

**TOPIC: MUNICIPAL GOVERNANCE UNDER SIEGE IN SOUTH
AFRICA: THE COMPARATIVE STUDY OF UMHLATHUZE AND
MTUBATUBA LOCAL MUNICIPALITIES**

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THESIS

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DECLARATION

I, Terence Lancelot Sibusiso Khuzwayo, declare that unless otherwise acknowledged in text, this thesis is my own original work and has not been submitted previously to the School of Built Environment and Development Studies or any other body for any purposes.

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DEDICATION

This thesis is in memory of my loving parents, Norman and Miriam Khuzwayo, who not only moulded me into the character that I am but also prepared me for the gruelling journey of life that lies ahead.

May their spirit of dedication, devotion and duty to public service live forever in my heart.

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LIST OF ACRONYMS AND ABBREVIATIONS

AG	Auditor General
AGSA	Auditor-General South Africa
AIDS	Acquired Immunity Deficiency Syndrome
ANC	African National Congress
BL	Business Leaders
B2B	Back to Basics
CBO	Community Based Organisation
CODESA	Convention for a Democratic South Africa
CoGTA	Department of Cooperative Governance and Traditional Affairs
CIP	Comprehensive Infrastructure Plan
DDM	District Development Model
DPLG	Department of Provincial and Local Government
DPME	Department of Planning, Monitoring and Evaluation
GDN	Gross Domestic Product
GGLN	Good Governance Learning Network
GIS	Geographic Information Systems
FG	Focus Group
HIV	Human Immunodeficiency Virus
IDP	Integrated Development Plan
IFP	Inkatha Freedom Party
IGR	Inter-Governmental Relations
ILGM	Institute of Local Government Management

IMF	International Monetary Fund
IRR	Institute for Race Relations
JMPT	Joint Municipal Planning Tribunal
KZN	KwaZulu Natal
LED	Local Economic Development
LGE	Local Government Expert
LGSETA	Local Government Sector Education Training Authority
LGTAS	Local Government Turnaround Strategy
MDB	Municipal Demarcation Board
MEC	Member of Executive Council
MFMA	Municipal Finance Management Act. Act 56 of 2003
MIIF	Municipal Infrastructure Investment Framework
MM	Municipal Manager
MPAC	Municipal Public Accounts Committee
MoU	Memorandum of Understanding
NPG	New Public Governance
NDP	National Development Plan
NGO	Non-Governmental Organisations
NPM	New Public Management
NPO	Non-Profit Organisation
OECD	Organisation for Economic Cooperation and Development
POB	Political Office Bearers
PWC	Price Waterhouse Coopers
RSA	Republic of South Africa
SADEC	Southern African Development Community

SALGA	South African Local Government Association
SAPS	South African Police Services
SDBIP	Service Development Business Implementation Plan
SDG	Sustainable Development Goals
SMART	Specific, Measurable, Attainable, Realistic and Time-bound
SPLUMA	Spatial Planning and Land Use Management Act, Act 16 of 2013
STATS SA	Statistics South Africa
UN	United Nations
UNDP	United Nations Development Programme
WHO	World Health Organisation
WSA	Water Services Authority
ZCC	Zululand Chamber of Commerce

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ABSTRACT

Many scholars in public policy are increasingly locked in the debate about the changing role of the state in meeting societal needs. This is amidst the spectrum of many perspectives on service delivery provision ranging from state-centric, market-centric, and citizen-centric approaches. While there is relative consensus on the need for the state to play a role in responding to the changing service delivery demands, there are stark differences in the literature about the nature, form, and texture of the role of the state.

With the advent of the democratic government in South Africa, various state apparatus, including municipalities, are expected to play their significant role in responding to the changing societal demands as articulated in the 1996 Constitution. There is compelling empirical evidence to suggest that municipalities are under immense pressure to exercise their governance role amidst changing service delivery demands brought about by socio-economic and population dynamics, technological change, climate change as well as global pandemics.

However, there is little understanding about how municipalities, given the wide array of perspectives, interpret and experience their governance role in responding to these changing service delivery demands. This understanding is critical to providing an empirical analysis of how different governance partners interface and relate to one another within the municipal space.

This research project sought to respond to the gap in literature by bringing out the voices of key stakeholders within the municipal space into the governance conversation. These voices add flavour and colour to the unfolding governance conversation in a manner that not only enriches the debate but also suggests practical measures that assist governance systems for municipalities in South Africa.

CHAPTER 1

INTRODUCTION

A journey of a thousand miles begins with the first step....Lao Tzu (6th century BC)

1.1 INTRODUCTION

There is a growing body of literature on the relationship between the state and society as researchers are increasingly focusing on the state's capacity to meet societal needs (Bevir, 2011; Pierre, 2016). At the heart of the debate is the changing role of the state in meeting societal needs, amidst many forms of service provision ranging from state-centric, market-centric and citizen-centric approaches (Van Donk, Swilling, Parnell & Pieterse, 2007; Bevir, 2011; Pierre, 2016).

This scholarly debate is reflective of a society in a state of flux. From the onset, the practice of social theory has been characterised by change and fluctuation (Ritzer & Smart, 2001). The analytical focus of social theory, the erosion of the traditional forms and the emergence of the modern world, was from the beginning unstable (Ritzer & Smart, 2001). Theories are constantly challenged by practical reality leading to policy dilemmas (Bevir, 2011). The ideas and actions by which society responds to these dilemmas are the sources of new theories and practices (Bevir, 2011).

Within the African context, the nexus of this debate is centred on human centred governance mechanisms to rise above the shackles of poverty and underdevelopment (Onimode, 2004). Both academics and policy makers are seized with the democratisation of the development process as well as ensuring equity and justice in the distribution of public resources to progressively eliminate unemployment and mass poverty (Onimode, 2004).

In South Africa, various academics and policy makers decry the current state of development and argue for alternative home-brewed, theory-driven and policy-relevant governance or managerial instruments to put the country on a sustainable development trajectory (Bond, 2000; Nkomo, 2017).

Within the municipal context, policy makers are grappling with more robust governance systems to respond to the growing restlessness of society as evidenced by the rise in service delivery protestations (Morudu, 2017). Various studies seek to provide a diagnostic account of the rising service delivery protests with limited attempts at understanding how municipalities interpret and experience their role in the changing service delivery demands (Morudu, 2017; Madlongozi, 2007; Siwisa, 2008).

The current reality facing local government in South Africa relates to the challenges in interpreting and implementing the policy imperatives (Van Donk et al, 2007). However, Hart (2013) argues differently by postulating that local government is the key site of structural contradictions and an impossible terrain of official efforts to manage poverty and deprivation in a racially inflected capitalist society marked by massive inequalities and precarious livelihoods. In short, local government is set up for failure, irrespective of official efforts to offer technical solutions to what is essentially a political problem (Hart, 2013).

This debate poses a vexing question on the role of local government in the face of massive poverty and changing service delivery demands for water, electricity, housing, roads and increasing job opportunities. What compounds the problem is the Constitution Act, Act 108 of 1996 that has placed, in no uncertain terms, a legal obligation on local governments to respond to major socio-economic challenges. While there are many studies into the role of local government in responding to socio-economic challenges, such studies tend to focus on the quantitative aspect of service delivery. Few studies focus on how local governments interpret and experience their role in meeting societal demands, with special reference to the qualitative aspect of service delivery.

This thesis seeks to enter the realm of this vexing question by critically examining how the local government interprets and experiences its role amidst changing service delivery demands by citizens in South Africa.

1.2 BACKGROUND TO THE STUDY

According to Dr Zweli Mkhize, the Minister of Cooperative Government and Traditional Affairs (CoGTA) Budget Vote Speech to the National Assembly on 15 May 2018, only seven per cent of the country's municipalities are classified as well-functioning, 31% are reasonably functional, 31% are challenged and almost dysfunctional while the remaining 31% are dysfunctional (CoGTA,

2018). This is despite the suite of various support and intervention mechanisms designed to stabilise the local government in South Africa. Dysfunctional municipalities are unable to discharge their constitutional mandate, leading to social discontent (CoGTA, 2018).

This pronouncement underscores the profound dynamics between various spheres of government who are distinctive, interdependent, and interrelated, according to Section 40 (1) of the Constitution Act, Act 108 of 1996. In this regard, municipalities have often challenged CoGTA's authority to pronounce on their powers and functions, while Section 151 of the Constitution Act, Act 108 of 1996 is clear that local government has both legislative and executive authority on its affairs. Furthermore, municipalities have often questioned both the jurisdiction and the methodology of the national and provincial spheres of government in arriving at this pronouncement, which tends to project local government in a negative light.

Lastly, this pronouncement is made in the face of rising quantitative measures of service delivery outputs such as better access to water, electricity, roads and refuse collection as well as other non-municipal basic services such as housing, educational opportunities, and social grants (IRR, 2015).

It is, therefore, intriguing that municipalities receive the brunt of social discontent at the time when they discharge more public services than before. These policy and practical contradictions call for more empirical research into this question, and hence the justification for this research study.

1.3 THE PROBLEM STATEMENT

Twenty years after the promulgation of the Constitution into law in 1996, municipal governance is increasingly under siege and municipalities are battling to cope with their powers and functions. Some municipalities are ravaged by capacity challenges, maladministration, financial stress, and a general state of anarchy (CoGTA, 2018). Municipalities, being at the coalface of service delivery, are bearing the brunt of disgruntled communities who claim to have waited long enough for their services.

Some municipalities such as Msunduzi and uMgungundlovu in Pietermaritzburg, Mtubatuba in KwaZulu Natal, Tlokwe in Ventersdorp, North-West, have crumbled and imploded leading to national and provincial takeover.

However, there is a paucity of empirical research into the pertinent conditions that give rise to this perennial situation, in spite of massive support initiatives and interventions on the part of the national and provincial government.

The local government has responded differently to these constitutional demands as evidenced by the statement by Dr Zweli Mkhize, the Minister of Cooperative Governance and Traditional Affairs (CoGTA) that only about a third of municipalities are fully functional while the other third are dysfunctional (CoGTA, 2018). This statement adds further complexity to the debate on the role of local government as it presupposes that, under certain conditions, local government can respond positively to the constitutional demands, whereas in some cases, it is not.

There is therefore a significant research question to examine these conditions that make some municipalities function at an optimum and others not to function at the expected level. This research question warrants a comparative case study on a highly functional municipality and a dysfunctional municipality within the same set of legal obligations. In this regard, uMhlathuze municipality, currently categorised as functional by CoGTA as well as Mtubatuba municipality, currently categorised as dysfunctional by CoGTA, were chosen for the purpose of the research study.

On the one hand, uMhlathuze municipality, an emerging secondary city in Empangeni/ Richards Bay has a record of accomplishment in sustainable service delivery and clean audit opinions according to CoGTA's Back to Basics Model (2018). On the other hand, using the same Back to Basics Model (2018), Mtubatuba municipality, a rural town towards the north of KwaZulu Natal, was under yet another Provincial Intervention on 13 March 2019, in terms of Section 139 (1) (b) of the Constitution Act, Act 108 of 1996.

1.4 THE RESEARCH OBJECTIVES

This thesis, therefore, unpacks the research question by means of a case study in both uMhlathuze local municipality and Mtubatuba local municipality within KwaZulu Natal in South Africa.

The research objectives in this regard are fourfold, namely:

1. To critically examine how municipalities interpret and experience their governance role in responding to the changing service delivery demands;

2. To critically examine the critical conditions that make municipalities functional against service delivery demands;
3. To critically examine the role of local governance partners like non-government organisations and businesses in assisting municipalities to respond to these changing service delivery demands; and
4. To extract lessons from the studies of these service delivery challenges to assist in building functional governance systems for municipalities in South Africa.

In this regard, the four main research questions that guided this research enquiry are:

- a. How do municipalities interpret and experience their role in responding to the changing service delivery demands?
- b. What are the critical conditions that make municipalities functional against massive service delivery demands?
- c. What is the role of local governance partners like non-government organisations and businesses in assisting municipalities to respond to the changing service delivery demands?
- c. How can the lessons from empirical studies of service delivery challenges be used to build functional governance systems for municipalities in South Africa?

Critical lessons could be drawn from this empirical study to provide new insights into building functional governance systems for municipalities in South Africa.

1.5 MOTIVATION FOR THE RESEARCH STUDY

The motivation for this study is a combination of interwoven factors. Firstly, there is a serious concern about the dysfunctional state of municipalities amidst the rise in service delivery protestations. This concern has led to the current narrative at the echelons of power for the need to perform the diagnostics on the causes of this reported dysfunctionality from human weaknesses to structural and systematic constraints (CoGTA Budget Vote Speech 2018 delivered on 15 May 2018).

Secondly, it is the researcher's firm view that critical lessons could be drawn from such immersion into the municipal environment that could provide an effective, functional, and sustainable

municipal governance model. This is the contribution to the body of knowledge that will benefit society through the enhanced provision of services.

Lastly, the study also allowed the researcher to draw on extensive experience in working on a turnaround strategy and financial recovery plan in various municipalities, with special reference to uMgungundlovu district municipality and Mtubatuba local municipality.

It must be mentioned that the uMgungundlovu district municipality was initially chosen as the sole case study. However, in the correspondence dated 10 April 2019, the municipality refused to grant the gatekeeper's consent to be used as a case study, citing concerns about 'political instability that has affected governance'. This reason for this decline added further research interest into these political factors that impact governance and that some municipalities are impervious to critical engagement and external examination.

1.6 THE PURPOSE STATEMENT

The purpose of this research project is to critically examine how municipalities interpret and experience their role in responding to changing service delivery demands to suggest effective and sustainable governance systems for South African municipalities.

1.7 THE CONTEXT OF THE STUDY

The location of the study is in two municipalities, uMhlatuze and Mtubatuba local municipalities in KwaZulu Natal (KZN), South Africa. The demographic profile of each municipality, governance profile, financial governance, and key challenges of each are discussed to provide the contextual setting for the research study.

1.7.1 Demographic profile: uMhlatuze local municipality

uMhlatuze is a bustling secondary city along the KwaZulu Natal (KZN) coastal belt with a deep port harbour that services the entire Southern African Development Community (SADC) Region. It is the third-highest contributor to the Gross Domestic Product (GDP) in the Province of KwaZulu Natal, which in turn is the second highest contributor to the national GDP in South Africa. It is a relatively stable municipality with a track record of good governance (uMhlatuze IDP, 2019).

The city of uMhlathuze (KZ 282) is situated on the northeast coast of the KwaZulu Natal Province, about 180 km northeast of Durban (ibid). The uMhlathuze area covers 123 359 ha and incorporates Richards Bay, Empangeni, eSikhaleni, Ngwelezane, eNseleni, Felixton, Vulindlela as well as the Traditional Council areas of Dube, Mkhwanazi, Khoza, Zungu, Somopho, Obuka and Obizo.

The population is estimated at 410 456 as per the community survey conducted in 2016. The number of households increased from 86 609 in 2011 to 110 503 in 2016 as per the community survey in 2016. The municipality borders the coastline that spans 45km, with the N2 highway traversing the municipality, from Durban towards Swaziland.

Linked to its coastal locality is the Richards Bay deep-water port that has been instrumental in the spatial development of the area and will impact the area's future spatial development. The municipality contributes 48% of the King Cetshwayo district's gross domestic product (GDP).

Figure 1.1: Map of the uMhlathuze local municipality



1.7.2 Governance profile

1.7.2.1 The local government assessment conducted in June (2019) revealed that Council meetings are held monthly, the Executive Committee meets twice a month and that the mayor, speaker, and chief whip consult at least once a month.

- 1.7.2.2 Furthermore, there is evidence of the Council playing an oversight role on the Municipal Public Accounts Committee (MPAC) and receives reports from the Audit Committee.
- 1.7.2.3 The accountability cycle from the Integrated Development Plan, Annual Budget, Service Delivery Budget Implementation Plan (SDBIP) and Annual Report is in order.
- 1.7.2.4 The only point of concern, according to the assessment, is the dysfunctionality of the inter-governmental relations with other municipalities in the same region. This is related to the tension between the African National Congress (ANC) led municipalities and Inkatha Freedom Party (IFP) led municipalities sharing the same economic region (ibid).

1.7.3 Financial governance profile

Table 1.1: Financial Ratios for uMhlatuze local municipality as of 2019/2020 financial year

FINANCIAL RATIOS	NORM	RESULT
1. Collection Rate	95%	95%
2. Net Debtors Days	30	68
3. Creditors Days	30	83
4. Cash Coverage	3 months	2 months
5. Audit Opinion	Clean	Unqualified
6. MIG Expenditure	100%	100%
7. Employee cost	25%	27%

Source: The State of Local Government Report (2019)

From the governance profile and financial ratios above, the municipality is well-governed, amidst some challenges regarding net debtors and creditor's days. The low staff cost translates to a municipality geared towards service delivery than the payment of salaries as it is the norm in other municipalities.

1.7.4 Key challenges: uMhlathuze local municipality

Table 1.2: Key Challenges in uMhlathuze local municipality (IDP: 2019/2020)

Number	Key Challenge	Description
1	Low skills levels and limited skills development	Low literacy levels of the community and a low skills base
2	High rate of unemployment and sluggish economic growth	Bad economic climate and global recession necessitates sustainable economic development solutions
3	High levels of poverty and inequalities	In line with the national trends, poverty and inequalities are stubbornly high, necessitating economic development growth strategies
4	Increased incidence of HIV/Aids prevalence	HIV/Aids is still increasing at an alarming rate necessitating the provision of basic health services and healthcare infrastructure
5	Ageing municipal infrastructure	This results in continuous service failures and breakdowns. This calls for lifecycle management of infrastructure and adequate budgeting for repairs and maintenance
6	Lack of water security	Growing water demands by industries and residents couples with water sources is a major challenge. Unprecedented drought aggravates a volatile situation. Water supply mix inclusive of desalination and rainwater harvesting must be considered
7	Unsustainable development practices and human settlements	Reacting to urban sprawl results in an increased informal settlement, overcrowded schools, ill health, marked spatial disparities, higher cost of providing infrastructure and services, disturbed ecosystems and environmental resources, changes in air quality, change in aesthetics and urban form

8	Negative impact of climate change	Escalating greenhouse gas emissions contribute towards climate change and will ultimately impact human health, food security, natural resources, sea-level rise, land loss and coastal infrastructure
9	High levels of crime	This affects the municipality's reputation as an investment destination of choice. This requires both reactive and proactive measures with different stakeholders
10	Limited revenue sources	The growing demand for services and limited revenue base coupled with non-payment of services affects the municipality's capacity to provide dependable services
11	Unsustainable municipal demarcation practices and the escalating cost of extending services to newly incorporated areas	Continuous re-demarcation of municipal boundaries creates a challenge regarding extending basic services to newly incorporated areas.

