needs of the government do not equate with those of the academic field of Public Administration” (Cameron et al. 2008:77). This researcher accepts and acknowledges the situation that, according to Cameron et al. (2008:69), “public administration (unlike most other social science disciplines) is both an academic discipline and an applied field with a career professional path.”

In designing this research in public administration, the researcher was guided by such authors as Prentice (1984:496), “public administration is an applied social science which is defined as a subset of political science or at least its offspring, a process of government that has been formalised into a discipline and even a subject matter in search of a discipline.” Public administration differs from business administration “in that it functions in the public not-for-profit sector and decision-making derives from policy set by legislative or administrative action, funded from the public fiscal resources and is guided by public accountability” (Prentice 1984, 496). Prentice (1984:495) stated that such research “entails the research implications of each function such as the study of how decisions are made, the study of the implications of work restructuring, the search for efficiency, the identification of hidden costs, the study of client groups and their interaction with public programs and a definition of public administration as a scholarly discipline begins to emerge”.

Public administration research tends to focus on restricted number of cases, but this does not imply the information obtained is small (Osifo 2015:1). In the current research, the participants are involved in the policy making, decision making and implementation of governance programmes which offers huge amounts of information and deep insights. Furthermore, public administration research is often solutions-driven in order to help in solving public sector problems. The current research is directed at obtaining information to evaluate the impact of the Operation Sukuma Sakhe (OSS) model in service delivery and explore various governance principles in South Africa and inform the national government move towards district-based planning.

This researcher approached this study with the clear understanding of the multi-disciplinary nature of this research since that there is a strong link and dynamic interaction between history, politics and public administration. Waldo (1968:447) states that “politics and administration are distinct, with politics being mainly concerned with framing public policy, while the administration is concerned with execution of the policy. Politics ought not to infringe upon the administration.” The studies done on the administration (management processes) should result in improved performance, economy and efficiency.

Adding to the complexity of studies in public administration is the argument by Dahl (quoted by Waldo 1968:450) that since the public administrative processes are operated by humans, the study of public administration will also draw conclusions also on the basis of human nature and behaviour. Waldo’s point is that such human behaviour may be complex and not always guided by linear rationality and people bring to their work a range of social and personal influences which lead to any number of conflicts of interest between who the person is, and the professional administration they must deliver. Public administrators are thus always going to be challenged in how they remain consistent in their role.

This researcher accepts the interpretation of logical positivists regarding the distinction between matters of fact and matters of value in which matters of fact are within the ambit of science that can be verified through empirical evidence, whereas matters of value and ethical considerations cannot. Public administrative decisions tend to straddle matters of facts and values, and, therefore, cannot be viewed as “pure” science. Furthermore, this researcher considered the intersection between power and politics as part of public administration (stated by Appleby & Long, quoted by Waldo, p. 458) and (Van der Waldt 2017:189) regarding the interchange between social sciences (Social Psychology, Sociology) and Economics. The above authors further acknowledged that Public Administration is not purely an academic activity but has also to respond beyond academia to various institutes, centers, laboratories and foundations. This underlines the interdisciplinary nature of public administration as a discipline with interrelationships with Psychology, Anthropology and History, and the influence of behavioural sciences and various disciplinary sources. There have also been a school of thought, suggesting that public administration is an “art” and not a science.

4.2 RATIONALE FOR QUALITATIVE RESEARCH

A qualitative type of research is aimed at discovering the underlying attitudes, motives or desires using interviews to investigate reasons for a particular human behaviour. Therefore, the nature of this study is to obtain information regarding the quality or a kind of the phenomenon, which makes this a qualitative research. Qualitative research is important in behavioural sciences “to investigate underlying motives of human behaviour to analyse the various factors that motivate particular human conduct, likes and dislikes” (Kothari 2004:3). This is in contrast to a quantitative research which is based on the measurement of quantity or amounts and is concerned with predicting future events and behaviours. Qualitative research seeks the understanding of social interactions and processes in organisations (McNabb 2004:235). Qualitative research is an important feature of public administration research as it answers questions from public administrators such as “how”, “how many”, “how much”, “how efficient,” “how effective,” “how adequate” and “why” (Osifo 2015:1). The objectives of this research, focusing on service delivery and governance in South Africa and the questions that have been posed together with the considerations above, have guided this researcher to undertake this work as a qualitative and descriptive study.

In this study, the researcher developed the research questions, conducted the research and collected the information by directly interacting with the participants. This qualitative research was conducted based on the utilisation of multiple sources of information as opposed to relying on a single source. The data were collected and organised into categories that span across different data sources. A comprehensive set of themes was established through an inductive process of working back and forth on the themes and data and building categories and themes from available information. Typical of qualitative research, this process allowed this researcher to learn the meaning that the participants hold about the issues and not just focus on the researcher’s ideas or views of other writers obtained from literature. Qualitative research involves direct engagement with participants. Since this researcher was immersed in the interaction with the participants, it is accepted that the researcher’s interpretation of the respondents’ views could introduce some researcher’s bias. The research process had reflexivity wherein the researcher reflects on the potential impact of the researcher’s role in the study including the impact of their personal background, culture and experiences and how this may shape the direction of the study. “The process involved reporting on multiple perspectives and identifying the many factors involved in a complex situation, sketching the larger picture that emerges and ultimately culminates in a holistic account” (Creswell 2014:234-235).

The desire to face the challenge of finding solutions for complex problems created a motivation for the research. This researcher has had a long history of involvement in the liberation struggle, leadership at the executive level in provincial and national government, as well as political leadership roles, and has, therefore, been exposed to various debates in policy formulation during the period of the transformation from apartheid to democracy. This researcher, having been the Premier of KwaZulu-Natal and having formed a humble part of the origination of the OSS Model (Tshisonga 2017; Mhlongo 2018:54) has been motivated to conduct research into aspects that most researchers have not studied in this subject. Several governance principles are involved in the OSS Model and since its adoption at national government level, the model is being used as the basis for district-based budgeting and planning. This study is intended to contribute to academic research and strengthen the implementation of district-based planning using the lessons from the research findings.

This researcher has served in South Africa at National and KwaZulu-Natal Provincial Executive Cabinet levels. This introduces a range of strategic, ethical and personal issues into the qualitative research process, which need to be disclosed (Creswell 2014) so that “inquirers explicitly identify reflexively their biases, values, and personal background, such as gender, history, culture, and socio-economic status (SES) that shape their interpretations formed during a study.” The association of this researcher with the origin of the OSS Model (Mhlongo 2018:74) may potentially create researcher bias, however, the researcher has not been actively involved in the governance of the province for several years. This time gap, this researcher considers as a “cooling” period that allows more objectivity through the distance created.

Data were collected through an emergent process that allowed for a flexibility including variations in approaches as the research unfolded and questions were rephrased to extract maximum benefit from the process that made this researcher to learn immensely from participants. The data collected in this study were obtained from the various Government Departments, the Office of the Premier (OTP), the national Department of Cooperative Government and Traditional Affairs, the Presidency, International (UNAIDS) agencies and the municipalities. Relationships built over time with various government officials and other leaders enabled relatively easy conversations based on the respondents’ experience and passion for the topic under investigation. Unstructured interviews and observations are relied upon by the researcher who seeks a natural interaction with the participants in their usual environment.

The selection of a qualitative research approach is to answer the questions “what” and “how” “to understand, explain, explore, discover and clarify situations, feelings, perceptions, attitudes, values, beliefs and experiences of a group of people” (Kumar 2011:103). The study is designed to reveal challenges faced by the Government of South Africa in the delivery of services and to explore various strategies and models that have been implemented in facilitating the delivery of services and community development, including the OSS Model in KwaZulu-Natal. To explore all these aspects requires qualitative research to be conducted to enable the researcher to gain knowledge through interacting with participants in their natural setting and utilise an open strategy with flexible and unstructured questions to facilitate the conversation as well as observations in the collection of data.

Research data are collected from primary and secondary sources. Data collected through available literature is secondary data. This source tends to be cheap, flexible, wide in scope and systematic. Through interactive research processes, researchers tend to develop on the work of other researchers. Through a comprehensive review of previous research connected to the research question, researchers are able to place their research work in an intellectual and historical context, such as in concepts, eras, disciplines and other aspects. This enables the researcher to describe how other scholars have approached a particular question and how this question is being handled by the researcher in relation to other scholars, demonstrating any insights gained and challenges or solutions. The literature review exposes the quality and findings of the research and allows the author to justifiably display what is known and unknown on the subject matter. According to Osifo (2015:3), “literature review is research of research findings, foundation of new research, tool for searching and assessing information, theory of evaluation and development, survey for the state of knowledge of a particular topic, problem identification and provider of historical account for the development of theory and research on a specific topic”.

4.3 INTERVIEW AS A TECHNIQUE

An interview is a primary source of data collection that is recognised in social sciences and requires care, patience and skills to conduct. An interview is a conversation between two or more people, which occurs between the interviewer and interviewee. Records of the conversation are kept in the form of written notes or electronic capturing of voice or image. An interview may take place with an individual or in a group setting such as focus groups. The interaction tends to result in the establishment of a relationship between the interviewer and

respondents for a common fulfilment of the research objectives. The interviewer, who usually designs the nature and direction of the interview, often takes the lead in the interview and the respondents have a crucial role as the responses enable the interviewer to understand the salient points. According to Osifo (2015:5), “popular paradigmatic theme of qualitative research includes the ontological and epistemological views of knowledge as a human construction”. The interview involves description of responses from the interviewee by the interviewer, and therefore the qualitative interview research is essentially subjective and is classified as descriptive qualitative analysis. In public management, interview is one vital strategy of research and data collection because the administrators and data analysts rely on survey research. Public management research is usually conducted to answer questions from administrators such as how, how much, how effective, how adequate and why a program. The responses from interviewees enable the interviewer to gain deeper insights into the programme, measurement of outcomes and performance of the public policy and complement other research methods such as the questionnaires and surveys.

Other than general guidelines, there is no standard format on the construction of interview questions, researchers have to rely on their knowledge of the subject, relevant theories and common sense. The researcher has to ensure that the ethical considerations such as privacy, confidentiality, consent are guaranteed to preserve the integrity of the process before, during and after the interview process. The conducting of interviews, interpretation and application of interview responses is the main responsibility of the researcher, which once properly documented, interpreted and analysed will culminate in the synthesis of research findings and recommendations.

4.4 DOCUMENT ANALYSIS AS A TECHNIQUE

Document analysis is a cornerstone of qualitative research. Documents provide secondary information that contextualises and provides explanation of phenomenon under study. The collection of documents requires the skill to identify, select and use those with the relevant content. Documentary analysis enables the researcher to gain deeper understanding of the problem. According to Osifo (2015:6), “content analysis is a strategy for analysing a body of text that treats the elements of the body of text as empirical entities. It is further premised upon a clear sequence of steps with which to systematically organise elements of text in order to enable an investigator to meaningfully interpret and make inferences about the patterns in the content of the overall body.”

4.5 QUALITATIVE RESEARCH APPROACHES

Various considerations, such as the types of problems, ethical issues and other factors, determine the research design to focus on data collection, analysis, and writing. There are a wide range of approaches developed by different authors; however, Creswell (2014:235) focuses on five approaches, namely the narrative, phenomenology, ethnography, case study and Grounded Theory. These approaches rely on verbal description and meaning ascribed to issues rather than numerical or statistical data analysis. The researcher approaches the research with an open and enquiring mind, but specific and distinct features of the research determine that the research is a qualitative research. First, the researcher seeks to emphasise an understanding of the phenomena in their own right, rather than from an outside perspective. Where the researcher determines that open exploratory research questions offer a deeper appreciation of the phenomena than closed-ended hypotheses, this drives the researcher to select qualitative research. In the qualitative research, the researcher is guided by unlimited emergent description options, as opposed to predetermined choices. Lastly, the researcher's objective in qualitative research is to ensure that the success of the research is determined by the discovery of new knowledge about the phenomenon, instead of confirming a hypothesis made (Elliot & Timulak 2005:148).

The researcher is not driven by a predetermined view on what the research strategy should be but the decision regarding the use of a qualitative strategy should emerge as a means to answer the particular research questions (Elliott 1995, 2000). The conclusion to select the qualitative research arises from the effort to answer basic research questions that guide formulation of the research problem. What is known about the phenomenon? Why is there a need to know more? "What has influenced previous research findings (methodology, social context, researcher theory)?" (Elliot & Timulak 2005:149). Prior to commencing the research, in order to address the research questions and seek answers through a research study, it is obvious that the researcher has to carefully examine available literature and absorb relevant knowledge and theories to be familiar with updated information on the subject in question. This is referred to as "theoretical sensitivity," (by Strauss & Corbin 1998, quoted in Elliot & Timulak 2005:148). This is contrary to a school of thought that held that the qualitative researcher must enter the research field without first reading available literature as this would predispose the researcher to impose preconceptions that may prevent the data from revealing essential features of the phenomenon. In reality such a school is not practical as it is impossible to embark on a research uninformed and without any background conceptual thinking having been formulated by the

researcher. It is accepted that the researcher's bias is an unavoidable part of the process that has to be acknowledged.

The formulation of research questions do not sharply differentiate between quantitative and qualitative research traditions, however the collection of data differs markedly, particularly the method of obtaining the data and the format in which the data is structured. Quantitative research follows the exploratory-descriptive-causal category of quantitative research designs. Qualitative research involves three basic components; collection of data, analysis and interpretation of data and writing a report and communication of outcomes through media (McNabb 2010:235). In qualitative research, for the data collection, the researcher uses some forms of description in written words or in verbal explanations and observations to record the views or experience of the participants. The researcher uses open-ended questions to elicit information as well as an "open-ended strategy" for the collection of data. The "open-ended strategy" means that the nature of the "inquiry is flexible and carefully adapted to the problem at hand and to the individual informant's particular experiences and abilities to communicate those experiences, making each interview unique" (Elliot 2005:149). Among the several methods of obtaining data, the qualitative researcher conducts semi-structured or unstructured interview formats, in which the participants are encouraged to elaborate in their experiences. The researcher requires a skill to ensure that a guiding framework of the interview is developed without imposing a rigid structure to the interview. Good practice allows the questions to be shared with interviewees ahead of the interview to facilitate the conversation, as recommended by Hill et al. (1997), quoted in Elliot and Timulak (2005:148). Other variations of this format can be considered by the qualitative researcher, such as follow up questionnaires by phone, by email correspondence or focus groups. Focus groups allow the participants to share their views about the topic and allows access to a large number of possible views and consensus processes. Other researchers have used tape recordings played to interviewees to prompt their memories allowing them to describe the past experience of particular moments (Elliott 1986). Observational methods are also used in qualitative research and tend to record detailed notes which are descriptive and observational.

While the above preliminary questions assist the researcher to formulate the research problem, the qualitative researcher follows the guide of strategic classes of qualitative research to determine research approaches and methods. There are three broad strategic classes of

qualitative research that the researcher should have knowledge of, namely; explanatory, interpretive and critical research studies (McNabb 2010:235).

4.6 CASE STUDY METHOD

According to Yin (2009:4), case studies are utilised to explore events or describe a phenomenon in its daily contexts and natural setting. According to Burns (1997:364), “to qualify as a case study, it must be a bounded system, an entity in itself”. “The case study approach is particularly useful to employ when there is a need to obtain an in-depth appreciation of an issue, event or phenomenon of interest, in its natural real-life context” (Crowe et al. 2011:2). To select a case, the researcher must use “purposive, judgemental or information-oriented sampling technique” (Kumar 2011: 134). Case study offers “the overview and in-depth understanding of a case, process and interactional dynamics within a unit of study but cannot claim to make any generalisations to a population beyond cases similar to the one studied” (Kumar 2011: 134). The assumption on which the case study is premised is that “a single case can provide insight into the events and situations prevalent in a group from where the case has been drawn” (Kumar 2011: 134). According to Harold Stein (1952), “a public administration case is a narrative of the events that constitute or lead to a decision or group of related decisions by a public administrator or group of public administrators”. Scholars advise the use of multiple methods to collect data as an important aspect of a case study, namely in-depth interviewing, obtaining information from secondary records, gathering data through observations, collecting information through focus groups and group interviews. At the conclusion of the process and the analysis of all data sources, the entire process must be treated as a single entity.

4.7 DATA GATHERING TECHNIQUES: FOCUS GROUPS AND INTERVIEWS

Focus groups/group interviews are facilitated group conversations with the researcher asking questions and facilitating the discussion (Kumar 2011: 135). The focus groups and group interviews are a strategy in qualitative research to determine opinions, attitudes and perceptions towards an issue, service or programme through a conversation with the interviewer. Owing to its affordability the strategy has been employed by researchers in political, social and behavioural science, marketing researchers use the strategy to find out attitudes of consumers and opinions on services (Kumar 2011: 135). Depending on the focus and objectives of the research, professionals or average residents of a community constitute the focus group. Kumar (2011: 135) cautions that “the size of the focus group should be neither too large, nor too small”

to avoid the size impeding the flow of the conversation. The conversation needs to be carefully moderated to allow free expression of views and interventions by individuals who may wish to clarify certain points. An agreement on the record keeping needs to be reached and these recordings form the basis of analysis and interpretation of the data collected. The strategy allows for broad issues to be poorer and useful for exploring the diversity in opinions on different issues (Kumar 2011: 135).

4.8 RESEARCH DESIGN

4.8.1 Gaining access to the research site

To gain access to the site and the participants, the researcher requested a gatekeeper's letter from the OTP in KwaZulu-Natal province and the UNAIDS country director. The gatekeeper's letter was issued by the OTP with the understanding that the collaboration and partnership that will be established in sharing the information from this study will enhance the impact of OSS. UNAIDS supported the study. UNAIDS had done a study to evaluate OSS. That study involved the UNAIDS visiting five municipal districts and interviewed participants in war-rooms, representing municipal, business, civil society and various other stake holders. UNAIDS had taken various steps to support OSS principles of innovation in governance, leadership accountability, multi-stakeholder partnership and integration of services. UNAIDS believed more work needed to be done to guide the implementation of transformative development to fight poverty, inequality and various social ills, using the OSS Model. An undertaking was made that the confidentiality of all participants shall be protected and the findings of this study will be made available to the respective offices.

4.8.2 Sampling approaches

Different logics inform the wide difference between sampling approaches in quantitative and qualitative research. Typically, the qualitative inquiry focuses in depth on smaller samples of purposefully selected participants. On the other hand, quantitative inquiry relies on large samples of randomly selected participants. The techniques of each of the approaches are unique because the strategies are fundamentally different (Patton 1990:169). Quantitative research is based on the logic and power of the randomly selected and statistically representative sample that allows generalisation into the larger population with confidence, in which case, generalisation is the main objective. Qualitative research relies on purposeful sampling of

information-rich, small sample of targeted participants with highest possibility to yield maximum information on the subject matter. The purpose is to select information-rich cases whose study will illuminate the questions under study (Paton 1990:169).

In qualitative research, “the researcher consistently builds a complex and holistic picture, analyses words, reports views of informants and restricts the study to its natural setting” (Creswell 1998:15). A flexible approach with unstructured questions was decided upon to gain maximal response from participants by making the questions a guide to enable a free flow of their ideas, prompted by the concepts contained in the questionnaires, adapted to the flowing conversation. The researcher built a picture regarding OSS, based on information obtained piece by piece, municipality by municipality, tier by tier of government, sector by sector of society and theme by theme until a comprehensive view emerged about the whole research subject. The participants were selected on the basis of their previous or current participation or exposure to the OSS Model. The targeted pool of participants included political leaders and administrative officials from the municipal, provincial and national governments, traditional leadership, community, business and civil society formations.

All participants were contacted by the researcher by telephone, and it was clarified that the study was part of a research conducted for the fulfilment of the master’s degree in administration, through the University of KwaZulu-Natal. The sampling was drawn from participants who were spread over four district municipalities, the OTP in KwaZulu-Natal, the Department of Cooperative Governance and Traditional Affairs (COGTA), the Presidency and UNAIDS to give deeper understanding of the challenges in service delivery and the effectiveness of the OSS including how this model can inform the district based planning involving all spheres of government. The sample was believed to be representative of the province, covering coastal and midland districts, both rural and urban with diversity of stakeholders interviewed. Three tiers of governments became relevant for inclusion in the study, since there has been involvement of the national government in the OSS debates as the Presidency recommended the use of the model across South Africa. All interviewees shared first-hand experience and personal views on OSS, based on the roles they currently played in OSS or in the past. This allowed the researcher to gain deep insight on the meaning that the participants attach to the various aspects of this subject, an important feature of interpretive qualitative research.

4.8.3 Sampling technique: Purposive sampling

According to Creswell (2014:239), the recommended approach in qualitative research is to “purposefully select participants or sites (or documents or visual material) that will best help the researcher understand the problem and the research question.” The data collection method was based on purposive sampling in line with Yin (2011) and Patton (1990:169), who support this approach. Similar to other studies on OSS, the purposive sampling was guided by the need to target participants who have knowledge of OSS (Phakathi 2016:93). The participants were identified on the basis of having a history that they played a role or were involved in OSS. The various offices were approached by this researcher and a suggested list of names was developed with their guidance. The selection was done from the list on the basis of availability and agreement to participate. The offices that were approached were the OTP, the Director-General in the Presidency, UNAIDS, the Chief Executive Office of the Municipal Infrastructure Agent (MISA) under COGTA, the mayoral offices of the eThekweni, uMkhanyakude, Harry Gwala and Ugu district municipalities. The purpose of the study was to get diverse views (Kumar 2011:193). This researcher ensured wide-spread participation of the participants (though a small sample; Osifo 2015:1), will be able to reflect both the depth and diversity of views in the province of KwaZulu-Natal covering small and large, urban and rural, coastal and midland municipalities. The diversity takes into account the geographic spread, demographic and economic variations in the province. The three tiers of government were reflected in the participants from the municipal, provincial and national spheres of government. The UNAIDS reflected on the work already done by the UNAIDS in evaluating OSS as a programme, bringing insight from the perspective of an external international stakeholder who has supported the province in documenting the OSS. COGTA as a department has the responsibility to coordinate services and programmes across different municipalities and is better placed to shed light about service delivery challenges and government programmes involving all spheres of government. The Presidency has taken an interest in OSS resulting in the various statements that have been released in support of OSS by the Presidency (Motlanthe 2016: 1-2) (Ramaphosa, Presidency Budget Vote 2017) and the proposal for OSS principles to be adopted in national government and in the promotion of district based planning.

The sampling technique had the objective of getting a comprehensive representation of the diversity of views and experiences across the province of KwaZulu-Natal and through that, the government and society in general. The spread of the participants spanned from individuals involved in all levels of governance involving aspects of the OSS, namely, war-rooms, LTTs,

DTTs, Provincial Task Teams, involving representatives of community and civil society, traditional leaders, business, municipal officials, chief directors, Deputy Directors-Generals, Director-General, Councillors, Mayors, Deputy Mayor, Speaker of Council, Members of Executive Council in the Provincial Government. Owing to the dynamics of the political and administrative landscape, a number of the participants had vacated the positions when the interviews finally occurred. Some individuals had occupied several executive positions and gave insight and the experience from different roles in government as the transcript demonstrate that there are participants who reflected different spheres of government that had served in during their tenure as public representatives. This was not a negative factor since the participants were all approached on the basis of their current or former involvement in OSS. They constituted an “information-rich” pool of participants (Kumar 2011:176; Paton 1990:169).

Justification for the use of Focus group

The data collection, amongst the primary sources, was achieved by employing questionnaires to individual respondents (where one or two individuals were located in one department) and focus group interviews using the same set of questions to elicit respondents’ views where several (more than two) individuals were interviewed in a single department or municipality.

Focus groups were invited to express their views focussing on a specific matter, the OSS model as professionals and practitioners in service delivery utilising the OSS model. The focus group approach was chosen for these and various other reasons indicated below.

During the time interviews were conducted, there were various restrictions on human movement and person to person contact due to COVID 19 restrictions, hence virtual meetings were preferred as most convenient means of communication. Focus groups were selected because the research intended to explore “attitudes, opinions or perceptions on an issue through a free and open discussion between members of the group and the researcher” (Kumar: 2011: 124). In this approach to a case study, according to Kumar (2011:124), the guide to this researcher was, “not to select a random sample but a case that can provide you with as much information as possible to understand the case in its totality.” In terms of this approach (Kumar:2011), the researcher selected a group of people who are thought to be best equipped to discuss the subject of OSS model; in which the smaller size of the group was considered necessary for a thorough articulation of individual views including the ease of allowing the

emergence of new issues for debate amongst the group as well as the ease of analysing the data collected.

The focus groups were constituted by individual interviewees who shared a common environment where they worked together in the department or municipality. Members of the focus group had been together involved in the discussions regarding implementation of the OSS in their natural work environment (such as in the Presidency and in district or metropolitan municipalities). The focus groups interview created “natural” environment in which all interviewees were comfortable to express their views freely. This approach saved time and resources while it yielded valuable information. This focus group interview permitted the researcher merely to guide the conversation utilising the broad questions while conversations amongst the interviewees stimulated the thinking of each respondent which encouraged and prompted their input on the substance and nuances of matters raised.

This researcher remained conscious to avoid the temptation to intervene frequently and micro-manage the conversation because of the researcher's prior exposure to the OSS model. The researcher acknowledges that some of the respondents were known to the researcher. Thus it became necessary to be conscious of the researcher bias.

4.8.4 Interviews: Use of telephony and digital platform

Telephonic interviews are recommended for participants who are “hard to access” and those with fluctuating work schedules (Tausig & Freeman 1988:420), quoted in Phakathi (2016:95). Each of the participants were contacted by the researcher before the questionnaires were distributed. It was more convenient for a small number of participants to express their views in response through the use of written answers to the questionnaires after the telephonic conversation with the researcher. The questionnaires were also shared through the digital platforms. Owing to the Covid-19 pandemic and hectic schedules of the participants, physical face to face meetings were difficult to arrange. The most preferred format of group interviews was audio-visual platform, which had become the norm during this period in line with regulations to limit the spread of the Covid-19 pandemic, applicable throughout the whole country.

The researcher was generally met with excellent cooperation from participants, probably as a result of the past association this researcher has with the OSS Model and relations emanating from public service at different spheres of government this researcher has served in. The

demeanour of those participants was observed to be relaxed and open-minded, showing no reluctance or discomfort in freely participating and expressing their opinions. All the participants signed consent to participate. For confidentiality, this researcher requested that all video cameras be switched off, but all voice conversations were recorded. Group interviews were conducted involving participants in the municipalities identified above as well as the participants from the Presidency. The disadvantages of using the telephonic or digital platform has always been the risk of battery becoming flat or interruption of power supply (so-called loadshedding) or limited time for the audiovisual (the Zoom platform) which were highlighted to warn the participants to be patient until the reconnection was re-established. The interruption of telephonic conversation was never a serious factor that could interfere with the flow of the interview or the quality of the research records.

4.8.5 Language for interview

The participants were free to express themselves in isiZulu, English or even a mixture of the two languages based on their maximum comfort. The services of the College of Humanities of the University of KwaZulu-Natal were procured to do the transcription verbatim. The records are available in the format of the conversational language used in the group interviews. This researcher is fluent in both languages and has not needed any translation services to analyse the contents. There was no need to utilise any dictionary as the two languages were flowing well on and no bombastic terminology encountered. The fact that the conversation was done between this researcher and the participants makes the context of the expressed words easy to interpret and confidently record the meaning the participants ascribed to their experience of the OSS and other service delivery issues under discussion.

Literature was used as a secondary source of information. Relevant literature that contains details of information that offers enlightenment on the subjects of research was utilised. Books and other publications such as magazines, journals were analysed. Newspapers and media statements, government gazettes containing to the Acts of Parliament, regulations, policy statements; internet search engines, Website publications were included in the literature analysed. The literature was properly referenced and added into the bibliography and properly acknowledged in accordance with the guidelines for academic research.

4.8.6 Content analysis

Content analysis is a “technique for making inferences by objectively and systematically identifying the specific characteristics of text and messages” (Goel 1988:14, quoted by Mathebula 2004:62). After data has been collected, the researcher has to organise, process and analyse it. To analyse the data systematically, researchers use “content analysis, whereby you identify the main themes that emerge from the descriptions given by respondents in answer to questions” (Kumar 2011: 254).

4.8.7 Policy analysis

The concept of policy analysis is defined “as the process through which we identify and evaluate alternative policies or programs that are intended to lessen or resolve social, economic, or physical problems; it refers as well to the product or outcome of the analytical process” (Patton et al. 2015:21). Various types of policy analysis are defined based on when the policy analysis is done; before or after policy implementation, in anticipation of the results of alternative policy or to describe the consequences of a policy. Descriptive policy analysis, ex post or retrospective analysis, refers to description and interpretation of past policies (Patton et al 2012:22). Furthermore, there is “evaluative policy analysis refers to program evaluation” (Patton et al. 2015: 22). Other forms of policy analysis attempt to be predictive how a policy may bear out in action, Patton et al (2015: 23) state that “Policy analysis that focuses upon the possible outcomes of proposed policies has been called ex ante, anticipatory or prospective policy analysis. This analysis is further divided into predictive policy analysis to refer to the projection of future states resulting from adopting particular alternatives, while prescriptive policy analysis refers to analysis that recommends actions.”

4.9 VALIDITY

The validity of the research and its findings is the fundamental quality test that must be demonstrable at all times. This is confirmed by many authors such as Yin (2011:78) who stated that “a valid study is one that has properly collected and interpreted its data so that the conclusions accurately reflect and represent the real world that was studied”. Various mechanisms are employed to ensure the validity of research, such as triangulation. Triangulation is the process of corroborating data collected for a study (Yin, 2011).

In qualitative research, the researchers need to remain conscious of the challenge of researcher bias as a result of the dynamic interaction between the researcher and the respondents, whereby the researcher's cultural and language background and other environmental factors, knowledge and experience gets intertwined with the views of the respondents thus impacting on the level of objectivity. This reality has to be acknowledged by the researcher. In this study, the researcher had an "insider" perspective as practitioner in the governmental system and the researcher's association with the origin of the OSS model. The approach taken in this study was guided by the need to ensure validity of the study. This matter of "insider" researcher has been identified by scholars Dwyer and Buckle (2009: 58):

"Insider research refers to when researchers conduct research with populations of which they are also members (Kanuha, 2000) so that the researcher shares an identity, language, and experiential base with the study participants (Asselin, 2003). The complete membership role gives researchers a certain amount of legitimacy and/or stigma (Adler & Adler, 1987). This insider role status frequently allows researchers more rapid and more complete acceptance by their participants. Therefore, participants are typically more open with researchers so that there may be a greater depth to the data gathered."

