

Towards an understanding of the role of performance measurement in the integration processes required by the Integrated Development Planning (IDP): A case study of the Hibiscus Coast Municipality

By

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CONFIDENTIAL

TO WHOM IT MAY CONCERN

Due to the sensitivity of this research this dissertation and its contents must remain confidential and not be circulated for a period of five (5) years.

Sincerely

SS Ngcobo
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ABSTRACT

In the years since its introduction, there has been criticism that the Integrated Development Planning (IDP) process is failing to achieve its main objective of bringing about an integrated approach to service delivery. Municipalities and government departments, on a national and provincial level, continue to deliver service in a fragmented manner. A number of factors have been cited as the reasons for the lack of integration in the IDP process.

The aim of this dissertation was to investigate the role of performance measurement in the integration processes required by the IDP. The IDP process for the Hibiscus Coast Municipality (HCM) was chosen for study. The study investigated how performance measurement was affecting the integration with the IDP in programmes of the Department of Agriculture, Environmental Affairs and Rural Development (DAEARD) and the Department of Rural Development and Land Reform (DRDLR) respectively. DAEARD is a KwaZulu Natal provincial department while DRDLR is a national department. Both of these departments participate in the HCM IDP Forum. The study looked at how performance measurement within each of the three organisations was affecting integration. The study began by investigating whether the different IDP stakeholders have a common understanding of what integration is, and what they were required to do for integration to succeed.

Qualitative research methods were used in this study. The two main data collection techniques used were semi-structured interviews and document reviews. Participant observation played a small role as the third data collection technique. The interview subjects were officials from each of the three organisations in the IDP Forum of HCM. These were the officials who, through the IDP Forum, were responsible for the integration processes. Each of the three organisations (HCM, DAEARD and DRDLR) was represented by 2 (two) officials in

the IDP Forum, hence the limited number of interviews. The main documents reviewed included the HCM IDP review documents, minutes of the IDP Forum meetings, strategic planning documents; performance management agreements, annual performance plans and the performance measurement documents for each of the three organisations.

The study found that there was no common understanding among the stakeholders of what was meant by integration in relation to the IDP process. As a result, there was no clear process to measure the success of the IDP integration process. Secondly, the performance measurement systems which were being implemented in the individual IDP stakeholder components (HCM, DAERD and DRDLR) did not recognise integration as one of the performance indicators. Thirdly, and perhaps more importantly, the kind of performance measurement systems being applied in each of the organisations were not conducive to the success of the IDP integration processes. The study concludes with a number of proposed areas for future investigation in order to improve the IDP integration process.

DECLARATION

I, Samuel Sabelo Ngcobo hereby declare that:

- a) The Research reported in this dissertation, except where otherwise indicated, is my original work.
- b) This dissertation has not been submitted for any degree or examination at any other university.
- c) This dissertation does not contain any other person's data: pictures, graphs or other information, unless specifically acknowledged as being sourced from other researchers.
- d) This dissertation does not contain other person's writing, unless specifically acknowledged as being sourced from other researchers. Where other sources have been quoted, then:
 - I. Their words have been rewritten but general information attributed to them has been referenced;
 - II. Where their exact words have been used, their writing has been placed inside quotation marks and referenced.
- e) This dissertation does not contain text, graphs or tables or copied and pasted from the internet, unless specifically acknowledged, and the source being detailed in the dissertation and in the Reference section.

Signed:

Date:

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LIST OF ABBREVIATIONS

CSIR	: Centre for Scientific and Industrial Research
DAEARD	: Department of Agriculture, Environmental Affairs and Rural Development
DLGTL	: Department of Local Government and Traditional Affairs
DPLG	: Department of Provincial and Local Government
DRDLR	: Department of Rural Development and Land Reform
EPMDS	: Employee Performance Management and Development System
HCM	: Hibiscus Coast Municipality
IDP	: Integrated Development Plan
IDT	: Independent Development Trust
ISRDP	: Integrated and Sustainable Rural Development Programme
KRA	: Key Results Area
KPA	: Key Performance Area
MFMA	: Municipal Finance Management Act
MTSF	: Medium Term Strategic Framework
NSDP	: National Spatial Development Perspective
PGDS	: Provincial Growth and Development Strategy
PMFMA	: Public Finance Management Act
PMS	: Performance Management System
PoA	: Plan of Action
SDBIP	: Service Delivery and Budget Implementation Plan
SDF	: Spatial Development Framework
URP	: Urban Renewal Programme

CHAPTER 1

INTRODUCTION

1.1 Introduction

The Municipal Systems Act (No. 32 of 2000) mandates all municipalities in South Africa to prepare Integrated Development Plans (IDP), in terms of which development in municipalities should take place. The IDP process advocates an integrated approach to development among the different organs of state. Furthermore, Chapter 3 of the Constitution of the Republic of South Africa (Act No.108 of 1996) outlines the concept of Cooperative Governance which promotes cooperation and smooth relations between the different government structures and spheres.

The main vehicle for effecting integration at the municipal level is the IDP Forum. This forum, chaired by an elected councillor within the municipality, meets regularly (usually monthly) to discuss development plans within the municipal area. All those involved in development within the municipality are represented in this forum. Among the different stakeholders in the IDP Forum are the national and provincial sector departments. These departments must be consulted during the process and the IDP should reflect their contributions towards the local development in the municipality. Consequently, the national and provincial sector departmental plans should fall within the ambit of the municipal IDP. In other words, the projects that sector departments plan to implement should be reflected in the IDP. Put differently, a sector department operating within a particular municipality should come up with programmes that seek to address challenges or make use of opportunities identified in the IDP of the Municipality within which that particular department is operating. This must be done in an integrated manner.

There have been continuous complaints that the IDP process has so far not been successful in bringing about the required integration (Padarath, 2006; The

Presidency 2004; HCM, 2008b; The Presidency, 2009a). The lack of alignment and integration results in situations where there is a lack of synergy in prioritisation and focus. When this happens, different government organs sometimes find themselves deploying their respective financial and human resources to similar kinds of initiatives which run parallel to one another. One example is a situation in which a municipality implements agricultural projects without consulting the local office of the Department of Agriculture. Because of the overlap, the available resources are not well-distributed and projects are not efficiently implemented. By not working with the sector departments in implementing poverty alleviation projects, municipalities might find themselves implementing projects in which they do not necessarily have the technical expertise. By contrast, working within the framework of the IDP would assist the national and provincial government departments to better understand the developmental priorities of the municipalities within which they operate.

1.2 Motivation for the Topic

As a developmental state, South Africa continues to evolve in many respects. To keep up with this evolution, the country has to continuously monitor the different vehicles through which it aims to further its developmental goals. As the main framework for development in the country, much of the success hinges on the successful implementation of the Integrated Development Planning. "This vehicle, if used properly, is a very powerful tool, and will no doubt enhance the impact of service delivery" Monare(2002: p33).

At a practical level, the Integrated Development Planning process continues to face implementation challenges. One of these challenges concerns the lack of integration and alignment between the sector departmental plans and the IDPs. In response to the challenges regarding integration and alignment, the government has come up with a number of frameworks that are supposed to inform both the IDP process as well as the sector departmental planning. Chief

among these are the Provincial Growth and Development Strategies (PGDS) and the National Spatial Development Perspective (NSDP). Further, the Intergovernmental Relations Framework Act (13 of 2005) was promulgated to, *inter alia*: provide the legislative basis for the interaction between the spheres of government, especially their interface at the local government level. The researcher works within the chosen area of investigation and has, in the course of discharging his professional responsibilities, experienced this lack of integration.

1.3 Aim of the Research

This research was aimed at investigating the possible role of performance measurement in the failure of the Integrated Development Planning processes in the Hibiscus Coast Municipality to bring about the desired integration.

1.4 Research Questions

- Do the stakeholders have a common understanding about what integration means in relation to the IDP process and,
 - is there a systematic method in which the success of this integration process is measured?
- Are the performance measurement systems used by the different IDP stakeholders conducive to the success of the integration process?

1.5 Summary of Literature Review

Premised on the fact that this dissertation aimed to investigate integration as it relates to governance in South Africa, the literature review included mainly primary literature in the form of documents produced by and for the Government of South Africa. These included legislation, Integrated Development Plans (IDPs), IDP review documents as well as various reports on the subject. The review also included various project documents for government programmes aimed at improving the integration in the planning and delivery of services and

development in the country. In order to establish a solid theoretical grounding on the concepts, secondary literature in the form of published books was also reviewed, as were journal articles and paper presentations on the subject.

1.6 Summary of Research Methods

Qualitative research methods were used in this case study. The two main data collection techniques used were the semi-structured interviews and the document review, with participant observation playing more of a supplementary role. The interview subjects were officials representing each of the three organisations in the IDP Forum of HCM. Purposive sampling was used to select interview subjects whose work experience would be useful to the study.

1.7 Delimitations and Limitations of the Study

The study focused on the public sector stakeholders in the IDP process within the Hibiscus Coast Municipality (HCM). Alongside the HCM, which chairs the IDP integration proceedings, the Department of Agriculture, Environmental Affairs and Rural Development (DAEARD) as well as the Department of Rural Development and Land Reform (DRDLR) were chosen for the study. More than seven national and provincial departments participate in the IDP process for HCM, but these two departments were chosen due to the pivotal role of their respective mandates to the success of the service delivery within the HCM municipal area.

Performance measurement in the public sector is a very broad subject that could constitute a research study on its own. However, for the purpose of this study: performance measurement was only investigated in so far as it affects the IDP integration process. The study did not investigate all aspects of public sector performance measurement.

Each of the three organisations is represented by at most two officials in the IDP Forum. Consequently, this meant that a limited the number of interview subjects were available for purposive sampling. The possible shortcoming in the results was however, balanced by the wide-ranging nature of the documents reviewed, and the fact that the employee performance management documents reviewed also included those of employees other than the interviewees.

CHAPTER 2

LITERATURE REVIEW

2.1 Introduction

The first part of this literature review will focus on three concepts that constitute the essence of this dissertation. These are:

- The chapter begins with a literature review on the concept of integration. This will examine how different scholars describe integration, and what they mention as the key components of integration. The focus will be on integrated service delivery by government agencies. Various reports on integrated service delivery elsewhere in the world will also be reviewed. At the end of the section, the researcher will provide his definition of integrated service delivery for the purpose of this research. This definition will be based on the literature reviewed.
- Secondly, the researcher will look at literature on the concept of the measurement of performance in public service. This is necessitated by the realisation of the important role of performance measurement on the success of integration endeavours.
- Lastly, the researcher will look at literature on the concept of Integrated Development Planning (IDP). In this regard, the focus will first be on the legislative objectives of the IDP process. Documents that constitute evidence of the assertion that the IDP process is currently not yielding the desired results due to the lack of integration will also be examined.

The final section of this Chapter gives a brief description of the area of study.

2.2 Integration and Integrated Service Delivery

2.2.1 Integration

According to Dent (1998: no page numbers)

"Integration requires a level of interaction between individuals, disciplines and organisations such that we can collectively, wisely, timeously and cost effectively visit the consequences of our past: present and proposed actions".

Dent further emphasises the need to recognise the importance of interdependences in enhancing integration. With regard to services delivery and poverty alleviation by state organs, there is a great deal of interdependence when it comes to issues that affect the failure or success of government intervention programmes. For example, the main mandate of the Department of Human Settlements is to ensure that the right to decent houses is realised by all citizens of the country. However, unless the Department of Rural Development and Land Reform secures land for the purpose of housing, the Department of Human Settlements will be precluded from executing its mandate by the lack of land on which to build houses. Hence, there is a clear need for the Department of Human Settlements to integrate their activities with those of the Department of Land Affairs. In fact, a host of other mandates (e.g. provision of water, hospitals and transport) of different government departments are also directly linked to the provision of houses. According to the Independent Development Trust and DPLG (2003: no page number) integration refers:

"to the specifically defined roles played by each sphere of government, and the primary focus of integration is at the municipal level through the IDP process. Implementation is achieved by drawing on an amalgamated resource envelope that comprises of municipal budgets, commitments of line departments, and other sources".

Bammer (2005) asserts that, among other things, contributing factors to the failure of integration are the inter-organisational silos and reward systems.

2.2.2 Integrated Service Delivery as a Global Trend

In essence, the integration that is referred to in the IDP process is actually Integrated Service Delivery. The concept of Integrated Service Delivery is

relatively new in South Africa. However, this concept is gaining popularity as governments across the globe seek to improve the well-being of their citizens. According to a document issued by the US, State Services Commission and the Ministry of Social Development (2003:p2)

"Integrated Service Delivery involves organisations working together at an operational level. Its purpose is to develop the delivery of services requiring more than one agency, focused on specific areas, client groups, communities, families and individuals".

Flanagan and Horowitz (2000) refer to the concept of consolidating service delivery points.