Source: uMhlathuze Municipality Integrated Development Plan (2019/2020)

1.7.5 Demographic profile: Mtubatuba local municipality

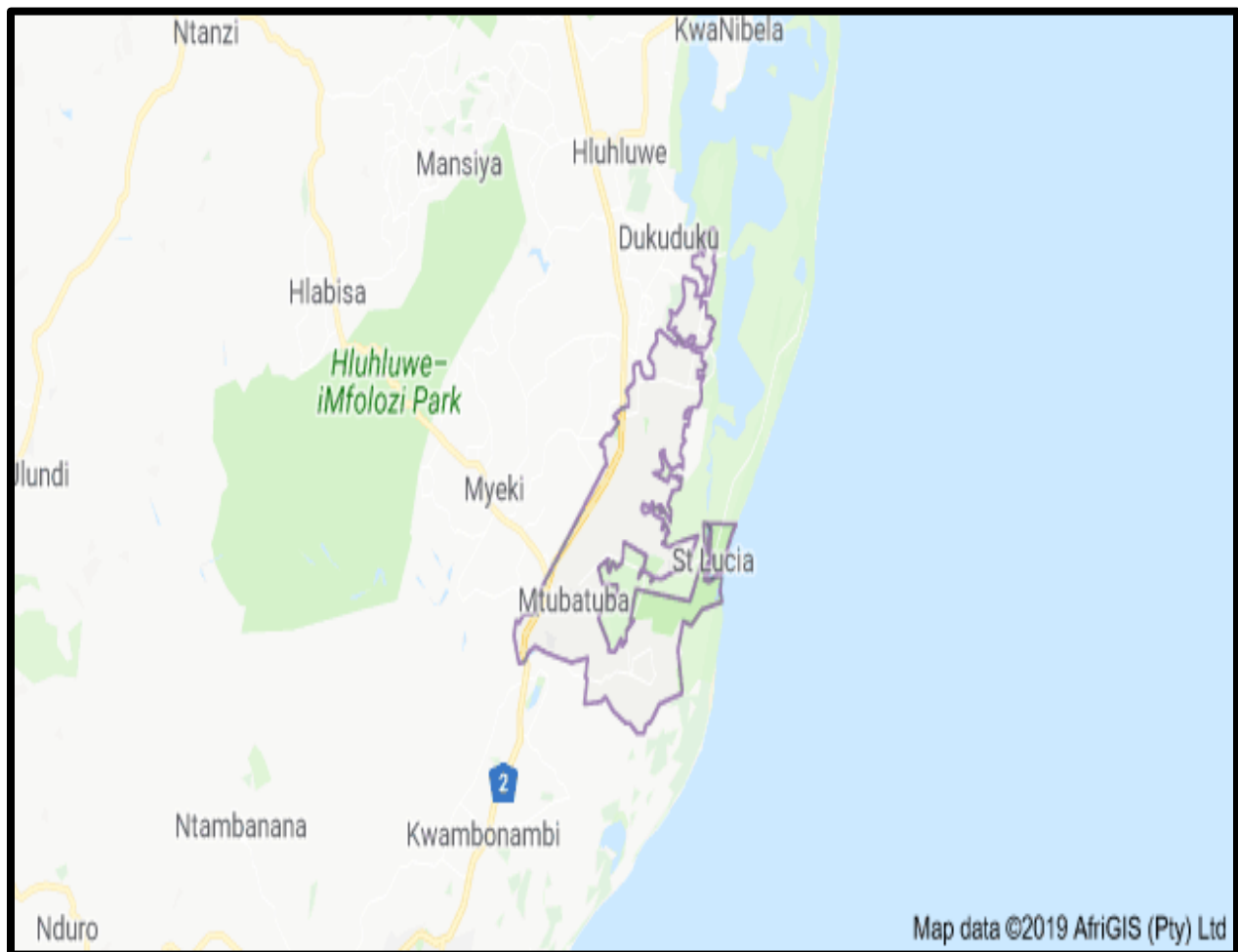
Mtubatuba local municipality is one of the four Category B Municipalities within Umkhanyakude district municipality. It is located in the Northern-East of the Province of KwaZulu Natal. Mtubatuba forms the southern end of the Umkhanyakude district municipality, with N2 dividing the municipality into Mtubatuba East and Mtubatuba West. Mtubatuba is bounded to the south by the Umfolozi River, which separates the municipality from King Cetshwayo district municipality. On the east, Mtubatuba local municipality is bounded by the ocean, while it is bounded by the Big Five False Hlabisa and Hluhluwe-Umfolozi park from the Western boundary of the municipality (Mtubatuba IDP, 2019).

The municipality is strategically located along the N2 which links the municipal area to strategic areas such as Richards Bay, eThekweni municipality, Mpumalanga province and SADC countries

such as Swaziland and Mozambique. While the majority of the Mtubatuba local municipality nodal points like St Lucia are a product of some form of planning exercises, there are no detailed spatial planning processes to guide social and economic development of the broader Mpukunyoni Traditional Council area, including areas such as KwaMsane, Mfekayi and Somkhele.

According to the 2016 community survey, the municipal area has a total population of 202 176.

Figure 1.2: Map of the Mtubatuba local municipality



1.7.6 Governance profile

- 1.7.6.1 The Mtubatuba local municipality, on the other hand, is the growing commercial hub of Northern KwaZulu Natal which has been riddled with governance and financial challenges since 2012. It was under Provincial intervention, section 139 (b) of the Constitution at the time of the study, which provided a comparative contextual backdrop into the governance debate under study.
- 1.7.6.2 The local government assessment conducted in June (2019) revealed that Council meetings are held monthly, the Executive Committee meets once a month and that the mayor, speaker, and chief whip consult at least once a month.
- 1.7.6.3 Furthermore, there is evidence of the Council playing an oversight role on the Municipal Public Accounts Committee (MPAC) and receives reports from the Audit Committee.
- 1.7.6.4 The accountability cycle from the Integrated Development Plan, Annual Budget, Service Delivery Budget Implementation Plan (SDBIP) and Annual Report is in order.
- 1.7.6.5 The only point of concern, according to the assessment, is intra-party and inter-party-political tensions as well as the high turnover of section 54 managers (ibid).

1.7.7 Financial governance profile

Table 1.3: Financial Ratios for Mtubatuba local municipality as of 2019/2020 financial year

FINANCIAL RATIOS	NORM	RESULT
1. Collection Rate	95%	38.27%
2. Net Debtors Days	30	309
3. Creditors Days	30	81
4. Cash Coverage	3 months	I month
5. Audit Opinion	Clean	Unqualified
6. MIG Expenditure	100%	100%

7. Employee cost	25%	42,81%
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Source: The State of Local Government Report (2019)

From the governance profile and financial ratios above, it appears that this municipality is experiencing severe governance and financial challenges. With a collection rate of a paltry 38, 27%, and bloated staff structure of 42, 81%, these challenges will persist for some time.

1.7.8 Key challenges: Mtubatuba local municipality

Table 1.4: Key Challenges in Mtubatuba local municipality (IDP 2019/2020)

Number	Key Challenge	Description of Intervention
1	Ageing infrastructure	A Comprehensive Infrastructure Plan (CIP) must be developed
2	Inadequate funding for infrastructure development	Funding of CIP to be sourced from various sources/ sector departments
3	Inadequate operations and maintenance	Leasehold arrangement for sourcing of plant and equipment
4	Backlog in road rehabilitation	Proper traffic count and comprehensive pavements
5	Inadequate grant funding	Sourcing of additional granting funding
6	Lack of spatial reference for projects	Development of Geographic Information System (GIS) capacity
7	Housing backlogs	Development of the Housing Sector Plan
8	Non-functionality of the IGR	Strengthening of IGR structures
9	Water crisis	Water usage management

10	Inadequate Local Economic Development (LED) strategy	Growth and Development Plan
11	Lack of reliable revenue base	Data cleansing and reliable billing
12	Unqualified audit opinion	Possible clean audit status
13	Poor communication	Effective communication strategy
14	No spatial development framework	Review the spatial development framework
15	No joint planning capacity	Establishment of a District Joint Municipal Planning Tribunal (JMPT)

Source: Mtubatuba Municipality Integrated Development Plan (2019/2020)

One of the key challenges facing Mtubatuba local municipality is governance instability over the years. The Provincial Executive Council originally instituted the discretionary intervention at Mtubatuba local municipality during June 2012 in terms of Section 136-138 of the Municipal Financial Management Act, Act 56 of 2003. This led to the intervention on 19 September 2012 in terms of section 139 (1) (b) of the Constitution, Act 108 of 1996, because of the low probability of success of the Intervention Support Team. This was due to the then poor political and administrative leadership (Institutional Recovery Plan, 2019).

This intervention was extended to 20 January 2015 due to lack of progress and subsequent crisis in service delivery. The situation became so politically volatile and untenable that the Executive Council resolved, on 30 January 2015, to dissolve the Mtubatuba Municipal Council in terms of section 139 (1) (c) of the Constitution, Act 108 of 1996. The Municipal Council was reconstituted following the by-election in May 2015 and subsequent local government elections on 03 August 2016. In view of persistent governance failures, the Provincial Executive Council, once again, instituted another Provincial intervention on 13 March 2019 in terms of section 139 (1) (b) of the Constitution, Act 108 of 1996 (ibid).

From the above history of governance failures over the years, it appears that both the provincial support and intervention packages have failed to produce the desired strategic impact.

Consequently, this is one of the points of focus for this empirical study into the municipality as guided by the interview and observation processes.

Table 1.5: Comparative Analysis between uMhlathuze and Mtubatuba local municipalities on Key Financial ratios as of 2019/2020 financial year

FINANCIAL RATIOS	NORM	UMHLATHUZE	MTUBATUBA
1. Collection Rate	95%	100%	38.27%
2. Net Debtors Days	30	68	309
3. Creditors Days	30	83	81
4. Cash Coverage	3 months	2 months	1 month
5. Audit Opinion	Clean	Unqualified	Unqualified
6. MIG Expenditure	100%	100%	100%
7. Employee cost	25%	27%	42,81%

1.8 STRUCTURE OF THE THESIS

The proposed structure of the thesis is as follows:

The first chapter sets the scene for the scholarly debate on governance with reference to the South African municipal landscape. The debate revolves around the vexing question on the role of local government in the face of massive poverty and changing service delivery demands for water, electricity, housing, roads and increasing job opportunities. The research objectives, questions and purpose statement are clearly spelt out in this chapter.

Based on these research questions, the second chapter dives deeply into the literature review and explores the governance concept further, from four perspectives, namely cooperative governance, state-centred, market-centred, and networked governance. In addition, this chapter provides the evolution of local government in South Africa, as a conceptual landscape for the case studies at the heart of this research enquiry.

The third chapter then focuses on the research tools utilised to draw insightful meanings from the research questions.

In the light of the research methodology, chapter four provides an exposition of the data analysis and findings from the primary data, with a particular focus on emerging patterns and new thinking drawing on the research study.

Chapter five draws insights from the primary data and findings and shapes them into the thematic patterns in a manner that adds to the existing body of knowledge.

The last chapter, chapter six, provides the summative insights, draws a conclusion from the research study, provides methodological reflections as well as provides recommendations for policy and practice.

1.9 SUMMARY

There is growing interest among scholars and policy makers in the role of local government in South Africa to respond to the triple challenges of poverty, inequalities, and unemployment, as articulated in the National Development Plan (NDP, 2012). While the role of local government is clearly defined by the Constitution, Act 108 of 1996, there is a paucity of data about how municipalities, in turn, interpret and experience this role amidst rising service delivery demands.

The understanding of how municipalities interpret and understand their role will bring insight into how various governance partners interface within the municipal space. This understanding is crucial in the light of different perspectives amongst scholars on the role of the state in responding to societal needs. Municipalities, as organs of the state, are expected to play their part in responding to the rising service delivery demands.

The study comes at the time when municipalities are battling to come to terms with their roles at the point when societal expectations are rising as evidenced by heightened service delivery demands. It is not clear why these societal expectations are rising at the time that municipalities are coming to grips with their role in the value chain of service delivery.

The research questions are therefore crafted in a manner that provides guidance and landmarks in responding to these research objectives. This journey commences in earnest with the examination of various perspectives of governance, the subject of the next chapter.

CHAPTER 2

THEORETICAL FRAMEWORK AND LITERATURE REVIEW

It was the best of times, it was the worst of times, it was the age of wisdom, it was the age of foolishness, it was the epoch of belief, it was the epoch of incredulity, it was the season of light, it was the season of darkness, it was the spring of hope, it was the winter of despair.

Charles Dickens (in 'Hard Times': 1854)

2.1 INTRODUCTION

This chapter explores the concept of governance which is at the heart of the 'state vis-à-vis society' debate that provides the context for the research study on municipal governance within the constraints of changing service delivery demands. The chapter commences with the evolution of the governance concept, tracing its intellectual roots from Max Weber's theory of rationalisation of modern society. The chapter then shifts focus and provides the literature review with the rich scholarly debate about the concept of governance from four different perspectives.

Levi-Faur (2011) postulates four perspectives in the age of governance. The first perspective is known in literature as cooperative governance in terms of which power and authority shift both upwards towards transitional markets and political institutions as well as downwards towards Non-Governmental Organisations (Jessop, 1994; Levi-Faur, 2011). Scholars such as Jessop (1994), Peters (1994) and Rhodes (1994) are associated with this perspective (ibid).

The second perspective is described in literature as 'de-governance' which is the intended and unintended outcome of limiting the capacity to govern (ibid). It is about taking the 'hollowing out of the state' to extreme levels where there is either no government or limited governance. Few scholars such as Thatcher (1995) and Osborne (2006) share this perspective (Osborne, 2006).

The third perspective is state-centred governance and takes the view that the state is still the important and central actor in politics and policy (Levi-Faur, 2011). Amid many voices in the era of governance, the state, according to these scholars, must take a leading part in managing the power relations. Most governance scholars are associated with this perspective, notably Pierre and Peters in the contemporary era (Pierre & Peters, 2016).

The fourth perspective, currently gaining currency and traction, is the concept of network governance that gives primacy to complex relations between various stakeholders (Schmidt cited in Donk, 2007). It must be hastily mentioned that there is no homogeneity in each perspective but interesting variations and contrasting debates are noted within each perspective.

The chapter then shifts focus to the manifestation of municipal governance in South Africa. The South African municipal landscape has undergone a fundamental transformation in terms of design, powers, and functions from the apartheid context into the current democratic governance (White Paper, 1998). The chapter traces the evolution across the distinctive phases of transition from establishment, consolidation, and sustainability.

For each phase, namely, establishment, consolidation and sustainability, the chapter explores significant policy changes that underpin that phase. The first section on establishment examines how pre-interim, interim and final phases unfolded until December 2000, as provided for by the Local Government Transitional Act, Act 209 of 1993. The second section carefully examines how the consolidation phase was set up from 2000 to 2006, with particular reference to the establishment of deracialised wall-to-wall municipalities across South Africa, as envisaged by the White Paper on Local Government published on 09 March 1998.

The last section traverses the sustainability phase which commenced in earnest from the 2006 local government elections. In this section, particular reference is made to the suite of national government support programmes designed to pitch municipalities on a developmental trajectory into sustainability. The chapter then ends with a critical reflection on both the 20th and 25th local government reviews to assess the impact of these focused national governance support programmes.

2.2 THE CONCEPT OF GOVERNANCE

Current scholarship about governance is drawn from a wide array of disciplines, including development studies, political science, economics, geography, sociology, and planning (Bevir, 2011). Each discipline tends to appropriate the concept for itself to the exclusion of other disciplines, resulting in the raging scholarly debate about the concept (ibid).

At the heart of all these scholarly debates is the role of the state in relation to society. The substance of this debate is the distinction between state-centric, old governance, society-centric and new governance (Pierre & Peters, 2000). The former is characterised by the state perspective in which the political-institutional system steers society and public policies. The latter, society-perspective, places the focus on the ability of society to govern itself (ibid).

Governance is a term used to describe the mode of government coordination exercised by the state actors in their effort to solve familiar problems of collective action inherent in governing (Kooiman, 1993; Rhodes, 1996; Klin & Koppenjan, 2000).

Governance is an interdisciplinary research agenda on order and disorder, efficiency, and legitimacy all in the context of hybridisation of the modes of control that allow for the production of order within the state, by the state, without the state or beyond the state (Lavi-Faur, 2011). The plurality of the modes of control reflects and reshapes new ways of making politics, a new understanding of institutions of the state and beyond the state (ibid).

Despite the ubiquity of the ‘governance’ concept in common parlance and political rhetoric, its actual meaning is not without contestation (Bevir, 2011). The meaning depends on time, context, phenomenological orientation, and ideological persuasion. Typically, the new ‘governance’ refers to changes in the nature and the role of the state since the last quarter of the twentieth century (Bevir, 2011).

The use of the term ‘governance’ in its current sense acquired general currency in the 1980s when it was re-minted by economists and political scientists and disseminated by institutions such as the United Nations (UN), World Bank and International Monetary Fund (IMF) (Jessop, 1995; Bevir, 2011).

The body of literature on the governance concept reveals four dominant perspectives that cut across different disciplines (Levi-Faur, 2011). These are cooperative governance, de-governance, and state-centred and network governance. Within each perspective, there are many variations and they do not follow a unilinear narrative (ibid). Invariably, these perspectives respond to both government and market failures and the need for effective, efficient, and more humane forms of public governance (Peters & Pierre, 2016).