This researcher thus made all attempts to collect participants' inputs and perspectives in a non-judgmental and open-minded approach in order to not compromise the scholarly purposes and quality of the work. This approach is supported by Dwyer and Buckle (2009: 54-63); who argue that:

"Being a member of the group under investigation does not unduly influence the process in a negative way. Disciplined bracketing and detailed reflection on the subjective research process, with a close awareness of one's own personal biases and perspectives, might well reduce the potential concerns associated with insider membership. Furthermore, one does not have to be a member of the group being studied to appreciate and adequately represent the experience of the participants. Instead, we posit that the core ingredient is not insider or outsider status but an ability to be open, authentic, honest, deeply interested in the experience of one's research participants, and committed to accurately and adequately representing their experience."

In approaching this study, this researcher was conscious of the situation of an ‘insider’ and practitioner to the governmental system. Conducting this research formed part of converting the researcher’s practical experience into a scholarly contribution. This researcher thus made all attempts to ensure that the information collected, the views expressed by respondents and the interpretation of the situation being studied, ultimately guide the analyses and conclusions arrived at by this study in accordance with scholarly standards, as guided by Dwyer and Buckle (2009: 54-63).

Triangulation is “studying a phenomenon in two or more ways to substantiate the validity of the study findings” (McNabb 2010:242). According to McNabb (2010: 242) the term was “taken from land surveying, map making, and radio direction finding, refers to the use of several different research methods to get a better handle on a phenomenon by looking at it in more than one way, helps ensure that relevant data are not missed.” Researcher’s use triangulation method to validate research findings and compare with other sources of information such archives, media reports, radio or newspaper interviews, paid advertisements and various public media to corroborate their findings (McNabb 2010:309-310). In this study, several data sources were used, such as relevant academic literature, government policy documents and interviews. This study achieved triangulation by interviewing different stakeholders working in OSS. The participants came from different professional backgrounds which meant that their understanding of OSS and its challenges also differed (Phakathi 2016:99). The interviews included a wide variety of participants in public service and non-governmental organisations, different professional categories and different spheres of government and different municipal districts. Theoretical triangulation was achieved in this study through the use of the New Public Management theory and Systems method and the Theory of Governance supported by various perspectives such as the garbage can perspective. One of “the greatest benefits of theoretical triangulation is that it provides a broader and deeper analysis of the research findings. Theoretical triangulation increases the confidence of the accepted hypothesis or theory when data findings are tested against an opposing hypothesis or theory” (Phakathi 2016:99).

4.10 ETHICAL CONSIDERATIONS

All the participants were approached, and they willingly and voluntarily took part in the study. The purpose of the interaction was well explained. They were all requested to sign the consent and it was explained that they were under no obligation to participate save to assist in the

research programme. The participants were made aware that they are free to object or even exit from the research programme should they feel uncomfortable or unwilling to continue to participate. There were no financial or other incentives associated with their participation in the study, but the findings would be open for sharing with the participants. Several participants in the research have served directly or indirectly with this researcher under various governance capacities. For ethical considerations, this fact was openly declared in all instances whenever this situation was encountered. The participants signed the consent to willingly participate.

This researcher always requested that any objections should be expressed at any stage during the conversation to avoid any discomfort, psychological strain or conflict of interest. In all instances, it was clearly expressed by the participants that their involvement was freely achieved and to consider their professional and human dignity well preserved in the process. The researcher was at all times convinced that the participants' contributions were done freely, consciously and independently. All connections between the researcher and the participants, as well as on the research sites, were underlined by respect and professionalism that assisted to pitch the conversation to a level of interaction between equals to limit any tendency that may unduly influence the free expression of participants' views or the researcher's interpretations.

All efforts were made to ensure that the integrity in the research process is preserved. Ethical clearance for this study was granted by the University of KwaZulu-Natal's Human and Social Sciences Research Ethics Committee. Electronic responses to questionnaires and audio recordings and transcripts were filed electronically on the researcher's computer, with access to the files being protected by password. Confidentiality is a standard precaution in research to protect the respondents, the researcher and the research findings, which ensures that there are no repercussions for anyone by expressing their honest feelings and views. The anonymity provides a sense of protection from anyone whose views may be challenged by the respondents' critical viewpoint. Knowing that they would be safe after interviews without a risk of being followed up on their comments, afforded the participants an opportunity to be open.

During the data analysis process, the names of the participants were removed and replaced with code names and numbers, based on the best description of their role in OSS, governments or in society.

4.11 LIMITATIONS

The current study sheds light on the challenges of service delivery and various governance principles involved in the OSS Model in KwaZulu-Natal. However, there are two major limitations. The first major limitation of the study is that it was based on four municipalities which might mean that the results are applicable in a limited section of society. Views from EThekweni metropolitan, Ugu, Harry Gwala and uMkhanyakude districts were elicited out of eleven municipal districts in the province. Time constraints and vastness of the province and financial resources created a constraint in the study despite the researchers wish for a much more elaborate study with all district municipalities included.

Second, the researcher would have wished to do a comparative study on OSS Model as it was extended to other provinces to compare the understanding, implementation, challenges and impact of the model and glean lessons to assist all provinces.

4.12 CONCLUSION

This is a qualitative research in which a total of 22 respondents were interviewed and all findings from these interviews are worth publishing to provide a thorough evaluation of the OSS Model. The case study approach was used. Case selection followed a judgemental, purposive, information-oriented case sampling technique (Kumar 2005:123). Though limited in number, the interviewees possess enormous amount of information regarding the subject of research (Osifo 2015:1). Among the interviewees were elected public representatives, civil servants at national, provincial government and municipalities, social partners representing non-governmental organisations, traditional leaders and business.

However, for purposes of this dissertation and institutional specified limits to the size of the report only 10 respondents were selected to best reflect the findings within the limited space available and the rest will be utilised in other future studies as the findings remain valuable for deeper understanding of the subject of OSS in improving cooperative government and IGR in terms of Chapter 3 of the Constitution of South Africa.

CHAPTER 5

RESEARCH FINDINGS

THE CASE STUDY OF OPERATION SUKUMA SAKHE IN KWAZULU-NATAL

5.1 INTRODUCTION

This chapter records the findings of the research study. The information was obtained through three approaches: the analysis of documents, group interviews (through virtual platform) and individual interviews in form of questionnaires. The findings are integrated in the report that has been synthesised from all three approaches and then the views of the respondents are tabulated in response to each of the research questions. Interview data is presented extensively and clustered into themes. The format is chosen because of the significance of the participant's roles in OSS. Their perspectives are valuable, and they capture detailed insights into governance through the narrative perspectives of these participants. Their responses are incredibly detailed and organising the findings for presentation was a challenge and of itself. A thematic form of organising the findings was used to relate the participants' findings to various aspects of IGR.

Criteria for exclusion/inclusion

The study focused on canvassing views on OSS in KwaZulu-Natal based on the views of respondents from three spheres of government (national, provincial, local). The key focus was on respondents with practical involvement in implementing OSS. The report thus excluded respondents who did not demonstrate direct involvement. Practitioners with experience in serving in more than one sphere were prioritised over those who served in only one sphere. Respondents excluded were those from international agency and two from national government level whose line function did not confirm direct involvement in other spheres. At provincial sphere respondents demonstrated involvement in different levels of OSS structures since inception and were both included. To cater for diversity of municipalities the sample had to include a metropolitan (both respondents served at two spheres, the provincial and local levels and one was included). The refined approach was to limit overlaps and duplication while ensuring representation that caters for diversity in rural coastal and rural inland municipalities. Therefore one respondent was taken to include each different category below.

The representative sample selected for municipalities covered public representative at mayoral offices in district and local levels and one respondent each to reflect views from administrative officials to represent public servants and non- governmental sector.

5.2 PRESENTATION AND SUMMARY OF RESPONDENTS AND THEIR PERSPECTIVES

Of a total of 22 respondents interviewed, only 10 respondents were selected for this report. Insights on OSS were extracted from the perspective of the interviewees located both inside and outside government and examined from the perspective of each sphere of government (national, provincial and local). An international Agency did an evaluation of the OSS Model which received huge publicity at the time. A respondent from this agency was interviewed, reflecting the view of OSS from the perspective of external international partners. While this aspect offered a valuable insight on OSS, the findings have been excluded from this report because of the limited space allowed.

Interviews of respondents at the provincial and local government level involved 14 respondents (serving in LTT and DTT), of whom five were selected for reporting. The others will be reported upon in the future study. To evaluate the OSS from the provincial perspective two respondents were interviewed in the OTP, both are included in the report. These are senior managers that were part of PTT in the office since the inception of OSS and played a central role to date. From a national perspective, one respondent was selected from the national department of COGTA and the findings from interview was included in this report. An insightful conversation occurred in the group interview in which senior managers at the Presidency participated. These managers were involved in designing previous integrated development strategies. According to these interviews, because of the recorded success of the model, the Presidency promoted the recommendation of the OSS Model for adoption across the different provinces as well as adoption of the OSS Model in the Presidency and remodelling it to achieve district-based planning and budgeting and configuration of the DDM as a national government initiative. Two respondents were selected for reporting leaving the others due to space constraints.

5.3 PARTICIPANT TABLE

Table 5.1: Participant table

i) Local Mayor 2
<p>Three mayors from local municipalities participated in the study, sharing their experiences. The local municipal mayors bring experience on OSS based on the fact that they preside over OSS structures and activities in the local municipality and have to respond to daily needs of communities. Municipalities often diffuse local community crises and tensions arising from concerns in service delivery and are sometimes forced to answer questions relating to other spheres of government. Local Mayor 2 is a mayor in a small rural municipality that is remotely located away from the provincial capital, at the border of the province. In the interview, Local Mayor 2 demonstrated in-depth knowledge of the OSS programme as a champion of the OSS in their area. The mayor's understanding was premised on both relating to their mayoral roles and the expectations of the National Development Plan. The mayor focused on the unique roles of municipalities and the OSS where service delivery programmes from all three spheres converge. Local Mayor 2 looked at how OSS assisted in addressing the provision of the NDP in developing a capable state and resolving the issue of political-administrative interface and relied on practical examples to demonstrate the successes of the model; and is best suited to make reflections of this aspect.</p>
ii) District Mayor 2
<p>District Mayor 2 was one of the three district municipal mayors to be interviewed and each made rich inputs demonstrating the challenges and success of the OSS programme from the perspective of the district municipality. While all mayors demonstrated unique features based on their municipal environment, District Mayor 2 was selected for reporting. The views expressed by District Mayor 2 were indicative of a strong OSS programme that the mayor had built in the district based on the central role district municipalities play in the planning of service delivery. The mandate for planning service delivery by the district municipality placed the district at the centre of integrated planning. The mayor indicated that the success of the district municipal council had been achieved by promoting the collaborative role of government and various sectors in society. District Mayor 2 shared several lessons the municipality was able to learn from the OSS programme. The district mayor focused on rich examples of how service delivery by different departments at provincial and national levels has often been derailed by poor coordination and failure to recognise the synergy with municipal spheres and thereby negatively impacting public trust when public undertakings fail to be implemented.</p>
iii) Private sector representative and LTT Chairperson 1
<p>This respondent came from a different district municipality. Unlike the other interviewees, this respondent an outsider to government, was not part of the elected or administrative officials of municipal or provincial government. The respondent was associated with the OSS programme since it was launched, having come in to represent the private sector, currently serving as chairperson of the LTT. The respondent brought in a perspective from outside government but working as a social partner to support service delivery. Being the chairperson of the LTT, indicates the effort through the OSS Model, to create equal status and inclusivity between the government and social partners. This role signifies that government does not have all the answers but government places huge value on the contribution of social partners in finding solutions to the complex social problems and is willing to tailor the service delivery approaches to the needs of community and submit to</p>

their influence. The respondent highlighted the central role of the war rooms as the strength of the OSS Model in service delivery because the war rooms ensured the participation of government departments in local and district LTTs. Communities interacted with government directly in war rooms and met regularly to address service delivery concerns directly with government officials and political leaders. This approach enhanced service delivery and brought government to the people and integrated the service delivery as each sector will participate in the discussion of a matter involving a different sector because they were all in the same structure. The respondent brought in an outsider perspective which reflects the impact of the OSS model to communities outside government indicating the effectiveness of fieldworkers, CDWs, CCGs, etc. and the value of community surveys that they conduct to assess the needs and priorities of the community. This approach is at the core of people-centred and integrated service delivery. The insight gained from this interview completes the picture of OSS as viewed from inside and outside the public service, an important perspective in deepening community participation. The respondent highlighted the benefits of the informal relations that exists among leaders through OSS as a creative way to resolve conflicts between members of various teams, without relying on formal meetings. This reflects how OSS has strengthened IGR and further deepened cooperative government, using formal and informal networks.

iv) Ex MEC & Ex Dep Mayor 4

The respondent was one of two who were interviewed from the metropolitan municipality. This interview brings in a different angle of the urban setting and a metropolitan municipality with opulent suburbs and city centre surrounded by poor rural villages. The metro does not have local municipalities as substructures unlike district municipalities. The respondent clarifies that in the rest of the province, OSS structures are aligned to the local and district municipality (LTTs and DTTs), but this is not the case in metro. The respondent was able to give a picture of different arrangements to create functional OSS structures in a local community based on seventeen zones (in Ethekwini) which are a cluster of wards each. This creates the functional structures of OSS to operate in the metropolitan area. The respondent brought in the focus on the multi-sectoral approach on HIV, AIDS, GBV. The respondent gave a comparison of experiences in serving in OSS structures as a political champion at provincial and local metropolitan level. Further, the respondent decries politicisation of OSS structures quoting the experience that describes dynamics of OSS in a rich suburban community which tend to marginalise the rural and poorer component of the same ward which defeats the objective of the OSS. Such nuances may have eluded a provincial champion but are more evident to a local champion due to proximity and frequency of interaction with the local community. This experience underlines the role of different community formations in promoting effective service delivery. This respondent has arrived at a conclusion that rural OSS structures were more effective than urban structures. The conclusion from this respondent is that OSS improves service delivery and OSS brings government to the people and is a model for all provinces to emulate.

v) Official and DTT Chairperson 2

This respondent is employed by the provincial government but based in the district and serves as the chairperson of the DTT and works with the municipality in the OSS programme. This makes the respondent interact regularly with the municipality while not a municipal but a provincial employee. The role in OSS as chairperson of DTT enables the respondent to preside over the provincial and the municipal teams to discuss service delivery

issues outside the line function portfolio. This is a unique practice in public service made possible by the OSS Model. The respondent brought the angle of close partnership between government and social partners, particularly traditional and religious leaders as well as the non-governmental organisations. The respondent brought huge value in the integration of services. The interview was focused on the structural duplication and overlap in service delivery due to the existence of different categories of field workers under the jurisdiction of different departments operating in the same community such as department of health and social development (CCGs), agriculture (extension officers), COGTA (CDWs). This results in gaps in communicating as there is no integration of messages. Government fails to be proactive in addressing concerns and this communication gap plays into hands of opportunists who exploit the impatience of communities and worsen discontent. The respondent pointed to the different structures in community focussing on youth issues, gender-based violence, religious issues, crime and other social concerns each working separately, but that can now come together under the OSS programme, thereby demonstrating the huge value of the war room in the integration of services by government and social partners. The respondent saw the benefit of integration being in maximising available but limited resources, budget constraints and ability to provide for tools for effective service delivery for officials to service community needs. The respondent further brought out the issue of oversight. Monitoring of policy implementation is vital to ensure that policy impacts positively on the lives of communities. The respondent's unique positioning gave insight into the misalignment caused by the municipal budget cycle being different to that of provincial and national government, thereby creating a challenge in budgeting, planning and implementation. This misalignment was seen as a challenge that will confront the district-based budgeting and planning being proposed.

vi) Chief Director OTP 6

The respondent has been a senior manager in the OTP and has been intimately involved with the OSS Model since inception. Being the provincial coordinator on HIV and AIDS component, the respondent was intricately involved in the comprehensive multi-sectoral response to the pandemic and war on poverty involving the AIDS Council, as guided by the OSS approach. The respondent has been involved in his own research on the subject of OSS and apart from responding from personal experience has also quoted from their research in response to the questionnaire provided. The respondent brought in a different perspective in the interview looking at the hierarchical structure of the previous governments and the advent of spheres in the current dispensation which are interdependent. This complicates the IGR due to the huge challenge of coordination of spheres and multiplicity of departments; a challenge felt acutely at the provincial and local levels of government. There is a challenge in managing the autonomy of spheres yet align planning for integrated outcomes. The respondent identifies poor understanding of integrated service delivery and the challenges of policy planning and implementation as a result of coordination challenges and disjuncture between local communities and government resulting in poor understanding of community needs and inappropriate interventions. This results in community protests which the respondent noted have been increasing in numbers and intensity of violence and spreading from province to province. Adding to this complexity is the involvement of the community to participate in service delivery planning and implementation. The ineffectiveness of government interventions means that poverty, inequality and unemployment persists and so do social ills such as crime, drugs and substance abuse and gender based violence which can be achieved through behavioural change among the communities and partnership with government agencies and departments. The respondent traced the history of OSS and

confirmed the OSS structures and the need to align IDPs and Growth and Development Strategies and focus on integration of service delivery and involvement of social partners to eliminate the triple challenges. The respondent provides various lessons from the OSS Model and proposals of how improvements can be made.

vii) Deputy Director-General KZN OTP 6

The DDG in the OTP has been associated with the origin of the OSS programme. The DDG acted previously as Secretary to Cabinet where the origin of the concept and subsequent reports regarding the OSS Model were presented and debated, thereby bringing the value of institutional memory to the interview. The DDG traced various challenges in service delivery that necessitated the creation of the OSS Model in KwaZulu-Natal. The DDG succinctly enumerated critical challenges that result in lapses in service delivery. The DDG highlighted the lack of coordination between spheres of government. This leads to misalignment in terms of planning but also in duplication and consequently wastage of resources. Political interference has been identified as a factor that leads to violation of government processes leading to fraud and corruption. Lack of capacity was identified to be a consequence of the appointment of people not suited for positions and presence of many vacancies for critical skills. Lack of consequence management which perpetuate the culture of fraud and corruption results in people getting away with serious violations. Poor communication with public leads to the loss of public trust. The respondent demonstrated in-depth understanding of the history of the OSS, indicating that the OSS Model was created to ensure an intergovernmental and multi-sectoral approach, that brings government to the people and, through war rooms, achieve integration, accountability and community participation.

viii) National COGTA Manager 7

The National COGTA manager is part of the department that oversees the functioning of provincial and municipal governments and is authorised by the constitution to support and guide interventions by the upper spheres in the event of lapses in service delivery. COGTA has responsibility to reinforce municipalities and ensure that resources allocated are appropriately spent to ensure service delivery and to monitor the performance of the municipalities. The respondent brought in a unique angle from a supervisory department that had interacted with the OSS Model and assessed its strengths and weaknesses. The respondent identified the fragmented planning and budgeting as a major challenge that contributed to the misalignment in the delivery of services. Examples of provinces where the bulk infrastructure is developed, without matching reticulation infrastructure or the construction schools and clinics without basic infrastructure such as electricity, roads, water etc. The respondent further pointed to the lack of technical capacity in the State, resulting in the inability to effectively plan and execute service delivery; and over-reliance on consultants with no measurable skills transfer program. This hollowing of the State contributes to the continued underperformance of the government. This is complicated by the fact that there is absence of a binding intergovernmental cooperation instrument as the IGRF Act lacks enforcement mechanism and is voluntary by design. The respondent understood the OSS Model as premised on the philosophy of “the whole of government

approach,” and a call to the community to be partners in the fight against poverty, unemployment, crime, substance abuse, HIV and AIDS and TB.

ix) *Presidency Chief Operating Officer 5*

The COO in the Presidency has a line function being the coordination of service delivery programme and initiatives and align them with the monitoring as well as the oversight provided by the Presidency, to the national departments, provinces and municipalities; through cabinet, cabinet committees and Intergovernmental Forum (Presidential Coordinating Committee). The COO interacted with the provincial government on the OSS programme. In terms of experience, the COO also worked in COGTA and directly interacted with the provincial and municipal governments to appreciate the OSS Model, thereby bringing a unique angle of OSS viewed both from the Presidency and COGTA. The respondent viewed the challenge of the province being the need to ensure a good quality of life for citizens, for which the re-engineering of the way the public sector works and ensure that citizens are put first and support is given to all families to extricate them and future generations from poverty. The OSS Model was seen as a model to reach out to the vulnerable sectors of society – the poor, unemployed youth, people with disability and the elderly. Dysfunctional municipalities negatively impact on service delivery. Challenges of community participation that were identified include ineffectiveness of legislated mechanisms such as WCs, the poor quality of representations and politicisation of WCs. Public protests are viewed as signs of public discontent. This calls for government to improve governance, financial administration and inculcate a culture that involves communities by putting the people first. Integrated service delivery needs to be promoted to eliminate a silo mentality, the competition and protection of turfs. Political tensions may arise with genuine interventions being seen as unwelcome interference. Political tensions disrupt service delivery and may arise in the form of inter-party or intra-party conflicts, all of which requires skilful political management.

x) *Presidency Director-General 5*

The DG was part of the provincial team at the inception the OSS Model, serving as HOD and chairperson of Social Cluster of the provincial cabinet. The interview covered a great deal of the historical perspective of the OSS. In the Presidency, the DG presided over the conversation that led to the support and monitoring of the OSS by the Presidency and the team that arranged for all Deputy Presidents to visit the province and study the model and involved other provinces to visit and adopt the model from KwaZulu-Natal. OSS reports from the province that were tabled in the PCC were prepared under the auspices of the DG. The DG brought an overarching perspective in the interviews. Beyond the historical background on the inception of the OSS Model, the respondent analysed the changing IGR from the previous to the current dispensation with the advent of spheres which are autonomous, interdependent and distinct. The analysis provided clarified the appropriateness of the OSS Model in fostering the spirit of cooperation across all spheres. The respondent highlighted the value of the model in preventing inter-spherical confusion and disjuncture with communities. The challenges of municipalities in the integration of services was demonstrated by the respondent highlighting the huge challenge faced by many municipalities in drawing the IDPs resulting in cut-and-paste of plans that had no bearing of the municipality in question simply because of lacking skilled manpower. The complexity of coordinating many departments across many municipalities was laid open. The challenge

of government not doing an evaluation in each of the previous integrated development strategy was singled out as a matter to be rectified.

5.4 THE BASIS OF CHALLENGES IN SERVICE DELIVERY: PARTICIPANTS' PERSPECTIVES

5.4.1 Cooperative government

The participants described cooperative government as a challenging operation with the **Presidency Director-General 5** expressing that “governance in three spheres (is) a highly complex matrix to coordinate”, stating the following:

“When the writers of our constitution which we adopted in 1996 set together and adopted the 3-tiered approach to governance in the republic they realized that there is a possibility of conflict and disjuncture between the different spheres of the government. It is in that regard that in their wisdom they crafted chapter 3 of the constitution of the republic which is the chapter that deals with cooperative government specifically in section 40 subsection 1 of that constitution and that chapter 3. It says, “in the republic government is constituted as national provincial and local spheres of government which are distinctive interdependent and interrelated close quote and in section 41 subsection 1 h. Chapter 3 of the constitution enjoins that all spheres of government and all organs of state within each sphere must cooperate with one another in mutual trust and in good faith by, among others, coordinating their action and legislation with one another.” Because here we’ve got three spheres of government that have specific powers provided for them in some instances. These powers are actually concurrent powers. When you have concurrent powers, you have lots of ground for confusion. There is lots of grounds for contestation. There is lots of ground for protecting of turf. There is lots of ground for operating in silos.

Now this is made worse because we are now dealing with the vertical relationship of the spheres of government where you’ve got national, provincial and local. At local level we even go further to complicate it by having a district and a local municipality, each of whom have got certain functions, which often at times are contested between that sphere of local government to district levels. Then, as they said complicated by that is the horizontal dimension of government where each where we’ve got a department. Departments at national level are basic education, higher education, health, cooperative governments, Home Affairs, this and this and that, Human Settlements, Water and Sanitations etc. etc. You go to a provincial level, you got that same issue. You got Education, you got Health, you got Human Settlements, you got Public Works, you got Social Development etc. etc. and then you go to the municipalities similar issues occur so you got a complexity, a matrix, in fact, it’s not one matrix. Let’s take it as one matrix which is highly complex – highly, highly complex.”

This complexity was confirmed by **Presidency Chief Operating Officer 5**, citing competition and suspicion which make “the upper spheres tread carefully,” and further stated the following:

“Competition instead of cooperation and protecting turfs is the norm and it affect service delivery and the advancement of government programmes. For example, municipalities (local government) may see it as interference if provincial government is seen to impose programmes or methods of delivering certain programmes working with provincial government. Therefore, the upper sphere has to tread carefully so as not to strain relations.”

Cooperative government is further complicated by “misalignment in budget cycle”, according to Departmental official and DTT Chairperson 2, by expressing the following:

“...monitoring the policies that we put in, we find that we fall short and looking at the alignment, I think now the budget cycle at times is the one that causes a lot of misalignment.”

National COGTA Manager 7 confirmed the challenge of “fragmented planning and budgeting” and elaborated as follows:

“Fragmented planning and budgeting is another challenge and this largely contributed to the misalignment in the delivery of services. ...Examples include the construction of schools and clinics without basic infrastructure such as electricity, roads, water, etc.”

Poor cooperation affects all spheres through “silos and misalignment of roles”, as **Local Mayor 2** stated:

“But also, I think the issue of misalignment, currently if you look at the three spheres of government, although we have tried to improve, but this is still a lot of misalignment of our plans....We will find that in the province will be planning to build a hospital somewhere or build a clinic somewhere. But it's planning alone, without informing the local authority and then the local authority may not be ready, then when they now have a budget, they will discover later that they don't have land that is available.”

Chief Director OTP 6 observed that “policy conflicts and poor integration makes implementation almost impossible” and further elaborated the following:

“...the challenge faced by the three spheres of government, to implement in the context of this multiplicity is almost impossible. This is exacerbated by policy conflicts existing firstly within different national departments, between the

National and provincial government and the local by laws and regulations and not harmonisations which ensures the impact and outcome of what we need to be delivered. On Policy front both national departments and Provincial Departments seem to introduce policies that has no understanding of challenges faced by citizens on the grounds and the delivery of service at the coalface.... This gap results in difficulty in designing programmes that can be effectively implemented across sectors and across discipline in a true integrated manner...and the bureaucratic nature of structure which does not promote functional teams to deliver...”

5.4.2 Intergovernmental relations

IGR take into account horizontal and vertical dimensions, and “intergovernmental relations complicate service delivery”. This insight was expressed by the **Chief Director OTP 6** who effectively felt that and stated the following:

“It is submitted that intergovernmental relations have become an increasingly prominent and dynamic aspect of national, provincial and local government service delivery and that even the executive branches of government have had to take this into consideration (Devenish 1998). However, when one considers the three spheres of government as well as the multiplicity of departments or units within each sphere, the concept of intergovernmental relations becomes difficult to comprehend let alone to implement.”

Presidency Director-General 5 echoed the same sentiments and further stated that “coordination of three spheres remains a challenge” and pointed out the incoherence and contradictions that emerge between the spheres, as follows:

“We’ve got the 3 spheres at the a vertical level and then at the horizontal level you’ve got national level the last I checked at about a 42 departments at national level, at provincial level you got about 14 most 15 departments and then you go to local level of course the challenge that we then face as government is properly to coordinate our work in all 3 spheres across all department because at the end of the day we all deliver at the same space is the same space if we go to Mahlabathini or we go to Ulundi or we go to Manguzi or we go to Port Shepstone or to Umsunduzi or Ethekwini - it is the same space that we are dealing with and what we have seen over the past 28 years is that government has not been cohering in it delivery of services in the same space.

In the most services you will find contradicting programs, or programs that do not necessary contradict each other but are not complementarity to each other and we have seen this very often. I will give you examples of these there was an attempt by Government and the writers of our constitution in talking about cooperative government foresaw this and hence later on the government establishment or a the proclamation of a the intergovernmental relation stream worker actor I think it was

2005 was trying to give in effect to this notion of cooperative governance as in as indicated in the constitution...”

National COGTA Manager 7 believes that the weakness in IGR is caused by enforcement challenges, because of the “absence of a binding intergovernmental cooperation instrument as IGRF Act lacks enforcement mechanism and is voluntary by design”. **Deputy Director-General KZN OTP 6** believes that the real challenge in IGR is the “lack of coordination between spheres of government. This leads to misalignment in terms of planning but also in duplication and consequently wastes of resources.”

5.4.3 Challenges in governance

Various respondents identified the challenges of governance and addressed them from different angles. **National COGTA Manager 7** focused on the “lack of technical capacity in government” having an impact on governance, stating the following:

“A lack of technical capacity in the state, resulting in the inability to effectively plan and execute service delivery. There is over-reliance on consultants with no measurable skills transfer program thus adding to hollowing of the State, another factor contributing to the continued under-performance of the government....”

Deputy Director-General KZN OTP 6 believes that governance is negatively affected by a “lack of capacity due to people that have been appointed not suited for positions and high rate of vacancies for critical skills”.

Local Mayor 2 approached the issue of governance in terms of the National Development Plan (South Africa), stating that to ensure governance requires that a “capable state must be built” on the strength and capabilities of each sphere. **Local Mayor 2** stated the following:

“A very unique proposal by the NDP in Chapter 13 and how to develop the State of ours to be capable...why don’t you take if the project is still on it a new phase, it’s a new infant project, we therefore say everything must be bought by national or provincial government in terms of bulk service roads and everything else. Once it is done, the project is finished, then you hand over the project then different spheres of government, they take the responsibility to say local municipality we will take roads and electricity and drainage systems....”