For some years now, the state of New South Wales in Australia has been implementing the concept of integrated service delivery, and as a result, has produced some good literature on the concept. According to NSW Department of Community Services (1995), integration can help families navigate the maze of agencies, cut down on paperwork, reduce delays in service provision, increase efficiency, facilitate resource exchange, and reduce duplication of services. Upon reading with the literature on integration (Dent, 1998) and integrated service delivery (NSW Department of Community Services, 2005; Fine *et al.*, 2000; Flanagan and Horowitz, 2000), a number of important ingredients of integration and integrated service delivery were identified. The left hand column of Table 2.2 below lists these important ingredients to integration and integrated service delivery. The column on the right details how the researcher relates these points to this research.

Table 2.1 Some Important Ingredients for Integration

Point deduced from literature	Relevance to this dissertation
Partners in integration need to clearly understand their respective responsibilities.	What are the respective responsibilities of the sector departments (DAEARD and DRDLR) in relation to the IDP integration process? What is the responsibility of the local Municipality in relation to the IDP integration process?
For integration to succeed, there must be jointly agreed outcomes.	As far as each stakeholder (Municipality and the chosen sector departments) is concerned, what are the expected outcomes of the IDP integration process?
For integration to work, there must clarity of purpose and function.	Are those involved in the IDP integration process clear about the purpose and function of the IDP process?

Table 2.1 clearly shows that the literature reviewed did tease out some of the important issues that the researcher needed to investigate. Consequently, the literature was quite influential in guiding the direction of the investigation.

2.2.3 Definition of Integration for the Purpose of this Research

Most literature reviewed (Institute for Public Administration Australia, 2002; The IDP Guide Pack, 2000; The Ministry of Children and Family Development, 2004; Monare, 2002; Paradath, 2006; Independent Development Trust, 2003; Flanagan and Horowitz, 2000; State Services Commission and Ministry of Social Development, 2003; NSW Department of Community Services, 1995) provide a pragmatic rather than a theoretical definition of integration in the public sector. Having reviewed the above literature, and having developed an extensive understanding of the aims and objectives of the IDP process, the researcher

came up with the following definition for integration for the purpose of this study:

Integration in relation to the IDP refers to the process and mechanism through which different sectors, spheres of government and other stakeholders work together to identify opportunities as well as economic and service delivery challenges within a municipal area. They then collectively devise and implement concrete strategies: programmes and projects to address these challenges and make use of opportunities in a manner that promotes maximum possible benefits for the citizens of the municipality. In this process, each sector and sphere of governance pursues the fulfilment of its constitutional and legislative mandate within the framework of the IDP process.

One of the issues which are deemed important for integration to succeed is performance measurement (Bammer, 2005; Dent, 1998; Flanagan and Horowitz, 2000; The Presidency 1, 2009). Certain points in this regard are pertinent to this research. Firstly, in order to say whether the IDP integration processes are successful or not, there must be some way of measuring such success. Secondly: performance measurement in general ought to have an effect on the activities that individuals and organisations engage in. The next section looks at performance measurement in the public service.

2.3 Performance Measurement in Public Service

Performance in the public sector is complex and multidimensional (Boyne *et al.*, 2006). Cayer (2004) argues that for performance measurement and management to be effective, the goals and actions required to achieve these goals must be clear. Kusek and Rist (2004) further argue that establishing outcomes helps government understand what success should look like. In other words, establishing what the intended outcomes of the IDP integration process

are would help the stakeholders to know what would constitute success in this regard. In order to determine if the intended outcomes have been achieved: performance indicators need to be agreed on at the outset. Developing indicators to monitor outcomes enables managers to assess the degree to which intended or promised outcomes have been reached (Kusek and Rist, 2004: p66). This is further supported by Greyling (2006: p449) who argues that "Indicators are used to formulate a strategy for a public sector entity and to measure how well the strategy has been realized". Greyling (2006) further argues that performance management in the public sector also helps to reduce public wastage and increase value for money.

Performance measurement may be objective or subjective (Boyne *et al.*, 2006). Objective performance indicators are concrete evidence (mainly in the form of figures) of what has been achieved. On the other hand, subjective performance indicators are based on the perceptions (internal or external) of performance. This researcher argues that an effective performance measurement should be a combination of both objective and subjective measurements. In other words, while figures are crucial in measuring the performance of an organisation, the subjective views of clients and stakeholders are also important.

When dealing with the processes of performance measurement, it is important guard against reducing performance measurement to mere statistics. Having the right measurement is vital since the very act of measurement affects behaviour (Hiskin, 1995 in Coates, 1995: p3). Baker (1994, in Senge *et al.*, 1994) argues that using figures as a measurement can do more harm than good. He asserts that, in fact, statistics fail to reveal some of the most important management issues. These issues relate to the very purpose of measurement, which is to improve performance. This is undoubtedly one of the issues that one should bear in mind when dealing with measurement in integration. In other words, there are certain very dynamic factors to integration which cannot be revealed by the so-

called performance figures. In this regard, Greyling (2006: p 460-461) argues that "The mere existence of performance measures does not automatically produce an increase in efficiency as a side-effect". Roy and Seguin (2000, cited in Greyling, 2006) also caution against producing symbolic performance measurement figures that are just meant to impress stakeholders.

To have a chance at performance measurement implementation, there is the need to set clear targets which can be measured, appraised or at least judged (Luthuli, 2007: p257). Gauthier (1994, in Senge *et al.*, 1994) proposes that what he refers to as strategic priorities be set up. In setting up these strategic priorities, a group of people create a common understanding of the desired achievement. He argues that these priorities should be neither too broad nor too narrow. Each person should know exactly what their individual role is. Gauthier (2004, in Senge *et al.*, 2004) also argues that strategic priorities should cut across functions and disciplines in order to promote synergy and cooperation among peers. The other issue to consider is whether a performance measurement system is intra-administrative or inter-administrative. An intra-administrative performance measurement system is the one taking place within one government organ. On the other hand, an inter-administrative or cross-sector performance measurement system involves more than one state organ. Greyling (2006) argues that while a non-mandatory intra-organisational performance measurement system is likely to succeed due to buy-in, for efficiency to be achieved, inter-administrative performance measurement is also important. Inter-organisational performance measurement helps the organisation to understand whether what is viewed internally as good performance does in fact contribute positively to the bigger picture. With this in mind, it would be interesting to learn whether any of the measurements currently being applied by stakeholders (local government: provincial and national departments) do cut across three spheres of government, and across sectors.

For the measurement of integration processes to be successful, there would need to be a connection between the items being measured and the objectives for integration. Michael Hammer (2002) argues that an organisation's measurement should be able to show what causes poor performance. Using the same argument, measurement for integration should be able to show what causes poor integration. Measurement is also about a set of methodological procedures that are intended to translate construct into observables: producing valid and reliable data (McDavid and Hawthorn, 2006: p131). It is worth noting the use of phrases like "methodological procedures", as well as "valid and reliable data". It would be interesting to find out if the procedures currently being used to measure the success of integration processes are indeed procedural, and whether these are used uniformly by those involved in the integration processes of the IDP. The above point is indeed premised on the presumption that there is some form of performance measurement being applied to the IDP integration processes. Hammer (2002) argues, among other things, that those involved must know the reason why those measurements are being taken and they must also know what those measurements will be used for. Performance measures which are not developed in consultation with those who deliver services, and which do not take into consideration any conditions unique to that level of performance, become irrelevant and fall short of being true measures of performance (Luthuli, 2007: p263)

One common thread across all literature on measurement is the assertion that measurements should help to improve performance. If this is not the case, then measurements become a useless set of figures. Where this is the case, it is possible to find that in one company, for example, the measurements for individual sections or persons reveal good performance, whilst the organisation as a whole continues to perform poorly. Individual performance should be compared to organisational performance and where the two do not tally, this would mean that one of the two is not fully represented (Luthuli, 2007: p275). It

would indeed be interesting to find out if good performance by individual stakeholders (specifically government organs) in the IDP process does indeed reflect on the overall performance of government (local, provincial and national) in the municipal area. As a true test of integration and the results thereof, it would in fact be even more interesting to find out how this measures against the material conditions of the communities whose lives the IDP process aims to improve. This can only be done if community improvement is one of the performance indicators against which IDP integration processes get measured.

2.4 The Integrated Development Plans (IDPs)

When the new democratic government of South Africa took to office in April 1994, one of the challenges that it was confronted with was the fragmented nature of government planning and implementation at the local level. That is, government as a whole (across all departments and spheres) did not have an integrated way of working. The new government then came up with a new local government planning and implementation approach, called Integrated Development Planning. Through this planning process, the government's plans were, among others (Department of Provincial and Local Government, 2000):

- To ensure that all areas were included in terms of local government planning;
- To promote public participation in local government planning;
- To promote coordinated service delivery in which all government departments, state organs as well as the private sector were to be informed by the same vision and mission for the municipal area in which they operated, and.
- To ensure optimum allocation of resources as well as to speed up service delivery.

The Integrated Development Planning is legislated in term of Chapter 5 of the Municipal Systems Act, No. 32 of 2000. The IDP process involves a number of

phases. The table below summarises the different phases in the IDP process, up to the approval stage.

Table 2.2 Summary of the IDP Phases

IDP Phase	Purpose	Outputs
1. Analysis	The purpose of this phase is to understand the current situation. This stage involves engaging stakeholders to identify issues like service delivery, unemployment issues, crime, local economic development and others.	<ul style="list-style-type: none"> • Assessment of existing levels of development • Priority issues or problems • Information on causes of priority issues/problems • Information on available resources
2.Strategies	As the name says, in this stage, the municipality needs to formulate strategies for dealing to issues identified in Phase 1. This is the stage where the municipality comes up with its long term vision as well as the ways of working towards the achievement of that vision.	<ul style="list-style-type: none"> • The vision • Objectives • Strategies • Identified projects
3. Projects	This phase involves project design and planning for implementation. These projects should seek to solve problems or make use of opportunities identified in the previous phases.	<ul style="list-style-type: none"> • Performance indicators • Projects outputs, targets, location • Cost and budget estimates
4.Integration	This phase is for ensuring that all development taking place within the municipality is in line with the municipality's vision. It is there to ensure that different role players within the municipal area contribute harmoniously towards the development of the municipality.	<ul style="list-style-type: none"> • 5 year financial plan and 5 year capital investment programme • Consolidates performance management system • Various sector plans (may be local Municipality, district Municipality, provincial and National Sector departments)
5. Approval	Upon the completion of the IDP by the officials, it has to be submitted to the municipal council for approval.	<ul style="list-style-type: none"> • An approved IDP document <p>This stage is followed by implementation</p>

Source: IDP Guide-Pack: General Review by the Dept of Provincial and Local Government (DPLG)

The IDP process (Table 2.1) outlines the various stages of the IDP process as articulated in the IDP Guide Pack (2000). It is worth noting that the Guide Pack refers to integration as a specific stage within the IDP process. This is not in line with the spirit encapsulated in the Municipal Systems Act (32 of 2000) which envisages that the process (IDP) should be integrated in its totality. Outlining integration as a stage within the IDP process may inadvertently guide the participants to only seek to 'integrate their plans into the IDP'. In practice, this means that different sectors and spheres of government may individually plan their programmes and then seek to integrate them by merely making them appear in the IDP document.

Integration processes in the IDP are undertaken through the structure called the IDP Representative Forum: popularly referred to as the IDP Forum. Chaired by an elected councillor within the municipality, the IDP forum is constituted by various stakeholders, especially government department and other state organs operating within the jurisdiction of the municipal council. The IDP Manager has an important role to play as the person that should drive the IDP preparation and implementation. Usually, each stakeholder organisation sends 1 (one) or two (2) standing representatives to the IDP Forum.

Integration, coordination and alignment are the central pillars of the Integrated Environmental Plans as envisaged in the Municipal Structures Act. According to Chapter 5, Section 24 of the Municipal Systems Act (32 of 2000)

"The planning undertaken by a municipality must be aligned with, and complement, the development plans and strategies of other affected municipalities and other organs of state so as to give effect to the principles of co-operative government contained in Section 41 of the Constitution".

Integrated development planning in South Africa has continued to evolve over the years, with the government continuously introducing modifications aimed at improving the output of the process. Furthermore, the government has introduced a number of statutory frameworks which should guide planning by state organs, thus limiting the chances for lack of integration and conflict. These include:

- The Development Facilitation Act (Act No. 67 of 1995)
- The Intergovernmental Relations Framework Act (Act No. 13 of 2005)
- The Provincial Growth and Development Strategies (PGDS)
- The National Spatial Development Perspectives (NSDP)
- Municipal Systems Act (No. 32 of 2000)
- The Medium Term Strategic Framework (MTSF)
- The Urban Renewal Programme (URP)
- The Integrated Sustainable Rural Development Programmes (ISRDP)

For the purpose of this dissertation, two of the above-mentioned frameworks were explored (the PGDSs and the NSDP), with specific emphasis on how they relate to the IDP process. The two frameworks are intended to play a very critical role in ensuring integration and alignment among the three spheres of government.