These four perspectives evolve from the concept of the modern state as defined in the writings of Max Weber (1864 – 1920) who is one of the influential thinkers who shaped the academic discourse on state, authority and legitimacy (Lottholz & Lemay-Hebert, 2016). Weber's definition of the state is considered as the starting point for literature on contemporary state-building (Pusey, 1987; Hameiri, 2007; Lemay-Hebert, 2013; McComick, 2013).

At the heart of Weber's theory of rationalisation of modern society are three ingredients, namely, the Protestant ethic, the differentiation of the spheres of science and religion and the emergence of the post-conventional modern law (Pusey, 1987; McComick, 2013). As such, the modern state has two forms, first as an independent legal system of administration and secondly as a symbol of collective action and community (McComick, 2013).

Weber conceptualised the key features of the modern state, namely, the separation of the public from the private domain, the principle of legal enactment and codification, the concept of officialdom, the concept of spheres of competence within a rule-governed hierarchy and commitment to impersonality and procedural correctness (McComick, 2013).

Within this conception of the modern state, governance is the social contract between the individual and society. It is the rule of man over man that is an inescapable fact of human existence (Lassman cited in Turner, 2000). This Weberian conception of the state as the social contract between the individual and society differs sharply from the classical scholarly work of Karl Marx and Friedrich Engels who shaped Weber's thinking reference (Held, 1989). Marx and Engels view the modern state as the apparatus of the bourgeoisie capitalist class to dominate the working class (Bailey, 1975; Kellner, 1989; Held, 1989). In the Marxist theory, man has no power over his destiny until the overthrow of the state by the masses (Bailey, 1975).

Weber's theory of rationalisation of modern society attracted a heated scholarly debate about its nature, trajectory, impact, and contribution to a better society. Scholars steeped in the Frankfurt School such as Theodor Adorno, Max Horkheimer, Jurgen Habermas and Michel Foucault took aim at the modernity project and employed the Critical Theory to account for emerging social conditions and changes within contemporary neo-capitalist and state socialist societies (Kellner, 1989). Scholars instilled with the Critical Theory have provided a diagnostic account of the limitations, pathologies, and destructive tendencies of the modernity project (ibid).

These scholars postulate that governance is subservient to the state capitalism project which has created new forms of imperialism, consumer and mass culture, science and technology and the subsequent decline of the individual (Kellner, 1989). Jurgen Habermas, one of the foremost contemporary social thinkers, attempted to reconstruct, as opposed to abandon, the modernity theory with his seminal theory of Communicative Action (Pusey, 1987). Habermas sees modernity as a child of enlightenment in which the state plays an integral part. He argues that democracy is grounded in communicative rationality (Pusey, 1987; McComick 1997).

Communicative rationality is the outcome of a reciprocally shared meaning between individuals and society, with its structured manifestations such as the state and the economy (Pussy, 1987; McComick 1997). In Habermas's theory, the state takes a more active role in both regulating the economy and addressing issues of social injustice (McComick, 1997). Society became an object that the state might manage and transform with a view towards perfecting it (Scott in cited Fainstein, 2012). The state took responsibility for social ordering from personal hygiene, diet, child-rearing, housing, recreation, family structure and genetic inheritance of the population (ibid).

Another proponent of the Frankfurt School in Germany, Michel Foucault, brought the governance debate to the fore in his seminal lecture in 1978 (Smart & Ritzer, 2001). Foucault turned his attention to the study of government and governmentability that is the art of governing the population by the state (Foucault, 2014). Foucault argues that government refers to a range of practices, from governing children to religious guidance of the soul (Oksala, 2007).

In his seminal lecture in 1978 (Smart & Ritzer, 2001), Michel Foucault postulates three types of government, each of which relates to a particular science or discipline. The first is the art of self-government, connected with morality and religion. The second is properly governing the family, which belongs to the economy and lastly, the science of ruling the state, which concerns politics (Foucault cited in Burchell et al., 1991).

In his subsequent lecture on power and knowledge, Foucault is critical of the role of public institutions such as schools, prisons, clinics, and asylums as the hidden hand in the employ of the ruling class to keep everyone in check (Pasquino cited in Burchell et al., 1991). Foucault's theory of governmentality as well as power and knowledge unleashed a wave of scholarly interest in the field of state-society relations. Scholars and practitioners in West Europe became interested in the

problems associated with complexity, governance and governance failure (Jessop cited in Bevir, 2011).

Another tipping point in the state-society relations debate came earlier in Samuel Huntington's (1968) seminal article titled 'Political Order in the Changing Societies' (as cited in Rissi et al., 2018). Huntington challenged the notion of the state's capacity to solve society's problems (ibid).

In a significant research study conducted by Huntington, Crozier and Watanuki in 1975 (cited in Peters & Pierre, 2016) in the United States and Britain, the researchers concluded that there is a mismatch between state capacity to deliver on one hand, as well as the impatience of society with state delivery on the other hand. The researchers coined these findings as governance overload and ungovernability (Huntington et al as cited in Peters & Pierre, 2016).

Governance overload became an umbrella term for referring to the inability of the state to deliver the range of public services demanded by various interest groups (ibid). These range from communities, urban movements, and business organisations. Ungovernability was used as a term to refer to a myriad of societal expectations from the state reference (ibid). These range from housing, roads, transport, education, water, electricity and refuse removal (ibid).

Overload theorists have argued that the democratic surge from the 1960s has raised popular expectations and group demands on the state, resulting in the expansion of governmental activity but accompanied by a decline in institutional capacity and subsequent governmental authority (Bennett & Sharpe, 1984). It is this decline of institutional capacity that has led to the notion of state failure (ibid).

With the capacity of the state to deliver on societal expectations, the stage was set for new modes of governing. It is within this context that the four perspectives of the new era of governance theory emerge. This is the focus of the next section.

2.3 THE COOPERATIVE GOVERNANCE PERSPECTIVE

According to the cooperative governance theory, there is a shift from government to governance whereby power and authority drift away upwards towards transitional markets and political institutions and downward towards the local or regional government, domestic business communities and Non-Governmental Organisations (Jessop, 1994; Peters, 1994; Rhodes, 1994).

Rod Rhodes (1997) introduces the concept of ‘‘hollowing out of the state’’ into the scholarly conversation to suggest that the British state was being eaten away (Rhodes, 1997).

Rod Rhodes scholarly work has been widely accredited in literature for setting the governance theory agenda (Peters, 2000; Davies, 2005; Kjaer, 2011). Rhodes (1997) postulates that governance means there is no one centre with authority but multiple centres across various networks (1997).

In a multi-centric globalised world, governance, it is argued, involves complex interactions among government and other state actors, sub-state actors, supranational organisations, Non-Governmental Organisations, private sector, and interest groups of citizens who operate across jurisdictional and national boundaries (Mayntz, 1998; Weiss, 1998). Governance is not conceived in terms of hierarchical control as was the case previously but in terms of cooperative modes on interaction where the state and non-state actors participate in mixed public-private networks (ibid).

The United Nations Development Programme (UNDP, 1997) has succinctly articulated this perspective in the assertion that governance is the exercise of political, economic, and administrative authority in the management of the country’s affairs at all levels. Governance comprises the complex mechanisms, processes and institutions through which citizens and groups articulate their interests, mediate their differences, and exercise their legal rights and obligations (ibid).

In this perspective, the state, private sector, and civil society are in a cooperative arrangement in which there are clearly defined roles for each party. The state creates a conducive political and legal climate while the private sector generates jobs and incomes. Civil society facilitates political and social interaction, mobilising groups to participate in economic, social, and political activities (ibid).

While this cooperative governance perspective is couched in celebratory tones by multinationals such as the United Nations and World Bank, it has brought sharp criticism from scholars who lament the erosion of state power (Jessop, 1995; Bakker, 1999; Paly, 2001). These neo-Marxist scholars such as Jessop (1995) and Bakker (1999) further argue that the real motive for this perspective is to ensure political support by civil society organisations for the neo-liberal agenda (ibid).

These scholars further argue that these participatory processes and structures have the potential to demobilise civil society, delegitimise the state and legitimise the neo-liberal agenda (ibid).

2.4 THE DE-GOVERNANCE PERSPECTIVE

This perspective takes hollowing out to another level in the sense that good governance means ‘no governance’ at worst or ‘minimal governance’ at best (Levir-Faur, 2011). The preferred mode of operation here is the market. The New Public Management model fits in well with this perspective.

New Public Management (NPM) emerged in the 1980s and seeks to bring both the managerial practice of the private sector and the involvement of the private sector in the provision of public services (Schmidt D cited in Van Donk, 2007). The new public management model was brought into currency by the enactment of the State Sector Act in 1988 in New Zealand (O’Neill, 2009). The NPM model is built on the Weberian bureaucratic ethos but incorporates the governance dimension reference (ibid).

In this context, the NPM model encompasses the broad range of institutional relationships within the public management system as opposed to one agency within that system (O’Neill, 2009). Osborne (2006) coined the NPM as the catalyst for the evolution of the traditional public administration into the New Public Governance (NPG). The new NPM movement brought a new discourse whose extreme form was private sector managerial techniques to public service to bring about efficiency and effectiveness (Thatcher 1995; Osborne, 2006).

The narrative of the shift from government to co-governance with the private sector gained traction among academics, practitioners, and politicians in the 1990s and many private-public partnerships became the order of the day (Pierre, 2011). Infused by this new ethos, Pierre (2011) postulates four models of governance. These are managerial, corporatist, welfare, and pro-growth to explain various forms of governing, particularly at a local government level.

While NPM swept the Anglo-American-Australasian world off its feet, it attracted a wide array of criticism from scholars such as Farnham and Horton (1996); Ferlie et al. (1996); McLoughlin et al. (2002). They argue that it has many variants, has an intra-organisational focus, and lacks a theoretical base and conceptual rigour (Osborne, 2006; 2010).

The critique of NPM can be articulated as follows:

- The NPM is not one phenomenon or paradigm but a cluster of several ideas (Ferlie et al., 1996);
- The geographic extent of the NPM is limited to the Anglo-American, Australasian and Scandinavian arenas (Kiecket, 1997);
- The nature of NPM differs from one country to another (Borins, 2002);
- It lacks rigour but is rather a subset of public administration (Frederickson & Smith, 2003);
- The benefits of NPM are partial and contested (Pollitt & Bouckaert, 2004); and
- That the NPM is a disaster waiting to happen (Farnham & Horton, 1996).

As a result of these criticisms, NPM gradually lost its sparkle and impact (Osborne, 2010). Some scholars such as Stephen Osborne (2010) have come up with a new theory, the New Public Governance (NPG), to capture the complex reality of the design, delivery, and management of public services in the 21st century (ibid). The New Public Governance (NPG) is not presented as a new paradigm that supersedes public administration but rather as a conceptual tool to understand the complexities of public services delivery (ibid).

2.5 THE STATE-CENTRED PERSPECTIVE

Levi-Faur (2011) argues that state-centred governance combines the recognition of the shift and transformation of the state, the limitations of its policy capacity, the importance of private players with the suggestion that the state is still the most important and central actor in politics and policy. This perspective, which is gaining currency among many scholars of governance, is about the state reasserting its authority in the art of governing (Peters & Pierre, 2016).

In perspective, the state plays the leading role in steering the development agenda while may leave the rowing to other players (Offe, 2009). State-centred governance denotes the high autonomy of the state when the state is not dependent directly or instrumentally on society or capitalists (Hooghe & Marks, 2001; Bache, 2012).

In this model of governance, there is high interaction between the state and society and governance is the outcome of these intense interactions (Peters & Pierre, 2016). Social actors do not merely express their demands and then go away but are intimately involved in the process of making and implementing policy choices (ibid).

This functionalist model of governance has five main functions, namely, decision-making, goal selection, resource mobilisation, implementation as well as feedback, monitoring and learning (Peters & Pierre, 2016).

Citizens and their political leaders often have high hopes for the capacity of governments and their partners to supply effective governance (Peters & Pierre, 2016). While governance may fail for whatever reasons, it is essential to understand the logic behind those failures and to find possible ways to enhance the quality of governance and improve the lives of ordinary citizens (ibid).

2.6 THE GOVERNANCE NETWORK THEORY

The governance network theory has gained currency and traction since the early 1990s (Schmidt cited in Donk, 2008; Klijn & Koppenjan, 2012). The central tenets of governance theory are the interdependent, complex interactions of actors and a variety of strategies in problem-solving, policy implementation and service delivery (Klijn & Koppenjan, 2012). The governance network theory is premised on the notion that outcomes of policy and public services are the consequence of the interactions of many actors than of the action of the single actor (Mandell, 2001; Agranoff & McGuire, 2003).

The many case studies aimed at reconstructing interacting processes in governance networks paint a picture of very complex interactions between interdependent actors with divergent interests and perceptions about desirable solutions (Klijn & Koppenjan, 2012). Networks cut through different layers of government and connect government actors with a wide range of private and semi-private actors (ibid).

As the governance theory takes root, the new research agenda is emerging network scholars (Klijn & Koppanjan, 2012). These are the mediatisation of society and governance in view of the rise of social media, a proliferation of risks and uncertainties in today's society and the emergence of the New Public Governance practice (ibid).

Network theory takes many forms, with Robert Agranoff (2007) postulating a typology of a network (Agranoff, 2007). In this typology, the first type of networks has no authority but merely exchange information. The second type of networks involves information exchange combined with capacity building to enhance member organisations to implement solutions. The third type of

networks is premised on problem-solving approaches. The fourth type, the action network, is the more common one as it involves collective action by formally adopting network-level courses of action and delivery of services (ibid).

2.7 CRITIQUE OF GOVERNANCE THEORY

Governance theory has attracted both praise and sharp critique over the last two decades of research and practice. As the governance concept gained popularity, Grindle (2017) argues that it has generated inflated ideas of what the public sector ought to be, to become part of the good governance club (Grindle, 2017). She further argues that good governance, with its ingredients such as equity, effectiveness, accountability, participation, inclusiveness, democracy, service delivery, human rights, and job creation, is a tall order for any government, let alone the poorly resourced ones (ibid).

Taking this narrative further, Grindle (2017) argues that governance does not necessarily equate to development. In this regard, she mentions countries such as China and Korea with bad governance practices but with good development results (ibid).

Some scholars such as Klijn and Koppenjan (2012) are concerned that the governance theory is evolving into a theory of everything which will risk its explanatory power and end up being a theory of nothing.

While some scholars are concerned about the inflated nature of the governance, others have taken issue with its narrow scope (Kjaer, 2011). Accordingly, Kjaer (ibid) argues that the governance concept needs to be equipped with the tools from the political economy to appreciate essential aspects of interests, power and conflict. Put differently, the governance concept on its own cannot adequately explain some complex power relations between state and society.

The governance theory has also drawn criticism from scholars who argue that it has some theoretical flaws. For a start, some scholars question the notion that there is no single power centre (Kjaer, 2011). Marsh et al. (2003) claim that the British political system continues to be closed and elitist than governance theorists acknowledge (ibid).

These anti-governance scholars further argue that the state is built on structured inequality and that the relationship between the centre and local government is asymmetrical due to the concentration

of power at the centre. Conflict is thus intricately embedded in state-civil society relations than governance theorists care to acknowledge (Davies, 2005).

Lastly, governance theory is drawn from empirical insights drawn from the Anglo-American context. What is observable, though, is that the literature review depicts that research on governance theory and practice has primarily been undertaken within the Anglo-American perspective. While this is useful for conceptual and empirical analysis, it remains a point of departure as there is a minefield of empirical enquiry that remains unexplored, particularly in the African context.

This calls for further empirical inquiry into these new vistas to enrich the governance debate. This research study is a direct response to this gap in governance literature. New methodologies are needed, as well as the identification of critical sites for conflict and change in the Global South (Da Cruz, 2019).

2.8 GOVERNANCE RESEARCH AGENDA

Having explored the key concepts, trends, and perspectives in contemporary governance theory, it becomes necessary to identify areas for future research. This will assist in bridging the disconnect between theory and practice.

In this regard, Da Cruz et al. (2019) have identified a range of governance challenges, with a particular focus on urban governance, currently receiving intensive scholarly attention. These current and emerging themes, as well as challenges to governance research and practice, warrant further empirical investigation and evidence (Da Cruz, 2019).

The two tables below provide a snapshot of the governance research agenda, going forward:

TABLE 2.1: Top 20 Urban Governance Challenges

RANKING	URBAN GOVERNANCE CHALLENGES	No of PUBLICATIONS	%
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1	Citizen participation in decision-making	147	36
2	Current institutional shortcomings	80	20
3	Government capability	73	18
4	Civil society organisation with decision-making	62	15
5	Working across government tiers (vertical)	60	15
6	Jurisdictional boundaries	59	14
7	Private sector involvement in governance	56	14
8	Institutional fragmentation	54	13
9	Governance restructuring	48	12
10	Public budget constraints	48	12
11	Political engagement with the electorate	45	11

12	Cooperative/ partnership governance	45	11
13	Government access to skills and knowledge	45	11
14	Adapting government structures to changing circumstance	44	11
15	Private sector delivery of public services	43	11
16	Government efficiency	42	10
17	Implementation of policy	42	10
18	Government management capability	41	10
19	Information / skills deficit for engagement with citizens	40	10
20	Government's strategic management/ vision	39	10

(Data: Da Cruz, 2019)

TABLE 2.2: The Extent of Urban Governance Issues in Cities

RANKING	URBAN GOVERNANCE CHALLENGES	NO OF PUBLICATIONS	%
1	Insufficient public budget	28	50
2	Politicisation of local issues	21	38
3	Interdependence of policy issues	21	38
4	Inflexible bureaucracies/rigid rules	21	38
5	Lack of municipal autonomy	17	30
6	Overlapping responsibilities	17	30
7	Working across different tiers of government	17	30
8	Access to useful information	16	29
9	Lack of respect for laws and regulations	15	27
10	Lack of capacity to enforce laws and regulations	15	27
11	Lack of skills in government	14	25
12	Uncertainty of funding	14	25
13	Risks of corruption	13	23
14	Limited scope of responsibilities	13	23
15	Coordination of different sectors/ departments	13	23
16	Limited access of citizens to policy-making	11	20
17	Lack of interest of citizens on local issues	11	20
18	Lack of trust in local government	10	18
19	Lack of political stability	8	14
20	Underrepresentation of vulnerable groups	6	11

(Data from LSE Cities, UN-Habitat and UCLG, 2016 as cited in Da Cruz, 2018)

The above tables reveal both the current research agenda among scholars as well as the future research perspectives, going forward to narrow the gap between theory and practice. As the world becomes increasingly urban, the challenges of urban governance have become the central consideration as part of the global developmental effort (Parnell, 2016).