Local Mayor 2 further identified another provision of the NDP being “the creation of a stable political and administrative interface”, stating the following:

“One of the things that the NDP proposes is to stabilise the political and administrative interface in government in all spheres of government, national, provincial and local government. But also proposes a situation where there must be clear lines between the political head and the administrative head, but also, it also proposes some mechanisms, where administrators must have at least longer periods of contracts of employment...”

The view is supported by **Deputy Director-General KZN OTP 6** who stated that “political interference leads to violation of government processes leading to fraud and corruption”.

Local Mayor 2 further focused on governance, emphasising the importance of “building Human Resources Management capacity and ensuring consequent management to improve effective service delivery and eliminate irregularities and corruption”, stating that –

“...the NDP talks about making local government a career of choice by professionals and recruiting many professionals as intense in the process, so that you build capacity in local government, but where we are now we have not done that. I think we are failing dismally to really implement what is proposed... the turnover a heightened turn over between elections particularly the local government does also affect the use of capacity and retaining of experience....”

“I think also the issues of lack of consequence management, particularly in local government that not only lack of consequence management, but...the system where you find someone is about to be dismissed, he will resign,...he would go around various Municipalities messing up, the system can't detect that this person was fired...thus create challenges of poor governance...”

The concern over the lack of consequence management was supported by **District Mayor 2**, stating that –

“...when you talk about consequence management, we normally write off a lot of irregular expenditure and everything and most Municipalities are not doing the consequence management.”

District Mayor 2 views financial management and a funding model as having an impact of procurement processes on cost savings and service delivery, stating the following:

“My point of view in service delivery, poor service delivery it starts from the funding model of local Municipalities. The way National treasurer is doing it in rural areas most people are unemployed they are indigent, Municipalities are unable to generate its own revenue through its Citizens...”

Presidency Chief Operating Officer 5 identified governance challenges “due to poor cooperation in service delivery among contesting political parties; thus requiring skilful management”, by stating the following:

“Another complication in KwaZulu-Natal is the fact that at the local government level some municipalities are run by what is the opposition party at the provincial level. Therefore, a premier from the governing party has to “impose” the OSS model to a municipality that would rather work differently following the mandate of its own party the IFP...These scenarios require skilful political management by the provincial leadership to ensure that the suspicions, resistance and insecurities do not impact on the integrated delivery of services that will improve the lives of the people.”

Departmental official and DTT Chairperson 2 points out that “lack of resources reduces government intervention in community needs”, stating the following:

“Another area that is a challenge with OSS I think then it’s the limitation of resources because there are many structures that we establish and they are not integrated to find that even the budget that should have been allocated to strengthening Operation Sukuma Sakhe is not available.”

Departmental official & DTT Chairperson 2 believes *Ubuntu* in OSS improves governance and human values in the public service, stating the following:

“Operation Sukuma Sakhe was established to enhance all those that are positive human values to bring about the philosophy of *Ubuntu* in every individual in South Africa or in a particular a community, and public servants...”

Presidency Chief Operating Officer 5 raised concerns over poor governance, as adverse “audit reports are indicators for poor management and financial management failures”.

5.4.4 Challenges in community/citizen participation

Various respondents highlighted the importance of community participation, such as **Departmental official and DTT Chairperson 2** who believes that “integration of structures and effective community participation represents community issues, but opportunists mislead communities”, stating that –

“...we’re not integrated at a local level you find that there are many structures that as government we establish in an attempt to reach out...there is a structure for the youth, there's a structure for women, there’s a structure for gender-based violence,

there's a structure for religious sector...then the local councillor who is supposed to be the chairperson of this war room and a communicating ensuring that the voice of the Community is heard does not have that amount of authority. These structures that we have developed ourselves that account and they participate, and they bring issues from various communities...then there are opportunists who make use of the gap that is there in service delivery for their benefits so that there is community unrest."

According to **Presidency Chief Operating Officer 5**, the importance of community participation arises from the reality that "there is huge need for reaching to vulnerable communities", further stating that –

"[t]he need to reach the vulnerable sectors of society – the poor, unemployed youth, people with disability and the elderly means government had to change the way it related to the people, especially the poor black majority. The rural nature of the province also meant it was possible and easy for many people to be totally left behind as the country advanced."

Whereas **District Mayor 2** believes that "unmet expectations result in lack of public trust" and cause public protests, **Presidency Chief Operating Officer 5** observed that legislated structures of community participation may be ineffective and result in public protest, stating the following:

"At the municipal level some community participation mechanisms are legislated e.g. ward committees, but these tend to be ineffective. Without a forum of engaging government people become frustrated and resort to protests which become violent at times."

Presidency Chief Operating Officer 5 emphasised the value of community participation is the introduction of skills and passion for service delivery in dysfunctional municipalities, stating that –

"[g]iven the state of dysfunctionality of municipalities the OSS model offers solutions that would bring in other spheres to provide support, with the involvement of other social partners such as business and the community/civil society. The integrated work and collaboration was to help bring in expertise and passion for service with each sector learning from the other for the good of the country."

Presidency Chief Operating Officer 5 further believes that dissatisfaction about service delivery and poor communication results in protests, and observed that –

“[t]he community protests that break out from time to time were also an indicator that something is not going right in the manner in which services are delivered and also in communicating with the citizens. The protests are in the main viewed as expressions of discontent with service delivery – either the pace or lack thereof.”

Departmental official and DTT Chairperson 2 states that “poor communication is the result of the inappropriate structures of government”, indicating that “when there’s the poor communication, most of the time is not because we want to, but as a result of how we are structured”.

5.4.5 Challenges in the integration of services

All the respondents confirmed that integration of services is a complex undertaking for various reasons. **Chief Director OTP 6** alluded to this complexity in implementing integrated service delivery by stating the following:

“In all these challenges of integration of service delivery, you now have to add citizens in that integrated service delivery, ensuring that citizens and systems of governance at local level are part of that integrated service delivery. This brings another layer of complexity in implementing integrated service delivery.

What we do know as a result of this is that poverty, inequality, unemployment has continued unabated even in KZN. The challenges directly related to communities-gender based violence, drugs, diseases, disempowerment are still rife and we are fighting a losing battle. The challenges that relate to behaviour change are one of our major challenges as we seem not to be able to impact our citizens in areas of behaviour change.”

Presidency Director-General 5 believes that the role of a municipality as a centre for integration is undermined by a lack of planning capacity resulting in poorly prepared IDPs by saying the following:

“Also government and it wisdom adopted the notion of the integrated at development plans the IDPs At level of the local municipality, were each municipality was supposed to be a center of integration of all programs of government in the municipal places however this did not work well for varies reasons, one of the reason a frankly speaking some of these IDPs were cut and paste things which the better municipalities that had money to get the best expert at high cost will develop IDPs. And all other municipalities will try and copy it and simply replace the name of Cape Town a what is it called a a Mkhanyakude and of course there are serious limitations because Cape Town and Mkhanyakude have different things and secondly it was an over stretch of National and Provincial Departments to be in a situation where there will be represented at every IDP meetings in a

country they simply did not have the staff and capacity to do so, so it becomes a huge problem such that if departments on the horizontal scale and at a vertical scale at National provincial level were to participate in the drafting of IDPs were to participate in these, what then what they did was to send junior officials who didn't quite have the broader picture of the notion of integration in the municipal space, now all this things cost, cost the our model of cooperative governance perspective of the provision of public goods and services through the integrated developments and the silo a programs continued unabated, there is also a 3rd factor which government would really will have to look at some stage, the way in which for instance departments are held to account are on the basis of their strategic plans, and annual performance plans what not on the annual performance plan and on the strategic plan whether a municipality in the IDPs wishes that that be in the IDP will come to not as long as they are on the APP of departments because departments are measured individually officials sign performance agreement on the basis of these APPS in strategic plans which measures you individually and hardly pays attention to cooperative governments..."

Whereas Presidency **Chief Operating Officer 5** concludes that competition, turf protection and silo mentality prevent integration of departmental programmes, states as follows:

"However, promoting integrated service delivery is not easy. A difficulty arises within government departments because of the silo mentality. People are used at working in their little spaces and corners and do not see the bigger picture and the advantages of working with others in an integrated manner. Competition instead of cooperation and protecting turfs is the norm and it affect service delivery and the advancement of government programmes."

Departmental official and DTT Chairperson 2 believes that "lack of standardisation of fieldworkers result in uneven deployment and misalignment of budget cycles hampers integration of services", and explained as follows:

"If I may make an example department of corporate governments in traditional affairs they have got CDWs Department of Health has got community care givers, Department of Social Development has community care givers, in Agriculture they've got the extension officers all those people go to the Community and then. They want communities to be engaged with their particular project in that manner,..."

Municipality, have got their own budget cycle and government departments provincial office they have got their own budget cycle which they are not linked, hence, then, if then maybe the budget in cycle, so that as we integrate the planning cycle in a form of a district development model there's alignment in what we do."

Chief Director OTP 6 believes that “the lack of effective management of information technology perpetuate ineffective services”, and critiqued the systems saying the following:

“Lastly the management of information system, technology again does not foster integrated service delivery rather it perpetuates the current system.”

National COGTA Manager 7 focused on the “challenge of fragmented planning and budgeting” by stating the following:

“Fragmented planning and budgeting is another challenge and this largely contributed to the misalignment in the delivery of services.”

5.4.6 Summary of findings

Findings in this section highlight challenges in cooperative government, IGR, good governance, integration of services and community participation. The challenges involve coordination of planning and implementation of service delivery programmes. This section demonstrates that the advent of three spheres with distinct powers in the new constitutional dispensation in South Africa has resulted in a challenge in cooperative government which is a highly complex matrix to coordinate. The respondents highlighted the need for higher structures to tread carefully and the misalignment of budgeting and planning cycles contributing to misalignment in policy making and implementation of integrated services, yet these spheres are interdependent.

The challenges in IGR are highlighted by the complexity of coordinating vertically among the three spheres with distinct roles, powers and control budgets for service delivery programmes to be implemented in the same municipal geographic space. Vertical coordination is inadequate unless there is effective horizontal coordination across a myriad departments, municipalities and state entities. The existence of an intergovernmental framework that lacks implementation mechanism underlies the coordination challenges. The challenges in governance arise from the need to build a capable state and a stable political administrative interphase, in the face of poor technical and administrative capacity, dysfunctional municipalities and political contestation of oppositional multi-party system. Inadequate and inappropriate skills, lack of *Ubuntu*, weak financial management as well as poor consequence management has posed a challenge in strengthening good governance and elimination of corruption despite audit outcomes highlighting the shortcomings.

There is need for public representatives to be accountable to citizens. This highlights the challenge of community participation to ensure that through representative structures the views of communities are always considered. Effective communication and appropriate representation ensure that the erosion of public trust and community discontent is avoided. The complexity in implementing integrated service delivery has been highlighted in the face of competition, turf protection and silo mentality among the government departments. Coordination of service delivery is hampered further by misalignment in budgeting, planning cycles and policy alignment resulting in disintegrated service delivery efforts. The findings also highlight the challenges in the preparation of appropriate IDPs owing to the lack of capacity among municipalities which are supposed to be centres of integration.

5.5 OPERATION SUKUMA SAKHE: THE ALTERNATIVE MODEL FOR THE DELIVERY OF SERVICES IN KWAZULU-NATAL: PARTICIPANT PERSPECTIVES

5.5.1 OSS as an alternative *Ubuntu*-rooted model

There is consensus among respondents regarding the philosophy behind and basis on which OSS was adopted as an alternative model for service delivery. **National COGTA Manager 7** sees OSS as “a whole of government approach” and based on a call for partnership between government and people for development and fighting poverty and social ills:

“Operation Sukuma Sakhe (OSS) has a whole of government approach as its philosophical basis and is a call for the people of KwaZulu-Natal to be determined to overcome the issues that have destroyed the communities such as poverty, unemployment, violent conflict, crime, substance abuse, HIV and AIDS and TB...with initiatives being implemented by the different sector departments and spheres of government.”

This view was confirmed by **Deputy Director-General KZN OTP 6**, stating the following:

“The OSS Model is premised on the motto let us arise and build; and a call for the people of KwaZulu-Natal not just government alone to stand up and address the social ills.”

Presidency Director-General 5 recalled the advent of OSS as a model for “cooperation of all spheres to solve societal challenges”, stating the following:

“That leads me to address this issue that this OSS started as operation MBO which means the whole of government approach whole of government will say “MBO” on 1 area.....however, during the time when we were conceptualizing MBO... Operation Sukuma Sakhe started as the flagship program, (with) the notion of war rooms — in the Municipal space every partner stakeholder in the municipal space come together adopt one plan, adopt single solutions to single problems in the municipal space...in cooperating with regard to the provision of public goods and services.”

On the other hand, **Chief Director OTP 6** views OSS as a “futuristic model which institutionalises integrated service delivery to fight poverty, embracing accountability, corporate governance, participatory democracy, behavioural change in addressing social, economic and environmental challenges. OSS Model was strengthened by deployment of political and administrative leadership to OSS structures at all levels. OSS also promoted the development of ward based plans linked to IDPs, District Development and Growth Strategy, Provincial Growth and Development Strategy and ultimately NDP.”

Presidency Chief Operating Officer 5 commented that “OSS promoted community initiatives and build partnership between government, business and community and assisted in food security and environmental programmes”. **Private sector representative and LTT Chairperson 1** stated that “OSS ensured the availability and accessibility of leadership which increased community trust and prevented uncontrollable protest situations”. **Local Mayor 2** believes that “OSS, by targeting the vulnerable in community, strengthens the spirit of *Ubuntu*” a view strongly supported by Departmental **official and DTT Chairperson 2**, who confirmed that “OSS enhanced the positive values and *Ubuntu*”. **Departmental official and DTT Chairperson 2** believes that “the community profiling identifies community and household needs and encourages individuals in community to contribute positively while assisting departments to target areas of highest need. If OSS is not fully implemented it affects relationships with community and erodes trust; yet OSS may assist behavioural change needed in responding to pandemics such as Covid-19”. **Deputy Director-General: KZN OTP 6** highlighted that “the war rooms bring government closer to the people and promote access to department by local community. **Presidency Chief Operating Officer 5** sees “OSS as people shaping their destiny by being part of a process of interdepartmental collaboration and integrated service delivery. OSS further strengthens social compact through collaboration between government and business to usher in a development and a better life”.

5.5.2 Overarching principles of OSS

The respondents highlighted overarching principles that are key to the success of OSS.

Private sector representative LTT Chairperson 1 believes that “OSS interaction through formal structured meetings reduces challenges in *intergovernmental relations*; whereas interactions based on informal physical networking associations in OSS improve *cooperative government* in different spheres as well as with communities.” **Private sector representative and LTT Chairperson 1** made an observation that “OSS inclusion of non-governmental partners in war room and OSS structures, discourages competition amongst departments and political champions promote programmes across different departments in interest of communities”. While this promotes the spirit of cooperative government, however, **Local Mayor 2** indicated that “the presence of all stakeholders in OSS enhances *good governance* amongst partners”.

Local Mayor 2 makes the point that OSS makes *public participation* “a reality through various social formations...through OSS, good communication and timeous information strengthens partnership between government and community”. This view is supported by **Private sector representative and LTT Chairperson 1** who further stated that “reporting community concerns in war room, channelling the issues to relevant departments and early targeted responses rewards *community participation* and diffuse community discontent and protests...OSS Model offers a humane approach to service delivery”.

Local Mayor 1 explained that the OSS encourages early detection of challenges and **involvement of communities** and, therefore, diffuses the impact of public protest, stating the following:

“OSS have a proactive impact on community protests. For OSS to be effective, the community fieldworkers need to be effective in identifying community needs and referring to the war rooms and LTT for departmental actions.

But also, OSS also eliminates political interference, because everything is managed and processed at a comprehensive government level in a way. **Local Mayor 2** stated that: “OSS increase public trust and enables communities to patiently await services with an understanding even in instances where long delays in services are experienced.”

Local Mayor 2 outlined how OSS enables **integrated development**, which is an overarching activity in which the planning mandate involves activities outside the mandate of the municipality, and stated that –

“...a development program particularly must be operated into the integrated development and an over-arching plan, not necessarily catering, what is the municipal function per say it must incorporate everything that deals with planning because in terms of planning in the constitution, it's a municipal function.”

5.6 OPERATION SUKUMA SAKHE: THE ROLE OF THE DISTRICT MUNICIPALITY IN THE INTEGRATION OF SERVICE DELIVERY AND IMPLEMENTATION OF GOVERNMENT POLICIES

The respondents confirmed that the mandate for integrated development planning resides in district municipalities. This was confirmed by **Deputy Director-General: KZN OTP 6**, who stated the following:

“OSS fosters integrated development planning at district level using multi-sectoral response to achieve poverty eradication. The war against poverty and its manifestations (such as food insecurity, ill health, TB, HIV and AIDS and violence) is a comprehensive response to achieve community behavioural change in partnership involving civil society and different departments and sectors driven at war room level up to district level.”

The IDPs result from the grassroots, as stated by **Local Mayor 2**, that “district IDP incorporates issues that emanate from the war room processes”. The articulation of the planning processes and the position of the district was confirmed by **Chief Director: OTP 6**, by stating that –

“...the District development Plans should be related to the ward level IDPs as well as the Provincial Growth Development Plans; the implementation of these plans have been affected by poor participation in government planning.”

Furthermore, highlighting the importance of political oversight in the functioning of OSS structures within a district, **Deputy Director-General: KZN OTP 6** stated that “[p]olitical Oversight and OSS Champions ensures the war rooms and all OSS structures are functional in a district”. Elaborating on the integration in a district, **Ex MEC ex Deputy Mayor 4** stated that –

“the presence of different departments in a war room promotes alignment and the interaction between departments. War room representatives promotes strong

cooperation; encourages community to be supported by skilled public servants such as social workers and health workers to effectively address issues such as unplanned pregnancies, HIV and AIDS, or fight TB or drug abuse and offer child care services guided by community based on local knowledge.”

The inclusivity of communities was emphasised by **Local Mayor 1**, who stated that “amongst the civil society, traditional leadership are an integral part of the OSS structures”.

The OSS coordinating teams play a critical role in implementation, based on the overarching principles identified above. Confirming this understanding, **Chief Director: OTP 6** indicated the following:

“District Task Team drive implementation and civil society ensure accountability regarding the quality of delivered services, the equity of service delivery and the appropriate use of limited resources.”

Local Mayor 2 believes that “the OSS coordinating teams support good governance through ensuring consequence management among the departments that are non-responsive to the OSS processes; thus, promoting ethical leadership through interaction and accountability to communities”. The respondents highlighted the role of champions. **Local Mayor 1** stated the following:

“OSS requires championing by strong political and administrative leadership, demands hard work and dedication, creates good relations that promote cooperation and thus requires monitoring at all levels to ensure the improvement in service delivery and as such recommended for adoption by the different provinces.”

OSS allows various programmes to be integrated in the district planning beyond municipal mandates, as pointed out by **Presidency Chief Operating Officer 5**, who stated the following:

“OSS promotes moral regeneration by promoting human values, fighting crimes and social ills. OSS improves the standing of municipalities by creating synergies with other spheres that enable the municipalities to participate in programmes beyond the municipal mandate thus making the municipalities the engine of development for the benefit of communities.”

Integration of services directly benefits the community, as stated by **Private sector representative and LTT Chairperson 1**: “OSS brought services locally to the people instead

of facing transport costs and queues making life easier for the needy rural and vulnerable groups.”

5.7 THE CONCEPT OF OSS “WAR ROOM” AS AN ENGINE FOR INTEGRATION AND PARTICIPATORY DEMOCRACY

5.7.1 Participants’ perspectives

The respondents emphasised that the *integration at the war room level* constitutes the strength of the OSS Model, as indicated by **Private sector representative and LTT Chairperson 1**, stating the following:

“... the strength of OSS is the local integration centre called the war room, which bring all government departments and community together to enhance service delivery. Socio-economic surveys conducted by fieldworkers to identify community needs, assist in planning service delivery, IDPs and budgeting; and the provision of services by outreach departmental programmes on the community brings government to the people. Sharing leadership roles between government and civil society ensures the equality amongst participants and improves the buy-in by community.”

The respondents identified the *war room as the engine for integration*. This gives advantages to the model for various reasons stated by respondents. **Local Mayor 1** believes OSS promotes responsive government in cases of social distress by stating that: “OSS enables urgent interventions in social crises that short circuit lengthy bureaucratic processes such as provision of houses for immediate social relief.” **Ex MEC ex Deputy Mayor 4** stated the following:

“...war rooms make it possible to identify and address areas where support from provincial government is lacking. War rooms are the foundation for OSS to fight poverty and underdevelopment to address various service challenges such as issues of food security, access to ambulance and clinic services, fighting crime....”

District Mayor 2 focused on the role of integrating community structures, stating that “...through deployment of fieldworkers, ward committees and community forums, OSS program seek sustainable solutions such as job creation, emergency housing, social support and other care for the indigent...OSS directs service delivery to the poor through the war rooms”.

Upward referral of matters for resolution at the higher level and targeting services to the poor, makes the OSS Model effective, as stated by **Local Mayor 1**:

“The OSS structures: community challenges not resolved in the war room are escalated for attention at a higher level, through the hierarchy of OSS structures at local and district municipal and provincial task teams.”

OSS ensures accessibility. **Private sector representative and LTT Chairperson 1** stated the following:

“OSS enables senior political leadership to be available and accessible to engage communities before their discontent deteriorates into uncontrollable civil disruption thus increasing trust between the people and the government....”

There is general consensus that OSS creates a role for stakeholders to impact on the service delivery value chain. **Chief Director: OTP 6** stated “...war rooms enable stakeholders to participate in implementation monitoring planning, budget spending and holding government accountable for the quality of the services and avert community dissatisfaction...” **Deputy Director-General: KZN OTP 6** concurred by stating that “OSS enhance participatory democracy at grassroots level by providing a war room as platform for effective coordination of community forums such as SGBs CPFs AIDS clinic and transport committee.”

The simplicity of the OSS approach creates a humane atmosphere, according to **Departmental official and DTT Chairperson 2** who stated the following:

“With OSS it’s the simplicity of the approach. OSS is very humane and not intimidating....the lesson from OSS (is that) even the ordinary person in the household can contribute meaningfully to solve the problem,...no we are so as government departments highly tech and with jargon to confuse others.”

Ex MEC ex Deputy Mayor 4 believes that the OSS approach encourages participation and builds capacity of local leadership, as stated below. **Local Mayor 2** concluded that the participation of the community and public servants in war room leads to credible IDP processes, by saying that –

“...the issues of planning are done at community participatory meeting but more detailed work requiring advanced skills, are done at a war room because war room has got bureaucrats and government officials who will then incorporate reports in the integrated development plan and thus assist district municipalities....”

Ex MEC ex Deputy Mayor 4 stated the following:

“We use the OSS Model in order to make our society a better place an order to make service delivery much more effective and so it strengthens our counsellors our public representatives as well as our War Room representatives.”

The war room ensures the identification of challenges, priorities and a community-led IDP process, leading to rationalisation of resources based on integration of data from fieldworkers, as stated by **Chief Director: OTP 6** that –

“[i]n war rooms the identification of challenges within the war room with all stakeholders, prioritisation of those challenges enables the government to have credible IDP’s, which are not government-led but community-led. Resource allocation which is constrained is done together with war rooms, importantly is constant feedback provided by government on delivery and challenges to communities.

The integration of fieldworkers who has valuable information on vulnerable household is important in planning, the community leaders who deal with daily challenges of communities and work with communities in addressing these are important. But even more important is the involvement of the vulnerable populations themselves who can articulate their challenges and solutions well is vital in developing and implementing the plans.”

Presidency Chief Operating Officer 5 confirms the valuable role of field workers, but points out challenges in public participation programmes, stating the following:

“The biggest challenge facing municipalities had been to get the people to participate in the official public participation programmes such as ward committees, aimed at involving the people in shaping development through the IDPs. The National Development Programme decries the fact that in some instances the IDPs are designed by consultants. The war room brings government departments together which means all services are located in one space. This promotes integration in a practical sense...

The war room concept provides recognition to the important work done by community development workers, community care givers and health workers who go out into the households to do profiling and bring information that changes the lives of the poor, elderly, people with disabilities and other vulnerable groups.”

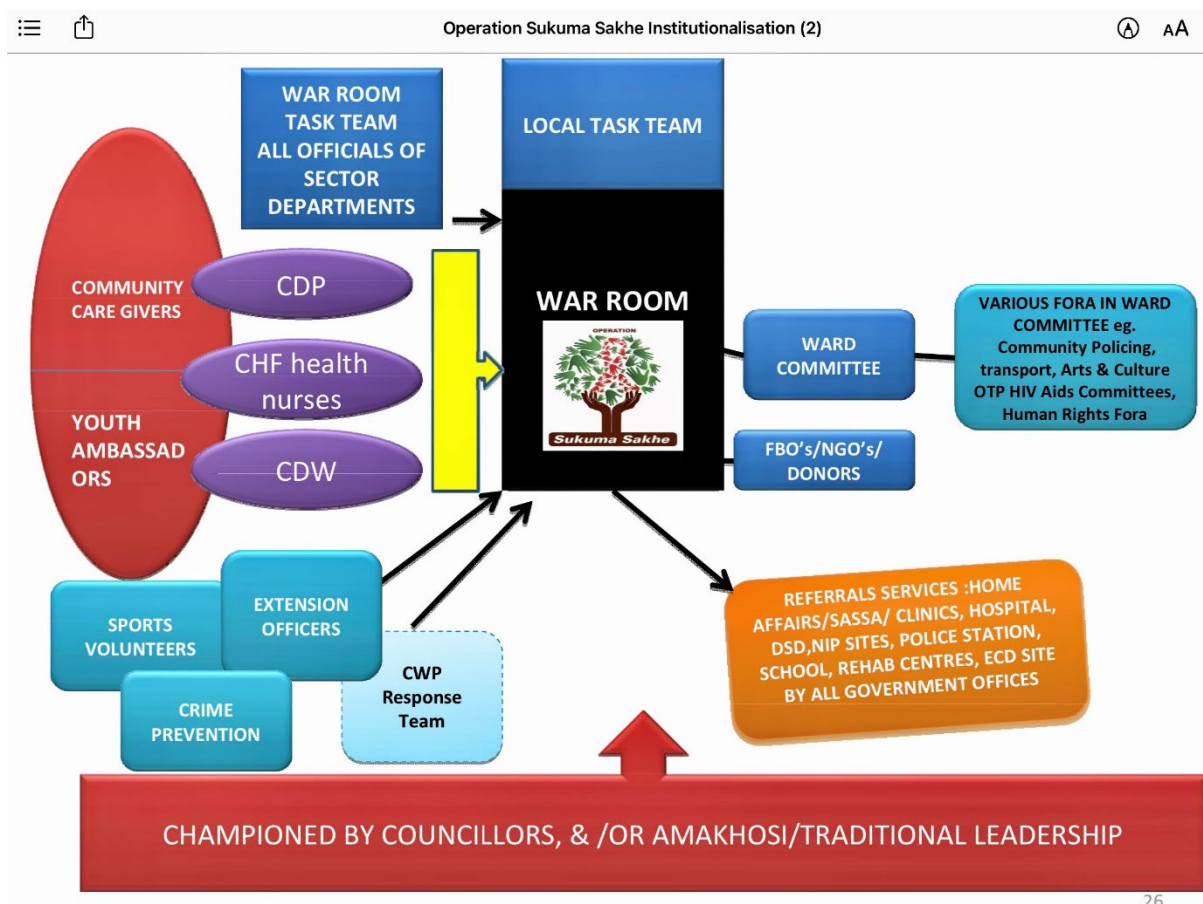


Figure 5.1: Operation Sukuma Sakhe Institutionalisation

Province of KwaZulu-Natal: 2012:26

5.7.2 Summary of findings

The section highlights the underlying philosophy of the OSS Model being a whole of government approach in fighting poverty, unemployment, violence and diseases. It is based on a call for partnership between government and people for development and against social ills and a culmination of post-apartheid strategies for integrated development and war against poverty. The respondents identified the OSS Model as useful for all provinces in the mobilisation of stakeholders and community partnership to address historical inequalities. OSS

is confirmed by this section as representing cooperation of all spheres to solve societal challenges. OSS, therefore, represents an integrated service delivery approach for improved outcomes, which targets vulnerable groups and saves resources. OSS is seen as a futuristic model that institutionalises integrated service delivery to fight poverty, embracing accountability, corporate governance, participatory democracy, behavioural change in addressing social, economic and environmental challenges OSS Model was strengthened by deployment of political and administrative leadership to OSS structures at all levels.

The section also highlights that the presence of all stakeholders in OSS enhances good governance among partners. The respondents emphasised that the interaction through OSS formal structured meetings reduces challenges in IGR. Further the section finds that the cooperative government in different spheres as well as with communities is improved by interactions based on informal physical networking associations created by OSS which occur as the participants interact outside formal meetings. OSS fosters the spirit of cooperation through the inclusion of non-governmental partners in war room and participation in other OSS structures discourages competition among departments. Cooperation is further deepened through actions by political champions by promoting programmes across different departments in interest of communities, based on the OSS principles of integrated, multi-sectoral, community- based service delivery. The OSS practice of reporting community concerns in war room, channelling the issues to relevant departments and early targeted responses rewards community participation and diffuse community discontent and protests. The respondents emphasise that for OSS to be effective, the community fieldworkers need to be effective in identifying community needs and referring to the war rooms for departmental actions.

OSS provides comprehensive government processing of issues and eliminates political interference, thereby increasing public trust and enabling communities to patiently await services with an understanding even in instances where long delays in services are experienced. OSS makes public participation a reality through various social formations. The section further highlights that through OSS, good communication and timeous information strengthens partnership between government and community and the model offers a humane approach to service delivery. The OSS Model enables integrated development which is an overarching activity wherein planning involves activities outside the mandate of the municipality.

Additionally, the respondents provide insight into the role of the district municipality in the integration of service delivery and implementation of government policies. The findings

indicate that the District Development Plans should be related to the ward level IDPs as well as the Provincial Growth Development Plans. The implementation of these plans has been affected by poor participation in government planning. District IDPs incorporate issues that emanate from the war room processes. DTTs drive implementation and civil society ensures accountability regarding the quality of delivered services, the equity of service delivery and the appropriate use of limited resources. Among civil society, business, religious and traditional leadership are an integral part of the OSS structures.