2.4.1 The National Spatial Development Perspective (NSDP)

The National Spatial Development Perspective (NSDP) gives a spatial representation of the economy of South Africa. It then proposes strategies of a spatial nature in addressing the economic challenges of the country. The NSDP is premised on the understanding that different regions of the country were affected unequally by the apartheid system, and as a result, development has been skewed. Secondly, different regions have different natural features which give rise to different economic challenges and opportunities. In accordance with this understanding, through the NSDP, government seeks to achieve maximum impact by allocating resources in a coordinated and spatially targeted way (NSDP, 2003).

More importantly, the NSDP exists in order to provide the basis for the other two main development planning tools. These are the Provincial Growth and Development Strategies (at the provincial level) and the Integrated Development Plans (at the district and local municipality level).

2.4.2 The Provincial Growth and Development Strategy (PGDS)

According to the Presidency and The DPLG (2005), the Provincial Growth and Development Strategy is a strategy in which each province in South Africa:

- Assesses its developmental potential in an analytical manner broken down to district level.
- Proposes its developmental trajectory in line with its sectors and areas of competitive advantage.

"The purpose of this revised strategy is to provide strategic direction to socio-economic development and planning initiatives in the province. It is based on key provincial priorities that address the social needs and the realisation of the economic growth potential of the KwaZulu-Natal province" (Provincial Government of KwaZulu Natal, 2004: p 1)

The document goes on to assert that all the departmental strategic plans and the Integrated Development Plans within the province must seek to respond to the challenges and opportunities identified in the PGDS. It is important to mention that there is no contradiction between the PGDS and the NSDP. In coming up with its PGDS, a province would have taken cognisance of its spatial peculiarities as articulated in the NSDP. For example, the PGDS for KwaZulu Natal proposes what is referred to as the "development corridors". These emanate from the challenges and opportunities of the different areas of the province, which is in line with the NSDP.

2.4.3 Integration within the IDP Process and Between the IDP, the NSDP and the PGDS's

"HCM should maximize vertical and horizontal alignment. All plans at municipal level should be in line with the National Spatial Development Perspective (NSDP): provincial Growth and Development Strategy (PGDS) and the District's Spatial Development Framework." HCM (2008a: p38).

Lack of integration and alignment at local level has been identified as one of the issues impeding of the Integrated Development Planning process (Presidency, 2004; Padarath, 2006; HCM, 2008b). The ultimate losers in this regard are the people (the poor in particular) that are supposed to be the beneficiaries of process. In his analysis of the IDP process in the Gauteng Province of South Africa, Padarath (2006) noted that provincial and national government had not played a clear and effective role in the IDP process. According to Padarath (2006: p9)

"A key limitation of the IDP engagement process is the absence of an integrated and harmonized input from provincial and national sector departments."

In September 2009, the government released The Green Paper: National Strategic Planning for discussion. This document begins by accepting that recent integration efforts have failed. With the proposals entailed in the Green Paper, the government is hoping to bring about a lasting solution to the lack of integration and alignment in government. A summary of the Green Paper is outlined in the next section.

2.5 The Green Paper: National Strategic Planning, 2009

One of the weaknesses in the current governance system is the lack of a well articulated national long term plan and vision for the country (Manuel, 2009). This has hampered integration and coordination and consequently, service delivery. The absence of a national centre for coordinated planning has been put

forward as the real cause for this, hence the planned introduction of the National Planning Commission.

The need for integration and coordination is the common thread that runs throughout the Green Paper. Better strategic planning and the resultant more effective management of development processes, require quality institutions that can resolve coordination and integrative problems that constitute barriers to inclusive growth and development (The Presidency, 2009a: p32). The proposals in the Green Paper are meant to ensure that all state institutions and government spheres pursue common national objectives and strategies. This is also proposed to transcend the confines of state institutions by including the private sector, civil society and as well as the general citizenry of the Republic. There has not been enough systematic effort to ensure that the visions and strategies of departments, sectors and spheres of government articulate with one another (The Presidency, 2009a: p14).

Central to the Green Paper is the critical role to be played by the National Planning Commission under the political leadership of the Ministry in the Presidency: National Planning Commission. As the Green Paper puts it, "We need an agency that can authoritatively, and forcefully drive planning, monitoring and evaluation and institutional improvement." (The Presidency, 2009a: p15). The success of this new initiative by the government of South Africa can only be a subject of future studies once it has been implemented. For the purpose of this study, the Green Paper constitutes yet more documented evidence that the IDP process has not achieved all its intended objectives.

2.6 The Area of Study: Hibiscus Coast Municipality

The first thing to do when one is doing case study research is to demarcate the cases. In other words, determine the boundaries of the case (Welman *et al.*, 2005). Once a researcher has defined the bounded system that will form a case study enquiry, he/she can start planning the methods of data collection and analysis that will yield the data needed to explore and examine the case (Henning *et al.*, 2004: p40).

The Hibiscus Coast Municipality is a local municipality falling within Ugu District Municipality on the South Coast of the province of KwaZulu Natal, South Africa. It borders Umdoni Municipality to the North, Umzumbi Municipality to the North West, Ezingoleni to the South West and the Eastern Cape to the South. Hibiscus Coast Municipality was formed through the amalgamation of five previous Transitional Local Councils. These are Hibberdene, Port Shepstone, Margate, Impenjati and Umthamvuna. It also incorporates six traditional councils, namely Kwa Mavundla, Kwa Nzimakwe, Kwa Madlala, Kwa Lushaba, Kwa Xolo and Kwa Ndwalane. The extent of the municipal area is 839 square kms and according to figures from the 2001 census, the total population was 218 169 (Hibiscus Coast Municipality 2008/9 IDP Plan Review-1st Draft).

2.6.1 The HCM IDP Forum

The following sector departments and government agencies participated in the HCM IDP Forum in 2007: Department of Health, Department of Transport, Department of Department of Agriculture and Environmental Affairs, Department of Safety and Community Liaison, South African Police Services, Department of Social Welfare, Department of Home Affairs, Eskom and Telkom. Following the national and provincial elections in 2009, the names of some of the above departments have been changed. The Department of Agriculture and Environmental Affairs has now become the Department of Agriculture, Environmental Affairs and Rural Development (DAEARD). The Department of

Land Affairs has become the Department of Rural Development and Land Reform (DRDLR).

For the purpose of this research, integration and alignment between HCM IDP and the Department of Rural Development and Land Reform (known as the Department of Land Affairs when the research commenced) as well as that between the HCM IDP and the Department of Agriculture, Environmental Affairs and Rural Development (Agriculture Directorate) will be chosen for investigation. The two sector departments which were sampled (DAEARD: Agriculture Directorate and DRDLR), are important role payers in the IDP process of the municipality.

2.7 Conclusion

In this chapter the researcher began by providing a general theoretical background to the concept of integration. This was followed by literature review on the concept of integrated service delivery. The researcher did this by studying world-wide literature on the subject. The researcher then provided a working definition of integration for the purpose of this study. Having defined integration, the researcher then moved on to unpack the concept of Integrated Development Planning. In this section, the researcher concentrated on the aims and objectives of the process, as well as documentary evidence that indicated that the IDP process was not achieving the desired results. The researcher then briefly looked at literature review on the subject of performance measurement within the public service. Finally, the researcher outlined the area of study. In doing this, a brief introduction was given on the organisations that were to be the subjects of the study

CHAPTER 3

RESEARCH METHODS

3.1 Introduction

This chapter is presented in three parts. The first part briefly provides a theoretical background to the research methods used. The second part deals with the practical aspects of research methods applied in this study. In the final part of this chapter, the researcher explains how the collected data was analysed

3.2 The theoretical aspects of the research methods applied

3.2.1 Qualitative Research

A qualitative research method was used in this research. According to Welman *et al.* (2005: p8),

"The purpose of quantitative research is to evaluate objective data consisting of numbers while qualitative research deals with subjective data that are produced by the minds of respondents or interviewees (i.e. human beings)".

Generally, qualitative approaches are most useful in situations where the data to be collected cannot be readily turned into numbers (McDavid and Hawthorn, 2006). Accordingly, in designing tools to be used in this kind of research, it is important to take cognisance of the complex and dynamic nature of the concepts or situations being studied. Qualitative researchers believe that the researcher's ability to interpret and make sense of what he or she meets is critical for understanding any social phenomenon (Leedy and Ormrod, 2005: p133). Leedy and Ormrod (2005) further assert that qualitative research is particularly useful when not much research has been done on a subject. This is because qualitative research can help determine what needs to be researched in a particular subject area or phenomenon. According to Flick (2002) qualitative research is more concerned about developing new and empirically grounded theories than testing the existing ones.

Qualitative researchers stress the socially constructed nature of reality, the intimate relationship between the researcher and what is studied, and the situational constraints that shape the enquiry (McDavid and Hawthorn, 2006: p168-169). In qualitative research, no attempt is made to manipulate the situation (McDavid and Hawthorn, 2006 and Leedy and Ormrod, 2005) and the researcher becomes the primary instrument for the research (Welman *et al.*, 2005). Qualitative research is oriented towards analysing concrete cases in their temporal and local particularity and starting from people's expressions and activities in their local context (Flick, 2002: p13).

According to Ely *et al.* (1994), qualitative research is better explained by the method used rather than by a definition. Flick (2002) asserts that it is the appropriate selection and application of methods as well as the empirical nature of findings that are more important than statistical considerations. Qualitative researchers need to collect a variety of data such as interviews, photos, observations and documents.

3.2.2 Case Study

Bloor and Wood (2006: p27) describe a case study as

"A strategy of research that aims to understand social phenomenon within a single or small number of naturally occurring settings".

Case studies provide a significant amount of descriptive information, and they can also present explanatory information. In other words, they can explain causes of the phenomenon or event in addition to describing it, therefore studying the why and what (Van der Walt and Van Rensberg, 2006: p110). A number of approaches for data collection are usually employed, including questionnaires, interviews and observations, past records and so on (Van Der Walt and Van Rensberg, 2006; Bloor and Wood, 2006; Leedy and Ormrod, 2005). The size of each case study may vary from single individuals, to groups of people, organisations and whole cultures (Bloor and Wood, 2006: p28).

Since a case study involves an intensive study of a particular phenomenon, familiarity with the settings will help the researcher in terms of access. However, Bloor and Wood (2006) caution that, because of forming a close relationship with his subjects, the research may raise the subjects' expectations of the research. To counter this, the researcher has to clearly explain the objectives of the research to the research subjects.

In most case study research, the aim is to use the result in order to generalise for other similar cases. Relying on the analysis of cases can produce rich, detailed information, but if possible concerns about representativeness of the findings, or the methods used to produce them cannot be addressed, then the work has not been productive (McDavid and Hawthorn, 2006: p191). In other words, there should be a high degree of confidence that the findings of one particular case study can be useful in other similar cases. Consequently, the choice of the data collection tools is very important in a case study.

3.3 The practical aspects of the research methods

3.3.1 The Qualitative Case Study Research

Qualitative case study research was undertaken in this study. The IDP process, together with its accompanying processes (such as integration), is relatively new in South Africa. While some research has been undertaken on the IDP process (Alebiosu, 2006; Human, 2007; Siphuma, 2009), not much has been done to focus on the integration and performance measurement as part of the processes. It was therefore expected that while this study would come up with some important findings, it was going to be particularly useful in identifying current research gaps and thereby informing the basis for future research on the subject.

The qualitative study was undertaken through a case study of the IDP process of the Hibiscus Coast Municipality (HCM). The main reason why a qualitative research case study was chosen is because the researcher knew that, among

other things, he would be able to probe for deeper information through conversations with the stakeholders. Semi-structured interviews, document review and participant observation were the data collection tools used. The semi-structured interviews and document reviews were the main data collection tools used. The paragraphs that follow will describe the data collection tools, starting with the details of the sample and the sampling technique.

3.3.2. Sampling Method

Bouma and Ling (2004) assert that the first step in drawing a sample is to decide on the population from which the sample will be drawn. As stated earlier, the study is based on the IDP process. The IDP process is led by municipalities, with provincial and national departments being important stakeholders in the process. The population of the study is therefore all the IDP Forums for the two hundred and eighty-four (284) municipalities in the country. If time and resources had allowed, this study would have involved all IDP processes in all of the country's municipalities. However, for practical purposes, a case study of one local municipality within Ugu District Municipality was undertaken. The municipality selected for the case study is the Hibiscus Coast Municipality (HCM). The IDP of the HCM has been cited in successive years as one of the most credible IDPs in the province of KwaZulu Natal (DLGTL, 2008; DLGTL, 2009). The two sector departments (DAEARD: Agriculture Directorate and DRDLR) which were sampled, are two of the most important in the IDP process of the municipality. HCM is largely a rural municipality and therefore, agriculture and land reform are very important, hence the choice of the two departments.