2.9 THE EVOLUTION OF MUNICIPAL GOVERNANCE IN SOUTH AFRICA

While the previous section focused on the literature review on the concept of governance and the research agenda thereof, this section provides a further contextual landscape on municipal governance in South Africa. The South African municipal landscape has undergone a fundamental transformation in terms of design, powers, and functions from the apartheid context into the current democratic governance (White Paper, 1998). Apartheid left an imprint on South African human settlements and municipal institutions (ibid). Through spatial segregation, influx control and policy of own management for own areas, apartheid sought to limit the extent to which affluent White areas would bear financial responsibility for African areas (ibid).

Various pieces of legislation were enacted to maintain separate development which found expression through local government. These are the Native Administration Act, Act 38 of 1927, Group Areas Act, Act 41 of 1950, Bantu Authorities Act, Act 68 of 1951, Black Local Authorities Act, Act 102 of 1982, Community Councils Act, Act 125 of 1977, to mention but a few.

This phase in local government was characterised by separate development and racialised development outcomes. Urban centres and commercial farmlands were primarily White enclaves with massive rates base while Black areas on the urban periphery and rural areas were in the state of neglect. Through the systematic and clinical application of the Group Areas Act, Act 41 of 1950, the apartheid state left an indelible imprint in spatial development, settlement patterns and economic development (Picard & Mogale, 2015).

According to Picard and Mogale (2015), these unpopular pieces of legislation led to a series of community revolts in the 1980s as local government was thrown into a deep crisis of legitimacy. This crisis of legitimacy culminated in a state of emergency, mass democratic movement, massive labour and hunger strikes as well as general ungovernability in 1989 (SAHO, 2013). This resulted in instability and massive social unrest culminating in the eventual fall of the apartheid state in 1994 (Picard & Mogale, 2015). The crisis in local government was a significant force that led to the national reform process in 1990 (White Paper, 1998). The national debate about the future of local government took place in the Local Government Negotiating Forum, alongside the national negotiating process (ibid). These national negotiations culminated in the Local Government

Transition Act, Act 209 of 1993, which sketched the process for change at the local government level (ibid). This is the subject of the next section.

2.10 PHASE 1: THE ESTABLISHMENT PHASE (1993 – 2000)

The local government transformation journey has been both complex and challenging (SALGA, 2015). The pre-1994 context has, by large and far, shaped and informed the transformation process (ibid). The Local Government Transition Act, Act 209 of 1993, which broadly encapsulated the establishment phase of the new local government system mapped out three phases, namely pre-interim, interim and final phase.

The establishment phase, broken down into three, pre-interim, interim and final, phases from 1993 to 2000, laid down the foundation for the new local government system in South Africa (White Paper, 1998). These phases are discussed in greater detail in the following section.

2.10.1 Pre-interim phase (1993 – 1995)

The Local Government Transitional Act, Act 2019 of 1993, was promulgated to usher in a new democratic dispensation of integrated development. The Local Government Negotiating Forum put forward a roadmap with a timetable for the local government transformation, with three distinct phases. These are the pre-interim, interim and final phases of local government transition (White Paper, 1998).

The local government in South Africa was birthed out of this process. A total of 843 municipalities came into existence to play their part in the democratic journey (SALGA, 2015).

These historical developments marked a significant shift, both politically and constitutionally, in terms of the form and content that underpinned the current system of local government (Koma, 2012). New pieces of legislation such as the Local Government Transitional Act, Act 209 of 1993 and Local Government Transitional Act, Act 97 of 1996 were promulgated to reconstruct, democratise and transform local government holistically and give birth to developmental local government (ibid).

This phase was about setting up local structures for robust engagement on local government matters, alongside the national debate at the Convention for A Democratic South Africa

(CODESA) between 1991 to 1993 (Koma, 2012). In this regard, the Local Government Transitional Act, Act 209 of 1993 made provision for the recognition of Negotiating Forums across major economic regions, the establishment of various non-racial transitional councils across the length and breadth of the country that ultimately laid the foundation for the new municipal governance in South Africa. It must be mentioned that these multi-party negotiations took place amidst complex political tensions and tight timeframes (ibid).

2.10.2 Interim phase (1995 – 1998)

As the Constitution Act, Act 108 of 1996 was sculptured between 1994 and 1996; local government underwent a significant policy scope as it became the centre for integrated development, encompassing the provision of essential services while simultaneously addressing poverty reduction, sustained economic growth, environmental conservation, spatial integration of diverse social and class groups (Van Donk et al, 2007). The object of local government as espoused in the new Constitution, in terms of Section 152 is:

- a. To provide a democratic and accountable government for local communities;
- b. To ensure the provision of services to communities in a sustainable manner;
- c. To promote social and economic development;
- d. To promote a safe and healthy environment; and
- e. To encourage the involvement of communities and community organisations in the matters of local government.

These five constitutional obligations are a tall order by any standard, especially in the context of institutional stress as these municipalities are still grappling with both technical capacity and financial constraints; because of the amalgamation of different, racially defined entities (De Donk et al., 2008). The process of amalgamation included the merging of asset registers, consolidation of accounting, accounts and billing systems, conditions of service, human resource management, health and safety protocols and performance management (ibid).

The major tenet of the White Paper on Local Government (1998) is the concept of developmental local government, which brings the new ethos of citizens and groups within the municipal space working together to find sustainable ways to improve the quality of life for all. While this tenet sounds good in theory, the practice has been rather daunting (De Donk et al., 2008). As channels

for participation were formalised and normalised, there is increasing evidence of the politicisation of participatory spaces and processes, with negative consequences (ibid). Some of these negative consequences found expressions in various service delivery protestations in the country (ibid).

2.10.3 Final phase (1998 – 2000)

The final phase of local government transition was marked by the promulgation of the Municipal Demarcation Act, Act 27 of 1998, which created de-racialised wall-to-wall municipalities for the first time in South Africa. Furthermore, the Municipal Structures Act, Act 117 of 1998 provided for establishing procedures for the reconfigured municipal councils as well as roles and responsibilities of the new office bearers. The governance role of the municipalities was now neatly defined in law (SALGA, 2015). A great sense of anxiety and anticipation beckoned on the horizon as the newly established 843 municipal councils battled to find their feet amidst high community expectations (ibid).

2.11 THE CONSOLIDATION PHASE (2000 – 2006)

The consolidation phase began in earnest during the first local government elections in the democratic era on 05 December 2000 (SALGA, 2015). The then National Department of Provincial and Local Government (DPLG) was tasked with the responsibility to improve the quality of governance and financial viability of the newly formed municipalities through a series of legislation designed to make local government work.

The Municipality Systems Act, Act 32 of 2000, Municipal Financial Management Act, Act 56 of 2003 and Municipal Property Act, Act 6 of 2004 were promulgated in quick succession to bolster the quality of governance and improve the financial viability of municipalities (SALGA, 2015). These pieces of legislation ensured that not only were municipalities established but also become sustainable through a constant revenue base (ibid).

The consolidation phase was characterised by the creation of various governance, financial and operational systems within municipalities. This entailed the institutionalisation of public participation, integrated development planning, performance and risk management system, annual budgeting, Service Delivery Budget Implementation Plans (SDBIP), monthly, half-yearly and annual reporting as well as oversight mechanisms (SALGA, 2015; DPME, 2014).

To ensure the financial viability and sustainability of this sphere of government, the Municipal Demarcation Board (MDB) cut down the number of municipalities from 843 to 284 in 2000 (MDB, 2001). This was driven by their express mandate to make local government more representative, integrated, and sustainable (SALGA, 2015).

However, as municipalities took their new shape and format, more challenges were experienced, especially concerning capacity and sustainability (SALGA, 2015). Some assumptions regarding financial viability and sustainability proved to be false, leading to a new chapter of service delivery protestations (ibid).

2.12 THE SUSTAINABILITY PHASE

In response to the sustainability challenges, the MDB further cut down the number of municipalities from 284 to 283 in 2006, then 278 in 2011 and 253 in 2016 (CoGTA, 2014). During the final phase of local government transformation, various national support programmes were initiated to improve service delivery in municipalities (SALGA, 2015).

The first support programme was pioneered by the Development Bank of Southern Africa (DBSA) in 2004 and called Project Consolidate. It was targeted at 136 dysfunctional municipalities to bolster their technical and financial capacity. The Siyenza Manje Programme followed this in 2006 which saw 84 technical and financial specialists being deployed in various municipalities (DBSA, 2009)

The Siyenza Manje Programme was gradually taken over by the National Department of Cooperative Government (CoGTA) as part of the local government review process. It was replaced by the Local Government Turnaround Strategy (LGTAS) in 2009 to accelerate service delivery and improve audit outcomes by 2014. The assumption here was that the general malaise of local government was caused by limited competencies, lack of technical and financial skills and low staff morale (DBSA, 2009).

The Local Government Turnaround Strategy (LGTAS) soon morphed into the Back to Basics in 2014, focusing on five pillars of support, namely, putting people first, delivering essential services, good governance, sound financial management and building institutional capacity (CoGTA,

2014). The focus of this support programme is to ensure that municipalities perform their minimum responsibilities to quell the growing discontent among citizens (CoGTA, 2014).

In 2018, an additional pillar, local economic development, was added to the Back to Basics Programme (CoGTA, 2018).

The series of tables below provide the synopsis of the sustainability phase, using a suite of prisms from the local government transformation process, support interventions, service delivery protests, audit outcomes and voter turnout rate:

TABLE 2.3: Local Government Transformation (1982-2021)

PERIOD	NO. OF LOCAL GOVERNMENT ENTITIES	LEGISLATIVE IMPERATIVES	KEY DRIVERS/ THEMATIC ISSUES	IMPACT ON MUNICIPAL LANDSCAPE
1982-1994	Over 2000	Black Local Authorities (1982) Act, Group Areas Act (1953)	Separate development for different communities	Highly functional urban areas where Whites reside and poverty where Africans resides
1993-2000	843	Local Government Transition Act (1993) Development Facilitation Act (1995) Constitution Act (1996), White Paper on Local Government (1998)	Local Government Transition phase	Extension of essential services to all areas

		Municipal Demarcation Act (1998), Municipal Structures Act (1998) and Municipal Systems Act (2000)		
2000-2006	284	Municipal Property Act (2004), Municipal Finance Management Act (2003)	Integrated Development frameworks	Wall-to-wall municipalities inclusive of previously neglected areas
2006-2011	283	Local Government Amendment Act (2011)	Integrated Development Plans; Local Government turnaround strategy	Consolidation of the provision of services in African areas and the emergence of the local economic development concept
2011-2016	278	SPLUMA in full (2015)	National Development Plan, Back to Basics	Universal access of services to achieve the Millennium Development Goals

2016-2021	257	Preferential Procurement Policy (2017) BBE Codes	Radical economic transformation and job creation	Deracialised municipal spaces

Source: Author (2019)

The table below provides the synopsis of the various national governance support programmes, with reference to the strategic focus, strengths and challenges:

TABLE 2.4: Suites of Governance Interventions

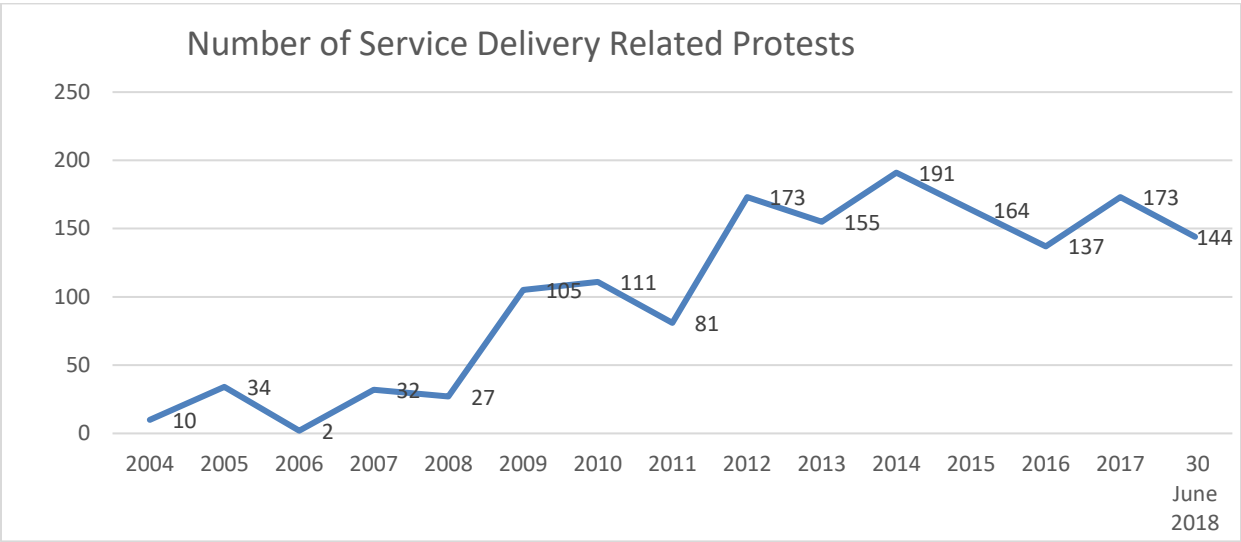
	Project Consolidate	Siyenza Manje	Turnaround	Back to Basics 1	Back to Basics 2
Period	2004 – 2006	2006 - 2009	2009 - 2014	2014 - 2018	2018 – current
Strategic Focus	136 dysfunctional municipalities	Deployment of 84 technical and financial specialists	Accelerate service delivery and improve audit outcomes	Focus on five pillars	6 th pillar was added
Strengths	Improved technical capacity in targeted municipalities	Dedicated support in few distressed municipalities	General hype in municipalities	Focus on ALL municipalities with a differentiated action plan	Focus on ALL municipalities with a differentiated action plan
Challenges			Over focus on audit outcomes	Limited impact	Limited impact

	Limited impact across municipalities	Limited impact across municipalities	at the expense of impact		
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Source: Author (2019)

However, it is noteworthy that despite these well-meaning programmes, the tide of discontent has not been stemmed, as evidenced by the increasing scale and breadth of service delivery protestations (Municipal IQ, 2018). The table below demonstrates that not all is well in the local government in South Africa.

TABLE 2.5: Service Delivery Related Protests: 2004 - 2018



Source: Municipal IQ: 2018

The table below shows the growing failure of accountability and steady decline in audit outcomes from the 2015/16 financial year, which impact the capacity of local municipalities to meet their developmental objectives (AG, 2019). The picture of audit outcomes over the last ten years reveals municipalities on a downward spiral being constrained by weak governance systems, poor financial health and limited investment in operations and maintenance (AGSA, 2019). The combination of these factors has added to the weight of social discontent by communities (ibid).

Table 2. 6: Municipal Audit outcomes (2009 – 2018)

	Clean	Unqualified	Qualified	Adverse	Disclaimer	Outstanding	TOTAL
2017/18	18	101	78	10	26	24	257
2016/17	33	114	71	6	31	2	257
2015/16	49	122	63	4	25	15	278
2014/15	54	109	76	4	29	6	278
2013/14	40	109	71	3	55	0	278
2012/13	22	98	83	9	66	0	278
2011/12	9	107	68	4	90	0	278
2010/11	13	115	53	7	55	40	283
2009/10	7	122	61	7	77	9	283

Source: AGSA (2019)

The table below shows that, despite the low base regarding voter turnout, there is still a sustained interest in local governance among citizens in South Africa.

Table 2.7: Municipal Voter Turnout Rate

YEAR	2000	2006	2011	2016
<i>Voter Turnout</i>	48.06%	48.4%	57.6%	57.94%

Source: IEC (2016)

2.13 THE 20 YEAR LOCAL GOVERNMENT REVIEW

The local government transformation in South African reached 15 years in December 2015. This significant milestone has triggered a suite of critical reviews from SALGA (2015), Department of Monitoring and Evaluation (2014) in the Office of the Presidency, South African Institute of Race Relations (2015), the Good Governance Learning Network (GGLN, 2015) and the South African Cities Network (2015).

While SALGA has acknowledged the long journey taken to arrive at this milestone, it has primarily been self-congratulatory in its review tone (SALGA, 2015). The tone of other partners in governance has been rather harsh. For example, Picard and Mogale (2015), while acknowledging

that the intention of local government transition was noble and laudable, have identified six emerging trends of concern over the local government transitional period. These are:

1. High levels of corruption and patronage;
2. Poor capacity for service delivery and maintenance;
3. Limited financial resources;
4. Loss of values among the political elites;
5. Declining work ethics in the public sector; and
6. Violent crime.

The critique of local government by the Institute of Race Relations (2015) has been equally harsh. The report cites three systemic factors as responsible for the unfortunate state of local government. These are political interference and deployment of unqualified political cadres, lack of appropriate capacity and lack of accountability (IRR, 2015).

The Good Governance Learning Network (GGLN), a network of non-government organisations operating in the local government sphere, is also less pleased. The network argues that while it would be incorrect to pretend that no progress has been made since 1994, what is of grave concern is that a large proportion of the population continues to experience socio-economic exclusion and spatial poverty (GGLN, 2015).

The Good Governance Learning Network (GGLN) has specifically cited evidence of self-enrichment, patronage, incompetence and impunity as a serious cause for concern (GGLN, 2015). Therefore, it can be concluded that local government has grown through various series of crises loops. The first crisis loop was apartheid, which delivered public services to the minority, but it failed to provide the same services to the majority of citizens in South Africa (ibid). The solution to the crisis was the pre-interim phase. During the pre-interim phase, an effort was made to amalgamate the different pieces of the jigsaw puzzle, leading to 843 uncoordinated municipalities post-1994 (ibid).