OSS fosters integrated development planning at district level using multi-sectoral response to achieve poverty eradication which has improved lives of communities. The war against poverty and its manifestations (such as food insecurity, ill health, TB, HIV and AIDS and violence) is a comprehensive response to achieve community behavioural change in a partnership involving civil society and different departments and sectors driven at war room level up to district level through OSS. OSS brought services locally to the people instead of facing transport costs and queues making life easier for the needy rural and vulnerable groups. The presence of different departments in a war room promotes alignment and the interaction between departments and war room representatives promotes strong cooperation; encourages community to be supported by skilled public servants such as social workers and health workers to effectively address issues such as unplanned pregnancies, HIV and AIDS, or fight TB or drug abuse and offer child care services guided by community based on local knowledge.

The section highlighted the finding that the success of OSS Model is based on War Room concept. The OSS concept of governance is about practical interaction and direct communication with the people. Since community issues are intertwined and cross-cutting, every department is obliged to play a role. The study confirmed that the inter-relationship of departments in the community forces champions and leaders to engage communities on behalf of different departments as the needs arise. This makes the model inclusive and holistic and responds to the needs of communities.

It emerged that the role of the OSS “War Room” supported participatory democracy and IDPs. War rooms enable stakeholders to participate in implementation monitoring planning, budget spending and holding government accountable for the quality of the services and avert community dissatisfaction.

The war room brings all government departments and community together to enhance service delivery. Socio-economic surveys conducted by fieldworkers to identify community needs assist in planning service delivery, preparation of IDPs and budgeting; and the provision of services by outreach departmental programmes on the community brings government to the people. Sharing leadership roles between government and civil society ensures the equality among participants and improves the buy-in by community.

Political Oversight and OSS Champions ensure the war rooms and all OSS structures are functional in a district. The formation of Coordinating Task Teams which are integrated structures of the OSS spanning across provincial, district and local levels and spheres of government including the civil society formations, and community forums, drive integrated service delivery. OSS requires championing by strong political and administrative leadership, demands hard work and dedication, creates good relations that promote cooperation and, therefore, requires monitoring at all levels to ensure the improvement in service delivery and as such recommended for adoption by the different provinces.

5.8 LESSONS FROM THE OSS MODEL FOR DISTRICT-BASED PLANNING

Various lessons were highlighted by the respondents in the implementation of OSS, which will assist the approach to district planning and budgeting. Cooperation across spheres and inclusivity is vital for effective service delivery and implementation needs to be monitored, as highlighted by **Deputy Director-General: KZN OTP 6**, pointing at “the importance of the working together between spheres of government...the importance of including other social partners in fostering integrated development.” **District Mayor 2** elaborates and states that –

“[w]hen national, provincial and local (spheres) will be working together and the notion of district development model is saying our IDPs from local municipalities must entail projects to be done by the district, projects to be done by the various department of provincial government, catalytic projects that are going to be done by national (sphere)...we’ve got good policies, but we lack monitoring. So, if we can monitor this new baby called the district development model, we will be able to counter most of these problems ...”

The functionality of district and local municipalities must be strengthened. The synergies enable municipalities to participate in matters beyond their mandate and enhance the stature of the district municipalities, as explained by **Presidency Chief Operating Officer 5**:

“On how the OSS strengthens the role of municipalities I think some of those services that are championed by the OSS and some of the services delivered by government in general are not the competence of the municipalities for example your fight against crime, your social welfare etc...so OSS therefore offers municipalities expertise from the province in national level in the championing of these services at a municipal level so we have a situation where the municipality is able to participate very actively through the war room in the fight against crime...”

This view is supported, using the example of integrated HIV and AIDS response based on the OSS approach **Departmental official and DTT Chairperson 2** explained as follows:

“..... strengthening the functioning at a district level, as well at a local level, maybe if I may start with a district level how we’ve seen the district municipality strengthened in its functioning. If I may touch the areas of health services: the fight against the stage of HIV, AIDS and TB in KwaZulu-Natal, the establishment of the district aids council. Following the philosophy of Operation Sukuma Sakhe enabled KwaZulu-Natal to make each and every mayor to be informed and to be able to articulate the plan that was rolled out in each district, so that then they become informed to say, how many people had been tested, how many people were found to be HIV positive, how many on treatment, how many condoms have been distributed, looking at the gender based violence, which are the hotspots for gender based violence, especially rape cases....”

District functionality can also be strengthened by bringing huge resources at district level to support local municipalities, as explained by **Ex MEC ex Deputy Mayor 4**:

“...that instead of one municipality having a lack of resources across the sphere that the municipalities pool their skills at a district level to help each other in a district....you would have municipalities within a district working together to ensure that the district survived as a collective...”

Ward-based planning ensures effective solutions that are guided by the understanding of local community challenges, articulated by **Deputy Director-General: KZN OTP 6**, stating that –

“(there is) need to have ward-based planning instead of top down planning. (There is) need to understand peculiar challenges in each locality in such a way to be able to develop corresponding interventions”

Monitoring of departments must be strengthened to ensure their accountability and to oblige them to work collaboratively as guided by OSS approach. This was clarified by **Departmental official & DTT Chairperson 2**, when saying:

“..... the office of the premier of the province is the most suitable Accounting Office, so that all government departments can account and no government department is allowed just a free range of not partaking on Operation Sukuma Sakhe. You find that at local level, the mayor's and the councillors they struggle, especially the national departments are the ones that are troublesome in not attending the war rooms, and all government departments can account and no government department is allowed just a free range or not partaking....”

Building a developmental state will assist in building sustainable communities to ensure elimination of poverty and food security, as highlighted by **District Mayor 2** stating that –

“...as government we always say we developmental state but our characteristics are those of a welfare state, because we provide almost everything for our communities,...this (developmental state) will even address the point of poverty eradication and eliminate inequality.....”

Service delivery needs to be depoliticised and focused on eradication of the challenges of poverty and its manifestations, as stated by **Presidency Chief Operating Officer 5:**

“...so it was always intriguing for me to know how OSS would operate in a municipality that is for example run by the IFP that is the premier is an ANC premier so it takes a lot of skillful management and skillful political leadership to make sure that integrated service delivery take takes roots people get the services regardless who runs the municipality, who runs the provincial government and who is the Minister at the national level , so the challenges of poverty of a rural province, many people requiring help, many unemployed youth will than have been necessitated a very unique program like OSS...”

Politicisation of service delivery at war room level may marginalise the poor, as stated by **Ex MEC ex Deputy Mayor 4**, saying that:

“...War rooms (are) much more functional at as I said in local (rural) municipalities rather than in urban municipalities. The politicisation of a war room which I find not only unnecessary but destructive...if you look at the representatives on this ward committee the war room the representation of the poorest of the poor are not represented....”

Cooperation and coordination by national and provincial spheres through OSS war rooms, strengthen the local municipalities in service delivery. **Local Mayor 1** clarifies the impact as follows:

“...before the formation of war rooms local government as the (local) sphere of government that is closest to the people but we needed that reinforcement and

through OSS it has assisted a lot reinforcing ward committees and other local structures in terms of being a link between the municipalities as well between the ward councillors and communities....”

It is important to provide resources for war rooms, build local capacity since the OSS Model deepens democratic participation and makes government accessible and has improved lives through effective service delivery. This was articulated clearly by **Private Sector Representative and LTT Chairperson 1**, stating that:

“...the other lesson is that municipalities and government as a whole that's including provincial and national...to assist to support and resource war rooms, then obviously capacity building and it's a very important vehicle because it works closely with the ward counselor who is an integral part of the municipality. It is going to deepen democracy. It's going to enhance Community participation and it's going to make government services very, very accessible to the people in that the service will come to you, if need be, so I think you know those are some of the lessons that we could share with our sister provinces....”

The branding of the OSS Model, uniformity in practice will improve the effectiveness of the model. **Private sector representative and LTT Chairperson 1** stated the following:

“...To take OSS a step forward, to become like a franchise or a brand in case... then we will find uniformity throughout the province.... And if they are all branded in the same way with the logo of the municipality, and the OSS logo even directional boards along the main roads. It's going to enhance the visibility and the effectiveness of OSS as a whole, also in terms of the office bearers if they are given branded golf shirts... is going to bring a sense of pride, a sense of loyalty and is going to a sense of patriotism as well....”

The deployment of champions has demonstrated effectiveness in enhancing integration, monitoring, visibility and removal of obstructive bureaucracy. This was encapsulated by **National COGTA Manager 7**, stating the following:

“The deployment of MEC and HODs as District champions is a good practice as it fosters tangible integration between provincial and local government at district level. It strengthens monitoring and evaluation and reporting of government programmes in a particular district. It also unblocks bottlenecks that can be caused by fragmentation or lack of participation by particular sector. It also brings visibility of the whole of government in a particular space.”

Integrated planning and coordinated implementation is the best way for service delivery that also enables participation by social partners and promotes the principles of Batho Pele in public service, as stated by **Presidency Chief Operating Officer 5:**

“Integrated planning and delivery is the best form of delivering service in a manner that will ensure that the poor and vulnerable are not forgotten or left out. The OSS Model also enables formal participation by social partners - business as well as civil society such as NGOs and CBOs. This makes the fight against poverty a societal issue and not just the responsibility of government. In addition, bringing together all spheres of government under one roof, and socialising public servants and political office bearers that the people come first in the true sense and not just as a Batho Pele slogan, is the best route for a country that faces sharp inequalities and poverty like South Africa.

The OSS “war room” concept enables public servants and leaders to come face to face with the people they serve and not rely on reports from the districts or local level. OSS thus promotes accountability. The championing of districts by MECs and leaders ensure that they become hands-on in providing oversight and leadership in building the better life that Madiba promised.”

The principles in the OSS Model require the leaders to take responsibility and accountability. Senior managers and not junior officials should be assigned to guide the integration of development plans. Annual Performance Plans must pay attention to cooperative government, as stated by **Presidency Director-General 5:**

“...National provincial level were to participate in the drafting of IDPs were to participate in these, what then what they did was to send junior officials who didn’t quite have the broader picture of the notion of integration in the municipal space,... the way in which for instance departments are held to account are on the basis of their strategic plans, and annual performance plans what not on the annual performance plan and on the strategic plan. Whether a municipality in the IDPs wishes that that be in the IDP will come to not as long as they are on the APP of departments because departments are measured individually officials sign performance agreement on the basis of these APPS in strategic plans which measures you individually. These hardly pays attention to cooperative governments there is now an element of that in the emended performance agreements that DPSA has come up with.”

Integrated development planning requires long-term planning and periodic review of all integrated planning initiatives implemented in the past for lessons to be learnt to guide future models, as emphasised by **Presidency Director-General 5:**

“...if you go to a country such as China for instance there is a new government after a specific time period but it is recognized in China that, that new government is formed by the same political party of China the CPC and the community party of china has got a 50 year to 100year program it doesn't matter who at that particular time occupies the space of government, it is the same program of community party to defeat poverty. Now in the South African situation what we tend to do we then tend to pretend with that a when the new government comes in ,the new political party is that the same one that was previously in charger so then you disorganize , completely disorganized without concerning yourself with what has happened before and say what has happened before we now strengthening it and that were Lawrence is right and saying you know all those things that we spoke about as the ISRDP and the URP a during present based period and project consolidate which data become as when PG was in a cooperative governments which then we called JEP this thing called a country...”

The DDM or any district-based planning and budgeting must be supported by integrated information and technology system to be effective, as stated by **Presidency Director-General 5:**

“so what am saying now is that OSS or any similar concepts including the DDM will never be able to operate optimal unless it got the IT systems. Those IT systems must be linked to various department...”

Integrated planning needs to be institutionalised. The DDM needs to be understood as a new way of doing service delivery by the entire government but not for implementation by selected departments, as stated by **Presidency Chief Operating Officer 5:**

“The most important thing is how to get government to normalize and institutionalize integrated planning so that it doesn't just become something that is done successfully by this province and that province with a different name ...also, such that is not seen as local government program like for example DDM is there and it successful but it is seen as a program run by COGTA to fix the Municipalities so it not seen as a program that everyone in the public service should know about every government should know about...if the philosophy and the content of the OSS or DDM could be a sort of normal...”

5.9 CONCLUSION

In this section, various respondents identified challenges experienced in the implementation of the OSS Model and provided lessons that will be useful in guiding the different spheres of governments embarking in district-based planning and budgeting and the establishment of the DDM. Lessons include embracing the five convergent principles in planning and implementation, as well as attending to various weaknesses such as a focus on leadership,

strengthening the war room, resolving challenges of local participation, political management and avoiding interference, appropriate management of technology and information, improving the awareness of the public service to the OSS Model, allocation of resources and integration of programmes and field workers.

CHAPTER 6

DISCUSSION AND ANALYSIS OF KEY FINDINGS

6.1 INTRODUCTION

The findings of the study identified challenges in service delivery, the impact of OSS in service delivery and in resolving challenges associated with governance and makes recommendations on the improvement of service delivery. This study utilised primary and secondary sources to arrive at the findings. Based on these findings, this researcher concluded that the challenges that were identified by this study regarding governance and service delivery, emanate from the system and structure of government. These challenges are, therefore, inherent to the liberal-democratic governance model due to its features of federalism with concurrent competencies and multi-level governance, as described in Governance Theory by Pierre and Peters (2005). These challenges relate to the coordination of planning and implementation of service delivery across all spheres and across all government departments. In terms of the Governance Theory (Pierre & Peters 2005), the federal features comprising concurrent competencies and multi-level governance, require an institutional framework that will create linkages between the different levels of government to ensure coordination across all entities for effective delivery of services.

This Theory of Governance emphasises the importance of confidence in the institutions, accountability and legitimacy in governance to ensure governability, which is the acceptance of the authority of the State, cooperation and willingness of society to be governed. The OSS Model encapsulates these principles.

6.2 JUSTIFICATION FOR THE SYSTEMS APPROACH USED IN THIS RESEARCH

The questions posed by the research which are focussing on the challenges in service delivery, are in line with Mansoor and Williams (2018:3) who indicate that systems researchers ask questions relating to the “conceptualisation of governments systems”. The challenges involving the coordination of planning and implementation of service delivery, forms the nub of this research findings. This is what justifies the systems approach used in this research, to conduct the analysis of the governance and service delivery systems as guided by Mansoor and Williams (2018:2). The analysis of these challenges demonstrates the complexity of the

governance and service delivery systems. The relationships within each entity and between several government entities reflect the dynamic interactions within the components of each entity and between entities which all together form a bound system. The provisions for fundamental transformation of governance and service delivery systems as enshrined in the South Africa constitution reflects the impact generated by the impetus of dismantling apartheid. This study reveals that while the constitutional and statutory frameworks define the roles, powers and functions of various spheres and entities; however, the achievement of the successful and effective delivery requires more strategies and processes to harmonise these interactions. It is in these strategies and processes that the study of the OSS Model needs to be located. The systems approach enabled the analysis of public management environment (Van der Waldt 2016:106-109). This environment involves the micro (individual) level of government entities (national, provincial and local government spheres and individual sectors represented by the various departments), and social partners as well as the macro levels (collective of combined spheres and departments as one governance and service delivery system) in line with Chen and Stroup (1993:448). In addition, the focus on the coordination of planning and implementation demonstrates that the integration to ensure that effective delivery of service is the main objective of transformation. The complex relations that are necessary to achieve coordination require the individuals (public managers) to play a role through the influence they wield in the governance processes (Chen & Stroup 1993:457). These factors (complexity, transformation, analysis of micro- and macro-environment, integration and role of individuals), together fulfil the requirement for the use of the open Systems Theory in this research, as highlighted earlier in Chapter 4.

The findings demonstrate that the OSS Model fulfilled this role of creating the institutional framework for coordination. The research further demonstrates that the effectiveness of the OSS Model was based on the simultaneous employment of the five overarching principles and the success of the OSS Model in creating the moral obligation and the spirit for all government entities and stakeholders to cooperate (which is similar to German *Bundestruhe*). For successful coordination, the OSS Model needed to focus on resolving challenges identified in governance, by implementation of five overarching principles, namely: cooperative government, IGR, governance, community participation and integration of services. This aspect forms the main thrust of the study is elaborated below.

As indicated earlier, the government system in South Africa is closely aligned to the Liberal–Democratic Model of governance; hence, the analysis in this section draws much from the features of this model based on Pierre and Peters (2005). Compared to the *étatiste* model, the State Authority in the Liberal–Democratic Model tends to be weaker due to the lack of hierarchical enforcement of authority and limits in the use of the coercive instruments. The federal features of concurrent competencies in the multi-level governance tend to encourage the tendency towards autonomous conduct of state entities, away from the national authority. For the effectiveness of state entities and in order to achieve common objectives, the concurrent competences require institutional linkages to harmonise the exercise of powers by the various spheres of government. The findings demonstrate that OSS Model fulfils that role of creating inter-linkages through the OSS structures and relationships it creates, in which public servants from different spheres cooperate in a single (OSS) structure, promote a common plan and commit resources together to achieve common outcomes. The findings of this research demonstrate that the OSS Model is based on the simultaneous and holistic implementation of **five overarching principles** without which the model stands to fail (like similar other previous strategies). These are the principles of cooperative governance, IGR, governance, community participation and integrated service delivery. The findings demonstrate that, overall, it is inability to address challenges in these principles that cause ineffective service delivery.

In terms of the Governance Theory by Pierre and Peters, IGR refer to institutional frameworks or mechanisms that create linkages to align the powers of different spheres or entities of government to achieve a common objective together. The multi-level governance refers to the reliance of various state and non-state actors on linkages that are created utilising non-formal relations where unrelated parties or related state entities strive for achievement of common interests and objectives. Concurrent competencies and tendency towards autonomy by state entities result in the emergence of inherent risk of conflicts developing among the State entities. To resolve these conflicts, the South African Constitution made provision for Chapter 3 on Cooperative Government and IGR. The findings demonstrate that beyond this chapter, institutional mechanisms and frameworks are further needed to implement provisions for Chapter 3 essentially to correct the weaknesses of governance as is the case in the Liberal–Democratic Model described by Pierre and Peters (2005).

To understand the views of the respondents it is important to approach the subject of research from the viewpoint of Pierre and Peters (2005:3-6) on the Theory of Governance that views

“governance as state-society relationship in pursuit of collective interest”. This perspective identifies the activities of governments as being to determine goals and priorities of society, ensure coordination for the goals to be consistent, steer society for the goals to be achieved while holding all the actors accountable to society. The South African governance and service delivery system exhibits features that have to be understood in the context of IGR and the concept of multi-level governance within the Liberal–Democratic Model, as outlined in the Governance Theory. There are similarities and differences with IGR and multi-level governance, in so far they both rely on formal agreements and informal interactions. IGR refer to interaction within and between the State spheres and entities. While multi-level governance refers to decision-making processes involving the private or social sector in collaboration with the State sector (with power residing in different levels), the manner in which the State entities relate is not bound by the hierarchy, thereby enabling them to operate in supranational and subnational levels (example of this is European Union with transnational associations; Pierre & Peters 2005:83). This means that “the organization operates to a large extent independently of other organizational levels”. Pierre and Peters (2005:84) argue that the “new federalism” in the 1980s in the USA created the tension where the states reclaimed their “historical autonomy in relationship to the federal government”. This researcher argues that similarly, this predicament is reflected in the tension anticipated in relationship between the national, provincial and local government spheres in South Africa as a result of concurrent powers. At the core of the matter in multi-level governance, is the assertion by Pierre and Peters (2005:85), who states that:

“The local authorities increasing assertiveness vis-à-vis central government in many jurisdictions is proof of a self-reliance...due to the administrative and organizational capabilities to make autonomous decisions regarding their resource mobilization strategies without having to submit to the central state.”

The findings of this research identify challenges in cooperative government and IGR, which are not unique in South Africa, but are inherent as a result of the federal features in the multi-level governance. Pierre and Peters argue that the linkages between the multi-level governance are created by the institutions which provide continuous linkages between governance at different levels of the system. Such institutions rely on negotiation, based on “concurrent competencies”, which Painter (2001) (quoted in Pierre & Peters 2005:84-85) refers to as “jurisdiction of institutions at different levels overlap to a smaller or larger extent”.

On the other hand, the State represents an arena within which those institutional interests and societal interests interact and combine to combat potentially hostile interests, much of this competition relates to the budget. Furthermore, in this style of making decisions, it is difficult to separate the interests of state institutions from the interests of the social actors. The findings then confirm the need for coordination and alignment necessary for all spheres or state entities, in the creation of these institutional linkages, in the form of cooperative government and IGR. The challenges outlined in these two aspects are a major obstacle that has confronted the South African government in governance and service delivery, as tabulated below:

6.3 CHALLENGES IN COOPERATIVE GOVERNMENT

The study found that the challenge of cooperative government is experienced by different spheres and institutions of government, instead of getting cooperation, competition and turf protection arises. It was found that some municipalities view involvement of provincial government as interference to impose their programmes in local government. The upper sphere has to act in way to avoid or reduce conflict. The *Presidency Chief Operating Officer 5* pointed at the suspicion that develops where the municipal sphere views the upper sphere as interfering and, therefore, the upper sphere has to tread carefully to avoid straining the relationship. The advancement of government programmes generate competition instead of cooperation.

The Constitution made provision to prevent the possibility of conflict and disjuncture between the different spheres to enforce cooperative government. The spheres are enjoined by the constitution to cooperate in mutual trust and good faith and coordinate their actions. Powers are concurrent and that creates ground for confusion and contestation. The risk exists for each sphere or department to operate in silos and each protect their own turf.

The respondents identified challenges in cooperative government. The complex matrix of three spheres of government with specified and sometimes concurrent powers creates ground for confusion contestation and operating in silos and protection of turfs, as highlighted by the *Director-General in the Presidency 5*. This is complicated by the obligation of having the vertical relationship between national, provincial and local government levels, where certain functions are contested by the different spheres including role definition between district and local levels. The horizontal dimension of the relationship involving the different departments that operate in the same space needs to be managed to ensure effective integration of service delivery.

The *Departmental official and DTT Chairperson 2* highlighted the misalignment in planning and implementation that is occasioned by different budget cycles between municipal and other spheres of government. This makes monitoring and evaluation weak. *National COGTA manager 7* confirms the budgeting misalignment in fragmented planning and highlights the poor consultation wherein departments plan and implement construction of public amenities such as schools, clinics when the infrastructure (such as roads water, sanitation) has not been planned. The *Departmental official and DTT Chairperson 2* confirmed the misalignment caused by the differing budget cycles and the poor consultation in infrastructure planning as a serious handicap in service delivery.

Local Mayor 2 related practical experiences where a department may decide to construct a clinic without consulting the local authority while the local authority has no land and no budget for municipal services to support the same facility. Yet national government has responsibility to fund and coordinate through the provincial spheres, while the municipality has the mandate for planning all services within its borders. The other complication is that there are departments such as human settlement, health and others that have roles and responsibilities at national provincial and local levels. Sometimes the local sphere has completed the planning, but the provincial sphere lacks the budget for the programme to be implemented. These need cooperation and coordination to ensure effectiveness.

Chief Director: OTP 6 sees the South African government needing collaborative relationships with allies to achieve successful implementation and refers to existing writings and studies that this relationship is a paradox. Interdependence means that there is a co-relationship that does exist between the spheres and entities of government with the obligation of oversight, empowerment or to intervene on the dependent sphere. The distinctiveness of the spheres is indicated by the specific powers, roles and functions that are clearly enunciated in the Constitution, conferring legislative and executive autonomy to each sphere. Each sphere has legislative and executive competencies that makes each sphere to be distinguishable from the others. The previous order had hierarchical structures whereas the current constitution provides for the spheres of (almost) equal status but distinguishable by the powers roles and responsibilities assigned by the Constitution. The multiplicity of the relationships involved complicates any effort at alignment of the planning and implementation. Policy conflicts that exacerbate the misalignment arise between national and provincial spheres and local by-laws and regulations passed by the local sphere. Often these policies are not based on thorough

research and are, therefore, not well informed of the challenges and conditions that are confronting the communities they are directed to. This undermines the integration of service delivery. The gaps in integration result from inability to design integrated programmes for implementation by all spheres in a cooperative and collaborative manner. Secondly, the autonomy of spheres to plan, implement and report on deliverable outcomes is hampered by misalignment in planning cycles. Thirdly, the bureaucratic nature of the structure does not encourage functional teams since resource allocation and budgeting is based on departmental annual performance plans and not achievement of collaborative projects.

The challenges in cooperative government identified in the findings testify to the assertion by Pierre and Peters that state entities in this Liberal–Democratic Model (compared to the *Étatiste* Model) tend to be affected by “bureaucratic politics” which results in internal competition as “they are competing for budgetary resources and legislative time” (Pierre & Peters 2005:26). Therefore, the findings based on observations by respondents of the competition, turf wars among state entities have its roots in the multi-level governance in the liberal-democratic governance model. There is a need for the different spheres and departments of government to avoid operating in silos but rather to cooperate and work in partnership, with each committing its resources for the successful achievements of common objectives. Concurrent powers mean that the different spheres are obliged to cooperate in providing services in a particular sector and, therefore, one needs to understand the different roles they play without having to contest each other’s *bona fides*. The policies of government are sound, but their implementation needs to be monitored. The budget cycles between national, provincial and local government are not aligned. Policy conflict has also arisen. Planning is fragmented. This misalignment needs to be corrected to eliminate competition instead of cooperation and remove rivalry and resistance between spheres. The inability of departments to cooperate effectively is owing to the focus of evaluating committees and the Auditor-General in Annual Performance Plans (APPs), which do not focus on collaborative work done by interdepartmental teams, but each APP.

No sphere should see the involvement of other spheres as interference but as a partnership. This requires a change in attitude, which promotes working together than in competition to one another. Cooperative government encourages the spheres or departments to work in common purpose without each losing identity or its distinctiveness but ensures that due to their interdependence, each contributes to the success and for the benefits of all stakeholders.

6.4 CHALLENGES IN INTERGOVERNMENTAL RELATIONS

IGR have been “affected by globalisation, decentralisation and other global phenomena” Pierre and Peters (2005:110). They further noted that hierarchical rules are becoming more relaxed and responsibilities are being shifted to lower levels; further stating that “there appears to be a tendency in intergovernmental relationships to move from hierarchical control and toward a negotiated division of labour among the levels”. Respondents experience this situation as it affects the South African system from different angles.

The study through the respondents and analysis of various documents confirms the importance of IGR which foster cooperation, coordination by all spheres and a multiplicity of departments of government and full alignment of policies and programmes. The study found that IGR in three spheres and multiplicity of departments makes service delivery complex. The IGR “are a prominent and dynamic aspect of national, provincial and local service delivery,” according to the *Chief Director: OTP 6*. The complexity of the IGR is reflected in the multiplicity of departments and units in each sphere which creates difficulty in implementation. The vertical relations between national, provincial and local spheres complicates cooperation. *Presidency Director-General 5* highlighted the complexity of the IGR. Representing the vertical dimension of the IGR are three government spheres, national, provincial and local spheres. Complicating this situation, is the horizontal dimension of the IGR, seeking integration of activities and programmes of 42 national departments, about 15 departments at the provincial level operating in 257 municipalities. The study found that IGR are further complicated by the horizontal dimension where there are national and numerous provincial departments. Some powers and functions exist in all three spheres such as housing, social development, health, to mention a few, thereby creating a highly complex matrix of relations. Monitoring policy implementation also becomes a challenge. The misalignment is also complicated by the budget cycles which is not aligned between local and other spheres. Fragmented planning and budgeting has contributed to misalignment of service delivery, with recorded instances of housing developments undertaken without infrastructure in place, clinics or schools without a road, electricity or water. The study found that programs tend not to be complementary and service delivery not coherent.

National COGTA Manager 7 identified the absence of binding intergovernmental cooperation instrument as the challenge, since the Intergovernmental Framework Act of 2005 lacks enforcement mechanism. Though the IGR is prescribed in constitution as a way to resolve

conflict and give a positive impact, however, the study further found that there is lack of binding IGR instrument. *Deputy Director-General: KZN OTP 6* concurred that the lack of coordination between spheres of government leads to misalignment in planning and duplication, and subsequent waste of resources. A lack of coordination between spheres leads to misalignment in planning and consequent waste of resources. Challenges in IGR result in poor coordination and ineffective service delivery. These include internal as well as horizontal and vertical planning and implementation silos and the Intergovernmental Relations Framework Act (2005) lacks enforcement mechanism, as highlighted by respondents in this study.

The complex matrix of three spheres of government with specified and sometimes concurrent powers creates ground for confusion contestation and operating in silos and protection of turfs, as highlighted by the *Director-General in Presidency 5*. This is complicated by the obligation of having the vertical relationship between national, provincial and local government levels, where certain functions are contested by the different spheres including role definition between district and local levels. The horizontal dimension of the intergovernmental relationship involving the different departments that operate in the same space needs to be managed to ensure effective integration of service delivery. The advancement of government programmes generate competition instead of cooperation. *Local Mayor 2* related practical experiences where a department may decide to construct a clinic without consulting the local authority while the local authority has no land and no budget for municipal services to support the same facility. Yet national government has responsibility to fund and coordinate through the provincial spheres, while the municipality has the mandate for planning all services within its borders. The other complication is that there are departments such as human settlement, health and others that have roles and responsibilities at national provincial and local levels. Sometimes the local sphere has completed the planning but the provincial sphere lacks the budget for the programme to be implemented. These need cooperation and coordination to ensure effectiveness.

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IGR are a prominent and dynamic aspect of national, provincial and local service delivery, according to the *Chief Director OTP*. The complexity of the IGR is reflected in the multiplicity of departments and units in each sphere which creates difficulty in implementation. *Presidency Director-General 5* highlighted the complexity of the IGR. The challenge facing government is coordination of all these departments which are actively involved in service delivery at the same space. The services are seen to be contradictory, that is while they don't contradict each other but they however exhibit no complementarity. This was foreseen at the drafting of the constitution, hence there is provision for cooperative government and IGR.