The purposive sampling method was used. Purposive sampling can be useful in situations where a targeted sample needs to be reached quickly and where sampling for proportionality is not the primary concern (Trochim, 2001: p56). The researcher chose research subjects who, due to their positions and experience, would be in a position to provide the required information for the

research (Welman *et al.*, 2005). All the interviewees were officials that represented their respective organisations in the HCM IDP process. The reason for the limited number of interviewees was the fact that each department is represented by one or two officials who become 'permanent' members of the municipality's IDP Representatives Forum. These officials were the ones tasked with ensuring the integration between their respective departments or directorates and the IDP process. It was these officials who were purposively selected for the interviews, based on their respective roles in the IDP process of HCM. Each of the three organisations (HCM, DAEARD and DRDLR) was represented by two officials in the IDP forum, bringing the total number of interviewees to six.

The sample from which the researcher drew the units of analysis was the IDP Forum of HCM. The next step was to receive permission from the management of each of the organisations constituting the population of the study. Permission was requested to use their respective organisations in the study. This was important to do considering that the research would involve document review. Some of the documents (e.g. annual performance plans and the Service Delivery and Budget Implementation Plan) were readily available. However, some, like the performance agreements of individual employees, could only be obtained on request. Within the municipality permission was obtained from the Municipal Manager. Within DAEARD and DRDLR permission was obtained from the two Deputy Managers in charge of the two departments respectively within the Ugu District Municipality area. It was explained to all three managers that the research collection methods would involve semi-structured interviews; document analysis as well as participant observation. None of the managers put restrictions on the documents which could be reviewed. The researcher did not ask for permission from the managers in order to undertake interviews with their staff members. They were however informed that this would form part of data collection.

3.3.3 Data Collection Methods

In a case study it is always important to use a number of data collection methods (Van Der Walt and Van Rensburg, 2006; Welman *et al.*, 2005). During the data analysis stage, the researcher was able to draw consolidated conclusions from information collected through different methods, thus improving the level of reliability. This was very important in this qualitative case study in order to balance the possible human bias of interviewees with the documented information. The semi-structured interviews and document review were the two main methods used. Furthermore, some information was collected through participant observation. While participant observation played an important role in guiding the researcher towards the choice of the research topic, not much data was collected by means of this tool once the research had started. However, the researcher's role as a participant observer was very useful in guiding him during the interviews and document review. Each of the above data methods is explained in the paragraphs that follow below.

3.3.3.1 Semi-Structured Interviews

Qualitative researchers want those who are studied to speak for themselves, to provide their perspectives in words and other actions (Sherman and Webb: 1998, cited in Ely *et al.*, 1994: p4). Interviews are one of the most common ways of achieving this. As already mentioned in the previous section, the interviewees were to be the individuals representing the three organisations in the HCM IDP process. In the municipality, two officials who sat on the IDP Forum were interviewed. Two officials from each of the two departments (DAEARD and DRDLR), were also interviewed. The second DAEARD official was based at the regional office while the second DRDLR official was based at the provincial office. The provincial/regional office interviewees brought with them an extra benefit for the research in that they had the 'bigger picture'. That is, their experiences in the IDP processes were not limited to the HCM but they also reflected on what was

happening in other municipalities within the province of KwaZulu Natal. In total, 6 (six) interviews were conducted, two from each of the three organisations. The researcher was satisfied that a good sample of views was obtained since all the identified important role players had participated. As mentioned earlier, purposive sampling was used.

The researcher approached the interview subjects individually, requesting them to participate in the study. This was done either through telephone calls, emails or personal meetings. All those who were approached, agreed to participate in the study. All the interviewees were in junior to middle management positions, with only one senior manager (Director: Operations, HCM). All of the interviewees were playing an active role in the IDP process. The municipal officials interviewed did not express any desire to remain anonymous. However, the officials from the two departments did want to remain anonymous. This was specially the case with those operating at the district level. The researcher believes that this dichotomy may be because within the municipality, the research proposal was discussed with the Municipal Manager. In terms of the Municipal Systems Act, the Municipal Manager is the administrative head of the municipality. In the two departments, the research proposal was discussed with Deputy Managers, who are middle managers and therefore did not have as much authority as the Municipal Manager. It is the considered view of the researcher that the DAEARD and DRDLR officials may have been worried about possible non-approval of their participation by senior management, hence their desire to remain anonymous.

Interview dates were then secured with each of the interview subjects. Prior to the interview date, each interview subject was sent the Research Consent Form, giving them enough time to read, understand and sign it before the date of the interview. All but one of the interviews was conducted in the interview subjects' offices. No disturbances were experienced during the interviews, probably

because the interview subjects had cleared all other commitments. The one challenge that was experienced was that all the interviews had to be rescheduled, reportedly due to unforeseen commitments on the part of the interview subjects. One of these interviews was rescheduled four times. The main reason for this was that these officials have a number of other responsibilities in addition to their participation in the HCM IDP process. This is the same reason why at times, officials from the provincial and national departments failed to attend the IDP Forum meetings, thus negatively affecting integration. This raises further questions as to whether these officials allocate sufficient time for integrating their respective plans on a continuous basis.

Semi-structured interviews formed a very integral part of data collection in this study. Semi-structured interviews offer a versatile way of collecting data (Wellman *et al.*, 2005: p167). Questions were formulated to address the identified themes. The full set of questions is included at the end of this research as Appendix 1. The questions were prepared and asked in such a manner to create an opportunity for the respondents to “air their point” of view whilst at the same time guarding against allowing the respondent to stray from the topic. The interviews were conducted in a manner that allowed the interviewee to provide any additional information that the questions may not have been structured well enough to solicit. This was done at the same time as ensuring that the subject of discussion remained relevant to the research questions. Table 3.1 below highlights some of the interview questions that were most important in soliciting the information from the interview subjects. The research questions are written on the left column while the questions designed to address each research question are given on the right column. It must be noted that Table 3.1 below only contains a sample of the questions used, with the aim of showing relationship between the two research questions and the interview questions. The full set of questions attached as Appendix 1 at the end of this research document.

Table 3.1 Link between Research Questions and Interview Question Guide

Research Question	Sample of Interview question guides
Do the role players have a common understanding of what integration means in relation to the IDP process and what it requires them to do?	<ul style="list-style-type: none"> • What do you understand to be meant by integration and alignment in the IDP process? • What do you understand to be your department's role in the IDP integration and alignment process? • Who do you believe to be your main client in the IDP process?
Is there a systematic method in which the success of this integration process is measured?	<ul style="list-style-type: none"> • At the start of the IDP integration process, are there any agreed outcomes among the stakeholders (more specifically, the sector departments and the municipality)? <p>Follow-ups:</p> <ul style="list-style-type: none"> ○ Do you discuss and agree on indicators to these outcomes? ○ Do you agree on how these outcomes are to be measured? <ul style="list-style-type: none"> • In measuring the success of your organisation's programmes and projects, is alignment and integration with other organs of state considered as one of the performance indicators?
Are the performance measurement systems used by the different IDP partners conducive to the success of the integration process?	<ul style="list-style-type: none"> • As an official involved in the IDP process, is your performance measured against the success of the IDP integration and alignment process? • In measuring the success of your department's/ municipality's programmes and projects, is alignment with other organs of state considered as one of the performance indicators? • What is done with the results of the performance measurement? Do they ever get used to take corrective measures for improving integration?
<p>Closing/general question: Are there any other issues in this subject which you would like to touch on and which might not have been covered in the above questions? Please expand.</p>	

3.3.3.2 Document Review

Based on the literature review, the researcher drew up a list of documents that he perceived to be pertinent to the study. While analysing one document, the researcher would often find references to another document. Also, during interviews, some of the interviewees advised the researcher about documents that they felt were pertinent to the study. This resulted in a snow-balling effect on the volume of documents to be reviewed.

Documents reviewed in this research were those related to integration as well as performance management and measurement. Documents reviewed included the Hibiscus Coast Municipality IDP, Ugu District Municipality IDP, work plans/performance plans for the two sector departments, strategic planning documentation for the three organisations (HCM, DAEARD and DRDLR), minutes for the IDP meetings, the municipality's Service Delivery and Budget Implementation Plan (SDBIP) and performance agreements for employees. The IDP related documents reviewed were for the period 2006-2009. The performance measurement documents reviewed were for the financial years 2008/2009 and 2009/2010. In total, about 2500 pages of documents were reviewed.

There are two main aspects to the usefulness of the document review to the research. On the one hand some documents (e.g. performance management policies and performance agreements) showed a 'blueprint' on how integration and performance measurement ought to be related. On the other hand, some of the documents (e.g performance reports, minutes of IDP forum meetings) were a reflection of what was happening on the ground. Most of the documents were publicly available through, for example, websites of the organisations. However, documents such as individual employees' performance agreements and performance review reports had to be specially requested from the subjects.

The researcher reviewed performance measurement documents for the interview subjects. In addition, for each of the three organizations, performance measurement documents of one official who was not an interviewee were reviewed for each of the three organisations. This made the total of employee performance measurement documents reviewed for each of the three organisations to be 3 (three). Again purposive sampling was used to choose individuals whose work was related to the IDP process. The semi-structured interviews were very useful in guiding the researcher in what to look for in the documentation that was to be reviewed. That is, they helped guide the researcher in looking for information that addressed the research questions. Without these questions, the researcher would have faced a serious challenge reading all the thick volumes of documents.

3.3.3.3 Participant Observation

As already indicated in Chapter 1, the researcher works in the chosen area of study and participated in the HCM IDP process. He has represented his department (DAEARD, Environmental Services) in the HCM IDP Forum since 2006. His experiences in the process were very influential in persuading him to choose this topic for study. In other words, participant observation was also incorporated into this case study. In participant observation, a researcher does not observe experiences of the individuals involved as detached outsiders, but experiences them first-hand as an insider (Welman *et al.*, 2005: p104).

Because he was already a member of the HCM IDP Forum, the researcher did not request any special permission to be a participant observer. Once he had developed an interest in the study, the researcher began to pay particular attention to the issues of integration within the IDP process of HCM. These issues included, among others, the level of attendance to the IDP Forum, the manner in which the forum meetings were conducted, the kind of information presented by individual stakeholders (especially HCM, DAEARD and DRDLR) to

the forum, the synergy or lack thereof in the planning processes and the relationship between the representatives of the three spheres of government (local: provincial and national). As part of normal note-taking in meetings, the researcher then started to make special notes on these and other issues that he felt were pertinent to integration. It is this exercise that guided the researcher to choose the topic for his study. In addition, being a participant observer was very important in guiding the researcher in both the semi-structured interviews as well as in the document analysis. Being a participant observer helped the researcher to find out who the right people were to interview were (purposive sampling). It also helped the researcher to know the kinds of document that he needed to review as part of data collection. As with document review, the researcher found the semi-structured interview questions to be very useful in deciding which information obtained through participant observation was relevant for the research.

3.3.4 Data Analysis Method

With semi-structured interviews, data analysis started while each interview was taking place. That is, as the interviewee was giving a response, the researcher would look for information gaps or issues that warranted clarification or expansion. He would then probe further in order to get to the bottom of issues. Each evening after the interview, the researcher would then sit and do a preliminary analysis of the full interview transcript.

Since three methods of data collection were used, the final analysis involved systematically creating links between the results obtained from the three methods. That is, the researcher had to indicate where there was synergy in the results. Equally, where there was contradiction in the findings, this had to be indicated and factored in when drawing conclusions. To do this, the researcher grouped the findings into three themes, along the lines of the three research questions. Under each research question, the researcher then recorded and

analysed the results obtained through each of the data collection methods. The researcher then drew conclusions based on the overall findings. For the benefit of the reader, Chapter 4 contains direct quotes of some of the information obtained through the three data collection methods.

The discussions in Chapter 4 and the conclusions in Chapter 5 therefore reflect the data collected through these three methods. In the main, the information used to draw conclusions was the obtained through the semi-structured interview as well as document analysis. In a few instances where information being discussed in Chapter 4 was obtained through participant observation, such in information is indicated as such.

3.4 Conclusion

The researcher did not experience any major challenges in data collection. This may be due to the fact that he had good working relations with the officials in HCM as well as in the two sector departments (DEARD and DRDLR). As already mentioned, document analysis was very useful in reducing the human bias aspect in the information obtained through interviews. For example, researcher was able to confirm whether or not the performance measurement systems applied were conducive to the success of the IDP integration processes. In the main, the researcher found that there were no contradictions between the information obtained through interviews and that obtained through document review. The research results are presented and discussed in Chapter 4.

CHAPTER 4

RESULTS AND DISCUSSION

4.1 Introduction

The true test of a competent qualitative researcher comes in the analysis of the data, a process that requires analytical craftsmanship and the ability to capture understanding of the data in writing (Henning *et al.*, 2004: p101). The aim of this chapter is to present and discuss the findings of the study. The results for each of the three organisations chosen for the study are presented and discussed in detail. Throughout the data collection and discussion, the guiding factor is the research questions, namely:

- Do the stakeholders have a common understanding as to what integration means in relation to the IDP process and,
 - Is there a systematic method in which this the success of this integration process is measured?
- Are the performance measurement systems used by the different IDP stakeholders conducive to the success of the integration process?