This third crisis led to further streamlining and better coordination of municipalities resulting in the interim phase of 284 in 2000, then to 283 in 2006, then 278 in 2011 and 253 in 2016. The assumption is that local government is in the final phase underpinned by financial viability and sustainability (SALGA, 2015).

However, as municipalities took their new shape and format, more challenges were experienced, especially concerning capacity and sustainability (SALGA, 2015). The current wave of service delivery protestations is a sign of a new crisis (Municipal IQ, 2018). Given the context of South Africa's gaping inequalities, local government faces a two-pronged challenge (ibid). This includes stabilising dysfunctional municipalities to ensure that there is an acceptable basic level of service across all municipalities as well as homing in on individual municipalities to address inequality of service delivery and vastly differing economic circumstances that typify local communities (ibid).

The many suites of reviews seem to indicate that while there is a sustained focus on governance in municipalities, there is limited impact as the new wave of service delivery protests seem to indicate (Municipal IQ, 2018). Ironically, this is at the time when there is sustained capital investment in infrastructure, yet the level of social discontent is not subsiding (ibid). This area calls for primary research into how municipalities experience their role in responding to the changing service delivery demands.

In a breakthrough initiative in KwaZulu Natal, the Office of the Premier in partnership with Statistics South Africa (StatsSA) conducted the Citizen Satisfaction Survey in 2015 and 2018 to gauge the level of service satisfaction by citizens of provincial and local government. The outcome of the 2018 survey revealed that 38% of citizens were dissatisfied with the quality of services by the provincial government while 48% of citizens were dissatisfied with the quality of services rendered by municipalities (StatsSA, 2018).

The outcome of this critical Customer Satisfaction Survey resonates well with the assertion that local government in South Africa is buckling under the weight of dysfunctionality from 'human weakness to structural as well as systematic constraints', as sharply articulated by the National Minister, Dr Zweli Mkhize, in his CoGTA Budget Vote Speech delivered in the National Assembly on 15 May 2018 (CoGTA, 2018 b).

2.14 THE 25th YEAR LOCAL GOVERNMENT REVIEW

Following the installation of the new administration after the national elections on 08 May 2019, KwaZulu Natal Province undertook a comprehensive and in-depth review into the state of local government in the province.

The objectives of the assessment are to:

1. Determine the level of stability and functionality of the municipality including political, administrative and community systems and processes;
2. Evaluate financial management and viability at the municipality; and
3. Establish the effectiveness of the municipality in delivering quality services to the community (CoGTA, 2019).

The purpose of the assessment is to:

1. Undertake a complete and comprehensive analysis of the state of municipalities in KwaZulu Natal and establish a baseline of key performance indicators;
2. Identify common and specific challenges impacting the stability and functionality of municipalities in delivering services to the communities;
3. Classify municipalities for different levels of support, investment and support;
4. Inform policy, strategies, and programmes necessary to support municipalities towards enhanced governance, accountability and service delivery; and
5. Develop a comprehensive and cohesive government response to support and intervention based on real-time information (CoGTA, 2019).

The assessment was conducted in earnest on 18 to 24 June 2019 in all 54 municipalities in KwaZulu Natal. The assessment revealed a general decline in the three focal areas of institutional governance, financial viability, and basic service delivery (CoGTA, 2019). The assessment found weak oversight structures, low cash coverage and poor operations and maintenance in the main (ibid).

Following the comprehensive assessment, the MEC Local Government made the following remark, which is worth quoting in full:

“Local government is a crucial site of democracy, service delivery and development. It is a major barometer of the success of our transformation. Yet, during the past 19 years, the sphere of local government has become a source of concern for many in our society. No sphere of government has battled with establishment problems more than it has been the case with our municipalities. A number of interventions have

been implemented, including, among others, Project Consolidate and most recently Back to Basics. These interventions have yielded limited progress. Looking at the balance sheet, we have noticed that the pattern of municipal performance is a mixed one” (CoGTA Budget Speech, 25 July 2019).

This assertion conveys the general mood about the state of local government in South Africa. The weight of the apartheid era on urban form remains substantially intact (Van Donk, 2008). Within the context of complex development dilemmas facing post-apartheid South Africa, there is no easy way to socio-economic transformation (Freund & Witt, 2010). Development is a process and not an event, fraught with failures, loss, and gains (ibid).

While municipalities have made strides in achieving their development mandate since the advent of democratic governance in 1994, massive challenges remain intact (SALGA, 2015; Madumo, 2015). The concept and character of the development process is not an event but a process fraught with failures, tension, and contradictions (Freund & Witt, 2010). The design and implementation of local government processes are not unproblematic, given the entrenched apartheid legacy of unemployment, underdevelopment and poverty that are out of proportion to the means at municipal disposal (Mogale cited in Mhone et al., 2003).

Put differently, while the Constitution Act, Act 108 of 1996 puts local government at the epicentre of service delivery, however, the means to carry out the Section 152 mandate, by and large, resides with the national and provincial spheres (ibid). Most municipalities are financially unviable to carry out their constitutional obligations (SALGA, 2015).

Municipalities rely, by and large, on the national government to fulfil their constitutional obligations. The Municipal share of the national fiscus is a paltry 8, 9%, compared with 48, 1% for national and 43% for provinces (National Treasury, 2018). These national allocations are often unpredictable, inconsistent, and inequitable with grants not being based on a rational policy criterion (White Paper, 1998). As a poor cousin of the national fiscus, municipalities are designed to fail. The prevalence of maladministration and malfeasance in local government exacerbates an already volatile situation (AGSA, 2019).

As the local government becomes more financially unviable and unsustainable, the demands for services are ever-increasing. Invariably, some of these changing service delivery demands such as

housing, schools, and clinics have very little to do with the local government mandate (SALGA, 2015).

Pycroft (2000) argues that there is a lack of synergy between the three spheres of government, contrary to the principles of cooperative government and Inter-Governmental Relations as defined by the Constitution. In this regard, there is a demonstrable lack of cohesive synergy between the three spheres of government, with each acting *in silos* with scant regard for the other (ibid).

The local government, being at the coalface of development, has become the new site of the struggle. It is the site where communities voice out their social discontent and disconnect from government processes (Pycroft, 2000).

2.15 SUMMARY

This chapter explored the shift from government, as espoused in Max Weber's rationalisation of modern society, to governance. This evolution from the government to governance takes many forms, shapes and perspectives. These perspectives capture the essence of the power relations between the state and society in its many manifestations, from cooperative governance, de-governance, state-centric and network governance.

Scholars from a wide range of academic disciplines have been seized with the governance concept since the turn of the twentieth century. The body of literature reveals that the shift from government to governance is not a unilinear journey but has taken many detours, twists, and turns in the process.

The journey commenced with the evolution of governance from the rationalisation theory of the modern state as espoused by Max Weber. As modern society progresses, a new set of problems came to the surface requiring a shift in thinking. Governance, as a concept, was derived from this shift in thinking with a view of solving new problems associated with the power relations between the state and society.

Governance has taken many forms, from state-centric to market-driven approaches. Each approach has its own set of limitations and evidence of failure as social problems persist. These problems of power relations continue to plague modern society despite the governance theory. This calls for

further theoretical insights and empirical rigour. As such, the scholarly debate on the governance question continues unabated.

It is evident that governance is an interdisciplinary, heterogeneous, and multi-dimensional theory enmeshed in complexity, diversity and variations (Jayne & Ward, 2017). While some scholars view this as a weakness, others view it as a source of strength as it sparks fresh ideas, fuels theoretical innovation, and promotes new research agendas (ibid).

Within the South African context, municipalities have undergone a complex transition from the apartheid past, pre-interim, interim and final phase from 2000. While much has been achieved over the years towards universal access to services, in line with the Sustainable Development Goals (SDGs), municipalities are increasingly under pressure to deliver sustainable services to citizens.

This chapter tracked the evolution of local government across three stages, namely establishment, consolidation, and sustainability. The chapter articulated how the establishment of different racially-based councils was amalgamated into new non-racial councils between 1993 and 2000. The phase laid the groundwork for the consolidation phase marked by governance, financial and performance management systems to make municipalities functional between 2000 and 2006.

This section carefully examined how the consolidation phase was set up from 2000 to 2006, with particular reference to the establishment of deracialised wall-to-wall municipalities across South Africa, as envisaged by the White Paper on Local Government published on 09 March 1998. This consolidation phase features critical pieces of legislation, namely Municipal Systems Act, Act 32 of 2000, Municipal Financial Management Act, Act 56 of 2003 and Municipal Property Rates Act, Act 06 of 2004 designed to sustain the local government, beyond consolidation, towards sustainability.

The chapter then traversed to the last section on the sustainability phase from the 2006 local government elections. In this section, particular reference was made to the suite of national government support programmes designed to pitch municipalities on a developmental trajectory into sustainability. The chapter then ended with a critical reflection on both the 20th and 25th local government reviews to assess the impact of these focused national governance support programmes, amidst growing social disconnect and discontent.

CHAPTER 3

RESEARCH METHODOLOGY

Look deep into nature, and then you will understand everything better. Learn from yesterday, live for today, hope for tomorrow. The important thing is not to stop questioning...Albert Einstein (1955)

3.1 INTRODUCTION

The previous chapter provided the landscape of municipal governance in South Africa as a backdrop for the research study on how municipalities interpret and experience their governance role in responding to the changing service delivery demands. This chapter focuses on the research methodology that was employed to respond to the research questions.

The chapter commences with a discussion on the relevance of qualitative research as an approach towards responding to the research questions. The chapter then shifts attention to discuss the various research paradigms that underpin the qualitative research study, with particular reference to the rationale for the interpretative research paradigm.

The chapter then moves to the section of research methods, namely in-depth interviews, focus group discussions, a document study, as well as observation. The chapter then discusses the sampling methods as well as how data were collected, interpreted, and analysed to ensure validity, dependability, and transferability. Transferability will ensure that the research findings are replicated in other similar settings (Bless, Higson-Smith, Sithole, 2013).

The chapter then provides the snapshots of the two municipalities utilised as the case studies for the research study. The snapshot includes their location within KwaZulu Natal, exposition of high-level challenges and governance profiles. The section on ethical considerations provides the logical end to this critical chapter on research methodology.

3.2 RELEVANCE OF QUALITATIVE RESEARCH

This study sought to critically examine how municipalities interpret, experience their governance role in responding to the changing service delivery demands. To this end, this study sought an understanding of lived experiences of municipal officials and citizens in their daily interactions.

Such an enquiry called for qualitative research which focuses on the way people interpret and make sense of their experiences and the world in which they live (Flick, 2009).

Qualitative research involves an interpretive, naturalistic approach in terms of which researchers study things in their natural settings, attempting to make sense of phenomena in terms of the meanings people bring to them (Denzin & Lincoln, 2011). Qualitative research, by its nature, starts with a research paradigm and employs rigorous and multiple forms of data collection methods to arrive at a composite summary of the phenomenon (Creswell & Poth, 2018).

Researchers use qualitative research to explore the behaviour, perspectives, feelings and experiences of people and what lies at the core of their lives (Flick, 2009). Researchers consider the meanings of experience, describe the lifeworld and explore change and conflict (ibid). This study fits in well within this research approach as it is developmental and dynamic yet focused on both process and outcomes (ibid).

3.3 RESEARCH PARADIGM

Every research is based on some underlying philosophical assumptions underpinning the theory and nature of knowledge (Denzin & Lincoln, 2007). These assumptions and beliefs, described as research paradigms by Denzin and Lincoln (ibid), guide the researcher throughout the research process. Invariably, these research paradigms influence the way the researcher will study, understand, analyse, and interpret the research problem (ibid).

There are three broad research paradigms, namely positivism, interpretative and the Critical Theory paradigm. It is usually the nature of the research questions that merit a particular philosophical paradigm (Guba & Lincoln, 1994; 2007).

Positivism assumes that reality exists independently of humans (ibid). The ontological position of the positivist researcher is that of realism and strives to understand the social world like the natural world (ibid). In nature, there is a cause-effect relationship between phenomena that can be predicted with certainty in the future (ibid).

The positivist paradigm has been roundly criticised by the interpretivists and critical theories on grounds that, while it is appropriate for studying the natural phenomenon, it falls short when used to study individuals and social phenomenon (Gall, 2003; Richards, 2003; Grix, 2004; Gage, 2007).

Interpretivism rejects the notion that a single verifiable reality exists independent of our senses (Guba & Lincoln, 2005). Interpretivists refuse to adopt any permanent, unvarying standards by which truth can be universally known (ibid). Truth and reality are not discovered but socially constructed (ibid). Researchers are inextricably part of the social reality being researched (Grix, 2004). This research study fits within this paradigm.

The third paradigm, Critical Theory, originates from the works of a group of twentieth-century authors affiliated with the Institute of Social Research at the University of Frankfurt (Richards, 2003). The ontological disposition of the critical theorist is that of historical realism. This position assumes that reality exists but is shaped by cultural, political, ethnic, gender and religious factors which interact with each other to create a social system (ibid). In this regard, the critical methodology is dialogical and dialectical in that the researcher engages the subjects in dialogue to bring about a change in their outlook of social systems (Guba & Lincoln, 1994).

The research question under study entails how municipalities interpret, experience and respond to the changing service delivery demands. In this scenario, the research question leans towards an interpretative paradigm. The ontological and epistemological position that was adopted allowed the researcher not to discover the universal truth but rather to understand the interpretations of individuals about the social phenomenon they interact with in their daily interactions (Grix, 2004).

The interpretative methodology adopted allowed the researcher to understand the social phenomenon through the eyes of the participants (Cohen, 2007). The research delved deep into the world of the participants and understood how this world is socially constructed by using the case study approach. This interpretation of the participants' experiences assisted the researcher to understand how they respond to the changing service delivery demands. Through this understanding, lessons are extracted to enhance the governance systems in the municipalities.

It must be added as well that a research paradigm has four parts, namely, ontology, epistemology, methodology and methods (Denzin & Lincoln, 2007). Ontology is the perspective or worldview of what constitutes reality (Crotty, 1998). Researchers have assumptions, sometimes implicit, about reality, how it exists and what can be known about it (Patton, 2002). An ontological question leads a researcher to inquire what kind of reality exists, whether singular, verifiable reality or socially constructed multiple realities (ibid).

Epistemology is the philosophy of the nature and scope of knowledge, how it can be acquired and how it can be communicated to other human beings (Cohen et al., 2007). It is the epistemological question that leads the researcher to debate the possibility and desirability of objectivity, subjectivity, causality, validity and generalizability (Patton, 2002). Adhering to an ontological belief system, explicitly or implicitly, guides one to certain epistemological assumptions (ibid). Ontology and epistemology are to research what a foundation is to a house (Grix, 2004).

The methodology is the strategy and choice of particular methods (Crotty, 1998). The methodology is concerned about how a piece of research should be undertaken (Grix, 2004). It guides the researcher in deciding what type of data is required for a study and which data collection tools will be appropriate for the study (Crotty, 1998). It is the methodological question that leads the researcher to how the world must be studied (ibid).

The methods are the instruments for data collection and analysis, such as questionnaires and open-ended interviews (Crotty, 1998). The methods to use are guided by the researcher's ontological and epistemological position, as well as the methodological choice (ibid).

3.4 RESEARCH DESIGN

A research design is a framework for conducting a research project (Creswell & Poth, 2018). It is the logical sequence that connects the empirical data to the study's initial research questions and ultimately, to its conclusions (Yin, 2009). The research design followed the qualitative research path in order to gain a deeper understanding of the research questions under study.

A research project stands or falls on the quality of the data on which it is based (Bless et al. 2013). In this regard, the research design involved in-depth interviews, focus group discussions, document reviews, as well as observations (Creswell & Poth, 2018). The in-depth interviews allowed the researcher to probe deeper into the research questions with the view of gaining interpretative insights into the research study (ibid).

In line with the qualitative study methodology, fourteen (14) out of fifteen (15) key participants were interviewed using the purposive sampling technique. The nature of the research study is such that it required privileged information that only resides in the selected participants. In this regard, mayors, municipal managers, local government experts, Non-Government Organisations as well

as business leaders are the custodians of the privileged information that was required and hence the purposive sampling technique being utilised.

Over and above the specific participants required, two (2) focus groups interviews were conducted as part of the primary research in order to augment and confirm emerging data from the individual interviews. Only one (1) interview could not be conducted during the data collection phase due to a lack of response on the part of the identified participant, after several attempts. While it does not detract from the overall research integrity of the study, it is acknowledged as one of the limitations thereof.

Among the fourteen (14) participants, two (2) were Political Office Bearers, three (3) Municipal Managers, five (5) Local Government Experts, two (2) Business Leaders, one (1) Office of the Auditor General Representative and one (1) Non-Governmental Organisation Representative. These in-depth interviews were further supplemented by two (2) focus group interviews comprising sixteen (16) members drawn from different communities in the two study areas to ensure that the full spectrum of governance partners had a voice in the research findings.

The following abbreviations were used to describe the participants:

Political Office Bearers (POB)

Municipal Managers (MM)

Local Government Experts (LGE)

Business Leaders (BL)

Office of the Auditor General (AG)

Non-Governmental Organisation (NGO)

Focus Group 1 in Mtubatuba (FG1)

Focus Group 2 in uMhlatuze (FG 2)

3.4.1 Interviews

An interview is a specialised form of communication between people for a specific purpose associated with some agreed subject matter (Anderson, 1990). The interview is highly desirable for obtaining information based on emotions, feelings, experiences, sensitive issues, as well as insider experience and privileged insights (Wisker, 2001). The nature of the research questions is such that it calls for extensive interviews with select individuals with extensive knowledge and expertise in local government. This reality merits a purposive sampling technique. (Creswell & Poth, 2018). The key informants in this regard range from politicians entrusted with the local government function to critical local government practitioners with extensive experience in local government administration. The research design also allows for snowballing to interview other key informants, should that be necessary during the data collection phase (Creswell & Poth, 2018).