6.5 CHALLENGES IN GOVERNANCE

The study found that at the core of service delivery is the principle of governance, involving the issues of political leadership, general administration, financial and Human Resources management, prevention and elimination of maladministration and corruption.

6.5.1 Political and administrative interface

The study found that the issues involved in governance are well articulated in the National Development Plan, as a guide to spheres and departments of government to achieve effective service delivery. The National Development Plan calls for the stabilisation of the political and administrative interface. *Local Mayor 2* pointed out that the Diagnostic Report has also focussed on the elimination of political instability, proposing clear lines between the political and administrative head to stabilise the administrative interface at national, provincial and local. Political leadership provides overall guidance to spheres of government and its components in policy formulation and monitoring of policy implementation. Poor political leadership results in impairment of the normal functioning of government at each particular level. Many local governments are plagued by political conflicts and infighting of political leadership. These include inter-party and intra-party tensions resulting in divisions in party caucuses. These are reflections of tensions between political parties, internal political party dynamics and factional politics which paralyses decision making and often divides administrative staff on factional lines. These practices are often associated with inappropriate political, administrative and business interface which may undermine good governance principles. Weak political leadership may result from external political interference or influence, dividing caucuses and negatively affecting the effective operations of council and making civil servants to take sides and compromise professionalism in public service.

Presidency Chief Operating Officer 5 stated that in KwaZulu-Natal party politics have resulted in municipalities being managed by individuals from a party that is opposition in the provincial level. Cooperation where the governing parties differ between two spheres of government may result in political differences and a feeling of imposition of programmes from one sphere to the other, thereby generating mistrust and suspicions. Therefore, the tensions between the political parties, the ANC and the IFP results in reluctance of government officials and political leaders who may not be cooperative in implementing OSS and the Premier has to “impose” the OSS programme to an unwilling municipal leadership. *Presidency Chief Operating Officer 5* believes this political scenario requires skilful management to prevent the suspicions, resistance and insecurity from impacting negatively to integrated service delivery and affect the lives of people.

Another basis for ineffective leadership is the suboptimal level of education and capacity of the elected representatives to manage and communicate. The NDP is also focused on building capacity both in the political arm directed at public representatives. There may be a need to introduce minimum requirement for elected public representatives to occupy certain positions of responsibility and to be placed in committees and structures, as this significantly affect service delivery mechanisms. *District Mayor 2* pointed out that the standard of education among the public representatives tends to be lower, thereby causing councillors to struggle to explain issues in communities. A ward councillor may avoid addressing the community for fear of people who will be difficult. This affects the flow of information to the electorate and impairs accountability.

6.5.2 Capable State and general administration

The study found that it is critical to ensure an understanding and implementation of Chapter 13 of the National Development Plan which calls for the building of a capable state and a sound administration, that has capacity to plan and implement service delivery programmes. *Local Mayor 2* raised concerns regarding the missed opportunity of following up and fully implement the building of a capable state as recommended by the National Development Plan. *Local Mayor 2* proposed that in order to build a capable state and sound administration, the programmes and functions of the different spheres must be analysed to determine which sphere is best placed to execute the programme such as infrastructure building project, bulk services, etc. The sphere with the demonstrable capacity (at national or provincial level) could be assigned the responsibility to execute the programme to completion and hand it over to the (local) sphere that is assigned to manage such programme. Capacity may be built at a district level to execute the programmes, develop capacity to manage huge budgets and deliver the project on behalf of less capable local municipalities. That may reduce misalignment.

National COGTA Manager 7 identified the lack of technical capacity in the State, which results in the inability to execute service delivery effectively. This creates dependence and over-reliance in external consultants, with no measurable skills transfer resulting in the hollowing of the State and the underperformance of the State. *Presidency Chief Operating Officer 5* noted that service delivery is affected by many dysfunctional municipalities in KwaZulu-Natal which impacts negatively on services for the people.

The study also relied on the report done by the Department of Cooperative Government and Traditional Affairs (2017) to assess local government capacity, identified and described “distressed” or “dysfunctional” municipalities which were struggling or incapable of delivering the services as expected. Seven percent of the country’s municipalities are classified as well-functioning, about 31% of the municipalities are reasonably functional, thirty one percent are almost dysfunctional and the remaining 31% are dysfunctional or distressed (Back to Basics 2016:6). This description underlines the challenges in implementation of service delivery programmes by national and provincial governments where the local government sphere is itself experiencing hardships and lack of technical capacity to implement service delivery programmes.

Deputy Director-General: KZN OTP 6 highlighted that the lack of capacity arises from the serious human resource deficiencies such as high vacancy rates for critical posts and appointment of people who are not suited for the positions they occupy. *Local Mayor 2* pointed at the failure to comply with the NDP provision that enjoins government to make the serving at local government as a career of choice, intensely recruit professionals in order to build capacity at local government. In addition, the high turnover rate of municipal staff is heightened between elections, resulting in poor state capacity due to inability to retain experienced practitioners. Lack of consequence management results in inability to punish poor performance and encourages complacency and a culture of impunity. Poor governance also results in officials undergoing disciplinary hearings for misconduct resigning from municipal service in one area, only to re-appear as an employee in another municipality without the offended and the receiving municipalities’ knowledge. *District Mayor 2* believes that senior management may be less knowledgeable about disciplinary measures in labour relations matters, hence they are reluctant in disciplining individuals because management is less equipped to deal with them. This means there is no incentive to promote responsible conduct and a culture of productivity.

6.5.3 Financial management

COGTA identified many municipalities as non-viable. They suffer challenges of inadequate resources due to their inability in revenue collection, either as a consequence of lacking appropriate systems for revenue collection or poverty stricken municipal area that lacks a revenue base and is totally dependent on transfers. *District Mayor 2* believes that service delivery has to be aligned to the funding model for local municipalities. The allocation by

National Treasury needs to prioritise the rural areas where there is large number of unemployed citizens and the municipalities are unable to generate revenue from the citizens who are largely indigent. The other concern is the way the municipal finance management act (MFMA) is crafted. Imposing competitive bidding ends up costing a small municipality more because the system encourages middlemen who put mark ups even on goods that could have been maximised if obtained cheaper through a direct purchase.

Departmental official and DTT Chairperson 2 expressed concerns about the inadequate resources to fund various structures set up by government and believes a direct budget allocation is needed to fund the OSS Model. This respondent pointed out that good policies have been passed and resource tools availed to get input from communities, but less attention is paid to repair and maintenance of equipment such as computers. Therefore, the fieldworkers remain available, but are less effective due to a shortage of working equipment.

6.5.4 Challenges of maladministration, irregularities and corruption

Corruption has been increasing over the recent past, depleting the inadequate resources that are destined for the delivery of the services. The study found that systematic maladministration, fraud, nepotism and corruption often involves procurement irregularities, collusion between public servants and external stakeholders and frequent involvement of the service providers. *Presidency Chief Operating Officer 5* referred to the reports by the Auditor-General of South Africa which identified financial failures in many municipalities. AGSA characterised this as signs of a collapsing local government system and the financial health of various municipalities requiring intervention, stating that the pattern demonstrated an annual occurrence without much improvement. *Deputy Director-General: KZN OTP 6* argued that many people were getting away with serious violations because a culture of fraud and corruption had set in as a result of lack of consequence management. This called for a re-engineering of the public service such that public servants put citizens first.

Deputy Director-General: KZN OTP 6 identified political interference as another cause for violation of government procurement processes leading to fraud and corruption. Flouting of supply chain management processes have also involved councillors unduly interfering in administration, existence of unscrupulous business gangs that irregularly influence the SCM processes for their own benefit. MPACS resolutions are often not taken seriously or ignored.

Low staff morale and ethics affect their performance as a result. Auditor General reported on the collapse of local government finances.

6.5.5 Ethical public service and *Ubuntu*

Departmental officials and DTT Chairperson 2 stated that OSS was established to enhance the best human values among the citizens and public servants and invoke the philosophy of *Ubuntu* which promotes ethical public service, a caring ethos and compassion. The study found that the spirit of *Ubuntu* in the community and in public service has been promoted by the OSS Model. The concept of *Ubuntu* refers to demonstrating empathy and an image of a caring government where citizens interact with public servants for services they receive. Kondlo (2015:494) believes the philosophy of *Ubuntu* creates ethical leadership and improves good governance and public trust. According to Kondlo and Maserumule (in Mle, 2015:118), “the hallmark of good governance is the professionalism, integrity and ethics of individual public servants to reduce corruption. The perception or existence of corrupt public servants erodes public trust and has been a factor in the civil unrests.”

6.6 CHALLENGES IN CITIZEN/COMMUNITY PARTICIPATION

South Africa as is the case in the Liberal–Democratic Model, the State actor is dominant and “continue to make authoritative decisions, but will do so with some involvement of (organized) societal interests”. The provision for community participation confirms the observation by Pierre and Peters (2005:27), that governments now prefer to use the “least coercive policy instruments possible, a factor that also conforms to many national political cultures that attempt to minimize the coercive nature of the State”. Therefore, the South African Constitution on enshrined public participation demonstrates features of the Liberal–Democratic Model that accepts more feedback from social actors than the étatiste model. This participation should be viewed in the context of the tasks of the State to steer society toward the fulfilment of goals, coherence in the policy formulation, inclusiveness of social voices and feedback information that social actors provide to the State actor to guide implementation in the Liberal–Democratic Model. The State utilises the information from these social actors as feedback to improve the plans and implementation of service delivery (Piere & Peters 2005:27). The cooperation between the State and social sector is asymmetric in favour of State dominance.

The study found that community or citizen participation is fundamental to entrenching democratisation of local governance structures. Public participation provide platforms through which representatives are expected to account to the community. Some legislated platforms for participation, such as WCs may also be found ineffective for various reasons. Failure to account and unfulfilled undertakings by government, *undermine public trust* and has often resulted in the dissatisfaction of communities. Poor communications with communities by councillors result in alienation of the community resulting in community protests, destruction of infrastructure and disruptive conduct such as the emergence of aggressive and violent local business forums. This has been the result of the lack of economic opportunities leading to public services being the only local stream of jobs and income. Poor or ineffective communication may result in a community being aggrieved. Dissatisfaction with service delivery may lead to public protests. The respondents quoted below confirm these challenges.

Chief Director: OTP 6 stated that the public service in South Africa has embarked on a new route of partnerships with business and civil society which includes community organisations, voluntary and non-governmental organisations. This new approach has been motivated by the inefficiencies in public service provision, fiscal constraints and scarce resources.

Presidency Chief Operating Officer 5 pointed out that government has a responsibility to reach out to vulnerable groups in society, such as the poor, unemployed youth, people with disabilities and the elderly. The rural nature of the province means that some people may be left and, therefore, the KwaZulu-Natal government had to establish OSS to improve service delivery.

District Mayor 2 pointed out that a challenge of unmet expectations arises when community profiles are done, data is collected to assess community needs that are not addressed thereafter, thereby eroding public trust.

Presidency Chief Operating Officer 5 reflected on important mechanisms for community participation such as the WCs. The South African Local Government Association (SALGA) has raised concerns about the effectiveness and quality of the representation by the WCs and the accusations of political capture of the WCs by the dominant political party in the ward. Without a forum for engaging government communities become frustrated and resort to protests which sometimes turn violent.

Chief Director: OTP 6 observed that service delivery protests have gained momentum and have become more violent despite government events such as izimbizo public events to address these. Reasons for the protests vary from poor public service, poor service delivery, nepotism, corruption and external third force activities, in the face of largely unresponsive councillors and municipal officers to community grievances. The culture of violent protests is inherited from the era of struggle tactics for fighting apartheid. At the core being the inability of government to maintain internal and external accountability.

Departmental official and DTT Chairperson 2 pointed out that poor communication with the community is a major challenge in the delivery of services. Part of the poor communication is the result of the way the government is structured, the silo approach makes each sphere or Department zoom into the community on its own, wasting a lot of time and resources and making little impact.

Presidency Chief Operating Officer 5 stated that the community protests are viewed as an expression of discontent regarding the lack of or the pace of service delivery, indicating something wrong with the services or the manner these services are communicated to the community. This view is supported by the *Deputy Director-General KZN: OTP 6* who pointed out that in the face of community dissatisfaction, poor communication with the public leads to the loss of public trust. Similarly, *Chief Director: OTP 6* believes that some of the community protests are due to poor political leadership compounded by lack of knowledge of the attributes expected of a leader.

Departmental official and DTT Chairperson 2 pointed out that dynamics in the community also play a role in the community wherein the opportunists take advantage of community protests for their own interests. There are many structures created in a community such as religious, youth, women and others that can only be integrated in a War room which then need to use that platform to communicate their issues. This is the context in which democratic participation occurs and this researcher posits that the OSS Model serves a model to facilitate the participation of social actors.

6.7 CHALLENGES IN THE INTEGRATION OF SERVICES

The value of integration is found in “effective and efficient use of scarce resources through integrated service delivery models” (Fleury 2006; Powell Davies 1996 in Sulker et al. 2009:1). These authors decried the lack of guidance for planners and decision-makers on how to plan and implement integration (Suter; Oelke, Adair & Armitage 2009:1). This researcher believes that integrated service delivery refers to providing comprehensive services across multiple disciplines, sectors or agencies. In line with these authors, it must be emphasised that integration serves to align plans, pool resources and create synergies to achieve objectives that may have been impossible for an individual entity, thereby ensuring efficiency in the use of limited resources, which results in effective service delivery outcomes.

The study found that the operation of departments in silos undermines effective service delivery, thereby making a strong case for integration of services. In the OSS Model, integrated programmes are promoted in the fight against poverty, inequality, unemployment and social ills because of the inter-relatedness of the causes and manifestations. For effective integration, there is need for alignment of budget cycles between spheres of government and integration of messages to community. The study identified a number of aspects that require attention to ensure effective integration. Integration requires attention be paid to standardisation of fieldworkers. Management of information technology needs to be utilised to integrate service delivery. IDPs need to be the basis for integration. Fragmented planning leads to misalignment. There is a need for change in service delivery to target the poor and re-engineering public service to promote integration of services. Many challenges in service delivery are being experienced at the local government level especially in relation to infrastructure delivery.

Chief Director: OTP 6, based on various literature, referred to the integrated service delivery examples in the health and social services as “offering service delivery across multiple sectors or multiple agencies” or a “number of service agencies working together to collaborate and co-ordinate their support and interventions”. The involvement of citizens and alignment of systems of governance adds to the complexity of the integrated service delivery. The need for integrated service delivery is justified by the persistence of the challenges of inequality, poverty and unemployment, over which additional challenges are imposed such as gender-based violence, drug abuse and other crimes, disease, conditions of disempowerment and the need for social behavioural changes.

Presidency Chief Operating Officer 5 alluded to the difficulties of delivering integrated services due to the silo mentality of the government departments and turf protection by civil servants who are used to working in their spaces, resulting in competition instead of cooperation.

Presidency Director-General 5 raised the issue of the adoption of IDPs by government, with the municipalities being the centre is integration of all service delivery programs. Owing to various constraints the municipalities had no capacity for development of the IDPs resulting in the IDPs being a product of external consultants shared by municipalities as a “cut and paste” exercise for compliance. This sharing made the IDPs unworkable as the “cut and paste” plan did not take into account the unique features which are different in municipalities for which the IDPs were originally designed.

Departmental official and DTT Chairperson 2 pointed out that for the integration of services to be effective, there is need to integrate the various fieldworkers such as community development workers from COGTA, community caregivers from health and social services sectors and extension officers in agricultural sector. This will close the gaps in coverage of services as the province is wide. Integration of the fieldworkers align the services and will ensure that the messages to the community are integrated. These gaps in service delivery and communication can be taken advantage of by opportunists in community who will further deepen political instability. Closing this information gap is a proactive way to prevent protests.

Departmental official and DTT Chairperson 2 highlighted the challenge of the integration of services when the national and provincial spheres have a different budgeting cycle to the municipalities. There is a need to integrate the budgeting cycle and planning processes in all three spheres so as to achieve integrated service delivery. This concern is confirmed by the *National COGTA Manager 7* who referred to the challenges posed by the fragmented planning and budgeting contributing to the misalignment in service delivery, such examples of bulk infrastructure development without the reticulation system, the construction of schools and clinics without the water, roads, electricity infrastructure in place.

Chief Director: OTP 6 emphasised the need for effective management of the information system and utilisation of appropriate technology to support integrated service delivery. The role of appropriately integrated information technology has been highlighted by other researchers, who state that: “quality information systems also enhance communication capacity

and information flow across integrated pathways (Coddington et al. 2001d; Hunter 1999; Leatt et al. 2000; Wilson et al. 2003; quoted in Suter; Oelke, Adair & Armitage 2009:4).

6.8 THE CONTEXT AND PHILOSOPHY BEHIND THE OPERATION SUKUMA SAKHE

What is the context and philosophy behind the Operation Sukuma Sakhe (OSS) that necessitated its adoption by KwaZulu-Natal as an alternative model for service delivery and community development?

The findings regarding the origin of the OSS Model were confirmed by the *Deputy Director-General KZN: OTP 6* who stated that “*the OSS Model is premised on the motto let us arise and build. This is a call for the people of KwaZulu-Natal not just government alone to stand up and address the social ills besetting our province.*” The study confirmed that the OSS Model was adopted as an alternative model for the delivery of services in response to the call for people and the government of KwaZulu-Natal to rise and overcome challenges that destroyed the society; such as; poverty, inequality and unemployment, violent conflict, crime, gender based violence, substance abuse, TB, HIV and AIDS, and ensure behavioural change. This call was embedded in the spirit of the provincial motto “Let’s stand up and build”.

This model sought to combine various requirements for effective and successful service delivery which include, among others, partnership, cooperation, integration, good governance, sustainability, responsiveness, community involvement and ownership, accountability and transparency. It spells out every action and how it links to initiatives being implemented by the different sector departments and spheres of government.

Respondents such as *Local mayor 2* and *Departmental official and DTT Chairperson 2* believe that the OSS Model has promoted the philosophy of *Ubuntu*, enhancing the goodness of people and creating a caring government that is responsive to pressures faced by the vulnerable community. *Departmental official and DTT Chairperson 2* stated that “*Operation Sukuma Sakhe was established to enhance all those that are positive (minded) to bring about the philosophy of Ubuntu in every individual in South Africa or in a particular at community (level).*” To substantiate their observation, they cite such examples as deploying the Social Security Agency to provide food and social relief and resolve emergencies social distress and housing for the destitute. *Deputy Director-General KZN: OTP 6* confirmed that the OSS Model allows the government to bring the government services closer to the grassroots community

level. The impact of the model lies in the response by government to the needs of the people, as highlighted by *Ex MEC ex Deputy Mayor 4* who emphasises that “*we have we have a model in KZN that really does bring governments to the people government that listens to the people and government responds to the people.*” In the same vein, *Local Mayor 2* emphasised that the spirit of *Ubuntu* is embedded in the model, “*because while Sukuma Sakhe goes to communities and then they find the vulnerability amongst certain households then they develop a response of immediate relief.*”

The OSS Model brings the government closer to the people and ensures accountability of public representatives who occupy executive positions in local and provincial levels. The *Deputy Director-General: KZN OTP 6* highlighted that the OSS Model has entrenched the principle of local accountability, compelling provincial, district and local executives and public representatives to be accountable to ordinary communities as champions at district, local and ward levels. The model further promotes partnership between government and communities represented as individuals and as organised civil society. The model then represents a social compact based on acknowledging that government cannot do it alone and affirms that the OSS Model creates an integrated approach to transformation, enabling war-rooms to achieve people-centred governance.

The profiling of communities (families and individuals), which was at the core of eliciting the needs of society, assisted the OSS Model to identify areas in need of urgent intervention and areas for future of community development, involving the community development workers and other community structures. *Departmental official and DTT Chairperson 2* believes that consulting the people about the needs of the individuals, families and community is part of *Ubuntu* in practice, demonstrated by taking people out of suffering by eradicating poverty, while community involvement shows respect and caring. Programmes to combat social ills are designed in a manner that suits the communities because of the consultative approach in determining the community needs.

6.9 ANALYSIS OF THE FIVE CONVERGENT PRINCIPLES

The OSS Model focuses on the following five convergent and overarching principles that make it effective:

6.9.1 Enhance cooperative government

The study confirmed the importance of harmonious and cooperative relations among the different sections of government. To entrench cooperative government, the cooperation between spheres has to be achieved since they are “interrelated, distinctive and interdependent” (S.A. Constitution: section 40.1). Cooperation both vertically and horizontally builds partnership between municipalities and across spheres and departments, ensures coordination of service delivery across different spheres and eliminates misalignments as well as parallel services. It further eliminates competition and discontent between municipal and traditional structures (Reddy & Shembe 2016). The OSS Model provides the spirit of cooperation and mutual respect of all stakeholders for the benefit of achieving a common objective.

Respondents highlight that the concept of “Cooperative Government” is a feature of the Constitution which enjoins the spheres and entities of government “to cooperate with one another in mutual trust and good faith”. According to *Presidency Director-General 5*, cooperative government is a way to prevent “conflict and disjuncture” between spheres of government. Coordination of plans, actions and programmes of different spheres is achieved through the use of intergovernmental structures, sharing of information and close working together of affected spheres and departments, in line with the Constitution. Spheres and entities of government are obliged to cooperate by respecting the powers and avoiding encroaching to each other’s space.

South Africa decided on a unitary model of government since the adoption of the 1909 Constitution that formed the Union of South Africa in 1910 (De Haas & Zulu 1994:433; Jisheng 1987:18-27), including the Constitutions of 1961 and 1983. The 1996 Constitution created a unitary state with federal features (De Villiers 1994:430) and provided for original powers for different spheres of government. Unlike the previous administrations (S.A. Constitution of 1909, 1961 and 1983), where the power vested with the national government (Woolman & Roux 2020:1-23) and therefore did not require instruments to promote cooperative government; the new dispensation had both exclusive and concurrent powers across the three spheres, which created room for competition, misalignment and competition. This reality brought about the need for a regulatory framework promoting coordination and cooperation. Therefore, the concept referred to as Cooperative Government has been introduced to strengthen cooperation and coordination across the lengths and breadth of government. In its origin, cooperative government is a feature of federal governments, adopted from the concept of “cooperative

federalism,” (De Villiers 1994:432). In this concept the cooperation is achieved through various horizontal and vertical relations, fiscal, regulatory, formal and informal networks. The spirit of cooperation permeates throughout the processes of interaction among the agencies of the State, with an objective to successfully execute the tasks of government. The desired outcomes are achieved through a harmonious spirit of partnership and collaboration; based on mutual respect for roles, powers and different responsibilities assigned to the different spheres and entities; without hostility or any need to resort to court contestation. Countries with dual or hostile federalism experienced many litigation cases between entities of the same government, leading to the focus on cooperative federalism and the study of IGR.

OSS improves cooperation by encouraging formal and informal communication in meetings, through telephones, emails, or other forms of engagements. This creates networks of relations that promote cooperation through direct contact between individuals within and outside work environment. This way the OSS Model enables public servants to break away from the usual turf protection and operating in silos. Such regular exchange of information may result in improved understanding of common objectives and clarify the roles and responsibilities that the different spheres or entities of government must play to ensure the implementation of coordinated service delivery. Public servants are enabled to utilise official and personal relations established through the OSS Model to encourage the resolution of challenges faced by communities across the departments, sometimes without waiting for the regular formal meetings.

Respondents further believe the OSS Model has the effect of expediting service delivery through the flexibility and responsiveness that is activated through the networks created by working together in the war room. The role of the ward councillor in the war room as the champion for the OSS ensures that there is inclusivity within the community stakeholders, the war room, WC and other grassroots structures to eliminate competition, overlap and fostering of cooperation.

The respondents also highlighted the spirit of cooperation through the OSS structures of the WTT in referring issues to higher levels, such as LTT and DTT, by the public representative while simultaneously reporting to the municipal structures without waiting for the OSS reporting cycle which may delay matters. This suggests a supportive spirit of cooperation, different from the familiar, rigid bureaucratic approach that may show government as not sensitive or responsive.

It was found that the OSS Model cultivates a cooperative spirit and builds trust between government entities and community structures. Through community participation at ward level, community cooperation is enhanced, and community dissatisfaction is eliminated since WCs, NGOs, community-based organisations (CBOs) and traditional leadership are given space to ensure participatory democracy is a reality at local government level.

6.9.2 Improve intergovernmental relations

The study found that in order to deliver services effectively, the different departments and spheres have to coordinate activities and plans to avoid duplication and confusion. The three spheres of government have powers derived from the 1996 Constitution, which designated some powers to be exclusive to the national government and allocated others to be concurrent between various spheres at national, provincial and local levels. Various structures have been created by statute (Intergovernmental Relations Framework Act 13 of 2005) to facilitate IGR (Phakathi 2016). OSS has been integrated into national, provincial and local sphere of government as an additional innovation to ensure that good IGR are facilitated at different levels, from the ward, local and district municipal, provincial and national spheres (Mkhize & Reddy 2021:81).

The study found that the OSS Model has created coordinating structures that have improved service delivery by improving the IGR.

While the above statement emphasise the bottom-up approach in OSS Model, the decision making processes by the higher structures to which matters are escalated, emphasises the alignment necessary for the solutions and decisions by higher structures based on the IGR enabled by the OSS structures. These task teams are the coordinating structures on which the IGR are based.

This study confirms the findings of Phakathi (2016:ii), which stated that “the success of Sukuma Sakhe heavily relies on effective intergovernmental relations”. Using the constitutional or legal approach in analysing the IGR (Hattingh 1998:10), the study findings clarify the gap that is filled by the OSS Model. The OSS Model closes the gaps in service delivery by extending the IGR to the grassroots level in a practical manner, beyond what the statutes have provided for. Hattingh (1998:23) defines IGR as the “mutual relations between

governmental bodies, with the legislative framework for such relations embodied in the Constitution or other legislation”. The different provincial departments are subjected to various statutory intergovernmental frameworks including Presidential Coordinating Committee and MINMECs which reflect the vertical dimension of the IGR, which coordinate and integrate policy and programmes between the national and provincial spheres by the time they implement these in the province. The OSS Model, through the Provincial Task Team, the DTT, the LTT and WTT, ensures that the vertical dimension of IGR is completed, linking the national, provincial, district, local municipal and ward levels, which was the missing link.

Similarly, the horizontal dimension of IGR is reflected in the statutory interdepartmental platform such as the Provincial Cabinet meetings while the OSS Model provides for establishment of the Provincial Task Teams where all provincial departments find representation, as well the “Operation Mbo” activities featuring departments converging together to support the municipal structures in a process that makes all government effort to be more effective.

While the DTTs involve the representation of provincial departments, the DTT also represents the horizontal dimension of the IGR linking all local municipalities within the specific district. The LTTs provides the horizontal dimension in IGR between all the wards in a given local municipality. Therefore, the OSS Model closes the gap in the IGR that would have resulted. The unique feature of the OSS structures is their ability to process issues from the grassroots level where communities and various stakeholders participate, and various non-governmental stakeholders have been involved.

There is a significant role played by the human factor in IGR (Hattingh 1998:19). This role includes the creation of relations, through networking, motivation and leadership influence. The study confirmed that the human factor also applies in the case of OSS, emphasising the role of public servants, managers and political champions and leadership in general. In the promotion of improved IGR, respondents highlight the importance of the commitments shown by the participation of senior government departments in OSS programme and grassroots structures.

Respondents have put emphasis on the roles that need to be played by national and provincial spheres in supporting service delivery at local level. This emphasis is reflective of the assertion by Hatting (1998:14-15) that the vertical dimension in IGR reflects more the hierarchical power

relations which higher structures wield particularly in finance and policy issues. This is different from the horizontal relations which reflect the interdependence between the government entities in the same sphere of government, where sharing of information, support and physical assistance may be the main focus, and, therefore, the formal power relations may not play an important role though the larger entities tend to have more influence in bargaining. The OSS structures play a significant role in improving local service delivery involving the aspects beyond the legislative competence of the local government sphere by promoting synergy and alignment of all spheres.

6.9.3 Promote good governance

The findings indicate that one of the strengths of the OSS Model lies in implementation of governance. This author concludes that governance is the glue that binds the State and society in service delivery and generates the cooperation that promotes governability in society. In terms of Piore and Peters (2005:3), the Theory of Governance, setting goals and priorities for society, coordination to ensure consistency, steering society to achieve set objectives and accountability of all actors to society, is a process that requires mediation by institutions which is accepted as legitimate. Institutions to be considered legitimate must demonstrate that governance serves the interest of society; since giving direction to the society requires cooperation and acceptance of authority and willingness of society to be governed. Governance should lead to and is linked to governability (Piore & Peters 2005:66). The nature of the linkages between governance and governability depends on the governance model. One such a linkage is the public confidence in the governance institutions. The findings show OSS Model as an important factor in restoring public trust and confidence in the State while the global trends demonstrate a decline (Piore & Peters 2005:67). Networking is seen by Piore and Peters as another factor in building confidence though they argue that networks are not as effective in conflict resolution. The respondents expressed a view that OSS Model facilitated resolution of tensions through the formal and informal networks. Civil society has been identified as an important factor in governance and governability since they would be involved in partnership with the State in service delivery and are one of a variety of formations to ensure accountability of the State. By encouraging accountability and the partnership between state and society, the OSS Model enhances governance and, therefore, makes a significant contribution to governability.

Focusing on community priorities, resolving service delivery challenges, the OSS Model was designed to assist in addressing national challenges of inequality unemployment poverty crime diseases and other challenges of underdevelopment and weaknesses in service delivery. The study found that the OSS Model supports and enhances the following features of good governance, such as accountability, justice and the rule of law, equity and inclusivity, transparency and openness, responsiveness, effectiveness and efficiency, consensus and legitimacy; as outlined by Nag (2018:1-8). The features of OSS Model that have been highlighted above, among others, including participation, transparency, accountability, responsiveness, inclusiveness, are integral part of good governance as described by Kepling (2017:1-8).