Primarily, each of the above research questions was addressed through a set of questions posed to the interviewees (Table 3.1 and Appendix 1). Further to that (as also mentioned in Chapter 3), relevant documentation was reviewed using the same set of interview questions as the guide. Participant observation was also important in unearthing some of the underlying issues. The results presented in the rest of Chapter 4 were obtained in the main through the combination of the semi-structured interviews and document review. Where issues being discussed in Chapter 4 emanated from participant observation and personal discussions, those are acknowledged as such. A concerted effort has been made not to present conclusions at this stage as that will be done in Chapter 5.

4.2 The understanding of the Integration processes

4.2.1 The Understanding of the IDP Integration Processes within the Hibiscus Coast Municipality

As indicated earlier in the literature review for this research, integration is a process, not a single action or a single event. In other words integration needs to be continuous throughout the IDP process if the aim of integration is to be achieved. However, when one looks at the literature on the IDP process, integration is mentioned as one of the phases in the IDP process. According to the DPLG (2000), integration is the phase in which the municipality needs to make sure that the identified projects are in line with its overall objectives and strategies. Furthermore, this phase is an opportunity for the municipality to harmonise the projects in terms of contents, location and timing in order to arrive at consolidated and integrated programmes e.g. a local economic development programme (DPLG, 2000: p16). It is also worth noting that this document puts more emphasis on the internal integration within local government level than on integration between local government and other spheres of government. The biggest shortcoming however, is the fact that this Guide Pack does not look at integration as a phenomenon that should be inherent throughout the IDP process.

According to the IDP Manager for the Hibiscus Coast Municipality, integration and alignment can be either horizontal or vertical. She asserted that horizontal alignment is that between different sections within the municipality, whereas vertical alignment is that between local government and the other two spheres (provincial and national) of government. According to her understanding, integration is the process whereby the municipality coordinates within its area of jurisdiction in order to avoid having different organs of state implementing similar projects. To do this, she adds

"The municipality meets with each sector department to hear what their plans are. The municipality must also give its strategic plans to sector

departments, so that they know what is required by the people in the municipality in the municipal area”.

The researcher made two important observations based on the IDP Manager’s views on integration. Firstly, the sector departments can individually draw up their plans as long as they eventually “integrate” them to the IDP. Secondly, the municipality also individually draws up its strategic plans and gives them to sector departments. Considering that these are two parallel processes, one needs to pose a question about how integration can be fully achieved when each of the parties involved have already drawn up their plans? As an active participant in the HCM IDP process, the researcher has also made personal observations that confirm the situation described above. That is, at the IDP Forum meetings, the sector departments (provincial and national) are expected to present their plans and budgets so that these are reflected in the IDP document. Alternatively, the municipality requests sector departments to come up with plans for addressing issues that they (the municipality) have received from the communities. Often these issues are raised during the IDP hearings in which sector departments are not represented. This goes against most literature on integration and integrated service delivery, which refers to, among other things, joint planning and decision-making (Institute for Public Administration Australia, 2002; DPLG, 2000; The Ministry of Children and Family Development, 2004; Monare, 2002; Paradath, 2006; IDT, 2003; Flanagan and Horowitz, 2000; State Services Commission and Ministry of Social Development, 2003; Department of Community Services, New South Wales, 1995). In Integrated Service Delivery “Separate services are involved in joint decision-making, and service providers offer services under a unifying mandate” (The Ministry of Children and Family Development, 2004: pp3-4.)

According to the Director of Operations (HCM) “integration and alignment means ensuring that programmes talk to each other even for different departments”. He adds that “Also at implementation, it is about ensuring that programmes are

aligned both in terms of approach as well as timing". While the views of these municipal officials may not hold true for what IDP integration ought to be, they indeed correspond with what was found in the documents that were reviewed.

The IDP guidelines document does not clarify what needs to be done in the case where a sector department's plans do not fit with the municipality's IDP plans. None of the two HCM officials interviewed could provide clarity in this regard. As it will be shown later in this chapter, the planning process in the sector departments is quite an elaborate one. The result is that by the time a department's programmes and projects are presented to the IDP forum, it is already too late to change them in order to fit in with the municipal IDP. Also, by this time, budget has already been allocated to these plans. This begs the question of what this integration really is that ought to be achieved through the IDP process?

4.2.2 The Understanding of the IDP Integration Processes within the two Sector Departments (DAEARD and DRDLR)

From the document review, it was quite difficult to find out what is meant by integration from the perspective of the sector departments. While work plans for the two sector departments clearly make reference to the IDP process, they do not refer to the need for integration as their reason for participation in the IDP process. While the Annual Performance Plan (APP) for DAEARD (Table 4.2) does have an output relating to giving support to the IDP process, this is not clearly outlined as an integration exercise. The performance measure for this table refers to the 'Number of Agriculture Sector Plans' supported. However, it is not clarified as to how integrated these plan are. A further review of the programmes and projects of DAEARD in the HCM area found that these are not emanating from any 'agric sector plan'

On the ground, the departmental officials (DAEARD and DRDLR) involved in the IDP integration processes have a range of views on what integration is. One official from the Department of DAEARD said

"To my understanding, integration refers to the incorporation of the departmental programmes into the IDP. In other words, these projects become part of the IDP or focus points of that municipality in a specified financial season".

An official from the DRDLR argued that integration and alignment is to bring about an alignment between what the departments are doing and what the municipality is trying to achieve. In addition to ensuring that the DRDLR projects are included in the IDP process, the official from the department also mentioned that their role is also to assess the sector plan (namely the Spatial Development Framework). The aim of this assessment is to ascertain whether the SDF has been compiled appropriately. What also transpired during interviews, document analysis and participant observation was that sector departments seek to integrate their ready-made programmes into the IDP. In other words, it is not the IDP process that informs programmes that sector departments draw up, rather it is the converse. The researcher believes that this is a consequence of lack of proper clarification as to what it is that the IDP integration processes seek to achieve.

As with the HCM officials, none of the DAEARD and DRDLR staff could provide clarity on what needs to happen when their departments' programmes are not in line with the IDP. As a participant observer, the researcher noted a number of instances where a sector department's presentations to the IDP Forum were rejected because they were said to be 'not in line with the IDP'. There seemed to an expectation from local government that it is the sector (national and provincial) department's plans that must align with the IDP. This contradicts the understanding of the phenomenon of integration as established in the literature

review in Chapter 2 of this research. Also, the strategic planning process of DAEARD presented in Figure 4.2 of this chapter, does not feature the IDP integration processes at all. The reality, therefore, is that the DAEARD officials at local level are expected to implement plans that are sometimes in conflict with the IDP process. By this stage, the department's officials can do very little, if anything, to promote integration between their department's programmes and the IDP of the municipality. This really leaves a question mark hanging over the general understanding of what IDP integration is.

4.3 Performance Measurement and IDP Integration Processes

The final (and arguably the main) research question was to investigate the role of performance measurement in the IDP integration processes. First and foremost, the researcher wanted to find out if there were any mechanisms in place for measuring the success of the IDP integration process. For the success of integration processes to be measurable, logic would dictate that there should be agreed outcomes at the start of the IDP integration process. Secondly, there would need to be collectively agreed indicators for the achievement of these outcomes. Here are some of the responses the interviewees gave when asked about the outcomes and indicators for integration:

"There are no agreed outcomes, departments are caught up in silos mainly to achieve statutory obligation, which is the IDP document" DRDLR official

"List of projects the main indicator but the main often these are unfunded and therefore end up being on the wish list" DRDLR official.

"No indicator get set, hence there is hardly a follow-up on the implementation and outcomes at a level of a forum where all sectors are represented" DAEARD Official

*"The municipality does have its internal indicators. As stated above, it is difficult to have indicators involving sector departments because there are no agreed outcomes"*HCM IDP Manager.

As an active participant in the IDP process, the researcher concurs with the interviewees that there are no agreed outcomes to the IDP integration process. Of course, as the custodian of the IDP process, the municipality does have its internal mechanism for measuring the success process. However, this measurement is not necessarily aimed at improving integration with other organs of state. As HCM Director, Operations put it, "Performance measurements and results are discussed and improvement measures devised. However, none of these are specific to integration".

One interviewee referred the researcher to the Provincial IDP Assessment as the one exercise that effectively amounts to the performance measurement of the IDP process. This is a process coordinated by the provincial Department of Cooperative Governance and Traditional Affairs, whereby each municipal IDP document gets assessed for what is referred to as "credibility". This exercise is undertaken once a year, and draws its participation from all sector departments. This researcher has previously participated in this IDP assessment exercise. What happens in these sessions is that various stakeholders come together to scrutinise the IDP document for each of the municipalities in the province. The IDP is then given a score against each of the aspects that are pre-chosen for assessment. The final score then represents the level of credibility for that IDP. One of the aspects that are assessed is the extent to which the IDP document reflects the programmes of sector departments within the municipal area.

In the next section, the researcher will look at the performance measurement systems for each of the three organisations chosen for the research. The aim

was to investigate as to whether these (performance measurement systems) enhance or hinder IDP integration processes.

4.3.1 Performance Measurement within Hibiscus Coast Municipality and How it Affects IDP Integration Processes

Essentially, the municipality uses what is called the Service Delivery and Budget Implementation Plan (SDBIP) to set its performance indicators. The next few paragraphs are dedicated to a short discussion on SDBIP. The principal objective in this regard is to analyse the extent to which SDBIP promotes integration, both within the municipality and between the municipality and the sector departments

4.3.1.1 The Service Delivery and Budget Implementation Plan (SDBIP)

The Municipal Finance Management Act calls upon each Mayor of a municipality to approve a Service Delivery and Budget Implementation Plan (SDBIP) every financial year. The SDBIP is an operational plan for the municipality, clearly outlining the Key Performance Indicators (KPIs), objectives, timeframes, outputs, outcomes and strategies for each programme and projects (HCM, 2008b: p46). Each department within the municipality utilises the SDBIP as a benchmark to achieve departmental objectives based on the department's core functions and also as a monitoring and evaluation tool. The Performance Management System (PMS) for the municipality is linked to the SDBIP. The SDBIP is divided into four (4) quarters and assessments (performance measurements) are conducted quarterly.

Table 4.1 below shows the Objectives, Strategies and KPIs for the 2008/9 SDBIP for HCM. Essentially, two issues pertinent to this research are significant about this table. Firstly, it serves a confirmation of the existence of an organisational performance measurement system within HCM. Secondly, it serves an indication

of what role the performance measurement system in HCM contributes to integration with other IDP stakeholders.

Table 4.1 HCM Strategies, Objectives and KPIs

Legend: KPA=Key Performance Area

KPI=Key performance Indicator

KPA: Services and infrastructure Development	Objective	Strategies	KPI and Performance Targets
Housing	Ensure that 98% of HCM residents live in formal housing by 2011.	To construct 1000 rural housing units per annum. To construct and transfer 1000 urban low cost housing units.	Number of rural housing units transferred annually. Number of urban low cost housing constructed and transferred per annum.
KPA: Economic Development			
Poverty Alleviation	To ensure 50% unemployment reduction by 2011.	Provide people with the necessary skills and create a conducive environment for business opportunities.	Reduced poverty levels Reduced indigent population of HCM Reduce no. of people unemployed.
Income generating Projects	To facilitate and support implementation of the income generating projects targeted at small emerging businesses at least 5 per year.	Implementation of the poverty alleviation and economic development strategies (targeted investment incentives, social corporate responsibility) including institutional framework.	No. of income generating projects facilitated by HCM Number of income generating projects supported by HCM.
KPA: Good Governance			
IDP Process Plan	To develop and communicate IDP methodology	Develop an IDP process plan for each review	Adopted IDP Process Plan (Council resolution).

Source: HCM, 2008d. (The columns have not been tampered with: a few KPAs have been included in order to illustrate the points for discussion)

Table 4.1 above reveals a number of factors significant for this research. Firstly, it indicates that the municipality does have a systematic way within which it plans and implement its service delivery. It shows that internally, the HCM sets performance targets and indicators to these targets. Consequently, the performance of each of the departments/directorates within the municipality is supposed to be measured against their targets as per the SDBIP. However, this table does not say anything about integration. The targets here seems to be “cut and paste” from the performance plans of the individual directorates. There seems to be no attempts to foster intra-organisational integration through performance management, and vice versa. Most significantly, the Key Performance Indicator for the IDP process plan is shown as the “Adopted IDP process Plan” (Council Resolution). Nothing is being said about the level of integration with other government departments. Furthermore, during the interview with the IDP Manager, she pointed out that the directors’ performance is not measured against integration and alignment. Consequently, municipal departments may not see any incentives for integration processes because they do not get measured. In other words, the individual actions contributing towards integration are not recognised, measured or rewarded. With the IDP process being the principal tool for integration in government planning and integration, the expectation is that integration should be an important performance indicator for the process.