The intended sample size was 15 individuals who collectively provided the pool of experience and depth in the governance debate in South Africa. The sample included councillors entrusted with local governance, technocrats who function in this contested space as well as the Office of the Auditor-General. The selection criteria included the respondents' positions in respect of the case study, level of seniority at various public and private sector entities, extensive experience in a local government environment and practical knowledge of governance issues at decision-making level.

The sample also included perspectives of organised groupings who also added their voice to the municipal governance debate. These range from the South African Local Government Association (SALGA), Institute of Local Government Management (ILGM), Zululand Chamber of Commerce (ZCC), Pietermaritzburg Chamber of Business (PCB) as well as Good Governance Learning Network (GGLN). The interview guide is included as **APPENDIX A**.

The recruitment strategy took the form of correspondence to these identified individuals requesting consent for participation in the study. The correspondence indicated how their participation in the research study would contribute to the body of knowledge on municipal governance, thereby enhancing the governance systems in South Africa.

3.4.2 Focus group

A focus group is a group of relatively homogenous individuals who focus their discussion on a given issue or topic (Anderson, 1990). The focus group, according to Casey and Krueger (2000), provides a more natural environment for participants to influence or be influenced by others as they are in real life.

A focus group involving 10 – 15 members of the Ratepayers Associations and Ward Committees was selected in association with the Good Governance Learning Network (GGLN) Partners. This session allowed for the research questions to be extensively discussed in a manner that led to an alternative functional governance framework that responds to the changing service delivery demands. The focus group, therefore, was used as part of triangulation to complement the interview process and provide the basis for a nuanced empirical understanding of the research questions.

3.4.3 Document study

Numerous reports are available on the performance of municipalities, ranging from the CoGTA's Back to Basics Reports, Council Agendas, Integrated Development Plans, Audit Reports, Annual Performance Reports, Annual Reports and Local Government Assessment Reports. Formal permission was sought and granted to access this documentation and utilise them for the current research study.

Furthermore, studies on the functionality of municipalities such as those of Morudu (2017) as well as the Auditor General's audit, were also interrogated to provide nuances on the research questions under study.

It must be mentioned that extreme caution was exercised on this source of data as it was collected for a different purpose to that of the research under study (Bless et al., 2013). As such, the combination of the primary data sourced from the in-depth interviews and focus groups was triangulated with the secondary data from the document study to arrive at credible research conclusions (ibid).

3.4.4 Observation

Observation is a systematic data collection approach to examine people in their natural setting (Fetterman, 1998). Participant observation combines participation in the lives of people being studied with the maintenance of a professional distance that allows adequate observation and recording of data (ibid). Although a seemingly straightforward technique, observation must be pursued systematically, following scientific rules, if usable and quantifiable data are to be obtained (Bless et al., 2013).

In this regard, there was participant interaction and observations of various individuals including politicians, technocrats, Community Based Organisations (CBOs), Non-Governmental Organisations (NGOs), the business community and labour organisations in their natural settings. These settings included IDP Representative Forum and IDP Sectoral Engagements with communities and business fora that are held regularly where data were recorded.

The purpose of these observations was to critically examine how municipalities interpret, experience their governance roles in responding to real-life settings. These findings are crucial in responding to some of the research questions that underpin this study project. Using the observation template, as **APPENDIX B**, the researcher observed and recorded various variables from context, setting, mood, the flow of agenda, quality of interaction, duration and engagement resolutions.

Observation as a method of data collection has some limitations that must be noted. Not only is it costly and time-consuming, but also it cannot be applied to many aspects of life (Bless et al., 2013). One cannot observe attitudes or beliefs, for example (ibid). Biases due to subjectivity can creep up from time to time. Where appropriate, mechanical devices such as tape or video recorders were used to ensure some measure of scientific objectivity.

3.5 SAMPLING AND SIZE

Sampling is a technical accounting devise to rationalise the collection of information, to choose the appropriate way to restrict the set of objects, persons or events from which the actual information will be drawn (Bless et al., 2013). While quantitative research aims at testing a hypothesis on the representative sample, qualitative research, on the other hand, is concerned with

studying people in their natural setting (ibid). Qualitative research does not aim at generalising the results to the population but aspires towards some aspect of new knowledge and understanding to other units of the population.

The type and aim of the research, therefore, determines the selection of the appropriate sampling method. While quantitative research uses probability or random sampling, qualitative research, on the other hand, relies on non-probability sampling (Bless et al., 2013). Non-probability sampling methods include convenience or availability sampling, purposive or judgemental sampling, quota sampling and cluster sampling (ibid).

Convenience sampling is the most rudimentary of sampling methods that consist of assembling all available cases until the sample size is reached (Bless et al., 2013). Purposive sampling is based on the judgement of the researcher regarding the characteristics of the representative sample (ibid). Quota sampling is a form of stratified sampling to draw a sample that has the same proportion of characteristics as the population under study (ibid). Cluster sampling is a variation of quota sampling but using convenience to draw a sample that may not be representative of the population under study (ibid).

The nature of the research problem at hand requires specialist information that resides with specific individuals who have been exposed to the social phenomenon under study. As such, the researcher is expected to exercise some judgement in arriving at typical units appropriate for this sample. Few individuals in the total population can share that they have interpreted and experienced their governance role in responding to the changing service delivery demands. As such, purposive sampling, which is based on the judgement of a researcher regarding the representative sample, was utilised (Bless et al., 2013). In this regard, both political and technical experts from the field of local governance were sought as they have the relevant material information at their disposal.

Furthermore, it was anticipated that should it be necessary, the snowballing technique would be used to source additional material information to respond to the research problem at hand. However, in practice, this was not the case as there was sufficient data from the initial pool of respondents. The in-depth interviews were limited to no more than 15 participants.

3.6 DATA ANALYSIS

Data collection was conducted utilizing an application based (APP) tape recording as well as field notes. Once data were collected, they were transcribed and imported into NVIVO 12 Software for extensive data analysis, using the thematic approach. The pool of data that were assembled was broken down into various codes or pieces of information, based on similarities and differences. These codes were further collated into categories as themes from key concepts started to emerge. Stake (1995) argues that qualitative research enables a researcher to pull apart pieces of information and knit it together again, more meaningfully. The search for meaning, through analysis and synthesis, defines this delicate moment.

Both categorical aggregations and direct interpretations depend on the search for patterns. Patterns were guided by the research questions serving as a template for analysis (Stake, 1995). Data analysis is not a clear-cut process, but a product of reflection, triangulation, scepticism about the first impressions and simple meanings (ibid).

Once refined through the rigorous and thematic analysis, draft conclusions and recommendations were drawn accordingly. Feedback from the research study was given to all participants to allow them to comment on the emerging analysis and draft conclusions critically. This critical feedback was distilled into the conclusions and recommendations from the research study as well as suggestions for further research.

3.7 DATA INTEGRITY

The research questions guided the research inquiry from key participants to be identified through purposive sampling. This was supplemented by critical observations of various governance interface sessions within the municipality as well as documentary reviews. These emerging data were further interrogated to ensure credibility (validity), dependability (reliability) and transferability (rigour) (Creswell & Poth, 2018). The data in the field provided explanations, interpretations, and applications of the research questions under study. These collective perspectives together enhanced the theoretical framework and gave rise to the research findings that emerged (ibid).

It is, therefore, critical that the research instruments to be employed must ensure validity, reliability and rigour, given the primacy of data in the field. Both content and construct validity are critical in the proposed research inquiry. The quality of the research questions was enhanced through a rigorous examination to ensure content validity (ibid).

With regard to construct validity, the interview protocol is the appropriate research instrument to gain interpretive insights into the governance debate. Through rigorous questioning of the key informants, critical data emerged that explained the research questions and gave shape to the emerging theory.

3.8 ETHICAL CONSIDERATIONS

For a research study of this nature, ethical considerations are primary considerations. The application for the ethical clearance certification was submitted to the UKZN Research Ethics Office. Furthermore, written requests were sent to the selected municipalities and participants for the necessary approvals. Gatekeeper's approvals were granted, and participants' consent was signed.

Upon granting of the research ethics clearance certificate, fieldwork ensued accordingly. The confidentiality and integrity of the study were maintained with the utmost care. The anonymity of the participants was guaranteed at all times. Before the interviews commenced, a full disclosure that the interviews are recorded was made. Interviews were recorded, and hard copies are kept with the University of Natal for posterity.

3.9 LIMITATIONS OF THE STUDY

A study of this scale does not come without limitations, as was mentioned in the research proposal. As the research study unfolded, more limitations were encountered as they have a bearing on the research findings and conclusions. It is, therefore, important that these limitations were tightly managed so that their impact is minimised accordingly. The three limitations that may impact the credibility of the research findings are researcher bias, the confidentiality of the information and the unavailability of one participant.

The first limitation relates to the positionality of the researcher given his involvement in the research study area first as a ministerial representative and then as a local government specialist.

While this may be an advantage regarding access to critical information, it may also lead to possible researcher bias, which requires tight management. In this regard, the author maintained a professional stance at all times, particularly on sensitive information that was received from time to time. Therefore, while every effort was made to minimise the impact of researcher bias, this may inadvertently creep into the research study.

Secondly, the nature of some of the research questions is sensitive and sometimes participants were reluctant to come out strongly with certain information. The recording of the interviews also made some participants very uncomfortable for fear of retribution. Some information was volunteered at the end of the recording when they felt more comfortable. The researcher made an effort to make the participants feel at ease in this regard. Some of them so enjoyed the interview process that they passed on highly sensitive information in the process, which is kept confidential.

The third limitation relates to the depth and breadth of the purposive sample, given the small sample size. There are many governance players whose views are critically important to the research study. However, it was practically not feasible to interview all relevant informants, resulting in potential limitations in terms of both empirical rigour and reliability. Thus, the small sample size had its limitations in terms of generalizability and transferability of research conclusions.

The last limitation relates to the unavailability of one participant who was out of the country at the time of data collection. Upon his return, his punishing schedule made it difficult to arrange for an in-depth interview, as such only 14 out of 15 key participants were finally interviewed. However, the researcher firmly believes that there is sufficient critical mass of responses to warrant credible research findings.

3.10 SUMMARY

This chapter provided the rationale for the choice of qualitative research and explained the research paradigm that underpinned the chosen methodology. The chapter then focused on the research methods employed in the study project, namely in-depth interviews, focus group interviews, document study and observation.

The chapter then examined the sampling strategy and how data were collected, interpreted and analysed to ensure validity, dependability and transferability. Transferability was ensured that the research findings can be replicated in other similar settings. The chapter then provided a snapshot of the two municipalities that were chosen as the case studies, with particular reference to the high-level challenges and governance profiles. The section on ethical considerations provided the logical end to this chapter on research methodology.

It is apparent that the research methodology is a delicate piece of work critical to adequately responding to the research questions. How the research methodology is structured determines the success of the study project.

CHAPTER 4

DATA ANALYSIS AND RESEARCH FINDINGS

Healthy societies can only be built on a realistic understanding of the people and their world.....Bless, Higson-Smith and Sithole (2013)

4.1 INTRODUCTION

The previous chapter provided the discussion on the nature and relevance of the qualitative research as an approach towards responding to the four research questions as articulated in Chapter ONE. The chapter also discussed the various research paradigms that underpinned the qualitative research study, with particular reference to the rationale for the interpretative research paradigm. The previous chapter elaborated on the research methods as well as how data were collected, interpreted, and analysed to ensure validity, dependability and transferability of findings.

This chapter provides an account of research findings following the collection of primary data within the study area, namely uMhlathuze and Mtubatuba Local Municipalities within KwaZulu Natal in South Africa. The findings are presented using the NVIVO Software version 12 based thematic analysis approach, with special reference to six (6) emerging themes and twenty-four (24) sub-themes. The six emerging themes are the interpretation and understanding of the role, causal factors to the rise in service delivery demands, quality of leadership, conditions for effective governance systems, governance partnerships and lessons for future governance systems.

Each emerging theme is discussed in detail through the voices of the participants to capture the spirit of their lived experiences. Flowing from the research findings is a detailed and nuanced discussion on how these findings relate to the body of literature as well as implications for theory, policy and practice.

This chapter ends with a discussion on the document study in respect to the case studies as well as critical observations that provide the basis for further triangulation of the emerged data.

4.2 THEMATIC DEMARCATION OF RESEARCH FINDINGS

The core of the study was to examine how municipalities interpret and experience their governance role in responding to the changing service delivery demands to suggest functional governance systems to assist municipalities in South Africa. It is the contention of the research study that an examination of how municipalities interpret and experience their governance role is critical to understanding the adequacy of their response to the rising service delivery demands and challenges. This is against the backdrop of the rise in service delivery demands and challenges amidst an elaborate legislative framework, massive financial inflows, and substantial technical capacity support (LGSETA, 2018). Such a meaningful understanding of the interface between the municipalities and the rising service delivery demands will assist in building functional governance systems within municipalities in South Africa.

In this regard, the research questions focused on the participants' conceptualisation of their governance role, critical conditions for effective governance, the role of other governance partners, and conditions for future governance systems.

The presentation on research findings is assisted by NVIVO Software version 12 for better visual clarity. This is followed by a section on the analysis of select documentation pertinent to the study as well as crucial observations made, in line with the research methodology. Data flowing from these four research methods, namely in-depth interviews, focus groups and document study allowed for the triangulation process as well as conclusive research findings.

The findings are presented under the following six themes which emerged during the interview processes. These are:

1. Interpretation and role understanding;
2. Conditions for effective governance;
3. Causal factors for the rise in service delivery demands;
4. Quality of governance leadership;
5. Governance partnerships; and
6. Lessons for future governance systems.

4.3 THE THEMATIC APPROACH

The fieldwork research process yielded primary data that can be grouped into six emerging themes that percolate throughout the entire study. Table 5.1 below depicts the four (4) research questions, six (6) emerging themes and twenty-four (24) sub-themes that flow from the study project.

Table 4.1: EMERGING THEMES AND SUB-THEMES

RESEARCH QUESTIONS	EMERGING THEMES	SUB-THEMES
1. How do municipalities interpret and experience their governance role in responding to the changing service delivery demands	1. Interpretation and understanding of governance role	<ul style="list-style-type: none"> ✓ Government and leading ✓ Partnership with stakeholders
	2. Causal factors for the rise in service delivery demands	<ul style="list-style-type: none"> ✓ Social distance ✓ Political competition ✓ Administrative/service delivery capacity
	3. Quality of governance leadership	<ul style="list-style-type: none"> ✓ Accountability ✓ Political in-fighting ✓ Decision-making ✓ Financial constraints
2. What are the critical conditions that make municipalities functional against	4. Conditions for effective governance	<ul style="list-style-type: none"> ✓ Political interface ✓ Technical competence ✓ Legal compliance ✓ Financial prudence

<p>changing service delivery demands?</p>		<ul style="list-style-type: none"> ✓ Ethical integrity
<p>3. What is the role of governance partners in responding to service delivery demands</p>	<p>5. Governance partnerships</p>	<ul style="list-style-type: none"> ✓ Mutual mistrust/ Miscommunication ✓ Formal partnerships
<p>4. What lessons from the empirical study of governance challenges can be extracted to build a functional governance framework for municipalities in South Africa</p>	<p>6. Lessons for future governance systems</p>	<ul style="list-style-type: none"> ✓ Policy enforcement ✓ Policy analysis ✓ Review of legislation ✓ Capacity for execution ✓ Capacity for interpretation ✓ Scope of performance appraisal ✓ Quality of SMART principles ✓ Artificial intelligence

Source: Author’s Fieldwork (2020)

4.4 THEME 1: INTERPRETATION AND UNDERSTANDING OF ROLES

Concerning the interpretation and understanding of their governance role, all 14 participants responded differently to the concept of governance and its application, which suggests that it means different things to different people. The responses are wide-ranging and varied from government, leading, expertise, decision-making and oversight to partnerships, relationships, democracy, and networks, depending on the experiences of each participant. This continuum of responses is unsurprising as it is in line with the scholarly literature on the concept of governance.

For example, Rod Rhodes (1997) argues that the state-driven traditional administrative system is the leading cause of problems in the delivery of public goods while Peters and Pierre (2016) suggest that the state must assume a functional approach to the management of democratic institutions, is a case in point (Rhodes & Rhodes, 1997; Peters & Peters, 2016).

However, within the continuum of responses, there is a discernible pattern of two sub-themes that emerged. The first sub-theme is the interpretation of governance in terms of the relationship between the structures within the municipality. For example, governance was described in terms of the relationship between the Council and the administration. The second sub-theme is the interpretation of governance in terms of the relationship between the municipality and structures outside the municipality, such as NGOs and the business community.

What is noticeable in these patterns of responses is how groups of participants tended to gravitate towards a particular sub-theme. For example, the Political Office Bearers (POBs) and the Municipal Manager (MM) gravitated towards the first sub-theme of the structural relationship within the municipality. The Local Government Experts' (LGE) interpretation is much broader and gravitates towards the structural relationships between the municipality and governance partners. The Local Government Experts (LGE) are practitioners or consultants with both wide-ranging experience and expertise involved in policymaking in the local government space. This interpretation by these policymakers is primarily shared by participants drawn from the Non-Governmental Organisations (NGOs) and the Business Leadership (BL) sector.

This finding is significant in that POBs and MMs are so caught up with their day to day responsibilities that they do not fully embrace the role that other governance partners, outside the municipality, can play in responding to service delivery demands. Policymakers, on the other hand, realise that municipalities cannot respond to the challenges of service delivery alone, but need to embrace other governance partners in this regard. The participants' responses are written verbatim and presented in italics.

In response to the interpretation and experience of their governance role in municipalities, the POB participant aptly described governance as *“it touches more on those who are leading the government, those leading the municipalities, the expertise that they have, how good that they are*

in governing the municipalities. In other words, its correct government versus good administrators which result in fruitful functioning of the municipalities”.

This indicates that POB is more focused on power relationships as well as that which commands resources within the municipal space as opposed to how these resources are utilised to respond to the service delivery challenges. In this scenario, governance is an end in itself as opposed to the means to an end.