Local Mayor 2 asserted that the OSS Model deals with good governance that involve other stakeholders. Referring to the OSS Model and governance, *Local Mayor 2* confirmed the statement that “governance involves more actors than government but may include various stakeholders” (UNESCAP 1-4). In terms of this description by UNESCAP, governance involves non-governmental organisations, traditional leaders, religious institutions, researchers, business, political and civic formations. The study concludes that the OSS Model subscribes to this approach and embraces a similar range of stakeholders which differ according to the population, social-economic and political dynamics of each jurisdiction. By involving the community in democratic participation, the focus of the OSS Model on accountability and community involvement, also seems to respond to and prevents the risk contained in the caution by Fukuyama (2013:3) that “a democracy may be mal-administered”. The OSS Model aims to fulfil the principles outlined by Pierre and Peters (2005:2-3), which include the articulation of priorities of society, creating coherence by balancing diverse interests, steering society toward the fulfilment of goals using partnership and networks and lastly, accountability.

6.9.4 Ensure community/citizen participation

Pierre and Peters (2005:29) point out that there are “multiple channels of accountability” and different ways for society, involving “political parties and interest groups,” to hold the State accountable in the Liberal–Democratic Model. This research shows OSS Model as another way of achieving accountability using local democratic participation by the community. The study found that the OSS Model has been designed to ensure the deepening of democracy through local community participation and grassroots mobilisation to identify community needs and assist in the shaping of the comprehensive package of services involving the different spheres

and departments. The study found that the strength of the OSS Model is the mobilisation of communities to promote behavioural change that strengthens their ability to overcome various challenges manifesting in the society. Section 195 of the Constitution provides for public administration to ensure public participation in policy formulation. The OSS Model is a people-centred approach that is focused on people first, in line with the Batho Pele principles (RSA 1997:4) “to create a caring and responsive government. OSS is a service delivery model which involves the implementation of a comprehensive, efficient, effective, quality service delivery system that contributes to a self-reliant society in a sustainable manner” (Ndlovu 2016:28).

The respondents confirmed that community participation is the strength of the OSS Model. *Local Mayor 2* highlighted the fact that the OSS Model increases community participation. Participative democracy involves the various civil society formations such as NGOs, CBOs traditional leaders, among others. *Private sector representative and LTT Chairperson 1* emphasised that the value of community participation is their knowledge of the challenges experienced by local residents. The involvement of community and various departments in a war room enhances the responsiveness of the government in resolving community challenges. Using the example of community dissatisfaction with bad road conditions of potholes, as source of road accidents resulting in injuries and community protests, the impact of the OSS Model is demonstrated. Matters identified by communities are reported at the war room and then referred for the action of the local authority via the LTT and referred further to higher government structures for response.

Therefore, the OSS Model activates the response of the government system, thereby proactively bringing the concerns of communities to the war room; hence, the matters referred upwards to the local, district and provincial levels for government action in response to the discontent. Political interference is eliminated, and trust is built between community and the government, as a result of the comprehensive approach of the war room, according to *Local Mayor 2*. *Departmental official & DTT chairperson 2* concurs with *Local Mayor 2* that through the OSS Model, sharing the information contributes more to community satisfaction long before the services are delivered. Confidence is deepened in institutions of governance, thereby bolstering the governability in society who willingly cooperate. Communication forces the simplicity in presentation of government programmes which provides a humane approach by government to communities who feel that the public officials represent a caring and humane

government. According to *Local Mayor 2*, public participation becomes a reality, because all stakeholders converge in the war room.

6.9.5 Promotion of the integration of services

Integration is viewed as “providing good performance due to improved communication and standardisation of protocol creating alignment in the implementation” (Suter, Oelke, Adair & Armitage 2009:1). The OSS Model promotes integration, thereby strengthening the coherence and coordination in policy formulation and implementation. Integration encompasses the mobilisation of State and societal actors, plans and resources to achieve common objectives.

The study confirmed that the development of IDPs is central to effective delivery of services. The respondents highlighted the fact that the OSS Model emphasises the importance of integrated planning and the need for involving municipalities since they have the mandate for planning assigned to them by the constitution. The need for integration of implementation is critical, since it involves inclusion of functions of other spheres beyond the municipality.

The principles of the post-conflict reconstruction and recovery and Reconstruction and Development Programme focus on the need to design a deliberate strategy to implement sustainable development programmes and the provision of comprehensive package of services to address the needs of communities emerging from conflict caused by devastation of past injustices and social disruptions similar to wars. The integration of planning and implementation of programmes ensures the effectiveness of service delivery. Empowering local communities to guide service delivery and decentralisation of services has been shown to be the strength of OSS (Mlambo & Tshishonga, 2018). Since poverty is the overarching theme in most of the challenges, an integrated approach to sustainable development through OSS, “combined the solutions to the various challenges into an integrated programme for the elimination of inequality and poverty, ensuring food security; improve health education welfare of society and fighting TB, HIV and AIDS;” (OSS: Province of KwaZulu-Natal 2011). The findings of the various authors above is confirmed by the respondents in the study, who describe the OSS Model as “community-led, community-based, multisectoral service delivery model that addresses AIDS by integrating solutions directed at other structural factors”. Therefore, it was demonstrated that a comprehensive response to fighting poverty and social ills was mounted around a fight against AIDS by mobilising various stakeholders behind the identified priorities.

6.9.6 Priorities and stakeholders of OSS

The OSS Model identified key stakeholders and priorities to ensure an effective response to the multiple challenges that had to be addressed simultaneously within a restricted resource package (OSS Implementation Manual 2012).

This is in line with the priorities stated in OSS Implementation Manual (2012), which indicates that implementation of OSS targeted specific programmes and sectors of society to be treated as a priority on which the model was anchored.

For effective participation, the public needs to be educated about their own responsibility to partner with government and have an understanding of available services and the extent of their availability. To this effect, the government of KwaZulu-Natal published a *Citizens' Charter* that spells out what services will be provided and how they will be provided. There was an emphasis on service delivery improvements and addressing service delivery gaps between opulent and poor communities, urban and rural municipalities (OSS Implementation Manual 2012).

The OSS Model is based on partnership built at every level or sphere of government to collate and integrate the information representing priority needs of communities and identify stakeholders that stand to be part of the partnership. The partnership should include all government spheres (national, provincial and local); community leaders; traditional leaders, civil society organisations, non-governmental organisations, faith based organisations, business, community forums and committees as well as community field workers (OSS Implementation Manual 2012).

In the opinion of this researcher, it can be argued that the unique features of the OSS Model straddle across different spheres, departments and government agencies to coordinate the activities and work in partnership with various social partners and stakeholders in a spirit of cooperation in a manner that has not been a feature of governance in South Africa before. This spirit of cooperation is necessitated by the fact that each sphere has powers, roles and responsibilities derived from the constitution that may not be over-ridden by another sphere, yet the success of each sphere is dependent on each sphere exercising their powers (in their own interest) in support of programmes involving other spheres. The five overarching principles are: cooperative government, IGR, good governance, integration of service and community participation. The focus of the OSS Model in the five overarching principles offer

an added advantage in providing an environment in which relations are built to maximise the impact of each cooperating partner. Therefore, the OSS Model provides the spirit of cooperation and partnership that can be likened to the German concept of “Bundestue”. The OSS Model, similar to Bundestue, encapsulates an inherent expectation and obligation for each party to cooperate and find synergies with other partners to achieve joint objectives, based on these overcoming principles.

6.10 OPERATION SUKUMA SAKHE: THE ROLE OF DISTRICT MUNICIPAL COUNCIL

How does OSS strengthen the role of metropolitan/district municipalities in the integration of service delivery and implementation of government policies?

This section elaborates on the role of the OSS Model in strengthening the district or metropolitan municipality in the integration of service delivery and implementation of government policies, highlighting the Structures of Governance and Leadership in OSS.

The study found that the OSS Model has improved the lives of communities and the integration at ward level has been made effective because that is where all departments can be found in one place. Bringing departmental officials together at the level of war rooms has improved the accessibility of services particularly for the rural people, the poor and the disabled who are frustrated by long queues and lack of transport fare to travel to departmental offices in town. OSS Model facilitates interaction of departments that ordinarily operate in silos, enables them to combine their efforts in providing integrated solutions for dealing with social ills together.

6.10.1 Promotion of Integration

The strength of the OSS Model lies in the promotion of integration and provision of the platform for stakeholder engagement in a structured manner. This strength is derived from using formal institutional relations as well as cultivating informal networks and interpersonal relations creating an atmosphere of inclusivity and a spirit of cooperation. The study found that the success of the OSS Model derives from the creation of integrated structures at each level (ward, local council, district and provincial levels), that promote integration and participatory democracy. These structures are coordinated by and account to political leadership structures at each level, from ward, local and district municipal and provincial levels of elected public representatives.

The strength of the district lies in its strategic location as a natural point of convergence and coordination of local municipalities and being the constituent part of the provincial sphere. Reinforced by political oversight that is provided by the champions from the higher government spheres, the role of the district level in coordination becomes crucial. The study confirmed the OSS Model was guided and strengthened by the Political Oversight which is the responsibility of the Premier, the Members of Executive Council, the District and local municipal Mayors and local ward councillor, who steered and promoted the programme acting as advocates for development and provided the voice for the community.

The study found that complex manifestations of social ills with poverty as the underlying cause, has meant that the eradication of poverty must be the anchor of service delivery programmes, to address food security, crime, ill health and combat TB, HIV and AIDS. These programmes are anchored at the ward level, using the multi-disciplinary and integrated approach at the war room, coordinated by the WTT. Various wards are coordinated in each local municipal area by the LTT, which ultimately reports to the DTT. The provincial government assigned various senior executive and management officials to be champions at each district, thereby making the district the centre of coordination of ward, local municipal and provincial programmes and interventions. This approach is well articulated by *Deputy Director-General KZN: OTP 6* who emphasised not only government, but the community also having a significant contribution to make, stating that “the core of OSS is behavioural change. This includes responsibility of the citizens to engage in safe sexual behaviour, respect for the law, violent crime prevention and living a healthy lifestyle”.

6.10.2 Deployment of political champions

The deployment of champions has been the strength of the OSS Model, thereby bringing all spheres of government to cooperate at one point of convergence, the district, which is well located and suited for the purpose of coordination of programmes. The significance of district champions in local accountability of senior leaders to local communities and mobilisation of support and resources from higher levels of government to support local initiatives, combines a “top-down and bottom-up” approach. This view is supported by *Deputy Director-General: KZN OTP 6*, who highlighted the importance of the institutional framework providing for each provincial executive being assigned as district champions to ensure political oversight to support service delivery at the district level.

The study confirmed that the concept of OSS Champions has been taken from the Integrated Sustainable Rural Development Programme (ISRDP) and the Urban Renewal Programme (URP) of 2001. In the ISRDP and URP, political champions at the national, provincial and local government spheres were appointed to service the rural nodes. This approach created a link between the higher structures and the lower level at which the programmes are being implemented. The role of the champions is that of exerting influence in the creation of and maintaining of the stakeholder relationships. Every district and local municipal mayor as well as Heads and senior managers of Departments have a responsibility to promote OSS programmes and drive an agenda of integrated multi-sectoral, inclusive and comprehensive programme of development. Champions focus on community issues, not from their line function department, but facilitate broad involvement of departments and discourages working in silos. Champions in the Executive have to ensure that everything is integrated for maximum impact (Province of KwaZulu-Natal 2015:2).

6.10.3 District Municipal Council: Centre for Coordination of Development

The study confirmed that the OSS Model was designed in a manner that supports the objectives of the Reconstruction and Development Programme and strengthens the approach to the drawing of IDPs and to provide implementation for War on Poverty.

The linkages in all these initiatives is that they converge in the district level and have to be aligned to the IDPs and Provincial Growth and Development Strategy processes, as stated by *Chief Director OTP 6*. With huge backlogs and inadequate resources, the demands for and slow pace of service delivery results in community dissatisfaction. Some communities direct their anger and frustration to the municipality, yet such services fall outside the competence of the municipality. The OSS Model enables the district council to coordinate service delivery planning supported by the national and provincial government, and, therefore, service are provided that the municipalities do not have a budget for and such budget is located in the national and provincial spheres, thereby “elevating municipalities to become engines of development,” that can tackle new challenges such as pandemics, as elaborated by *Presidency Chief Operating Officer 5*.

The respondents and literature analysis identified several Task teams which coordinate the OSS programmes at various levels, such as LTT, DTT and PTT.

The PTT has a role to provide strategic direction in implementation of the OSS through marketing and communication, monitor and report on progress against OSS objectives and mentor districts to achieve OSS goals (Five-year Review: Province of KwaZulu-Natal:2015:2). PTT members have to process the issues in their line departments. This ensures that departments are guided by direct interaction with communities.

The study confirmed that the District (Metro) Municipal Council has the responsibility to provide the framework for the implementation of the IDP in consultation with stakeholders for the coordination, consultation and alignment between the district council and local municipalities and the national and provincial sectoral plans. The district municipality must ensure that the IDP is developed for the entire district area and in consultation with the local municipalities within its boundaries and sector development plans national and provincial governments spheres applicable within that district (Harrison 2001:190). *Presidency Chief Operating Officer 5* sees this approach assisting districts benefitting in the entirety of development portfolios which lie outside their competence that have to be implemented within the jurisdiction of the districts by various departments and spheres. This experience is referred to as “institutional empowerment” by, Pierre and Peters (2005:113) who state that “the governance perspective highlights the extent to which institutions at different levels can enhance their ability to steer and coordinate their territory through their involvement with other levels, or perhaps with the civil society”.

The study found (as stated above) that there is often poor participation by different spheres in planning. The IDPs need to develop from the wards to culminate in District Plans which need to be aligned to the Provincial Growth and Development Plans or strategies. These provincial strategies should be guided by the National Development Plan, that should act as a blueprint of where the country is directed. The study found that there is often no alignment between these plans, and this creates challenges in implementation. It can, therefore, be concluded that the OSS provides a mechanism for participatory democracy, integration of service delivery, while it assists to resolve misalignment by improving IGR and cooperative government and promote good governance. These OSS principles provide a mechanism that needs to be aligned with the processes of Integrated Development Planning. Coordination capacity needs to be strengthened at the Districts level across each province to provide a contact point for coordination and alignment with the national and provincial sector plans.

6.11 THE SUCCESS OF OSS MODEL: THE WAR ROOM CONCEPT, PARTICIPATORY DEMOCRACY AND IDPS

How does the OSS concept of a “War Room” contribute in entrenching participatory democracy at the grassroots in the formulation of ward-based Integrated Development Plans (IDPs) and promotion of accountability?

According to Pierre and Peters (2005:117-118), the Liberal–Democratic Model creates “institutional linkages between public representatives, public policies and the electorate” but not adequate in ensuring accountability. Neither does the New Public management approach of performance management; with its “concepts managerial autonomy and customer choice as a basis for market accountability.” This raises the concern, the authors emphasise, about the “unintended consequences” of the reform that resulted in the weaker accountability for the State, its agents and the societal partners; yet, these authors argue, that accountability is important for legitimacy. To be legitimate, the political decisions have to be formally enacted by elected public representatives who have mechanisms to be subjected to accountability within the governance institutions or electoral processes. Democratic participation ensures the effectiveness of service delivery by providing feedback from society as recipients of the services, but simultaneously helps to hold elected representatives and public officials accountable. This researcher believes that mechanisms for democratic participation need to be established at all spheres of government to provide regular consultative platforms for democracy to be understood to be the daily experience of the society in between the electoral cycles. This approach would address the concerns by Pierre and Peters above regarding inadequate institutional accountability.

This researcher argues that the OSS Model promotes grassroots democratic participation and accountability and promotes legitimacy, through a centre for integrated service delivery in the ward, the “war room” and the local, district and provincial task teams. The war room enables consultation at grassroots level, ensures creation of partnership and local accountability of public servants and elected officials.

All services delivered by national, provincial or municipal government ultimately take place in a ward. Therefore, it is in the ward that the totality of government investments made for delivery of all services will be located. The OSS approach is based on the creation of an “integrated service delivery centre” in each ward, commonly referred to as the “War Room,” (adapted from “The War on Poverty” programme, to refer to the centre where the “war on

poverty” has to be planned and implemented in every ward). The site where service delivery activities are integrated through the OSS Model is the ward, where the WTT Executive is elected from War Room members, to coordinate all services delivered to the community. The WTT conducts profiles of the community and coordinate the attendance of various government departments to provide interventions, coordinate the activities of community fieldworkers. The WTT ensures that capacity building is done for all its members, provide reports to the LTT, WC and AIDS Committee (OSS; Five-Year Review: Province of KwaZulu-Natal 2015:25).

6.11.1 The War Room as engine for integrated service delivery

The study found that the objective of the OSS Model is that people are at the centre of service delivery and by participating in the War Room, the community becomes involved in a process of identifying their needs and setting priorities. The war room contributes in the carrying out of the functions of government, which are the setting priorities for society, coherence, steering society to attain the set goals and accountability. This makes war rooms (as the foundation of the OSS Model) to operate in line with the Theory of Governance as advocated by Pierre and Peters (2005:1-5), wherein “the State and society are both involved in governance”. Working together to facilitate the provision of integrated services by government is a broad partnership comprising traditional leaders, civil society, religious and vulnerable groups, the business sector, development partners, government departments and communities themselves.

The study found that the success of the OSS Model is based on the unique structure of the “war room” that promotes multi-sectoral partnerships and integrates activities of government and community at the ward level, as part of the implementation of the “war on poverty.” It brings together elected public representatives, traditional and community leaders and civil society formations, grassroots workers and business into a platform that promotes multi-sectoral partnership. The findings confirm that interaction at war room level integrates the various viewpoints, interests and needs which is aligned with Pierre and Peters (2005:28) who state that “feedback here may therefore be more representative of society than feedback in the former (étatiste) model.”

The war room brings together various departments to provide the solutions for challenges in the community, making the OSS to be a good programme that respondents find highly recommendable. The study demonstrated that the OSS concept of governance is about practical interaction and direct communication with the people as opposed to intangible and invisible

concept behind closed doors of government offices or an idea which is out of reach by ordinary citizens. Since community issues are intertwined and cross-cutting, every department is obliged to play a role. The OSS concept of a war room deepened participatory democracy, contributed in formulation of IDPs and promoted accountability.

6.11.2 The OSS approach improved the rapport between community and government officials

The respondents confirm assertion by Pierre and Peters (2005:25) that social actors are not monolithic but may be diverse and in competition among themselves. This may end up allowing the State as the legitimate actor to select those that have objectives and values that are more aligned to state programs. In this regard, Pierre and Peters warn against the development of powerful “cartels” that may dominate the social sector and influence the State. The respondents argue that the OSS Model simplifies the language of bureaucrats that enables easier comprehension by the social actors and, therefore, they are not left behind. Addressing issues at community level has obliged public servants to avoid using intimidating jargon in their approach. This enabled ordinary community members to feel comfortable to make suggestions and provide solutions, thereby improving the buy-in of the programmes as the communities feel they are part of the decision-making process.

The study confirmed that the inter-relationship of departments in the community forces champions and leaders to engage communities on behalf of different departments as the needs arise. This makes the model inclusive and holistic and responds to the needs of communities, which makes the community to be governable and take ownership, thereby reducing tensions. The war room allows for participation of community leaders designated by the community, to represent interest of the community, not only the counsellor.

The community stakeholders, working with the municipal councillors and other leaders, identify members of the WTT, assign responsibilities, decide on the meeting schedule and selection of the venue for the War Room. The War Room is accessible to most of the community stakeholders because of its location usually in a community hall, church, school or a government service facility. The OSS War Room process prioritises the following service intervention areas: food security, grant access, skills development and job creation, education, health, utilities, housing and specific programmes to combat social ills and promote good health. The office bearers, Task Team members including senior government officials field

workers and the community meet for and guided by a formal agenda to plan for and report on community and household needs and intervention strategies. The War Room becomes the centre for coordination and the place where reports are tabled on the progress made in the OSS service interventions and stores the documentation relating to community profiles, household needs and minutes of meetings (OSS; Five-Year Review: Province of KwaZulu-Natal 2015:38). The CDWs provide secretarial functions of maintaining the database of households profiles and tracking of referrals and interventions and compiling the WTT monthly reports which fulfils a function of monitoring and evaluation (page 45). The OSS process obliges stakeholders to seek solutions for challenges identified. The reports from WTT to the LTT ensures that what could have been achieved is delivered and the next level of governance will also resolve challenges and refer to higher levels what is beyond its mandate to solve. This process feeds into the development of IDPs.

6.11.3 Fieldworkers

The study identified different categories of fieldworkers employed by several departments to interact with communities at grassroots levels, based on the mandate of the departments. Fieldworkers are appointed by government, deployed in temporary or permanent, volunteer or stipendiary positions. They are engaged under different working conditions, with different designations, responsibilities and salary packages (OSS; Five-Year Review: Province of KwaZulu-Natal 2015:25). What is common to all is that they submit reports about the community challenges at individual, household or family levels and report to the War Room.

The study found however that the fieldworkers are the vital link in the multi-sectoral service delivery model, gathering important information from the community as they move from household to household. These visits enable the fieldworkers to gather information that identifies the challenges of the community and the specific ones for each family, such as health and social issues, food insecurity, disability, lack of social security, crime, substance abuse, orphans, among others. CDWs enable communities to gain better access to government benefits and services, participate in programmes for community development and achieve a better quality of life. They can identify outbreaks of communicable disease and play a role in combating them. The Community Development Workers play an important coordination role, maintaining the war room database, and other secretarial duties and monitoring and evaluation (OSS; Five-Year Review: Province of KwaZulu-Natal 2015:26).

Community caregivers (CCGs) are empowered with skills and knowledge to perform an integrated scope of practice, comprising the roles and responsibility of CCGs in dealing with various matters, such as; healthy living, maternal and child health, infectious diseases, chronic conditions, care and support, access to IDs, social grants, support groups, food gardens and how to care for those living with sickness or disability (Province of KwaZulu-Natal 2015:31). The fieldworkers are given training on the OSS reporting tools and integration of fieldworkers at War Room level.

6.11.4 Integrated AIDS Committees: Fighting HIV, AIDS and TB and social ills

The Premier of the province presides over the Provincial Council on AIDS, which is an interdisciplinary multi-sectoral body that guides the provincial response on the fight against HIV and AIDS and all its manifestation. The entirety of Members of the provincial executive, the Heads of Departments, District Mayors and municipal officials, business, labour, media, traditional and religious leaders, youth, women, and civil society formations are represented in the Council. The health prevention programmes are integrated with social development, food security, job creation, campaign against stigma, crime, substance abuse, promotion of anti-viral treatment and for TB and STI's, the care for the disabled, care for orphans, prevention of gender-based violence, issuing of birth and IDs, promotion of culture of learning, sports, all interventions amounting to promotion of behavioural change. Each sector is responsible for implementation of the strategy in their sector, monitor the impact and submit feedback reports to achieve the desired outcomes. Various programmes have evolved involving prevention of the spread, such as safe sexual practices, male medical circumcision, life skills education utilising traditional, religious and another avenues, all linked to healthy lifestyles and behavioural change. The inter-sectoral nature of the campaign focuses on improved social and economic outcomes, as each sector adopts the strategy and adapts it to its circumstances. The cooperation and coordination ensure that the campaign is led by the elected representatives and civil society leaders at ward, local, district and provincial levels. The district or local mayor or civil society leaders are empowered by the OSS approach to preside over and report on health, welfare, governance economic details regarding the implementation of the strategy, irrespective of the sector of their training.

The District AIDS Council (DAC), led by district mayors, to whom all departments and sectors report represent their district in the Provincial Council on AIDS (PCA) and coordinates and receives reports from the Local AIDS Committees. The Local AIDS Committee structured

along the lines of the PCA and DAC, coordinates the response from the wards in the municipality and leads in the campaign in the constituent wards. The Ward AIDS Committees are structured in the similar pattern and work through the integrated service delivery centre (War Room) while working together with the community and the local health and educational facilities to implement the campaign. All these structures are aligned and work with the OSS structures to ensure integration of all activities (OSS; Five-Year Review: Province of KwaZulu-Natal 2015:49-82).

6.11.5 Integrated intervention programmes

OSS is built on a strong pillar of community mobilisation and participation to ensure successful service delivery. Various forums have been utilised to reach out to communities, such as izimbizo (large public gatherings to elicit community challenges); operation *MBO* (joint activities from a cluster of departments focusing on community development), home visits by public representatives and officials to inspect community conditions ahead of interventions, community profiles conducted by grassroots cadres or fieldworkers and record household challenges (OSS; Five-Year Review: Province of KwaZulu-Natal 2015:55).

6.12 SUMMARY OF FINDINGS: LESSONS FROM OPERATION SUKUMA SAKHE TO THE DISTRICT DEVELOPMENT MODEL

What lessons can be obtained from the OSS Model to strengthen district-based planning by all spheres of government?

Various researchers and respondents identified challenges experienced in the implementation of the OSS Model and provided lessons that will be useful in guiding the different spheres of governments in district-based planning and budgeting and the establishment of the DDM. For the successful implementation of a DDM, the five convergent principles should be understood together with an intrinsic spirit for cooperation and partnership that is inherent in the OSS Model. To enable this approach, the study has identified various lessons that have been analysed in this section.

6.12.1 Leadership

For effective service delivery, a focused, competent and credible leadership is critical. The study confirmed that the success of OSS requires the leadership of the Premier, Members of Executive Council, Heads of Departments and senior management. The respondents

emphasised that the participation of these leaders unblocks bottlenecks that can be caused by fragmentation or lack of participation by a particular sector. Based on their experience in executive leadership position at provincial and local spheres, *ex MEC ex Deputy Mayor 4* confirms that the OSS offers a two way consultative interactive process to define community priorities and enables every municipal public representative to understand community issues in the municipality beyond their ward. Similarly the OSS empowered the leadership to manage issues that are outside their mandate, using an example of the visit to a war room,

The ability to merge the roles of political leaders and administrative officials in one programme, gave the OSS Model unique strength that added to its effectiveness.

According to *Chief Director: OTP 6*, the actual weakness of the OSS Model lies in not linking performance agreement of the senior executives and senior managers of all three spheres to the successful implementation of the OSS Model. The administrative leadership need to commit to the OSS approach since they drive the implementation. *Chief Director: OTP 6* emphasised that the leadership of OSS must be inclusive of all sectors of society and involve the entire spectrum of relevant stakeholders, “such as amakhosi, religious leaders, civil society, business leaders and general community leadership.” Government cannot do it alone. It is important to achieve community ownership for the programmes being implemented. The involvement and partnership between elected public representative, traditional, religious, business and various community leaders should be properly structured to ensure inclusivity and full participation of all stakeholders within the community. Leadership in OSS must be development orientated, non-partisan and avoid petty politicking that may disturb community development. Leadership in the OSS, service delivery and development programmes should be seen as the obligation of both government and societal leadership who, despite different roles they play, must all collectively take responsibility for the services delivered to society.

The planning and implementation of OSS is weakened by allocation of junior and inexperienced public servants into the OSS processes. The junior officials are incapable of wielding significant influence or authority to take decisions that are necessary for interventions to have the impact in community.

Respondents propose that the OSS needs to be made a standing item in the agenda of management and executive committee meetings. They further propose district councils need to

report to and be accountable to the provincial executive/Cabinet and the OTP, which is responsible for supervising and monitoring all OSS activities.

6.12.2 Strengthening the War Room

The war room is a site for multi-sectoral and inter-departmental collaboration and participation.

Departments that are in the forefront of providing poverty alleviation services in the war room, are the Department of Health, Social Development, South African Police, Education, Home Affairs, Human Settlements. This would improve the outcomes and ensure that timeous attention is given to issues coming from communities and OSS committees. The study confirms that the war room approach entrenches participatory democracy,

The war room needs to be strengthened to provide a well-defined menu of outreach services that can be delivered by departments at community level without requiring the community to physically go to government offices, such as IDs, birth certificates and application for social welfare grants, among others. This will have the effect of bringing government to the people. There is a need for the leaders to preach the OSS gospel of everyone visiting the war room.

The OSS Model lacks a written blueprint for universal application and its implementation is guided by individual interpretation and lack of standardised operating procedures. While this flexibility allows for innovative solutions to be found, the model gets affected by changing leadership who make different emphasis in implementation and that reduces the commitment to the model (Mkhize & Reddy 2021:98). There is no standardisation of reporting protocol of the OSS Model, resulting in inconsistency. The model needs the managers of the programme to be clearly identifiable, well resourced and properly monitored (Mlambo & Tshishonga 2018:238). There is a need to ensure consistency in the municipal borders and police jurisdiction, as well municipalities must ensure consistency in officials that attend the war room to enable the development of institutional memory. These views are expressed by *Private sector rep & LTT chairperson 1*.

Municipal and provincial departments are expected to attend and respond to household issues arising from community profiling exercises, but many war rooms report irregular attendance. Several respondents reported that there is inconsistent attendance of government officials to war rooms and OSS programme. Various districts reported active participation by some departments, particularly attendance of Heads Of Departments motivated the departmental

officials; while there are others with unsatisfactory attendance, yet their services may be urgently needed in the community (Province of KwaZulu-Natal 2012:47).

The uneven attendance at war rooms by different departments needs to be monitored and the Heads of departments be held responsible for ensuring that the participation of departments occurs as expected. The functionality of war rooms also depended on their location, the more remote, the less accessible. It also depended on whether the site was permanent or temporary and what the structure are ordinarily used for, during holidays school gates and war room venues are closed (Ndlovu 2016:69).

6.12.3 Resolving challenges of local participation

The study found that participatory democracy is one of the cornerstones of the OSS Model. Challenges at grassroots level, in participation at war room level need be monitored, understood and resolved. At the community level there are many statutory and non-statutory bodies that represent or act in the interest of communities, with distinct or overlapping mandates and a potential for competition and conflicts. Effective OSS processes have the effect of streamlining and reinforcing grassroots participation structures such as WCs, school government bodies, community policing forums and others that act as the link between elected public representatives with communities focusing on different sectors and aspects of social life.

6.12.4 Political management and interference

The study found that the OSS Model was successful because the provincial leadership possessed the required skilful political leadership and management to navigate complex political terrain of multi-party coalitions and different ruling parties governing different spheres or municipalities who contest against, discredit and oppose each other but must cooperate in service delivery. OSS management of the political leadership was done very well at provincial and district level. This impacted positively at political administrative interface inculcating a message to civil servants that each of them had a role to play. The skilful political management required in implementing the OSS Model is demonstrated particularly so in the instance where different political parties control different municipalities to the one in charge of the province.