The views solicited from the HCM officials interviewed also mirrored the shortcomings identified by the researcher from the reviewed documentation. Here is a sample of views:

“Basically, all programmes and projects are measured against the IDP but not necessarily against the integration and alignment” Director of Operations, HCM

*"Also, some critical people do not see their role in the IDP process and that creates problems. For, example, if the Chief Financial Officer or senior director within the municipality, believe they do not have role to play in the IDP, then you have an alignment (integration) problem"*Director of Operations, HCM

*"However for directors, the IDP alignment is not considered in the individual performance indicators"*IDP Manager, HCM.

The above quotes are some of the issues raised by the municipal officials who were interviewed. The essence of the issues raised here is that yes, there is some form of performance measurement system within the municipality. However, the performance measurement system in use does not cater for the integration processes between the different directorates within the municipality. When the researcher reviewed the performance contracts of two HCM Directors, he could not find any evidence that integration between the municipal directorates was one of the performance indicators, or expected outputs. This would then explain the resultant lack of intra-municipal integration.

The HCM officials interviewed also acknowledged that there was lack of integration the between the municipality and the sector departments (provincial and national departments). The following quotes represent some of the views to the effect:

*"As stated above, it is difficult to have indicators involving sector departments because there are no agreed outcomes"*IDP Manager, HCM

*"The Challenge is that the (Municipal) Systems Act does not say that the sector departments must work within the confines of the IDP"*IDP Manager, HCM

"Performance Contracts are linked to the SDBIP which is linked to the IDP. But, alignment with other state organ is not one of the performance indicators"
Director of Operations, HCM

"Departments' plans are very general; they are not specific to local municipalities" Director of Operations, HCM

"Also, nothing in departments' plans explains what they expect from the municipality in order for them to succeed" Director of Operations, HCM

The above statements are quoted from the interviews that the researcher conducted with the officials from HCM. Two important points became apparent during both the interviews and the review of documents related to this issue. Firstly, the performance measurement system within the municipality does not explicitly recognise the integration processes with other state organs as one of the key performance areas or indicators. Table 4.1 above is of reference in this regard. Looking at the three Key Performance Areas in the SDBIP, the researcher argues the successful implementation at the municipality level is highly dependent on the integration with the relevant sector departments. In other words, some of the KPAs (e.g. housing) in the SDBIP are not sole the competency of local government. Other government departments also have a role to play. This calls for a high level of integration at both the strategic planning as well as implementation levels. However, this integration with other organs of state is difficult to achieve as it is not considered to be part of the municipality's performance measurement system.

Secondly, there was admission within the municipality that there is lack integration with sector departments operating within the municipality area of HCM. An interesting factor revealed by the interviews and the documents (mainly the minutes of IDP meetings), is that the perception within the municipality is

that the sector departments (provincial and national) are to blame for this lack of integration. This is rather ironic when one considers the fact the municipality is responsible for coordinating the IDP alignment processes and should therefore play a leading role in the integration endeavours. On the other hand, their own SDBIP, which informs the performance measures, does not cater (at least not explicitly so) for integration processes in its performance indicators. Furthermore, integration with other state organs did not feature as one of the performance indicators in the two directors' performance agreements reviewed.

4.3.1.2 Implementation of Performance Measurement within Individual Directorates in HCM: Possible Competing Targets and Objectives

One of the findings of this study was that in the processes of pursuing their individual mandates, individual directorates within the municipality inadvertently affect integration processes in a negative way. This is demonstrated by way of an example below:

"According to the information at our disposal, the property for the proposed Airport expansion is the same property for which this Department is currently reviewing an application for low-cost housing by HCM. This Department cannot process two different applications for one site" letter from DAEARD to HCM dated 17 April 2009

The above extract is taken from the letter written by the Environmental Services directorate KZN Department of Agriculture, Environmental Affairs and Rural Development to the Hibiscus Coast Municipality. The letter was an attempt to advise the municipality to resolve a situation in which two of its directorates were planning to implement two different and incompatible projects within the same vicinity. The Housing Directorate (now Human Settlements) had already submitted an Environmental Impact Assessment (EIA) application to construct

low-cost houses adjacent to the existing Margate Airport. On the other hand, the Economic Development directorate of the same municipality was planning a massive project to expand the Margate Airport. Already, the preliminary EIA process for the proposed housing project had indicated that the Airport, in its current state and size made the area unsuitable for low-cost houses. Needless to say, the proposed Airport upgrade would have become even more difficult, if not impossible, to achieve if the low-cost housing project had been approved and implemented.

The above situation is but one example of a lack of inter-departmental integration within the municipality. In a meeting to discuss the matter with the HCM Housing Manager, he emphasised that the low-cost housing project in question was *"of great importance to my performance measurement as the Housing Manager"*. He went on to say that the land in question was bought on behalf of the municipality by the provincial Housing (now Human Settlement) department for low-cost housing and not for the Airport upgrade. This assertion was also echoed by the provincial Human Settlement department in a different meeting.

In a meeting to discuss the matter with the HCM Director for Planning and Building Control, he asserted that the Airport Upgrade was of *"strategic importance"* to the economic development of the municipality and the district as a whole. What further transpired during this meeting was that two municipal directorates reported to two separate Portfolio Committees. It transpired that the Portfolio Committee responsible for Housing measures the performance of the housing directorate based on its performance on housing delivery. Likewise, the Portfolio Committee of Economic Development measures the performance of their directorates based on success in economic development. In turn, the two Portfolio Committees' individual performance would be measured (albeit not formally) based on their individual mandates. The researcher did not find any

evidence or even indication that integration was considered in measuring performance. What also transpired in discussion with one senior director within the municipality was that delivering houses would be a “*politically*” more important performance measure than the upgrade of the airport. This researcher considers this as a subtle reference to one other possible dimension to integration and performance at local government level, namely political influence. As Wisniewski and Donnelly (1996: p364) put it

"The manager responsible for provision of a local government service is responsible to, and influenced by, not only senior managers in the authority (as in the private sector) but also elected representatives who may become involved in operational decision-making as well as the more strategic".

In his discussion with the researcher, the Manager for Environmental Management (HCM) also alluded to the negative effect of performance measurement on his own (Manager Environmental Management, HCM) job. He mentioned that he would normally give advice on environmental issues to different sections within the municipality. His experience was that if his colleagues in the other sections/directorates felt that integrating his environmental advice would negatively affect their own performances, they would tend to ignore the advice. According to the officials in the Environmental Section (HCM), the popular assertion would be "*my performance gets measured on my Key Results Areas and not on my Environmental Management*", thus negatively affecting the integration between Environmental Management and other Directorates/Sections within the municipality. In his daily work, the researcher has seen a number of situations where environmental issues were not integrated even though evidence showed that the municipality's Environmental Management directorate had advised accordingly. There could be a number of reasons for this. One reason could be that these directors are failing to see the need for integrating environmental issues into the activities of their individual

directorates. This may be because they have not been capacitated on the importance of environmental sustainability in the success of their respective directorates. That is, how issues such as climate change may eventually preclude them from effective service delivery. The other reason could be that the performance measurement system for the municipality places so much emphasis on the individual performances that it limits the space and opportunity for integration. That is, each directorate is chasing its performance targets as per their individual work plans. The researcher argues that the latter reason is more likely.

4.3.1.3 The Role of the IDP Manager in the Integration and the Performance Measurement System of HCM

One of the findings of this study was that the IDP Manager has a critical role in coordinating the integration processes within municipality. As the custodian of the IDP process, it is the IDP Manager's role to ensure that there is integration within as well as between the municipality and sector departments. Effectively, this means that the IDP Manager has a critical role to play in implementing performance measurements within the municipality. However, issues of power relations within the municipality seem to act as an impediment to achieving the desired results. To put this point into perspective, it is essential to first present part of the organogram (Figure 4.1) of the top management structure within the Hibiscus Coast Municipality. The objective Figure 4.1 is to illustrate whether the positioning of the IDP Manager within the hierarchy of HCM management structure enables her to play the integration role expected of her.

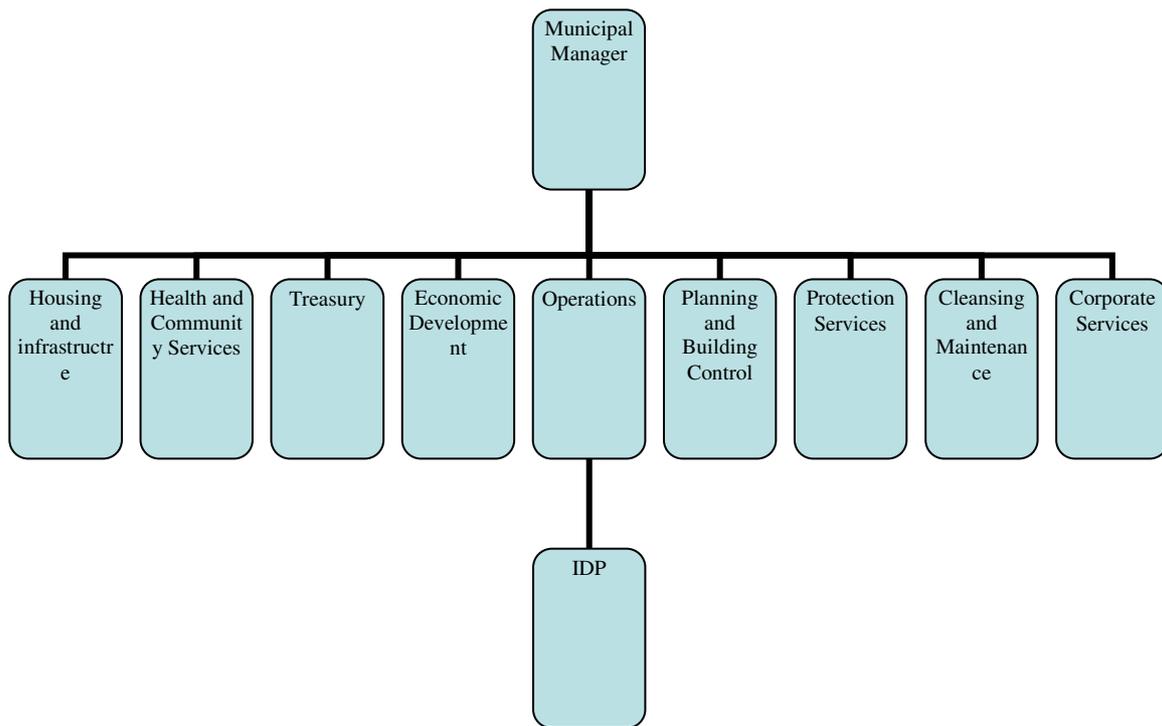


Figure 4.1 The HCM Administrative Organogram

Source: HCM, 2008b (Only the section with information pertinent to this research discussion has been copied here)

Figure 4.1 above shows the top administrative structure of the Hibiscus Coast Municipality. The Municipal Manager is the Accounting Officer, with nine departments headed by directors who report to him. The IDP Manager is one level lower than the directors in terms of seniority. By virtue of her title, job description and performance agreement, the IDP Manager, is the leader of the IDP process. The IDP Manager is therefore, by extension, the leading role player in the inter-departmental integration within the municipality. The implication of this is that the IDP Manager needs to ensure the contribution of each directorate/department to the integration process, thus indirectly “supervising” the directors as far as integration is concerned. The IDP Manager reports to the Director of Operations who in turn reports to the Municipal Manager. Significantly, the Directorate of Operations (and hence the IDP office as well) is the only directorate that is “physically” located within the office of the Municipal

Manager. While this was not explicitly voiced during the interviews, one possible explanation could be that the ultimate responsibility for integration within the municipality rests with the Municipal Manager. The successful implementation of the IDP is an important aspect in the Municipal Manager's performance contract. The fact that IDP is supposed to be the main integration tool therefore means that the Municipal Manager is the ultimate custodian of integration efforts within the municipality.

Both the Director: Operations and the IDP Manager asserted during their respective interviews with the researcher that the fact that the IDP Manager is junior to directors create problems. According to the Director: Operations, this creates two problems, namely:

- *The IDP Manager does not have the necessary influence within the organisation, and*
- *The IDP Manager does not interact with issues at a very high strategic level.*

While using a different kind of wording, the IDP Manager effectively raised the same issues as her director. According to the IDP Manager, the problems are that:

"As the IDP Manager, my role is to support and coordinate but this is difficult because I do not have power over directors." and

"The IDP Manager does not sit in Council and EXCO meetings. This is frustrating because as the IDP Manager, you do not know the reasoning behind some of the decisions that you are supposed to implement."

"The difficult thing is that as the IDP Manager, I essentially monitor directors who are at a higher level than I am"

The IDP Manager reports to the Director: Operations and should therefore report to him those directors who are not cooperating. However, the potential challenge

there is that the Director: Operations himself may not necessarily have influence over his colleagues of equal ranking. The Director: Operations did not mention this as a problem during the interview with the researcher. However, his predecessor once mentioned this as a challenge during a work-related discussion with the researcher. The other underlying issue in the above interview shows that the IDP manager does not get involved in the highest strategic planning processes. As a result, she is not able to influence the strategic direction of the municipality in a manner that would help improve integration.