The LGE, on the other hand, summed it up when he stated that “ *I suppose there could be a broad and a narrow answer to that but generally municipal governance is about the democratic representation of the citizens of our country in the local governance space or issues or mandates which are given to local governance. Indeed, it is about having an institution that is capable of proper decision-making”.*

This indicates that the focus is on a broader pool of representation in order to consolidate resources to respond to the service delivery challenges.

The Office of the Attorney General (AG) defined governance as “*the oversight that is played at two levels, the external or political level as well as the internal level or management level. It is about the structures that look at the risks, the internal controls in the operating environment. It looks at accounting, processes, responsibilities and policies in the operating environment”.*

This interpretation is more focused on how well the resources are utilised to achieve common goals.

From the business point of view as articulated by one BL participant, governance simply means “*getting reasonable, reliable, fairly priced or competitively priced services and an environment that allows us to operate in conducive conditions for a return on investment”.* This interpretation is also focused on how well resources are utilised in getting value for money to drive the economy. In this scenario, governance is thus a means to an end as opposed to an end in itself.

This research finding confirms the multiplicity of the conceptual understanding of the governance role as opposed to a shared understanding among the interviewed governance partners. The research finding on different interpretations was expected as it was compatible with the school of

thought among scholars as well that despite the ubiquity of the governance concept in common parlance and political rhetoric, its actual meaning is not without contestation (Bevir, 2011).

The word 'governance' appears in diverse academic disciplines including development studies, economics, geography, international relations, planning, political science, public administration and sociology (Bevir, 2011). Each discipline acts as a sole custodian of the word who has no need to engage with others. Too little attention is given to ways of making sense of the whole literature on governance (ibid).

The critical question flowing from both this research finding, and the literature review is what does this wide array of interpretation mean for theory and practice within the municipal space in South Africa? This is the critical gap that this research study seeks to address. This question shall be revisited in Chapter 7 on the contribution to new knowledge.

Firstly, it is essential to acknowledge that there are dynamic contextual factors that influence the interpretation and lived experiences of the governance role of different players within the municipal space. For POBs, as expressed in the interview process, their interpretation and experience are influenced by their political mandate to command resources in order to make a qualitative difference by providing basic services to the citizens that elected them. However, how the citizens receive these basic services becomes a different question.

For the MM and various LGE, their interpretation, as well as experience of their governance role, is influenced by their academic qualifications and technical expertise following many years of practical experience, as was revealed in the intensive interview process. For the office of the AG, their main concern is playing their oversight role to ensure value for money on the utilisation of public funding. For the Business Community, governance is about getting their return on their hard-earned investment through the provision of reliable municipal services such as water and electricity, with minimal interruptions.

Secondly, from the theoretical point of view, this research finding reinforces the current policy dilemma facing scholars in the governance field (Bevir, 2011). This dilemma requires new governing strategies to span jurisdictions, link people across levels of government and mobilise a variety of stakeholders (ibid). The governance theory continues to draw attention to the complex processes and interactions that constitute the patterns of rule (ibid). This research finding also

confirms the dynamic complexity of the municipal environment with many layers of stakeholders who are in a power relationship with one another (LGSETA, 2018, Van Donk et al., 2008).

Lastly, the implication of the research finding for policy and practice within the South African municipal milieu warrants further exploration. The research finding calls into question the current governance capacity support, as envisaged in Section 154 of the Constitution Act, Act 108 of 1996. The current policy position is based on the ‘one size, fits all model’ in the way the national and provincial spheres of government support the local government sphere. For example, the provincial government is currently rolling out the generic Municipal Support Plan (MSP) based on the generic assessment that was conducted in all 54 municipalities in KwaZulu Natal (CoGTA, 2019 b). The MSP’s are designed to respond to the governance, financial management, service delivery and performance challenges observed uniformly in various municipalities (CoGTA, 2019 c). Nevertheless, empirical evidence, as demonstrated in this research finding, suggests that municipalities are at different levels of understanding of their governance role relative to the changing service delivery demands.

Coincidentally, SALGA in its 15-year review published in 2015, advocated for the differentiated model to municipal categorisation. However, to date, the governance capacity support to municipalities still takes the form of a ‘one, size fits all’ despite increasing calls against such current practice (SALGA, 2015). As a contribution to new knowledge and practice, the author initiates the differentiated model using two governance and service delivery performance variables, as a point of departure. This typology of municipalities in the form of the proposed governance functionality model is expanded upon in Chapter 7, as a contribution to new knowledge.

4.5 THEME 2: CAUSAL FACTORS

On the causative factors regarding the rise in service delivery demands, there are a variety of reasons advanced by the participants. The main causative factor, cited by 10 of 14 participants, (71, 4%), is poor communication between the municipality and the citizens, which gives rise to unmet expectations.

One LGE succinctly articulated such poor communication as *“a social distance between elected representatives and the people, the social distance between the administration and the people,*

where you find that there are certain expectations that our communities will have but those expectations are not translated to actual deliverables, but as a result of the social distance, there is no communication”.

On further probing about the manifestation of poor communication, these participants cited unmet expectations which include essential services such as the reliable provision of water, electricity, roads and housing units in the main. For example, the members of the community would register for inclusion in the housing waiting list. The Department of Human Settlements would then allocate an initial budget for planning and design, subject to the appropriation of the implementation budget upon conclusion of the planning and design phase.

It is at this point that there is a breakdown of communication between the community and the municipality about the exact status of their housing application. In the communication vacuum, there is speculation that the housing budget has been embezzled by the municipalities, leading to more service delivery demands. If these service delivery demands are not well managed, these sometimes lead to service delivery protests, according to these participants.

However, interestingly, most participants cited poor communication. Rather significantly, the POB participants interviewed did not cite poor communication as a cause for concern and was not mentioned by them at all. This may indicate that they either forgot to mention it or do not regard it as necessary. Either way, it is significant that this causative factor which impacts directly on the POBs does not feature at the top of their mental awareness. This signals the importance of this causative factor which has implications for both theory and practice as is elucidated below.

The second main causative factor cited by eight of 14 participants, (57%), is politics, inter-party political competition and intra-party political in-fighting. The LGE participant believes that *“the first one being that service delivery demands are also political. What this means is that we have seen that public protests are the manifestation of the misunderstanding within political structures or within parties, for example, it may be a strategy for executive functionaries staging protests because it is in opposition to the political party that is currently leading that particular municipality”.*

In other words, service delivery demands are stage-managed to achieve political goals. In this scenario, according to participants, legitimate service delivery demands such as inadequate water supply are taken up by forces within the community to serve political goals.

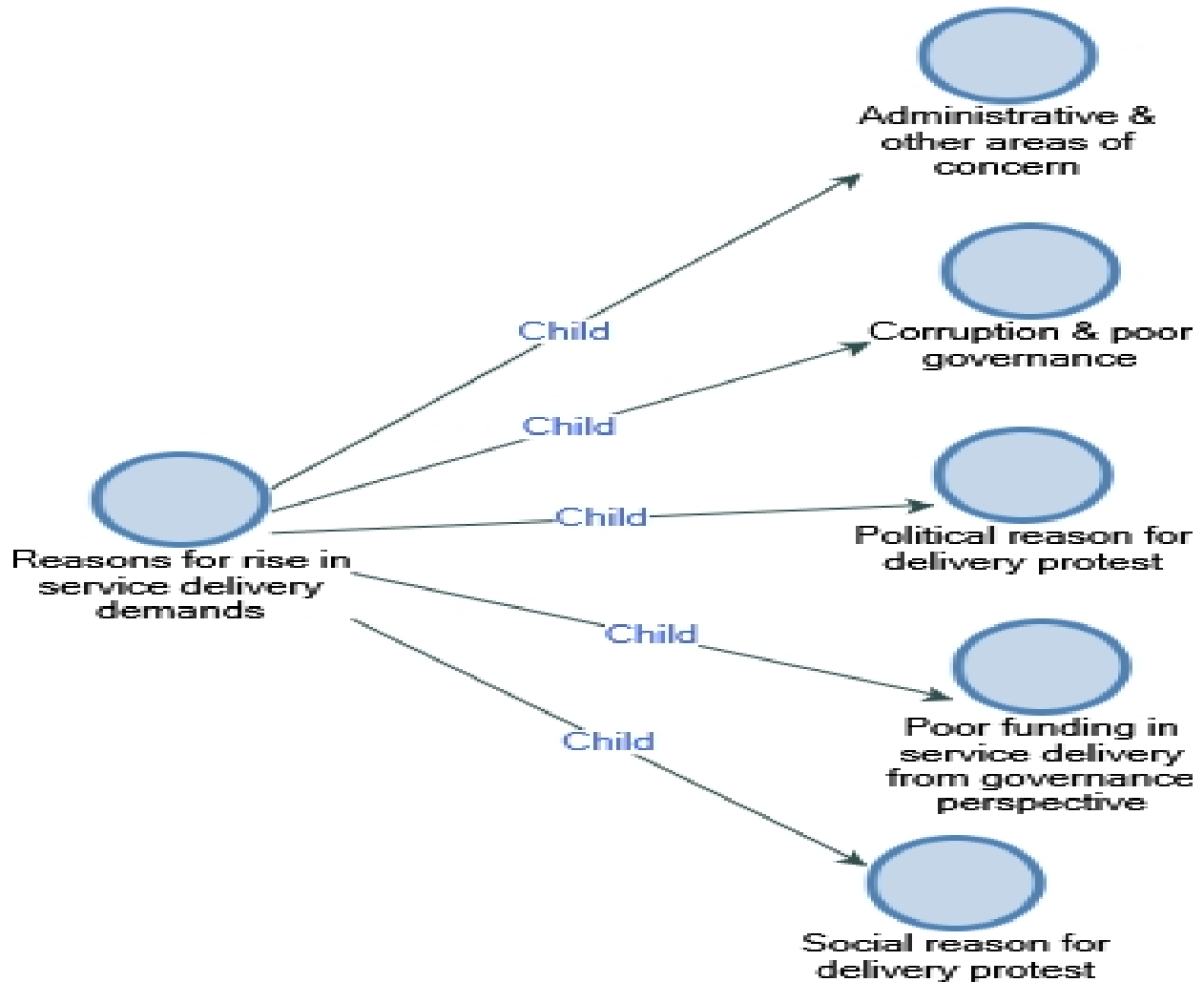
The third main causative factor cited by seven of the 14 participants, (50%) is administrative or service delivery capacity. What is particularly significant about this finding is that it is the most cited among the non-state actors. The BL and NGO participants, as well as both focus groups, cited this causative factor with a noticeable passion. The private sector, in particular, articulated their frustrations that their demands for essential services such as a reliable supply of water and electricity for which they pay dearly are not met, resulting in the poor quality of life and the loss of profits. These factors occupy the top-of-mind awareness for these set of participants.

The fourth causative factor for the rise in service delivery demands cited by six of out 14 participants (42, 9%) is the need for services such as housing units as a direct result of increasing urbanisation and population growth. What is interesting about this service delivery demand is that, within the municipal context, housing is not the competency of municipalities, but that of the provincial and national sphere of government. However, as municipalities are closest to the communities, they bear the brunt of this increasing demand.

The last causal factor, mentioned by four of 14 participants (28, 6%) is poor accountability. On poor accountability, a member of Focus Group 1 in Mtubatuba Municipality angrily charged that *“this municipality has been failing to build a testing ground after appointing fours companies. You see officials driving very expensive cars and you ask yourself how these fats cats are driving expensive cars but can’t build a testing ground after appointing four companies”*. This signifies the poor accountability on the part of the municipality to account for the resources at its disposal fully.

While Focus Group 2 in uMhlatuze Municipality was generally full of praise for the quality of services that they receive, one member observed that *“there are challenges in the municipality, especially on Apollo (sanitation) and Eskom. There is no street lighting and community members fight with us as ward committee members. Even with housing, the community complains that their applications do not get approved efficiently”*.

The following is the schematic representation of some of the reasons given for the rise in service delivery demands.



Source: Author's Fieldwork (2020)

There are two distinct sets of reasons when drawing on the literature review on the question of the main causative factors for the rise in service delivery demands. The first set of reasons attribute the rise in service delivery demands to deficiencies within the municipality, such as higher levels of corruption and poor capacity for service delivery (IRR, 2015). The second set of reasons attribute the rise in service delivery demands to factors outside the control of the municipalities, such as poor financial model and poor allocation of powers and functions (SALGA, 2015). It only

concerns poor capacity where there is common ground on the causative factors for the rise in service delivery demands (de Visser, 2010; van der Walddt, 2010).

Picard and Mogale (2015) advance the following reasons as at the core of the rise in service delivery demands:

7. High levels of corruption and patronage;
8. Poor capacity for service delivery and maintenance;
9. Limited financial resources;
10. Loss of value among the political elites; and
11. Declining work ethics in the public sector.

(Picard & Mogale, 2015).

The second set of reasons, advanced by SALGA (2015) and the Office of the Presidency (2015) is the poor financial model leading to a low revenue base to provide services to an increasing populace, growing irregular expenditure as well as the poor allocation of powers and functions (SALGA, 2015; DPME, 2014). In other words, these sets of reasons by government institutions tend to find reasons for why municipalities are struggling to cope with the rise in service delivery demands. Independent institutions and scholars, on the other hand, are less empathetic to municipalities and tend to focus on failures within the municipalities.

The research findings on this question confirm the literature review on causative factors, albeit with varying weighting placed on different factors (de Visser, 2010; van der Walddt, 2010). While the literature review emphasizes higher levels of corruption, capacity deficit and financial constraints, the participants place more emphasis on poor communication, poor capacity to meet their basic demands as well as poor accountability.

What this means for policy and practice is that weak capacity continues to pose severe challenges for municipalities despite the growing capacity support from both national and provincial governments. The poor efficacy and poor return on investment on the current capacity support should be a serious cause for concern on the part of policymakers in South Africa. It remains a critical policy question as to why municipalities continue to experience capacity challenges, despite enormous resources that are spent on this front.

4.6 THEME 3: THE QUALITY OF GOVERNANCE LEADERSHIP

Whereas there was a convergence of opinion that the quality of leadership in municipalities is in a state of crisis by all 14 participants, there was divergence about the nature and extent of the leadership crisis. Four sub-themes emerge on the nature and extent of governance leadership. These are crises of accountability, political in-fighting, decision-making and funding. These sub-themes are given different weighting and emphasis by the participants, with accountability and political in-fighting dominating.

The majority of participants mentioned the accountability dimension, six out of 14 (42, 9%) cited that politicians are not answerable to the communities that elected them in the first place but only to political parties or themselves. One LGE put it succinctly that *“firstly, the leadership in municipalities who are deployed by the political party that gained the majority in that municipality are again not answerable to the community which they are leading. They appear to be more answerable rather to the structures of the political party that has deployed them there.”*

Related to the accountability dimension is the political in-fighting sub-theme mentioned by four out of 14 (28, 6%) participants. What is noticeable about political in-fighting is that it takes the form of both inter-party and intra-party and thus adds to the dynamic complexity of municipal leadership. One POB remarked without hesitation that *“definitely...definitely...there is a crisis. If there is one in power, those under you or those that you are leading want to topple you down so that they can be there in your position”*.

The crisis of the quality of decision-making and the red tape in arriving at decisions was mentioned by three out of 14 (21, 4%) participants primarily drawn from the NGO and Business sectors. These non-state players decried the *“scourge that has taken over in local government, which is corruption”* and articulated how *“governance failures have the cascading effect to everything in the economy and every area of functioning”*.

On the question of leadership crisis, interestingly, there was extreme divergence within the two focus groups interviewed. In the Mtubatuba Focus Group, the question evoked many emotions as participants felt let down by the quality of leadership, which was described by one participant as a *“disclaimer, a real shame”*.

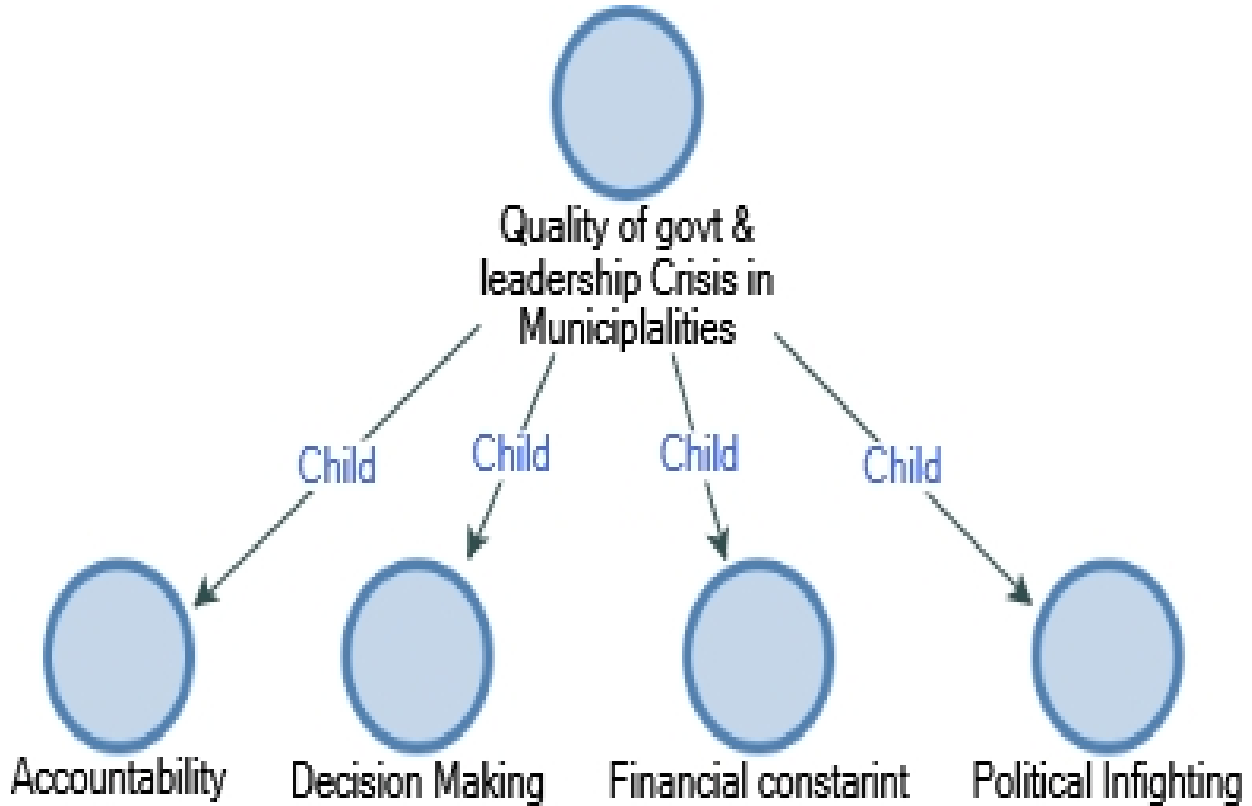
Interestingly, one participant in the uMhlathuze focus group referred to the Mtubatuba municipality when he said with passion that *“go to Mtubatuba municipality which is about 45-50 km from here. Mtubatuba is my home but I do not go there as often because there is no water. I only go once a year. We had to buy a Jojo tank so to be able to live. Yet, Mtubatuba has a Jozini dam as its source dam and there is no reason why there is no water flowing that side”*. This statement was validated by the sentiment in the Mtubatuba Focus Group that *“Mtubatuba is number 1 in terms of disclaimer, in terms of corruption, in terms of filthiness, in terms of underperforming”*.