Presidency Chief Operating Officer 5 referred to SALGA's 15-Year Review which reported that political interference in the ward is influenced by the local political dynamics in that ward, however, believes that government initiative such as OSS assured the communities that

irrespective of political inclination, there is a war room that will give attention to the individual concerns in a non-partisan manner. This improved the effectiveness of structures on the ground. In the view of *ex MEC ex Deputy Mayor 4*, there are instances where war room structures in opulent suburbs exclude representation of the poor communities in the same ward. Such politicisation is destructive and need not be tolerated as it defeats the purpose of the exercise.

The political environment in some instances, had a negative impact on the operations of the OSS programmes reported at ward levels. This environment tended to act as a deterrent that discouraged some members of the community from participating. Members of ruling party were seen as the majority of beneficiaries in the programmes. Political interference was reported as a challenge. Children related to WTT members were seen to get better attention than those unrelated and employment opportunities lacked transparency (Ndlovu 2016:57). This confirms the observations by Piere and Peters (2005:26), who indicate that internal politics within the social sector may distort the goal selection because political interests that may have become dominant.

6.12.5 Resource allocation

One of the primary challenges is created by lack of adequate resources to implement the OSS Model (Phakathi, 2016:114). The constrained access to computers and printers, unavailability of state vehicle, limited tools and other essential office equipment limits the effectiveness and functionality of many war rooms, particularly in peri-urban and rural areas (Mlambo & Tshishonga 2018:238 & Province of KwaZulu-Natal 2012:49). *Chief Director: OTP 6* believes that “the current system of resource allocation does not promote integration but rather impedes it.” Further stating that “the allocation has to consider the objectives, location and the outcome of the programmes and whether they target the poor and vulnerable groups in society.” However, there is unevenness in resource allocation as other municipalities were budgeting for implementation of the OSS Model,

6.12.6 Governance in OSS

The success of the OSS was that it was championed from the political leadership office, the Premier, the MECs and the mayors to promote integration of governance issues and programmes. Various departments must play a defined role and the allocation of resources must be given adequate attention. These lessons will assist the DDM if the role definition is clarified early in relation to the development of policy, planning, resource allocation, implementation,

monitoring and evaluation. *Chief Director: OTP 6* emphasised that the coordination of the DDM has to be located in the office of the head of government, to be driven with authority. Other departments have to be involved such as Treasury, Department of Public Service and Administration as these control the State financial and Human Resources.

The emphasis should be more on the outcomes and impact of policies and programmes being implemented in society and contentment of communities targeted by the services delivered. War rooms must serve as the centre for public participation, active citizenry and acting as centres for development. Accountability must be promoted at the local level for all spheres of government and leaders in society with the responsibility to serve the community.

6.12.7 Technology and information management

The OSS and the DDM models can only succeed if all the piles of data collected from household profiles are captured in an information and technology system that integrates all the information and link all departments.

The recording of data of household profiles and community needs need to be stored and managed properly otherwise the loss of information discourages and frustrates communities and render the exercise a useless paper exercise when no interventions arise from the interaction with community.

The IT system must also be able to provide a full profile of individuals and households, thereby enabling government to offer appropriate services. Massive data are generated by the OSS approach, which requires capturing, storage, analysis and processing, requiring an information technology management system. OSS had not adequately developed this capability. The future programme of DDM will generate massive data for processing and an efficient information communication technology management is critical. The government needs to prioritise the procurement of an integrated system of planning, implementation, monitoring and evaluation. Data analytics and artificial intelligence will prove valuable in DDM.

In terms of the OSS, the integrated planning was to be driven through the PGDS/Plan, District Growth and Development Plan and the IDPs. Lessons from Covid-19 have included the use of digital platforms, which can now be utilised to strengthen communication, sharing of information and teaching communities and improving service delivery.

6.12.8 Integration of structures and programmes

The OSS Model was designed with the aim of having people at the centre of implementation since people drive change. The design of the DDM should incorporate the principle that structures and programmes involved in implementation of service delivery need to be integrated. To illustrate practically how the integration happens in each ward, *Departmental official and DTT Chairperson 2* clarifies that in each war room there would be information that enables the WTT to focus on contact tracing and defaulters from treatment to ensure elimination of TB, on the fight against HIV and AIDS, condom distribution and behavioural change issues based on the program from the district aids council, information on gender based violence, abduction “ukuthwala” and rape and petty and violent crimes from the police services. These would all be linked to food security and welfare programmes for poverty eradication. Departments provide reports and share this information for elected, community, traditional, religious and all leaders to champion these issues even if outside their line function responsibilities. *Ex MEC ex Deputy Mayor 4* relates the experience of how it was recommended for local municipalities that lack resources to pool their skills and provide integrated services at a district level, a process that promotes cooperation between local and district municipalities. The study confirms that integrated planning and service delivery is the best method of delivering services and fighting poverty involving government and society, thereby making the fight against poverty a societal issue.

The support given to local government by the higher spheres reinforces the role and effectiveness of local government hence its credibility in the eyes of the public as a result of what *Presidency Director-General 5* refers to as “bully pulpit”.

Integration has to involve both vertical and horizontal dimensions based on the realisation that challenges tend to affect value-chains and a challenge at one sphere often involves other spheres and requires a new set of skills. There should be emphasis on outcomes and impact of implemented programmes. Functional teams need to be created with agility and flexibility to avoid policy rigidity that frustrate programme implementation. The performance management system must promote programme implementation and service delivery at local level. Any incentives, financial awards and bonuses should be linked with successful delivery on the ground that demonstrate the practical fulfilment of community needs. One respondent suggested that incentives should be provided for community members who do community work without receiving remuneration from government,

6.12.9 Integration of all fieldworkers

Integration of structures is critical to achieve integrated development. These structures mobilise the communities and direct the efforts of society towards fulfilment of set goals, thereby putting people at the centre of development. The respondents believe that these integrated structures must be at the centre of the DDM, with such latitude and flexibility to make implementation possible.

The role of fieldworkers in OSS is crucial, particularly in gathering data and providing profiles on the conditions in households and communities. However, the challenge identified by researchers and respondents is that there exist fieldworkers of different types, with different conditions of employment, some are paid a stipend while others are unpaid volunteers. All categories of fieldworkers have different responsibilities and are supervised by different departments, but all actively servicing communities in the same area. Various departments have different fieldworkers that interact with communities, such as DOH/Department of Social Development: CCG, COGTA: CDW, and others. The overlap of these cadres may result in maldistribution and duplication and absolute lack of services because of the silo mentality of the departments that deploy them. There is a risk of unequal distribution, confusion and “field worker fatigue” when different fieldworkers visit the same families to deal with different but related issues. To ensure equitable distribution of available resources, the integration of all fieldworkers is crucial. These field workers need re-training with standardised entry conditions and conditions of service and stipends, to provide a more inclusive and comprehensive services and redistributed. The DDM needs to incorporate these lessons to be effective and move beyond planning to implementation.

6.12.10 Quality of services

The respondents emphasised that the communities have a right to raise the issues of quality service delivery and accountability with leaders such as the political and administrative champions, including councillors, mayors MECs and the Premier. Chief Director: OTP 6 argues that partnership with communities means that communities are entitled to determine the quality services in a proactive manner and participate in designing the programmes that put communities at the centre of the activities.

6.12.11 Importance of monitoring in building the District Development Model

The study found that a district-based development model needs planning, budgeting and implementation based in a district council where coordination and partnership of all stakeholders will combine community priority needs and departments sector plans. To achieve district-based planning, IDPs should be developed from the local municipalities entailing projects that can be implemented at district level with cooperation, support and partnership from national and provincial spheres of government. This underlines the importance of fostering cooperation among departments and spheres of government and a process that is inclusive of social partners to achieve integrated development. Planning and implementation should be monitored across the district. Participation of all departments in different spheres need to be monitored and enforced to achieve the desired development outcomes. For effective monitoring, *Presidency Director-General 5* recalled how early on, the OSS Model clearly identified structures to be formed and targets to be met by those structures. This made monitoring effective.

6.12.12 Accountability

The respondents warned that the DDM will suffer the same fate and challenges to those in the OSS above unless the lessons from the evaluation of OSS are infused into the DDM. Concerns about implementation require serious attention. To fight unemployment and poverty for the government departments, the challenges are many. They may be conceptual, planning, implementation. When departments need to account for unemployment, the picture is incomplete unless private sector is mobilised. There is another challenge of accountability in the case of partnerships between government with various stakeholders involved in implementation, coordination and sharing procedures of decision making and arrangements yet they have different mandates, visions, powers, roles and responsibilities. Various issues need to be clarified such as approach to monitoring, evaluation, dispute resolution and have agreement on how consultations and negotiation will be conducted. The area of risk identification becomes very important to identify challenges that may be unforeseen. Issues of implementation and accountability in the presence of multiple stakeholders must be kept in mind.

There must be clear key performance indicators on OSS to ensure that the desired outcomes are included in the performance management system. OSS promotes accountability as the

concept enables the leaders and public servants to come face to face with the people they serve and not rely on reports from subordinates, and are, therefore, hands-on in implementation and oversight. Champions must take leadership in ensuring that all structures are accountable to society at all levels.

The need to strengthen monitoring and accountability, has been highlighted by respondents. They point out that accountability has to be ensured in all departments, particularly the national departments. Profiling communities and participating in local OSS activities needs to be regularised because if it is not included in the key performance areas, managers tend to disregard the OSS activities.

6.12.13 *Ubuntu*

This study found that OSS has created an image of a caring government that is improving the lives of the people. OSS represents a responsive government, a caring and compassionate society. The OSS approach is focused on solutions of community problems, thereby ensuring that the government is seen as responsive to the plight of the people. The study found that the OSS approach is humane and not intimidating. On community issues, there are no experts who know all, but all members contribute meaningfully, and each contribution is valued. A solution may be proposed by the community and government officials do not use technical jargon to confuse others but use the simple language that all understand. The OSS conscientises public representatives and public servants that people come first as a matter of principle, *Batho Pele*, to fight inequality and poverty. This approach strengthens the spirit of *Ubuntu* (OSS; Five-Year Review: Province of KwaZulu-Natal 2015:31).

6.12.14 Communication

The study emphasised the importance of communication in the promotion of behavioural change and reduction of public protests. Communication between government and the citizens must be timeous, informative and effective to promote transparency. Language of conversation has to be simplified to accommodate community especially as some community members may be elected to be the chairperson of the structure. Community concerns and questions need to be listened to and be addressed. Various modes of communication used include mass meetings, door-to-door visits and attention to walk-ins. The study confirmed that the strength of OSS Model is the confidence built through open communication between the government and community. This enabled the OSS to champion behavioural change and diffuse community

frustrations and conflict where there is dissatisfaction on service delivery concerns. The respondents believe that the early availability of leaders to address public concerns has reduced public protests in the province and built trust with communities. The respondents credit the impact of the AIDS Campaign to the successful implementation of the OSS Model that ensured that positive messages resulted in behavioural changes, awareness of the importance of safe sexual conduct in prevention of sexually transmitted disease. The OSS Model is appropriate for law enforcement partnership as well community participation in the fight against crime and gender-based violence. It will also enable government to make progress in the fight against poverty and promotion of food security.

6.12.15 Build a developmental state: Build sustainable communities

The study found that it is critical to build a capable state as specified in the National Development Plan in order to build sustainable communities. A capable state needs to be built with a capacity for immediate intervention when necessary, to address the acute distress and long-term impact on poverty. This must be based on accurate assessment of the community needs and resources available. *District Mayor 2* explains that the OSS Model is well positioned to be used as a platform to build the developmental state and sustainable communities as a strategy to move South Africa in a direction towards self-sustainability, away from a welfare state. This programme for sustainability could be based in districts and utilise the district agents as a facilitator for development agenda. The war room should be used to foster a sense of responsibility to those who receive social grants in poverty eradication and food security by supporting food production.

6.13 CONCLUSION: PROPOSALS ON THE DISTRICT DEVELOPMENT MODEL

This chapter analyses the findings of the research, indicating that, based on the service delivery challenges identified in this study, the success of the OSS Model lay in the simultaneous implementation of the five convergence principles, namely: cooperative government, IGR, good governance, community participation and integration of services. The findings lead to conclusions that these principles resulted in the success of the OSS Model, creating a moral responsibility for all entities and stakeholders to cooperate because of the “whole of government and whole of society” and *Ubuntu* approaches as the core philosophy of the OSS. The OSS provides the interlinkages required by the multi-level governance system in

concurrent competences and stakeholder involvement in decision making associated with liberal democratic model of government.

The findings highlight the central role of districts in the coordination of planning involving the three spheres of government, this is enhanced by the central role of the war room in the development of IDPs. This is based on the war room facilitating the integration of community activities and promoting accountability. The findings identified weaknesses in the implementation of the OSS Model and the need to take the lessons to strengthen district-based budgeting and planning.

Since 1994, respondents pointed out, there has been over 60 service delivery improvement and development initiatives to deal with integration and coordination, such as, ISRDP urban rural program, project consolidate, back to basics and others. Each of these were never institutionalised or evaluated and almost all of them have been abandoned. There is no continuity, no evaluation and no lessons learnt. Initiatives that are not institutionalised become flavour of the month. The respondents believe that this approach results in a tendency to overhaul everything and start afresh. This destroys the programmes at a point of implementation and takes no lessons from the previous experience and risks reversing progress made.

The war room approach strengthened participatory democracy and needs to be maintained to remain effective. OSS set integrated structures across the province to fight against poverty, HIV and AIDS and social ills. Clear guidance was provided on their mandate, programme of action, data to be collected and matrix developed to do analysis for each ward, local municipal council and districts to identify community needs and provide solutions. The downfall was in the referral mechanism for the departments to respond to the community needs. This delay discouraged and caused difficulty to the community. The other challenge was the huge amount of unprocessed data maybe due to the fact the departments had not planned for those services demanded. To improve OSS national government needs to be part of the joint planning.

The study found that through OSS, the participation in the war room enables the municipality to be active in matters outside their competence, such as fighting crime, economic development and others. The image and effectiveness of local government is enhanced by their involvement in areas outside their competence and the partnership provides an integrated solution to improve the lives of the citizens. This assist because the communities may be frustrated by

poor service delivery and protest or march to municipal offices, yet the services of their concern are outside the competence of the municipality. Such matters may be resolved through the cooperation of different spheres and departments cooperating at a local level. To resolve these matters, the OSS provides a platform for the partnership between government spheres and civil society, business and other sections in society. The OSS creates a platform for fieldworkers to report about community issues to senior government officials and be taken seriously when under different circumstances they would have been disregarded by bureaucrats in department offices.

The impact of the concept was well captured when *Presidency Chief Operating Officer 5* recalled how the Presidential Coordinating Committee had repeatedly received the KZN Premier's report of the successes of OSS with accolades. The OSS Model was unique because it focussed on IGR and IDP. There are instances where the officials assigned to OSS had no understanding of cooperative government and operating in silos went unabated. The design of the constitution intended the government functions to be viewed as a value chain in approach and not focus on a single department and its challenges. There are functions that run across three spheres nation such as, planning. It is seldom that challenges experienced in one sphere are only confined to that sphere alone. Problems at local government may be related to challenges in provincial and national spheres. It may assist to look at challenges in the form of a value chain so that the intervention across spheres may be effective. This requires an additional set of skills such as business processing to identify blockages in the system and make implementation possible.

OSS was a game changer. Champions were supposed to bring support from the province and national sphere to the coordinating role districts played. The Champions' role were to drive the development programme in the district. The presence of public representatives from local, provincial and national in one space brought more weight to the mayor in supporting the district to play the IGR and coordinating roles.

The OSS Model made MECs and Mayors to be champions and because of the coordinating role they played they had the knowledge broader than their own sectors. Therefore, the OSS Model was empowering the mayors and MEC beyond what is defined by law. The support from the Presidency to OSS enabled the districts to use the "bully pulpit" influence. The OSS Model ensured that the provincial and national government support worked to strengthen

the programmes in support of the districts service delivery initiatives which would have been impossible if the district was working on its own.

The government adopted the use of IDPs at the level of municipalities. According to *Presidency Director-General 5*, the well-resourced municipalities employed consultants at high cost, to draw their IDPs. Other municipalities just did a copy and paste by replacing the name of the municipality, simply to comply, yet the product had nothing to do with the particular municipality. As such many IDPs were not implementable as they were compliance requirement not based on the conditions in each municipality. *Presidency Director-General 5*, emphasised that the national and provincial departments require vertical dimension of IGR within a municipality and had no capacity to field staff everywhere the IDPs were being prepared by 257 municipal councils in the country. This is what raises the need to focus on districts as centres for coordination.

Many departments assigned junior staff to deal with IDP. Many of the junior officials had neither experience nor insight in integrated planning in municipal space. IDP process was inconvenient compliance by municipal councils with no capacity or inadequate resources and departments were forced to comply with an inconvenient requirement. The war room experiences assist municipalities to shape their IDPs instead of relying on consultants. There are reports of poorly attended public meetings convened by municipality for the community to listen to consultants presenting IDPs which are not informed by needs and experience of the community. Just because the municipality has to comply with need to submit IDP, the objective of the IDP in improving lives of the people may be missed.

Misalignment may arise between IDPs and APPs if the IDP is not part of Annual Performance Plan (APP). The manager will be evaluated on the contents of APP which contains nothing about the IDP. The Auditor-General will assess on basis of individual APP, not on basis of integrated service delivery and performance involving other departments that are expected to cooperate in integration of services.

The concept was later adopted and adapted for countrywide application as the DDM. The study confirms that advent of the DDM is premised on expanding the OSS concept nationally, promote cooperation across different spheres and departments leading to the creation of a single plan in every district.

Lessons, similarities and contradictions between the two applications must be studied and refined to improve the new approach taking lessons from previous initiatives. The launch of the DDM highlighted the approach of one plan one budget one program. It represents the streamlining of the OSS in the whole of government. OSS gained its popularity in the management of HIV AIDS and other pandemics because of its ability to reach every household. This template can be adapted for other pandemics such as Covid-19. The respondents noted that proposals on the DDM seem so far to be focussed on involvement of government employees but not much focus on community leadership involvement.

For the success of the DDM, according to *Chief Director: OTP 6*, branding and an awareness programme is important to get the buy-in of the public servants (especially from national government level joining the approach for the first time), who may be feeling that the DDM does not affect them since they do not serve in districts and were not previously involved in the OSS type approach. It needs to be made clear that the DDM is a programme for all of government and requires the participation of every public servant. The focus of OSS was implementation. The focus of DDM is planning and budgeting. The lesson is that for success, the planning, budgeting and implementation must all be linked. The lessons must be heeded from the District Growth and Development Plans that were never implemented. The planning teams need to be linked with the implementation teams in war rooms, LTT's and DTT's. Decision making at a local level can be strengthened by deployment of senior officials to OSS structures.

The study found that there is need to ensure consistent implementation of the OSS concept and there is need to ensure that war rooms are of the same quality and appearance in all wards, across municipalities and provinces.

Presidency Chief Operating Officer 5 warns that for a successful implementation of the DDM, government should ensure that DDM is not seen as COGTA departmental plan to fix dysfunctional municipalities but a different way of how the whole public service must begin to work.

The main lessons from the OSS experience is for the government to normalise and institutionalise integrated development planning so that its success should not depend on each province while unsuccessful in others. OSS and DDM should be seen as a manner of delivering services that involve the entire public service and not only something to fix ailing

municipalities, and, therefore, everyone in government needs to know about it and be involved. The philosophy of OSS and DDM should be the new normal which makes it abnormal for any department to plan and implement a programme without other departments being consulted to commit their own investment involved in the value chain for the successful delivery of the services or infrastructure project to benefit the community.

CHAPTER 7

GENERAL CONCLUSIONS AND RECOMMENDATIONS

7.1 INTRODUCTION

This research focused on service delivery at the provincial sphere of government, a case study of the OSS Model in KwaZulu-Natal. The research involved perusing various secondary sources which included, among others, literature, publications, public media, statutes and government publications as well as primary sources in the form of direct individual and focus group interviews and questionnaires.

The challenges in governance based on the system and structure of government, were identified through this study based on the primary and secondary sources consulted. The challenges in planning and implementation of service delivery, were identified in the following aspects: cooperative government, IGR, governance, community participation and integration of services. This aspect forms the main thrust of the study as is elaborated below.

Service delivery needs to address challenges faced by society due to socio-economic conditions which are part of the legacy of apartheid and colonialism as well as underdevelopment. These include diseases (TB, HIV, AIDS), social ills (substance abuse, crime, unplanned teenage pregnancies, etc.), lack of education and skills as well as environmental degradation, among others.

The National Development Plan is a blueprint to confront and resolve the above societal challenges in South Africa. The study has made findings on how the OSS Model assisted in implementing the programmes of service delivery and development and further makes recommendations on how to improve the OSS Model and how to use lessons learnt to apply the model across the country.

7.2 CONCLUSIONS OF THE STUDY

The study, as guided by the Governance Theory, analyses the challenges in service delivery and diagnoses the source of the challenges. It assesses the impact of the OSS Model in improvement of service delivery and explains why the OSS Model has been effective. This study is unique in so far as it has focused on **the five overarching principles** embodied in the OSS Model, which no other study has done. The research finds that it is the simultaneous

application of these overarching principles that resulted in the success of the OSS Model, together with the ability of the OSS model to engender the spirit of cooperation and partnership, which is based on the philosophy of *Ubuntu*, thereby making the OSS Model a home-grown model similar to the *Bundestru*e in the Federal German Republic.

The research demonstrates the inherent weaknesses of the different governance models based on the Theory of Governance which confirms that the challenges in service delivery and governance confronting South Africa are a result of the design of the systems of governance. The Liberal–Democratic Model provides for the role of governance for both state and society as well as multi-level governance. However, the role of the State actor in the Liberal–Democratic Model remains dominant but avoids draconian approaches in enforcement and rather employs less intrusive and less coercive instruments in governance, to induce societal cooperation that ensures implementation. Multi-level governance, together with the concurrent competencies that encourage autonomy of each entity, therefore, lays the Liberal–Democratic Model open to misalignment, silo mentality, turf battles, bureaucratic fights, competition and inability to pool resources among departments, spheres and entities which should be cooperating to achieve better outcomes. Multi-level governance and concurrent competences require institutional linkages to provide coordination and avoid misalignment. The South African Government Model can be closely aligned with the Liberal–Democratic Model, and, therefore, possesses the weaknesses in the coordination of policy formulation and implementation of plans, which has a negative impact on service delivery and governability in the country and, as such, on political stability.

Effective service delivery is only possible if different spheres and entities of government are coordinated and aligned to achieve integrated service delivery. Experiences in many countries indicated that each country has had to develop its own practices to achieve integration. The discipline of IGR was introduced in the 1930s in USA, as a conflict resolution mechanism, to make it possible for structures to be formed across different spheres of the State, especially for coordination in situations where concurrent competences are enshrined in the Constitution. To implement the Cooperative Model of Federalism in Germany, there was a need to “create a network of interdependencies that resulted in the balance between dual and centralised federalism” (Woolman & Roux 1994:432). The South African Government System, while professing to be unitary, has various federal features based on the distinctive subnational areas of jurisdictions, named provinces and local municipalities, with concurrent competences and

boundaries defined by the constitution. Chapter 3 of the Constitution of South Africa makes provision for cooperative government, that arises from the concept of “cooperative federalism”. This chapter calls for respect of the different roles, powers and authority of each sphere while recognising that the imperatives of governance dictate that these entities and spheres work together as interdependent structures. The research findings demonstrate that the effective integration depends on successful negotiation of the IGR and implementation of cooperative governance; without which there is no alignment and no coordination, which is the prerequisite for integrated service delivery. Different countries have defined various institutional mechanisms to ensure the sound interlinkages between entities. Since the adoption of the constitution, South Africa has had to define various statutory and non-statutory instruments and practices to implement the provisions of the new dispensation. South Africa has experimented with various strategies to achieve integrated development and service delivery, the latest of which being the OSS Model. The OSS Model is based on recognition of these principles and has evolved after many integration strategies have been attempted. The structures of the OSS Model (WTT, LTT, DTT and Provincial Task Team), ensures integration at ward, local municipal, district and ultimately provincial level, in addition to structures provided already through the intergovernmental framework Act (2005). Each of the task teams report to the local, then district and ultimately provincial executive level. The OSS structures are premised on the overarching principles and an OSS-based commitment for partners to cooperate.

This study makes a finding that the OSS Model played a role in creating an environment that promotes the spirit of cooperation and partnership. Whereas the Constitution provides for the creation of different structures to facilitate IGR, cooperative government cannot be easily achieved. Without cooperation, IGR structures may not be as effective as expected, thereby impacting negatively on service delivery. The increasing incidences of maladministration, corruption, public protests and community dissatisfaction has created a “doubt about the contribution of cooperative governance and intergovernmental relations” (Coetzee 2010:84). Coetzee has argued that at the heart of the problem of public protests and instability is the challenge of cooperation, implementation and coordination between various spheres of government.

This researcher concludes that the OSS Model encapsulates the spirit of cooperation and partnership, which is essential in facilitating the cooperation between departmental officials in

different spheres of government and the community. Therefore, OSS strengthens cooperative government, enhances IGR, promotes good governance and integration while deepening democratic participation. The momentum for the OSS Model is propelled by the underlying desire by citizens to ensure that the post-apartheid democracy serves the majority of the population, particularly the marginalised communities, by transforming their lives through purposeful development and integrated programme to eliminate poverty and inequality. The OSS promotes the intrinsic inclination for all participants to do good and participate in building a better society, as individuals, households or community in the area. This is the essence of *Ubuntu*. It has been pointed out by respondents that the strength of the OSS Model is its embodiment of the spirit of *Ubuntu* which is infused in the concept. *Ubuntu* ultimately appeals to each individual who plays a critical role in governance as part of the OSS structures. The spirit of cooperation and partnership is therefore invoked in the OSS structures, as representatives of the war rooms representing different wards come together to process integrated issues at a local municipal level, constituting the LTT. These teams all converge to form the DTT of the OSS Model. This approach puts district municipalities equidistant between local municipalities and provincial government in the planning and implementation of policy and service delivery programmes, and, therefore, at the centre of coordination in a province.

The study found that the spirit within war rooms encourages the community members to express themselves freely as equals to influence the decision making process and the public servants to respect all participants. The sensitivity of the issues raised by the community directly or by fieldworkers to the public servants are taken seriously. The model creates an intrinsic desire to succeed together, a duty to support one another and thereby fostering the spirit of partnership and collective responsibility among the government and community stakeholders, that permeates through OSS structures. The OSS Model makes all participants feel they are equal partners with an obligation and responsibility to cooperate and succeed together in finding solutions for challenges facing the community. This spirit promotes formal and informal relations, mutual respect, trust and a desire to successfully achieve a common goal and an impact in the community through the services that are an outcome of a joint programme of cooperation among partners. Among the respondents who have served as leaders in the OSS structures are public servants, traditional leaders, members of business and civil society, all of whom attest to this OSS spirit as an inspirational source of partnership and cooperation. The respondents confirmed that the implementation of the OSS Model reduced community frustrations and protests because the source of discontent is addressed early through

the war rooms, a process that triggers the improved communication between public representatives and communities which serves to restore hope and trust in the government.

This researcher concludes that the OSS Model encapsulates the spirit of cooperation and partnership, which is essential in facilitating the cooperation between departmental officials in different spheres of government and the community.

In articulating the Theory of Governance, Pierre and Peters (2005:1-3) state that the concept of governance is not precise, but conceptually and operationally the State and society interacting in governance. Currently, in the OSS Model, both government and society are involved in governance. These scholars argue that over the centuries, the State has gradually lost its all-powerful position in controlling all policy outcomes. Governance however still depends on the ability of the State to enforce decisions, which implies the power of the public sector and its legitimate authority. Governance involves implementation of sound administrative principles and demonstration that the authority of the State in service delivery is about fulfilment of social needs and for the common good of the citizens and not just for the sake of bureaucracy. The Governance Theory highlights the centrality of accountability in governance premised on internal (legislative and executive accounting processes) and external mechanisms (electoral system), underpinned by democratic participation. Various bodies (representing civil society, business, labour, community) tend to be consulted through making presentations at designated levels, such as Portfolio Committee and Advisory Boards. Important as these forums are, they do not pretend that there is equality of power in discussing the issues, but stakeholders merely advise and make suggestions.

It is worth mentioning that in terms of the Arnstein's ladder of participation, the OSS Model has a variety of levels of participation which, in some instances, seem unsatisfactory. The level of community participation needs to be strengthened across all platforms. This is the foundation for legitimacy. The Governance Theory is further focused on the important features that determine the legitimacy, such as the confidence in the institutions of governance and involvement of civil society and Network Governance. Meaningful participation would play a significant role in building public trust and hence the legitimacy of institutions. Another factor that impacts upon the legitimacy and affects the public confidence is the "performance" of government. "Performance" refers not only to the quality of services rendered, "but the (state) ability to keep the public satisfied (Pierre & Peters 2005:120). Public dissatisfaction brings about the concept of 'overloaded government'. These are governments that deliver services

below the expectation of their constituency. This may negatively affect legitimacy, as the public expectations may far surpass the government's problem solving capabilities while underplaying genuine service delivery efforts by the State. This situation is delicate because of instances where the community expectations far surpasses the available resources and situations where there is a genuine over-reliance on government may create a situation of "overloaded government." South Africa has experienced features of "overloaded government" through violent public protests that result in the destruction of existing infrastructure while protesting against lack of other public amenities.

The research demonstrates the importance of legitimacy of state authority and democratic participation in ensuring governability in order to prevent social and political upheavals through effective service delivery. The principles of cooperative government, IGR, integration, governance and democratic participation are seen as overarching principles implemented by the OSS Model. Therefore, in the OSS Model, effective governance and meaningful participation by civil society, assist in contextualising the service delivery for social partners to appreciate genuine fiscal constraints and ensure there is no erosion of public confidence, since the social actors are credible partners in the governance.