The situation outlined above show that the organisational structure of HCM, does not cater for an effective performance measurement system in relation to the IDP integration process. As a result, directorates/departments within the municipality are not properly measured, incentivised or censored for inter-departmental integration or lack thereof as the case may be. Clearly, if there is a lack of integration internally, chances of integration with other stakeholders are unlikely to occur.

4.3.2 Effects of Performance Measurements within the DAEARD and DRDLR on the IDP Integration Processes

If no coherent, consistent and interlocking set of strategic process and operational measurements exists, it will be very hard for managers to set useful, targets and standards for their employees (Hiskin, 1995 in Coates, 1995: p3). Even if these do exist in job descriptions, they will most likely not be implemented if the systems in place are not conducive to a transparent and participative decision making process. Accordingly, performance measurements for government departments in South Africa cannot be discussed without mention of the strategic planning processes which informs implementation at local level. By way of an example, this researcher chose to look at the strategic planning context flow chart for the Department of Agriculture, Environmental Affairs and Rural Development (DAEARD). The Strategic Plan of the DAEARD

unfolds within a broader Social/Political and Provincial Strategic Context (Department of Agriculture and Environmental Affairs, Annual Performance Plan 2008/09: p17). Figure 4.2 below shows the process leading the local plans of DAEARD that are presented at the IDP forum. The aim is to analyse if this process is conducive to integration at local level.

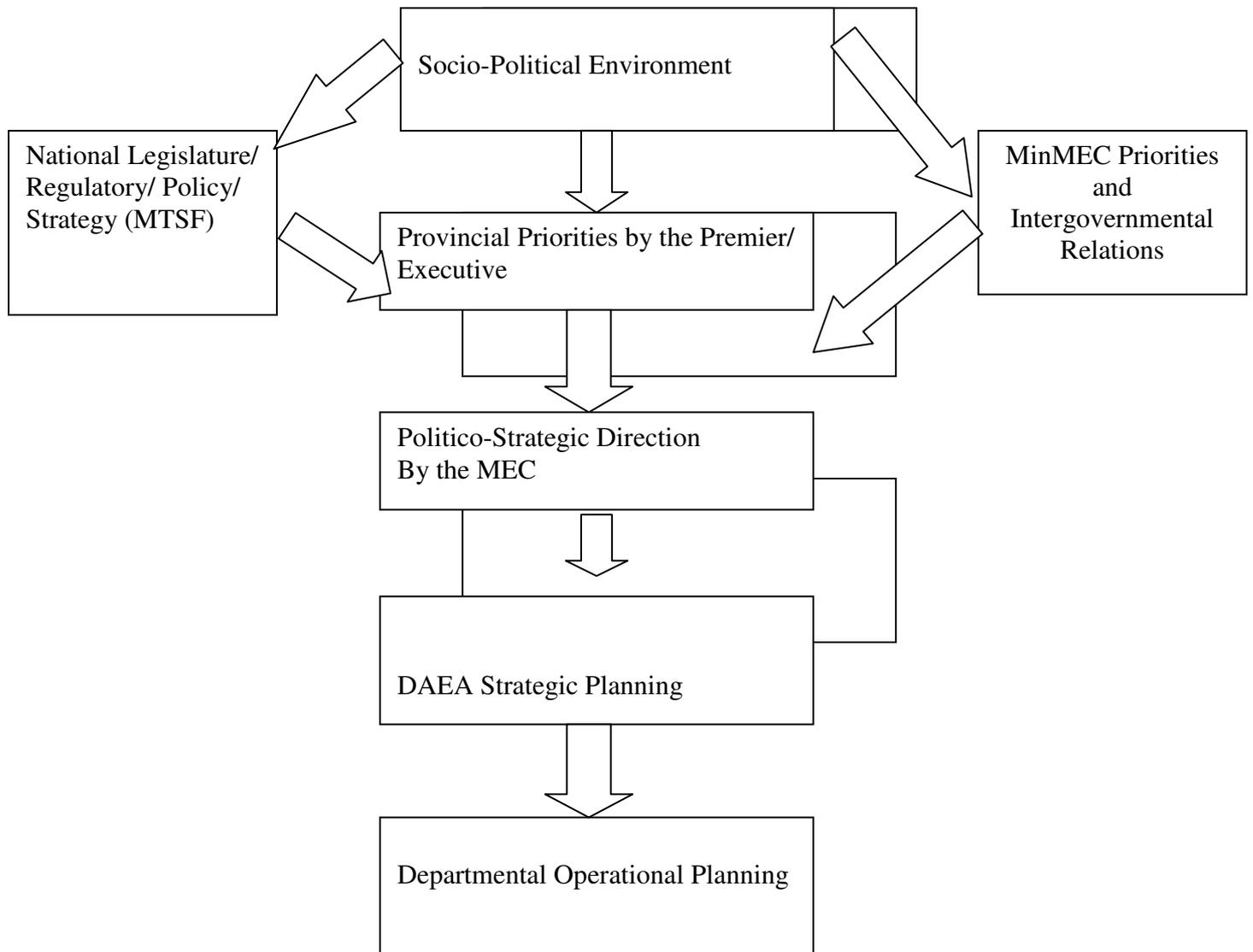


Figure 4.2 Strategic Planning and Implementation Flow Chart for DAEARD

Source: DAEARD, 2008a.

This diagram shows that national planning and strategic priorities play an influential role in guiding the provincial government activities. From the National Priorities in the form of the Medium Term Strategic Framework (MTSF), as well as the Intergovernmental Planning through MinMEC, the Provincial Executive draws Provincial Priorities. The Provincial Priorities are formalised by the Premier through the State of the Province Address. The MEC for the Department of Agriculture, Environmental Affairs and Rural Development, through the Budget Speech, then gives the Politico-Strategic Direction of the Department. The Politico-Strategic Direction of the Department is what the department plans to do in line with its legislative mandate in order to contribute towards the achievement of the Provincial Priorities. The top management of the department then undertakes the Departmental Strategic Planning. Through this, the department seeks to operationalise the MEC'S Budget Speech. This culminates in what is referred to as the Departmental Operational Plan.

It is interesting to note that in the whole planning scenario outlined above (and represented by Figure 4.2), there is no mention of the IDP process. This approach also seems to be a very top-down one. It may be argued that the lower structures (Districts and Sub-Districts) of the Department do have the opportunity (or perhaps obligation) to integrate the operational plan into their local municipality's IDP process. However, the reality is that by the time the operational plan reaches districts and sub-districts, it is very much an already decided process. As one sub-district official put it in the interview with this researcher, *"Our performance is measured against the targets set by the Regional and Head Office"*. This is in conflict with the assertion by Gauthier (1994, in Senge *et al.*, 1994) that priorities and their measurements should not be imposed on the lower employees by senior manager. Implementers have to be involved in setting up these. It can therefore be argued that even before checking whether a performance measurement system does exist, the planning context is not conducive to the IDP integration processes. In line with what was

also discovered with HCM, the system in place within DAEARD is not conducive to a performance measurement system that promotes integration at local level.

The next section explores performance measurement for the DAEARD performance plan discussed above. This is followed by a look at a similar performance plan (referred to as an operational plan) for the DRDLR. The objective is to analyse the extent to which performance measurement promotes the IDP Integration processes. Table 4.2 below has been taken from a performance plan for one of the sections within DAEARD. Only a few outputs and their performance measures have been extracted in order to demonstrate the kind of performance measures used by the department. The focus of discussion for the purpose of this research is on the kind of performance measures being set and their possible effects on integration.

Table 4.2. An example of Measurable Objectives and Performance Measures for Farmer Support and Development: DAEARD

Output Type	Performance Measures	2008/9 Target
Facilitate formation and support of farmer associations/self help groups.	Number of functional farmer associations/self help groups set up.	(Numerical target)
Develop and present structured courses	Number of structured courses facilitated.	(Numerical target)
Support Municipal IDPs	Number of Agric Sector Plans supported	(Numerical target)
Establish and support homestead gardens	Number of productive homestead garden established	(Numerical Target)
Establish and support Livestock Units	Number of livestock established.	(Numerical target)

Source: DEAERD, 2008a. (The columns have not been tampered with: a few outputs have been included in order to illustrate the points for discussion)

Table 4.2 above reveals a number of telling findings. Firstly, it serves as a confirmation that the Department of Agriculture, Environmental Affairs and Rural Development does indeed measure its performance against its performance plan. Secondly, the performance measures and targets are in numerical form. Put crudely, according to this table, it is the numbers that should tell the department whether or not it has performed. Baker (1994, in Senge *et al.*, 1994) refers to this over-reliance on performance figures as the 'measurement trap'. He argues that statistics often fail to explain the causes of good or poor performance. Baker also warns that this kind of performance measurement can encourage employees to seek to improve numbers even if it means achieving this at the expense of the integrated system. This would, for example, encourage the local office of DAEARD to implement their projects, irrespective of whether or not these are integrated in the HCM IDP strategic priorities. After all, their performance is not measured on their integration with the IDP. This contradicts the assertion by Gauthier (1994, in Senge *et al.*, 1994) that priorities and the performance measurement thereof, must cut across disciplines and functions.

The third aspect to note about Table 4.2 is that it does in fact refer to what it calls "support municipal IDPs". On the face of it, this can be interpreted as referring to the IDP integration process. However, when one looks at the performance measure in this regard, it is said to be the "number of Agric Sector Plan supported". If IDP integration was the goal, this researcher argues that the output would be "to integrate agricultural programmes into the IDP". The performance measure would then be crafted in such a way that it takes into cognisance the IDP integration with other stakeholders within the IDP integration process. The compatibility of the Agricultural Sector plans with the IDP itself is only implicit on this table.

The emphasis on numbers (without due regard to the IDP integration process) when it comes to performance measures and targets may create unintended

negative effects. The common practice in the department is that the provincial targets get divided proportionally between the regions, all the way down to districts and sub-districts. The sub-district target then gets divided proportionally between individual staff members/employees. Effectively, this means that irrespective of what the IDP targets are per municipality or the ward as the case may be, the representative of the DAEARD operating within that municipality already has his or her pre-set target towards which he or she is working. The consequence of this situation is that each employee will somehow be guided by her targets and the measurement thereof, even if it means that this is to the detriment of the IDP alignment process. This situation finds expression in the form of the annual Performance Agreements and Work Plan of the individual employees within the department. To illustrate the last point, a specimen Work Plan for one official is shown below:

Table 4.3 An example of a DAEARD Employee Work

Key Results Area	Key Activity/Output	Performance measures		Responsibility	Resource Requirement	Enabling Conditions
		Target Date	Indicator			
Farmer settlement and Support Services	Farmers Supported	*****	No. of participants supported	(Position of the person)	Budget/ Funds	Conducive Environment
Food Security	No of Poultry Units established	*****	No of poultry units established	(Position the of person)	Budget/Funds	Funds

Source: DAEARD, 2009

(The columns have not been tampered with, only two KPAs have been included in order to illustrate the points for discussion)

As can be seen above, the performance indicators and the targets thereof in the Work Plan make no reference to integration with the IDP. The IDP process is not even identified as an enabling process. What therefore happens is that the performance measurement of the DAEARD employee does not factor in the IDP integration or lack thereof, as the case maybe. The resultant situation is that the said DAEA employee may “perform” exceptionally well in terms of internal performance measurement. On the other hand, it may in fact be discovered that the said employee may have performed dismally in terms of integration with the IDP. Similar observations as with DAEARD were made in terms of the operational plan for DRDLR. Table 4.4 below is extracted from the operational plan for one of the sections in DRDLR. Only two strategic objectives and their performance measures have been copied with the aim of discussion in the research.

Table 4.4 A Specimen DRDLR Operational Plan

Strategic Objective	Output (Key Performance Area)	Measure (Indicator)	Target (Port Shepstone) 2009/10	Quarter 1 Target (Port Shepstone)	Quarter 2 (Port Shepstone)
Redistribution of 30% of white-owned agricultural land by 2014 for sustainable agricultural development	Productive white-owned agricultural land provided to Black South Africans for sustainable agricultural development	24.9 million hectares of productive white-owned land provided to 60 000 individual Black South Africans by 2014.	Numerical figure	Numerical figure	Numerical figure
Provision of land for sustainable human settlements	Land acquired for sustainable human settlements	No. of properties transferred to municipalities for integrated settlement	Numerical figure	Numerical figure	Numerical figure

Source: DRDLR, 2009b (The columns have not been tampered with, only a few two strategic objectives have been included in order to illustrate the points for discussion)

Table 4.4 above shows that in the main, performance is measured in terms of numbers. It also transpired during the interviews that the targets for the Department are set outside the IDP process. In other words, the department sets its own targets irrespective of what the IDP says. In the main, the objective of the department's participation in the IDP is to ensure that its projects are included in the IDP document, rather than to ensure that its programmes and projects are informed by the IDP process. This was also evident from a sample performance assessment form of one departmental employees working within the Hibiscus Coast Municipality area. The performance assessment form is presented below (Table 4.5), with only two planned outputs and their performance indicators being chosen for discussion.

Table 4.5 DRDLR Performance Assessment Form

Performance/Planned output	Performance standards	Performance indicators.
1. Redistribution of 30% of productive White-owned agricultural land provided to Black South Africans for sustainable agricultural development	X number of hectares acquired and transferred to beneficiaries.	Documented records of the transactions.
2. State land disposal to support development	No of properties disposed of for land reform purposes	Documented records of transferred land

Source: DRDLR, 2009a documents (The columns have not been edited but only two outputs have been included in order to illustrate the points for discussion)

Just as in the cases of DAEARD and HCM, performance standards for DRDLR seem to emphasise the numerical (quantitative) targets. The above performance form does not show evidence that qualitative performance is considered important for the department. Integration, as a qualitative performance aspect

(see Chapter 2), is therefore not adequately catered for in the performance measurements of DRDLR. In fact, it can be argued that the emphasis on numerical targets (quantitative performance) effectively works against the IDP integration processes. That is, based on the achievement of his/her quantitative targets, an employee can be internally adjudged to have performed well irrespective of their level of contribution to the IDP integration processes. In the worst case scenario, some employees could purposely ignore (or even subvert) the IDP integration processes if they deem them to be impeding their “march” towards individual excellence.

4.4 Conclusion

The findings of the research were discussed in this chapter. While collecting data, the researcher came across other factors that were possibly contributing to the lack of success in the IDP integration process. For example, the role played by the fact that the financial year for the local sphere of government is not aligned with that of the other two spheres of government. However, the conclusions drawn in Chapter 5 are limited to the findings relevant to the research questions outlined in Chapter 1. The other findings that the researcher came across, which fell outside the research questions, are recommended for further research at the end of Chapter 5.

CHAPTER 5

CONCLUSIONS AND RECOMMENDATIONS

5.1 Summary of Findings

The conclusion to be drawn from the research results with regard to the first research question is that there is no common understanding of what is meant by integration in the IDP process. As a result, there are no commonly agreed objectives for participation in the IDP integration processes. This point is discussed in more detail in Section 5.2 below.

As for the final research question of this study, the research concludes that there are two ways in which performance measurement affects the IDP integration. Firstly, if integration is to succeed, it ought to be reflected in the performance indicators for state organs. Secondly, the research found (as will be discussed later in this chapter) that performance measurement, as it is applied in the individual organisations, invariably has an effect on the success or otherwise of the integration process. According to the findings of this research, the performance measurement systems currently in place in each of the three organisations (DAEARD, DRDLR and HCM) are contributing to the failure of integration efforts. This point is discussed in detail in Section 5.3.2 below.

5.2 The Understanding of the Concept of Integration and Alignment in the IDP Processes

The first research question was to investigate as to whether the stakeholders in the IDP process for HCM indeed have common understanding of what is meant by the term 'integration' in the IDP process. The aim of this investigation was not just to get their theoretical understanding of the concept, but to ascertain whether they have a common purpose for participation in the IDP integration processes. The finding in this regard was that there is no common understanding of what is meant by integration in the IDP process. Consequently, each stakeholder has their own expectation from the IDP process. Some officials in the

sector departments, for example, in the main regarded the inclusion their projects in the IDP document as integration. Some believed that integration lay in knowing what programmes other stakeholders were implementing, and thereby avoiding duplication of programmes and projects. All this is in stark contrast with the understanding of the concept of integration developed in the literature review for this study. As for the municipality, the impression created is that integration is achieved when national and provincial departments implement programmes that emanate from the IDP process. None of the officials interviewed could say what needed to happen for integration to succeed. On the one hand officials from DAEARD and DRDLR expected the municipality to accept the departments' programmes and "include" them in the IDP. On the other hand, the municipality expected departments to be come up with programmes and projects that fitted into the strategic vision of the municipality. The researcher believes that the biggest contributing factor to this confusion emanates from the fact that integration is depicted as just one stage within the IDP process, as opposed to being inherent throughout the process.

5.3 The Measurement of the IDP Integration Processes

If an issue is vital, then it needs to be measured, even if finding ways of measuring it is difficult (Miskin, 1995 in Coates, 1997: p3). By introducing the concept of the Integrated Development Planning, the government of South Africa underscored the importance of integration. The Integrated Environmental Management (IEM), the Integrated Waste Management Plans (IWMP) and the Integrated Coastal Management Act are but a few examples that show the high premium that the government of South Africa places on the concept of integration processes. It would therefore be expected of government to come up with a clear measurement system for integration processes. This measurement system for integration would then be reflected across all three spheres of government and in state departments and organs.

The researcher concludes that there is currently no measurement system for the IDP integration processes. This was confirmed both by the documents reviewed as well as by the interviews with the stakeholders. As the Director for Operations, HCM put it, *"I do believe that the lack of performance measurement for alignment means that nothing is pressing people to align"*. According to the IDP Manager, HCM *"What makes it difficult to have indicators involving sector departments is that legislation does not force sector departments to work according to the IDP"*. While that latter also pointed to another aspect (that of the legislative provisions) that still needed further investigation, both interviewees highlighted the same issue. That is, the IDP integration processes did not get measured and therefore was not rewarded.

The researcher hereby argues that even the Provincial IDP Assessment process mentioned in Chapter 4 cannot be regarded as a measurement for the IDP integration process. There are two main reasons why this process cannot be accepted as a measurement for IDP integration. Firstly, this assessment is about the IDP document and not the IDP integration processes. Secondly (and perhaps more importantly), these assessments only focus on the municipalities' role as the custodians of the IDP process. If the IDP is found to be "credible", credit goes to the municipality and if it is not, the municipality gets the blame. None of the accolades or blame, as the case may be, goes to the sector departments. Contrary to this, for integration to be successful, all participants in the process have a role to play.

It can therefore be concluded that the biggest problem is that while the goal is to integrate, there is in fact no concrete system to measure and reward integration processes. In fact, there are no performance measurement indicators against which the IDP integration process is measured. This researcher submits that this is one of the biggest challenges to the integration processes. As Legget (2003:

p2) put it “In a very real sense: performance indicators determine what gets done on the job”.

5.3.1 The Role of Performance Measurements Applied in Individual Organs

It was discovered in the course of the research that all state organs have their own internal performance measurement systems. It must be noted here that the purpose of this research was not to interrogate these performance measurements *per se*. What was being investigated was the effect the current performance measurement system was having on the IDP integration process.

The finding in this regard was that in the first instance, performance measurement being applied did not take cognisance of the need for integration. That is, current performance measurement system tends to promote individual performance as opposed to performance by a collective. As a result, there is no incentive for integration or disincentive for lack of integration in so far as the performance measurement system is concerned. In fact, some component members of the IDP integration process may be so eager to satisfy their internal performance measures they that may totally disregard the need for IDP integration. In such instances, it may be argued that in fact performance measurement does act as an impediment to the IDP integration processes.

The researcher also found that within the HCM, the IDP Manager has a critical role to play in relation to performance measurement. That is, she is responsible for measuring the performance of internal departments in integrating and implementing their programmes within the IDP. However, she is restricted in her ability to do this by the fact that she occupies a lower position/rank than the directors who are in charge of these departments. As such, she does not have enough authority to ensure their performance and compliance.

The other factor that came out of this research was the fact that both the municipality and the sector departments almost exclusively use numerical figures as performance targets and indicators. In other words, they use quantitative performance measurements. Being qualitative in nature, integration processes are therefore not catered for in these performance measures.

Lastly, none of the organisations studied in this research have their performance assessed by external partners. Boyne *et al.* (2006) argue that it is important to have performance indicators that are based on perceptions of performance by stakeholders. These are called subjective performance indicators. Again, an argument may be made that the Provincial IDP assessments effectively amount to the assessment of the municipality by the stakeholders. However, as already argued above, these assessments only look at the IDP document and not the IDP process. The IDP integration process involves different sectors and spheres of government. For integration processes to be successful, each of the partners has to play its role. In order for each partner to know if they are indeed playing the role expected of them, they somehow need to have their performance measured by their partners in this regard. In this way, partners in the IDP integration process would be assisting each other to improve integration through performance measurement. As noted during literature review, performance measures should take into account the multidimensional nature of performance in the public sector (Boyne *et al.*, 2006).

5.4 Recommendations for Further Research

The concept of Integration (and by extension, Integrated Service Delivery) seems not to have been thoroughly unpacked for the understanding of all those involved in the IDP integration processes. Consequently, while everyone agrees with the need to integrate, each person (and stakeholder) has their own understanding of what integration is or should be. Chun and Rainey (cited in Boyne *et al.*, 2006) refers to this situation as "goal ambiguity". It is therefore

suggested here that the concept of integrated service delivery in government still needs to be unpacked in order to fully understand what is meant to be achieved by the IDP process.

During the research process, the researcher also came across some findings that he felt he could not draw conclusions on. The reason for the researcher's reluctance to draw conclusions on these is that the research was not designed to investigate them. As such, it would be unscientific for the researcher to draw conclusions on those. Nonetheless the researcher would like to propose these for future research. These are mentioned in the sections that follow.

5.4.1. Legislative Provisions

One of the subjects that still needs to be explored is whether the prevailing legislative provisions are at all conducive to the IDP integration processes. Chief among these is the fact that the Act that gave rise to the IDP process, the Municipal Systems Act, 32 of 2000, is only mandatory on the part of municipalities and not the other spheres of government. The other area that needs to be studied is the effect on integration of the fact that the planning, budgeting and implementation cycle for municipalities is not aligned to that of the provincial and national spheres of government. That is, the financial year for the National and Provincial government begins on 01 April (PFMA, Act 1 of 1999) while that of Local Government begins on 01 July (MFMA, Act 56 of 2003). According to Paradath, 2006: p9

"The sequencing of budget cycles means that the statutory engagement takes place only after finalization of nation and provincial budgets, thus limiting the scope for creative responses on the part of provincial and national departments to the issues and problems raised in the IDP process at municipal level".

5.4.2 Performance Measurement in the Public Service

There is also a need to investigate ways of improving qualitative performance measures in the public service. The success or otherwise of IDP integration processes is more of a qualitative matter than a quantitative one. The same applies to the main objective of the IDP, which is to improve the life of the ordinary citizenry of the municipality. This cannot, for example, be successfully reduced to counting the number of community gardens established. There needs to be a systemic measure to see if “quantitative achievements” do in fact lead to “qualitative improvements”. Monitoring and evaluation in the Public Sector should therefore as a necessity, include qualitative aspects.

5.4.3 Relative Seniority of IDP Forum members

Lastly, there is a need to further investigate the effect of the seniority, or otherwise, of the officials that represent sector departments at the IDP Forum. Those representing the municipality at the forum have complained that sector departments tend to send junior officials to attend the IDP Forum. They argue that these officials do not have enough information about their own departments’ programmes and budgets. Also, they say these officials do not have the authority to take decisions during at the IDP process. Anecdotal observation by the researcher did point to this as part of the problem.

5.5 Conclusion

The researcher chose an aspect that had previously remained relatively unexplored within the subject area of the Integrated Development Planning. While there had always been widespread complaints that the IDP process was not achieving the desired results, there was no evidence of any investigation into the role of performance measurement on this failure. The research found that indeed performance measurement has an important role to play if the Integrated

Development Planning process is to be a success. Most significantly, the research helped tease out other possible contributing factors (e.g. organisational structures and legislative issues) to the problem. As such, this research provides a sound basis for future research on the subject of the IDPs.

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APPENDICES

Appendix 1: Interview Questions guide

1. What do you understand to be your Municipality's/Department's role in the IDP processes?
2. What do you understand to be meant by integration and alignment in the IDP process?
3. What do you understand to be your municipality's/Department's role in the IDP integration processes?
4. Who do you believe to be your main clients in the IDP process?
5. At the start of the IDP integration process, are there any agreed outcomes among the stakeholders (more specifically, sector departments and the municipality)?
 - a. Do you agree on indicators to these outcomes?
 - b. Do you agree on how these outcomes are to be measured? Please expand.
6. Is the integration in the IDP processes supported by legislation? Please explain.
7. Do you have a performance measurement system in your organisation?
8. Do you believe that your organisation's performance management system is conducive to the success of the IDP process? Please explain.
9. As an official involved in the IDP processes, is your performance measured against the success of IDP integration and alignment as one of the performance indicators? Please explain.
10. In measuring the success of your department's/municipality's programmes, does alignment and integration with other organs of state get consideration as one of the performance indicators? Please explain.
11. If integration is indeed measured, when is it measured
 - a. Continuously?

- b. Periodically?
 - c. At the end of the financial year?
12. If integration is indeed measured, what aspects of the same get measured? Is it input, activities, outputs or outcomes?
 13. What gets done with the results of the performance measurement? Do they ever get used to take corrective measures in order to improve integration?
 14. Are there any other issues in this subject which you would like to touch on and which might not have been covered in the above questions? Please expand.