This would address the current challenge of public discontent and protests arising from erosion of public confidence in institutions of governance in South Africa. Currently, the rising public protests and the violent turns these are taking, require an affective mechanism to improve service delivery through the OSS Model. The research has identified various shortcomings of the OSS Model, which need to be addressed to assist in rebuilding the confidence in the institutions of governance. This is the basis on which the respondents view the OSS Model as representing "all of government and all of society approach".

7.3 LESSONS FROM THIS STUDY

In this section 7.3, the lessons are identified from this study and then followed in section 7.4 by recommendations to address the weaknesses highlighted in the lessons.

7.3.1 Leadership

Based on the views of the respondents, it can be concluded that the strength of the OSS Model has been linked to the quality of leadership provided by the champions and senior managers. The ability of the champions to assist in removing the bureaucratic blockages in the system and

create the environment where both political and administrative officials support the local government ensured that OSS implementation succeed. Therefore, it can be concluded that the incorporation into the OSS Model, of the 2001 strategy of appointing champions adopted in the Integrated Sustainable Rural Development Programme (ISRDP) and the Urban Renewal Programme (URP); remains effective. It can also be further concluded that the deployment of inexperienced junior administrative officials resulted in poor planning and implementation by virtue of their inability to take decisions and having no significant control over the budget. This creates the weakness of the OSS Model. Failure to link the collaborative role of the senior managers across departments in the OSS Model in their Key Performance Indicators and Annual Performance Plans is a serious weakness of the OSS that hampers implementation and makes it impossible to hold the public servants accountable for failure of integration. Similarly inconsistency in attendance by the administrative officials robbed the process of the institutional memory that would make the necessary impact of the OSS Model. This is particularly important because there is a significant contribution created by informal relations in creating the cooperative spirit in the OSS Model. The recommendation by respondents that there must be a standing item in the agenda of municipal councils is a recognition of the inconsistency in the management of the OSS reports by municipalities. This indicates that these reports are dealt with in different manners by the municipalities. It is concluded from the study that the OSS Model has added benefits to local leaders because OSS provides information that allows the local representatives to be part of service delivery programmes beyond their mandate but for the benefit of the community, as a result of the integration.

7.3.2 Strengthening the war room

The study has concluded that the basic unit of the OSS Model is the war room in the ward where integration of plans and implementation should occur. The strength of the war room is the participation of various departments and their ability to provide services closer to the people. The OSS further creates the platform for local democratic participation involving leaders from various community formations. Therefore, the strength of OSS is that it forms a basis for a consultative bottom-up planning process. Several departments play a significant role in poverty alleviation in the community, such as the Department of Health, Social Development, South African Police, Education, Home Affairs, Human Settlements, among others. The inconsistent attendance of government departments has been pointed out by various researchers and respondents to this study as the weakness in the effectiveness of war rooms.

The respondents further highlighted the importance of allocating adequate resources and capacity building to improve efficiency and effectiveness of the war room and ensure timeous response to service delivery needs of communities.

It is also concluded that the other challenge of the OSS Model is the lack of a legislated framework or standard operating procedures to ensure consistent interpretation and application of the OSS Model across the province and the country. This makes it difficult for the OSS Model to offer comparable quality of services and demonstrate equal and consistent success across the country since the inconsistency may arise from uneven implementation of the model in each municipality across the country.

7.3.3 Resolving challenges of local participation

The study confirms that participatory democracy is the cornerstone of the OSS Model. The study has pointed out the need to manage and distinguish the role of the war room and that of representative grassroots structures such as the education (SGBs), health (Clinic Committees, AIDS committees), police and safety committees (CPFs) in the ward. The war room has been demonstrated as providing the platform for all these structures for local participation, to be coordinated and their issues to be integrated. There exists a Statutory Framework for Community Participation in South Africa, such as the Constitution of the Republic of South Africa Act 108 of 1996, Local Government: Municipal Structures Act 117 of 1998 and Local Government: Municipal Systems Act 32 of 2000. Despite the provisions above, Hilliard and Kemp (1999:253-270) identified various barriers to local participation, such as power relations between government officials and community, the level of organisation in community, participatory skills, political will and resource allocation. The study found that the OSS Model mediated the power relations between the community and the government officials by insisting that the officials avoid complex jargon and simplify the language, thereby creating a sense that everyone is equal and community contributions are welcome. It is also inferred that the respondents' sentiment that "OSS Model created a spirit of a caring government" has demonstrated a positive political will for leaders to support community participation. However, the outcry for war rooms to be resourced seems universal. The level of organisation of the OSS Model varies in each community, which would clearly affect the confidence with which the community would engage government officials. Sherry Arnstein (2019:24-34) provided a ladder for community participation ranging from manipulation, therapy, informing, consultation, placation, partnership, delegated power and citizen controls. The study did not

clearly establish the levels of community participation in OSS Model based on the Arnstein ladder.

7.3.4 Communication

The study concluded that communication played a major role in the OSS Model. This arises from the fact that the model generated information that was distributed to the community to enable the change of behaviour in the fight against poverty, devastating diseases (such as TB, HIV, AIDS), social ills (such as drugs and substance abuse, gender based violence and feminine, criminality, teenage pregnancies). The partnership between government and community leadership enhanced the acceptability of the messages. Effective communication has been credited with diffusing the protests where dissatisfaction arises from inadequate service delivery. The meeting of AIDS targets in KZN were attributed to the effectiveness of communication in behavioural change fostered by the OSS approach.

7.3.5 Integrated information and technology system

The study found that there is a huge amount of data that is generated by household and individual profiles. The community needs and challenges have to be recorded, stored and processed as well as being responded to. The process to integrate the data and converting it to service delivery plans and programmes can only be successfully performed if there is an integrated information and technology system which would improve the impact of OSS Model.

7.3.6 Integration of structures

For development to be sustainable it has to be integrated, people-centred and be based on coordinated partnership of government and community stakeholders. The study confirms that for a successful fight against poverty, integration of planning and service delivery is key. The study found that vertical integration of all spheres and horizontal integration of departments and municipalities needs to be coordinated at each sphere. Fighting poverty is a societal issue that requires partnership between the government and civil society, including business, traditional and religious leaders and community structures in Non-Governmental Organisations and CBOs. The OSS Model is focused on these players being coordinated through the WTT, LTT, DTT and Provincial Task Team. The OSS enabled the district to receive support from the provincial and national government which enables municipalities to champion services outside their mandate.

7.3.7 Good governance, building *Ubuntu* and fighting corruption

The study found that rising corruption, administrative irregularities and maladministration have eroded the trust that society has in government. This loss of confidence undermines the legitimate authority that should ensure people's respect for law and order, thereby impacting negatively on governability in the country, as evidenced by rising dissatisfaction and violent public protests. Rising poverty, unemployment and inequality if not addressed pose a risk of creating social upheavals and instability that need to be proactively prevented. Some of the protests are fuelled by the concerns around corruption and an unsympathetic treatment in state offices.

The study found that the OSS Model promoted good cooperation, respect and communication between the leaders and the community and assisted to diffuse potentially disruptive community protest action. The study further found that the OSS Model assisted in building of the spirit of *Ubuntu*, which evokes the spirit of each one carrying a responsibility to care for others. Other researchers have identified *Ubuntu* philosophy as essential to building an upright civil servant, while the Batho Pele principles of putting people first, reinforce the caring attitude to society that civil servants require to offer services with a caring ethos. The elimination of corruption, building good governance and promotion of *Ubuntu* needs to be a defining characteristic of the service delivery in South Africa.

7.4 RECOMMENDATIONS

The recommendations are based on the lessons from the OSS that will strengthen the DDM. To make the OSS and DDM models more effective, recommendations have been made to address the shortcomings and certain weaknesses that have been identified.

7.4.1 Leadership

Competent and credible leadership of the OSS Model is critical. Adequate training, consultative and interactive processes will assist to guide executive leadership to steer the DDM. Senior departmental officials need to be deployed into OSS and DDM structures and clear roles need to be defined for political and administrative functionaries. To implement the model countrywide, it's important to allocate the political and administrative managers to the districts to fulfil the same function. The Annual Performance Plans and performance agreements, should be aligned to the interdepartmental programmes to ensure accountability

of administrative staff. Reports from the OSS Model should be standing items in local and district municipal and provincial meetings, with mechanisms for feedback reports to be referred to structures where the matter had arisen.

7.4.2 Strengthening the war room

The war room must provide a clear list of services available to bring services to the people. War rooms must be well-resourced and all participants receive training to better manage the community needs. The attendance of departmental officials must be monitored and be made compulsory and consistent to create the balance for services required by communities. Regulations or Standard operating manuals must be established to guide the implementation of the OSS Model and ensure the consistency of application of the concept. This recommendation is relevant to the DDM.

7.4.3 Resolving challenges of local participation

It is recommended that the resourcing of war rooms be prioritised. It is recommended that future studies focus on the levels of participation and guide the OSS Model or DDM on deepening the participation to ensure people are empowered in the process of their development. This would improve the accountability. Similarly, there does appear that training is needed for both community and its leaders to improve the impact on the war room as this may improve effectiveness of the model and accountability to communities. Resources need to be allocated for ensuring participation where barriers to participation may be experienced, such as: rural-urban divide, levels of poverty, low level of education and language barriers which may hinder full community participation.

7.4.4 Communication

Communication regarding the community needs, priorities and challenges in service delivery, has to be regular, relevant, strong and credible to the public to address community dissatisfaction. It is recommended that in order to strengthen the OSS and DDM models, direct contact and regular engagement by leaders with the community, combined with timeous and relevant communication be intensified to build trust and confidence of the community in government.

7.4.5 Integrated information and technology system

It is recommended that both for the purpose of strengthening the OSS Model and implementation of DDM, government has to invest in an information and technology system that will integrate data collection, analysis, integrated planning, implementation, monitoring and evaluation. The system should integrate ward based information and district wide reports, linking IDPs, District and Provincial Growth and Development strategies of plans. The integrated technology should be located at each level, ward, local and district municipal, provincial levels to ensure adequate monitoring, making it possible to establish war rooms at each of those levels.

7.4.6 Good governance: *Ubuntu* and fighting corruption

A district wide campaign must be embarked upon on the prevention of corruption, promotion of good governance and the culture of *Ubuntu* to be deepened both in civil service and in society to build integrity in leadership. This process must focus on creating good citizenship, clean government, deepen principles of *Ubuntu* and build patriotism and a caring and humane society. This should enable communities to utilise democratic participation to resolve problems and eliminate violent protests of communities who feel unattended.

7.4.7 Integration of structures

The structures have to be integrated to ensure that there is a point for all departments and stakeholders to converge. The LTT, DTT and PTT should be streamlined to operate in a relationship with the existing structures to reduce silos. Fieldworkers need to be integrated as multi-skilled operators with a broad range of knowledge to enable them to handle different challenges in the communities and reduce under-servicing, duplication and over saturation in deployment of these cadres. Each should be capable of managing community profiling, health, education, crime, and share basic knowledge in support of community development.

7.4.8 Strengthening the District Development Model

District-based planning and budgeting should be entrenched as a standard part of annual planning and budgeting. Consideration should be given to harmonising the budget cycles and financial years of local, provincial and national government, to align the budgeting cycles. A legal framework should be developed to entrench the implementation of the OSS Model and the DDM approaches. The definition of the relationship between these two is more a matter of

aligning and branding to ensure that the concept is understood similarly at all spheres of government to avoid confusion. The standard operating procedures need to be developed to ensure standardisation of approach at all levels and limit asymmetry. The role of the OSS Model (or DDM) in fostering the spirit of cooperation and partnership between government and stakeholders should be acknowledged, supported and entrenched, as this is at the core of cooperative government across the three spheres with constitutional powers; in the same spirit as '*Bundestruhe*' in the German Federal Republic. The OSS model provides the spirit of cooperation and partnership, as well as a responsibility and an obligation to support each other and participate in a platform created for the successful functioning of intergovernmental structures as '*Bundestruhe*' does in the federal government.

The use of consultants in drawing of IDPs should be reconsidered. Deployment of consultants should be limited to using them to eliminate the adoption of 'cut and paste' plans for compliance purposes yet these plans may be inappropriate and unimplementable. Consultants may be useful in collating products of deliberations in war rooms, LTTs and DTTs to construct IDPs at ward, local and district municipality level as part of the IDP process. The role of the Department of Cooperative Government and Traditional Affairs should be central in supporting municipalities to finalise the IDPs, District Development Plans and implementation plans. This will balance community participation in integrated planning and create a balance between bottom-up and top-down planning that takes in to account local inputs to national and provincial strategic planning and implementation.

7.5 CONCLUSION

The study has fulfilled its purpose of identifying challenges in service delivery and made a proposal for improvements and in strengthening the OSS Model and guide the implementation of the DDM. The study has contributed to the understanding of governance in the context of OSS Model highlighting the role of OSS in building the spirit and responsibility to cooperate among State entities and democratic participation, which is comparable to the German concept of *Bundestruhe*. The study emphasises the convergent principles entailed in the OSS Model, which are critical for the success of the OSS Model and future models. The study fills in a missing gap in the Theory of Public Governance in South Africa by identifying the necessity of the "*Bundestruhe*-type" of concept in bridging the gap in cooperation required by the federal features of the South African system of governance.

The recommendations above will go a long way in strengthening the OSS Model in improving service delivery and eliminating all the legacies of apartheid, in particular poverty, inequality and unemployment.

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ANNEXURES

ANNEXURE A: PROPOSAL APPROVAL

From: ITS@ukzn.ac.za <ITS@ukzn.ac.za>
Sent: Tuesday, 03 November 2020 5:51 PM
To: Purshottama Sivanarain Reddy <Reddyp1@ukzn.ac.za>
Subject: Proposal Approved By School Research Leader

Student Number and Name : 763000003 Mkhize, Zwelini Lawrence

The School Research Leader has approved this proposal.
Log onto Personnel iEnabler to view the proposal details and comments.

Submission Details :

Supervisor Name : REDDY, PURSHOTTAMA SIVANARAIN
School : 2484 : SCHOOL OF MAN, INFO TECH & GOV
Qualification : Master of Administration
Commencement Year : 2019
Title : SERVICE DELIVERY AT THE PROVINCIAL SPHERE OF GOVERNMENT : A
CASE STUDY OF OPERATION SUKUMA SAKHE (OSS) IN KWAZULU-NATAL.

School Research Leader Comments :

Click https://erpweb.ukzn.ac.za/pls/ukznint/w99pkg.mi_login to access the iEnabler.

ANNEXURE B: OUTCOME LETTER



To: Zwelini Lawrence Mkhize
From: School of Management, IT & Governance
Date: 29 June 2020
Subject: Outcome of Masters Research Proposal

Student Name & Student Number: Zwelini Lawrence Mkhize (763000003)	Title of study: Service delivery at the provincial sphere of government: A case study of operation Sukuma Sakhe (OSS) in KwaZulu-Natal
Qualification, Major & Campus: Masters of Administration (MADMIN) (Westville)	Supervisor: Prof PS Reddy Co- Supervisor: N/A
Proposal submission Date:	17 May 2020
Decision:	Proceed with comments

Attached to this letter please find the following documents:

Review 1
Review 2

Please note the comments/suggestions made are intended to develop and strengthen your study, thus you need to consider them seriously. Your Supervisor will provide further guidance on how to factor the suggestions into your study.

Please ensure that this Outcome Letter together with Research Proposal is uploaded onto the HDMS system. Your Supervisor needs to upload this Outcome Letter on HDMS and you, as the student, needs to approve this on HDMS.

Thereafter you may proceed to apply for Ethical Clearance (EC) via the Research Information Gateway (RIG) system (<https://rig.ukzn.ac.za>).

Wishing you all the best with your study.

Your Sincerely

Dr Qwabe

On behalf of AL: Research & Higher Degrees
School of Management, IT & Governance
University of KwaZulu-Natal – Westville Campus

ANNEXURE C: PROTOCOL APPROVAL NOTIFICATION



21 March 2021

Dr Zwelini Lawrence Mkhize (763000003)
School Of Man Info Tech & Gov
Westville Campus

Dear Dr Mkhize,

Protocol reference number: HSSREC/00002411/2021

Project title: SERVICE DELIVERY AT THE PROVINCIAL SPHERE OF GOVERNMENT: A CASE STUDY OF
OPERATION SUKUMA SAKHE (OSS) IN KWAZULU-NATAL

Degree: Masters

Approval Notification – Expedited Application

This letter serves to notify you that your application received on 25 January 2021 in connection with the above, was reviewed by the Humanities and Social Sciences Research Ethics Committee (HSSREC) and the protocol has been granted **FULL APPROVAL**.

Any alteration/s to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form, Title of the Project, Location of the Study, Research Approach and Methods must be reviewed and approved through the amendment/modification prior to its implementation. In case you have further queries, please quote the above reference number. PLEASE NOTE: Research data should be securely stored in the discipline/department for a period of 5 years.

This approval is valid until 21 March 2022.

To ensure uninterrupted approval of this study beyond the approval expiry date, a progress report must be submitted to the Research Office on the appropriate form 2 - 3 months before the expiry date. A close-out report to be submitted when study is finished.

All research conducted during the COVID-19 period must adhere to the national and UKZN guidelines.

HSSREC is registered with the South African National Research Ethics Council (REC-040414-040).

Yours sincerely,



Professor Dipane Hlalele (Chair)

/dd

Humanities and Social Sciences Research Ethics Committee

Postal Address: Private Bag X54001, Durban, 4000, South Africa

Telephone: +27 1031 250 8350/1557/3587 Email: hssrec@ukzn.ac.za Website: <http://research.ukzn.ac.za/Research-Ethics>

Founding Campuses:  Edgewood  Howard College  Medical School  Pietermaritzburg  Westville

INSPIRING GREATNESS

ANNEXURE D: GATEKEEPERS CONSENT



KWAZULU-NATAL PROVINCE
OFFICE OF THE PREMIER
REPUBLIC OF SOUTH AFRICA

DIRECTORATE:

Director-General Support

Private Bag X9037, PIETERMARITZBURG, 3200

4th Floor, Moses Mabhida Building, 300 Langalibalele Street, Pietermaritzburg, 3200
Tel: 033 341 3383 Fax: 033 394 3505

TO: UNIVERSITY OF KWAZULU-NATAL

SUPPORT LETTER ON THE WORK TO BE UNDERTAKEN ON OPERATION SUKUMA SAKHE

This letter serves to confirm support and approval from the Office of the Premier for work to be undertaken by Dr Zwelini L Mkhize to advance Operation Sukuma Sakhe. Dr Mkhize will collect primary data for inclusion in a dissertation for the degree of Master of Administration done at the University of KwaZulu-Natal.

The Province of KwaZulu-Natal has been implementing Operation Sukuma Sakhe since 2011. Operation Sukuma Sakhe originated from Masisukume Sakhe, which is the motto on the crest of the Provincial Government of KwaZulu-Natal.

"Operation Sukuma Sakhe" (stand up and build) then is a call for the people of KwaZulu-Natal to overcome the issues destroying communities such as poverty, unemployment, crime, substance abuse, HIV and AIDS, TB, gender based violence and disempowerment.

The Office of the Premier's role in Operation Sukuma Sakhe includes coordinated collaboration and knowledge management, therefore supports initiatives that seeks to advance such.


DR NONHLANTLA O. MKHIZE
DIRECTOR-GENERAL

DATE: 29/10/2020

GROWING KWAZULU-NATAL TOGETHER

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Ref:03/2021

The Dean and Head of School
School of IT, Management and
Governance
University of KwaZulu-Natal
By hand

04 March 2021

Re: UNAIDS letter of support for research study on Operation Sukuma Sakhe

Greetings from the Joint United Nations Programme on HIV/AIDS (UNAIDS) Country Office in South Africa. I am writing to confirm UNAIDS support for the research to be undertaken by Dr Zwelini L. Mkhize on Operation Sukuma Sakhe.

Dr Mkhize will collect and analyse primary data for inclusion in a dissertation for the degree of Master of Administration at University of KwaZulu-Natal.

UNAIDS has provided support to Operation Sukuma Sakhe in various ways since its launch in 2011 by the then Premier of KwaZulu-Natal Province, Dr Mkhize.

The most significant support we provided was to produce a comprehensive documentation of Operation Sukuma Sakhe in 2013, in close partnership with the KwaZulu Natal Provincial Government.

While conducting the fieldwork, we travelled to five districts in the province, and conducted dozens of one-on-one interviews and focus group discussions with local government, civil society partners, private sector and community members in at least 7–10 war rooms. We also conducted extensive participant observation of meetings in the war rooms and local councils.

Our key finding was that Operation Sukuma Sakhe is an leading example of innovation in governance; leadership and accountability; a sustainable multi-sectoral service delivery model which puts communities at the centre; and the impact of which are human results.

UNAIDS
JOINT UNITED NATIONS
PROGRAMME ON HIV/AIDS

UNHCR
UNICEF
WFP
UNDP
UNFPA
UNODC
UN WOMEN
ILO
UNESCO
WHO
WORLD BANK

351 FRANCES
PRETORIA 001

+27 12 354 841
+27 12 354 8491 fax

unaids.org

Operation Sukuma Sakhe shows us that a transformative development and governance model of "for the people, by the people" is critical to respond to the socio-economic challenges that communities in South Africa and beyond face—poverty, unemployment, food insecurity and access to social and health services, including for HIV, TB and now, COVID-19.

What the last year has shown us is that to deal with colliding epidemics of the present and future, we need scaled-up service delivery models like Operation Sukuma Sakhe that builds on community resilience that seize community level opportunities to transform their lives.

The documentation was only able to scratch the surface of a complex research area and so we are delighted that Dr Mkhize wishes to conduct his research where there is a deep richness in the data and analysis waiting to be unearthed.

ANNEXURE E: OUTCOME LETTER



To: Zwelini Lawrence Mkhize
From: School of Management, IT & Governance
Date: 29 June 2020
Subject: Outcome of Masters Research Proposal

Student Name & Student Number: Zwelini Lawrence Mkhize (763000003)	Title of study: Service delivery at the provincial sphere of government: A case study of operation Sukuma Sakhe (OSS) in KwaZulu-Natal
Qualification, Major & Campus: Masters of Administration (MADMIN) (Westville)	Supervisor: Prof PS Reddy Co- Supervisor: N/A
Proposal submission Date:	17 May 2020
Decision:	Proceed with comments

Attached to this letter please find the following documents:

Review 1
Review 2

Please note the comments/suggestions made are intended to develop and strengthen your study, thus you need to consider them seriously. Your Supervisor will provide further guidance on how to factor the suggestions into your study.

Please ensure that this Outcome Letter together with Research Proposal is uploaded onto the HDMS system. Your Supervisor needs to upload this Outcome Letter on HDMS and you, as the student, needs to approve this on HDMS.

Thereafter you may proceed to apply for Ethical Clearance (EC) via the Research Information Gateway (RIG) system (<https://rig.ukzn.ac.za>).

Wishing you all the best with your study.

Your Sincerely

Dr Qwabe

On behalf of AL: Research & Higher Degrees
School of Management, IT & Governance
University of KwaZulu-Natal – Westville Campus

ANNEXURE F: UKZN INFORMATION LETTER

UKZN HUMANITIES AND SOCIAL SCIENCES RESEARCH ETHICS COMMITTEE (HSSREC)

Information Sheet—

For research with human participants

Date: 01 November 2020

Greetings,

My name is Zwelini Lawrence MKHIZE, (Registration Number: 763000003)
(mobile cell: [redacted] email: [redacted]); in the School of Management, IT & Governance
Discipline of Public Governance; University of KwaZulu-Natal.

You are being invited to consider participating in a study that involves a qualitative research which is in submission for a Degree: Masters in Administration (M. ADMIN).

The aim and purpose of this research is to analyse service delivery in KwaZulu-Natal by conducting a case study of Operation Sukuma Sakhe. The study is expected to include 24 individuals. One leg will involve interviewees at National and Provincial levels of government. A second leg will involve 16 individuals in focus groups of 4 interviewees each in Ethekwini, Harry Gwala, Ugu and Umkhanyakude. It will involve the following procedures: administration of questionnaires, direct conversations or through telephone. The duration of your participation if you choose to participate and remain in the study is expected to be about five days. The study is self funded by the researcher.

The study may involve the following risks and/or discomforts where you may need to share personal experience on important governance issues that you may consider relevant. We hope that the study will create the following benefits that you may influence the thinking on how to improve governance but there will be no other direct benefit of a personal nature to participants.

The study will contribute to the body of scientific work. Apart from interviewees there will be additional information that will be obtained from secondary sources, such as other relevant publications and relevant documentation.

The research does not potentially involve risk, for which compensation may be envisaged, however should any medical and/or psychosocial interventions become necessary as treatment, the researcher can make arrangements when necessary.

This study has been ethically reviewed and approved by the UKZN Humanities and Social Sciences Research Ethics Committee on 2 November 2020.

In the event of any problems or concerns/questions you may contact the researcher at (above details) or the UKZN Humanities & Social Sciences Research Ethics Committee, contact details as follows:

HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION

Research Office, Westville Campus
Govan Mbeki Building
Private Bag X 54001
Durban 4000 KwaZulu-Natal, SOUTH AFRICA
Tel: 27 31 2604557- Fax: 27 31 2604609
Email: HSSREC@ukzn.ac.za

Your participation in the study is voluntary and by participating, you are granting the researcher permission to use your responses. You may refuse to participate or withdraw from the study at any time with no negative consequence. There will be no monetary gain from participating in the study. Your anonymity will be maintained by the researcher and the School of Management, I.T. & Governance and your responses will not be used for any purposes outside of this study.

All data, both electronic and hard copy, will be securely stored during the study and archived for 5 years. After this time, all data will be destroyed.

If you have any questions or concerns about participating in the study, please contact me or my research supervisor at the numbers listed above.

Sincerely



Dr Zwelini Lawrence Mkhize

Research Questionnaire:

SERVICE DELIVERY AT THE PROVINCIAL SPHERE OF GOVERNMENT: A CASE STUDY OF OPERATION SUKUMA SAKHE (OSS) IN KWAZULU-NATAL, by

ZWELINI LAWRENCE MKHIZE,
(Registration Number: 763000003) (mobile cell :[redacted];
email: [redacted]); in the School of Management,
IT & Governance Discipline of Public Governance; University of KwaZulu-
Natal. (Research for M.ADMIN)

For both Question 1 & 2 — Where relevant you may comment of the following aspects:

Challenges of poor governance

- Ineffective service delivery;
- Poor communication with the community;
- Mismanagement;
- Wastefulness;
- Irregularities;
- Misalignment;
- Poor monitoring;
- Inadequate consequence management;
- Dysfunctional municipalities;
- Political instability and
- Lack of capacity;
- Maladministration,
- Reports of poor governance.
- Auditor General (SA) adverse findings
- Corruption
- Fraud

Other governance issues:

- Intergovernmental relation.
- Cooperative government
- Good governance
- Lack of integrity,
- Ethical leadership and
- Professionalism
- Ubuntu philosophy,
- Political interference,
- Community participation
- Public protests
- Community dissatisfaction
- Lack of public trust

Question 1

What challenges are faced by the different spheres of government in promoting cooperation in the implementation of service delivery, with particular reference to KwaZulu-Natal Province?

[illegible]

Question 2

What is the context and philosophy behind the Operation Sukuma Sakhe (OSS) that necessitated its adoption by KwaZulu-Natal as an alternative model for service delivery and community development?

[illegible]

In relation to Question 3 & 4 — Where relevant kindly comment in the context of OSS with regard to the following:

- Reconstruction Development Program
- Integrated Development plan
- Poverty eradication
- Elimination of unemployment
- Elimination of inequality
- Food security
- Fighting HIV and AIDS and TB and other diseases
- Fighting crime
- Fighting social ills: drug abuse, unplanned pregnancies, support female- and child-headed families
- Support for education, social support, agriculture

[illegible]

Question 3

How does OSS strengthen the role of metropolitan/district municipalities in the integration of service delivery and implementation of government policies?

[illegible]

Question 4

How does the OSS concept of a "War Room" contribute in entrenching participatory democracy at the grassroots in the formulation of ward-based Integrated Development Plans (IDPs) and promotion of accountability?

[illegible]

Question 5

What lessons can be obtained from the OSS model to strengthen district-based planning by all spheres of government?

[illegible]

CONSENT TO PARTICIPATE

Ihave been informed about the study entitled SERVICE DELIVERY AT THE PROVINCIAL SPHERE OF GOVERNMENT: A CASE STUDY OF OPERATION SUKUMA SAKHE (OSS) IN KWAZULU-NATAL, by

Zwelini Lawrence MKHIZE, (Registration Number: 763000003)
(mobile cell: [redacted]; email: [redacted]); in the School of Management, IT & Governance Discipline of Public Governance; University of KwaZulu-Natal.

I understand the purpose and procedures of the study is to analyse service delivery in KwaZulu-Natal by conducting a case study of Operation Sukuma Sakhe. The study is expected to include 24 individuals. One leg will involve interviewees at National and Provincial levels of government. A second leg will involve 16 individuals in focus groups of 4 interviewees each in Ethekwini, Harry Gwala, Ugu and Umkhanyakude. It will involve the following procedures: administration of questionnaires, direct conversations or through telephone. The duration of my participation if I choose to participate and remain in the study is expected to be about five days. The study is self funded by the researcher.

I have been given an opportunity to ask questions about the study and have had answers to my satisfaction.

I declare that my participation in this study is entirely voluntary and that I may withdraw at any time without affecting any of the benefits that I usually am entitled to.

If I have any further questions/concerns or queries related to the study I understand that I may contact the researcher at:

Zwelini Lawrence MKHIZE, (Registration Number: 763000003)
(mobile cell: [redacted]; email: [redacted]); in the School of Management, IT & Governance Discipline of Public Governance; University of KwaZulu-Natal.

If I have any questions or concerns about my rights as a study participant, or if I am concerned about an aspect of the study or the researchers then I may contact:

HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION

Research Office, Westville Campus

Govan Mbeki Building

Private Bag X 54001

Durban

4000

KwaZulu-Natal, SOUTH AFRICA

Tel: 27 31 2604557 - Fax: 27 31 2604609

Email: HSSREC@ukzn.ac.za Additional

consent, where applicable I hereby

provide consent to:

Audio-record my interview / focus group discussion YES / NO

Signature of Participant

Signature of Witness (Where applicable)

Signature of Translator (Where applicable)

Date

Date

Date