This description contrasts sharply with that from the uMhlathuze Focus Group, which was articulated as *“Let me say proudly that we are happy that uMhlathuze, our municipality, has never been under administration. That is telling us that the current leadership is capable and efficient, including the officials”*. This positive sentiment also finds expression in the remark by the BL participant that *“when they want to see us, we already had a relationship with the officials. So the relationship is key. We take the municipality seriously, we have to work together”*.

Some participants expanded on the question of governance leadership by proposing a constituency-based electoral system as opposed to the current proportionally based electoral system. The current system is politically driven, with the political party dictating the list of councillors who will represent the communities during elections. In essence, during the elections, the communities surrender their vote to the political parties who make decisions about the final list of councillors to represent the welfare of the communities. The constituency-based system, on the other hand, turns this system on its head with the communities directly electing their candidates based on their merit as opposed to the political party to which they belong.

The LGE participant cautioned against focusing on the tip of the iceberg, namely the rise in service delivery demands, poor financial management and poor audit outcomes to the total exclusion of the real issues. His position is to drill inside the iceberg and focus on the real issues, namely the quality of governance leadership which is the product of political deployment. In his own words, he stated categorically that *“what is the problem in our local government, is that we deploy the wrong people, both administratively and politically. Furthermore, we deploy for the wrong reasons”*. The following is the schematic representation of the responses on the quality of leadership.

Figure 4.2: Quality of Leadership Responses



Source: Author's Fieldwork (2020)

According to the literature review, the study of leadership has a high pedigree and has evolved across different distinct eras (Sadler, 2003). The new thinking is increasingly challenging the current transformational era on ethical and moral leadership (Hoch et al., 2016). The latest thinking on leadership emphasises ethical and moral behaviour over and above transformational leadership as advocated by James MacGregor Burns back in 1978 (Hoch et al., 2016). Scholars are demonstrating a new interest in emerging forms of leadership, namely, authentic, ethical and servant leadership that induce an ethical dimension in transformation leadership (ibid). These scholars argue strongly that leadership is increasingly a dominant factor in organisational influence (ibid). There is evidence of scholarly attention on these emerging forms of leadership that focus on leader behaviour and interpersonal dynamics that improve followers' confidence and positive outcomes, beyond task compliance (Hannah et al., 2014).

Within the South African context, the nexus between governance and leadership is increasingly receiving scholarly attention (Cloete et al., 2018; Van der Waldt 2010). Van der Waldt (2010)

notes that leadership challenges specifically centre on political and administrative interfaces. Van der Waldt (ibid) further argues that challenges with policy implementation at the municipal level are the manifestation of governance and leadership challenges (ibid).

It is thus not surprising that the research findings confirm this literature review that gives primacy to leadership competence within a rule-governed hierarchy, commitment to impersonality and procedural correctness as prerequisites for effective governance systems (McComick, 2013). Therefore, the research findings reinforce the latest thinking in leadership and governance theory with the emphasis on the quality of governance leadership being at the centre of the challenges in municipal governance.

However, according to Hansen and Villadsen (2010), leadership theory is receiving little attention in public administration than in other disciplines such as psychology and management (Hansen & Villadsen, 2010). What this means for theory is that there is a compelling argument for more scholarly attention on the leadership question within the public administration domain. Given the rise in the service delivery demands and related social problems, there is a compelling case for more effort to be invested in drilling through the iceberg and uncover the real issues, beyond the current symptoms as demonstrated by the rise in service delivery demands.

4.7 THEME 4: CONDITIONS FOR EFFECTIVE GOVERNANCE SYSTEMS

The research question on conditions for effective governance systems elicited a variety of responses, which crystallised around the following five sub-themes. These are:

1. Political interface, mentioned 10 out of 14 times (71, 4%);
2. Technical competence, mentioned 8 out of 14 times (57, 1%);
3. Legal compliance, mentioned 4 out of 14 times (28, 6%);
4. Financial prudence, mentioned 2 out of 14 times (14,3%); and
5. Ethical integrity, mentioned 1 out of 14 times (7, 1%).

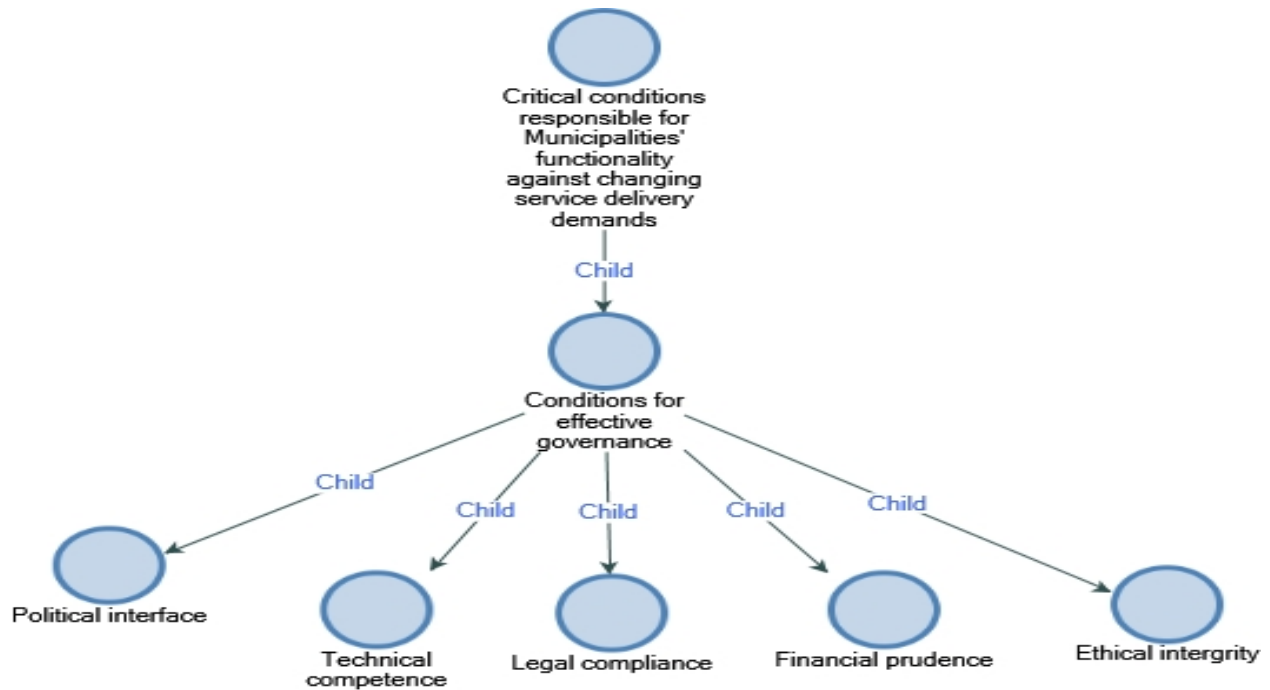
From the above responses, the majority of participants (71, 4%) emphasized the political interface between the POB and the Administration. One participant put it succinctly when he said “*the tone at the top, the tone of leadership and the relationship between the politicians and the*

administrators is key". This suggests that once there is administrative interference, it is governance that bears the brunt and service delivery is hamstrung.

The second condition cited by the majority of participants was mentioned eight out of 14 times (57, 1%) is technical competence. "*For anything to work, you need capacity*" is how one participant best captured the consensus on this research question. This explains why the emphasis since 2004 has been a plethora of government programmes that are designed to build the capacity of municipalities in South Africa. However, the question remains as to why, after 16 years of intensive capacity building, challenges remain in this sphere of government (LGSETA, 2018).

The third condition cited by 28, 6% of participants relates to legal compliance which is described by one participant as "*robust oversight and consequence management.*" Financial prudence and ethical integrity were also cited by fewer participants, 14, 3% and 7, 1% respectively. These were cited as critical in ensuring conditions for effective governance systems. This is highly significant given that the essence of the capacity building programme to municipalities by the National Treasury revolves around these two variables and yet receive a scant mention on critical conditions for an effective governance system. The following is the schematic representation of the critical conditions for effective governance systems:

Figure 4.3: Critical Conditions for Effective Governance Systems



Source: Author's Fieldwork (2020)

However, it is vital to bear in mind that these conditions are not mutually exclusive but act in concert as critical ingredients for effective governance and subsequent service delivery outcomes. Significantly, the political interface remains the central ingredient, according to the majority of participants, and any shortfall in that dimension is disastrous for positive service delivery outcomes.

The research findings closely mirror the critique of local government by the Institute of Race Relations (IRR, 2015), which cites three systemic factors as responsible for the unfortunate state of local government. These are political interference and deployment of unqualified political cadres, lack of appropriate capacity and lack of accountability (IRR, 2015).

Within the South African municipal context, the critical conditions for governance within the context of the changing service delivery demands are neatly laid out in the White Paper for Local Government published in March 1998. According to the White Paper, there are three critical conditions for functional governance, namely, integrated development planning and budgeting, performance management and community participation (White Paper, 1998). These critical

conditions find resonance with Section 152 of the Constitution Act, Act 108 of 1996 that lists the object of local government as the promotion of local democracy by the provision of sustainable essential services, promotion of social and economic development, promotion of safe and healthy environment as well as community participation.

The White Paper on Local Government realises that these three conditions are challenging to fulfil amidst changing service delivery and thus recommends three pieces of legislation to assist municipalities in this regard. This holy trinity of municipal governance includes the Municipal Structures Act, Act 117 of 1998, Municipal Systems Act, Act 32 of 2000 and Municipal Finance Management Act, Act 56 of 2003. Within the climate of limited resources, these pieces of legislation provide the basis for responsible, responsive, efficient, effective and accountable municipal governance. The essence of the research objective is to carefully examine how municipalities are assisted by this suite of legislation to build functional governance systems.

To assist municipalities to build a robust governance regime, the National Treasury introduced compulsory Municipal Competency Levels for all senior managers in municipalities to prescribe financial and supply chain competencies, core managerial and occupational competencies as well as higher educational qualifications (National Treasury, 2007). These measures, according to the National Treasury, were taken to professionalise the bureaucracy and insulate them from political interference in the light of growing structural and systemic governance challenges (ibid).

According to the research findings, five conditions emerged as critical towards functional governance in municipalities, amidst changing service delivery demands. These are the positive interface between political leadership and administration, technical competence, legal compliance, financial prudence, and ethical integrity. These five conditions are in alignment with the literature review, albeit with different weightings. What is of significance in the research study is the emphasis on the fifth condition, namely ethical integrity. This is highly significant given the enormous governance challenges that have been experienced by municipalities since their reconfiguration in December 2000.

It is no surprise that the positive interface between political leadership and administration is cited as a critical condition. Mostly, this critical condition defines the tone at the top and the quality of

governance leadership which, according to most participants, is a pre-requisite for effective governance systems.

The implication of this research finding is significant for policy and practice. While the National Treasury (2007) has attempted to professionalise the local government sector to induce ethical integrity and improve the tone at the top, it does not have a direct mandate in this sector. Organisations such as SALGA, Local Government Sector Education Training Authority (SETA), and Institute for Local Government Management (ILGM) have been grappling with the professionalisation matter for some time. However, nothing concrete has come out of these deliberations (LGSETA, 2018; ILGM, 2017; SALGA, 2012).

It is mooted that a Coordinating Team to conceptualise and implement the professionalisation project must commence soon (LGSETA, 2018). The ILGM (2017) mooted for a national register of local government practitioners to be established to lay the foundational pillar in this regard (2017). Recommendations in this regard are made in the last chapter of this research study.

4.8 THEME 5: GOVERNANCE PARTNERSHIPS

Whereas there was a consensus among the participants about the need to enhance governance partnerships between the municipalities and private sector, academia, NGOs and CBOs, however, when probed to spell out the specific role of these partners, there is a lack of clarity about the nature and form of such partnerships. One LGE asserted that “*all that is needed to be done is to ensure that there is clear definition of roles and responsibilities*”.

One MM sums it up when he says “normally, the private sector will always be suspicious of local government. They would rather do things on their own without partnering with us”. In an effort to define the role of the governance partners, the NGO participant stated that the role is “*to make national enabling policy pro-poor, pro-participatory so that it reduces that level of frustration and disconnect from the development process*”.

From the responses, it is evident that there is an element of disconnect and suspicion between the municipalities and the governance partners, Nonetheless, it is not clear what is to be done to improve the working relationship by making it meaningful to both partners.

At the heart of the raging debate in the governance literature is the role of each partner in the overall developmental agenda. What compounds the debate is the unprecedented global proliferation of the NGO sector at the local, national and international level with diverse missions such as poverty alleviation, environmental protection, gender equality and so on (Haque in Bevir, 2011). This worldwide expansion of the NGOs has coincided with changes in the ideological, theoretical, and practical tenets of governance based on market-friendly neoliberal assumptions (Hulme & Edwards, 1997).

Owing to this proliferation of NGOs worldwide, there is a greater academic interest in studying various dimensions and implications of these organisations (Haque in Bevir, 2011). However, despite the proliferation of academic literature about NGOs, there is still inadequate understanding of the relationship between these non-state organisations and the state (Dollery, Wallis & Crase, 2002). According to Haque, there are five discernible broad theoretical approaches to explain the relationship between non-state organisations and the state (Haque in Bevir, 2011).

In the first approach, the government-state model, the government-NGO relationship is based on the dominant role of the state in financing and providing goods and services. In this scenario, the services provided by the NGO are specified and prescribed by the state; with reporting and accountability to the state (Lyons, 2001). The second approach, the third-sector dominant approach, allows for a more significant role for the NGO in both funding and provision of services (Dollery, Wallace & Crase, 2002). In the third approach, the dual approach, the responsibility for financing and provision is shared between the state and the NGO as the state is unable to cover all areas (ibid).

In the fourth approach, the collaboration model, the responsibility is shared based on a mutual partnership (Gidron, Kramer & Salamon, 1992). The last approach, the competition model, pits the state and the NGO against each other in a zero-sum game (Gronberg, 1987). With the multiplicity of these theoretical approaches, it is no wonder that there is often no consensus on the role of the state vis-à-vis NGOs but depends on the specific context. Governance ought to be conceived of as an interactive process wherein the citizenry and the political elite exchange preferences on how to facilitate concerted action and its objectives (Peters & Pierre, 2016).

The design of the governance processes and institutions is influenced by several, potentially conflicting objectives such as efficiency and effectiveness, institutional autonomy, policy capacity on one hand and transparency, citizen engagement and accountability on the other hand (Peters & Pierre, 2016). As such, conflict is inherent in the governance process and how the role of each governance partner is defined remains an elusive concept.

In an effort to define the role of governance partners, Peters and Pierre (2016) introduce the concept of demand politics and supply politics. Demand politics is the articulation of societal expectations on government and public service (ibid). Supply politics is the capacity of the government to address those expectations and solve society's problems against the backdrop of increasing public expenditure (ibid). Against this background, Peters and Pierre (2016) postulate a functional role of the state that has five components. These are decision-making, goal-setting, resource mobilisation, implementation and feedback (ibid).

The shortcoming of this postulation is that it underplays the role of other critical players within the governance space. Practically, all stakeholders are expected to do decision-making about their role in the process, set goals of their participation, mobilise resources, implement and provide feedback to an array of stakeholders. Therefore, the postulation by Peters and Pierre (2016) is not helpful in the absence of a suite of roles for all governance partners. Therein lies the dynamic complexity of the governance debate.

The case studies exhibit similar obfuscation in respect of the role of governance partners. All participants were unanimous in that there is a critical role of the private sector, academia, NGOs and CBOs in the governance architecture within the municipal space. However, what is clear is that the nature of the role remains elusive and difficult to define unambiguously such that other governance partners understand it.

What is equally essential, flowing from the research findings, is for the role to be defined in writing and expectations, responsibilities, and obligations to be recorded accordingly. This is one of the recommendations that flow from this research study. Part of the contribution to new knowledge and practice is to suggest possible roles for each key governance player in the municipal space. This is examined in greater detail in Chapter 6.

The research findings reveal three sub-themes, namely that there is a very limited role currently for governance partners in responding to service delivery demands because their role is not clearly defined. Secondly, what came out is that there is a willingness to engage in future roles, which are yet to be defined. Thirdly, there are attempts such as joint project funding and implementation, though still at an embryonic stage, to do things slightly different to enhance governance partnerships. It was mentioned in uMhlatuze Municipality that there is an attempt to forge a research-focused governance partnership with the neighbouring University of Zululand (UKZN).

What is strikingly crucial in the case of both Mtubatuba and uMhlatuze Municipalities is that there are no formal partnerships among governance partners such as NGOs and the business community that have been forged. One MM contended that *“normally, the private sector will always be suspicious of local government. They would rather do things on their own without partnering with us”*. Another MM confirmed that *“there is a lack of communication between the two”*. This is because of the level of mistrust that has emerged over the years which has resulted in the social wall between the municipalities and the business community. At the time of the research study, there was evidence of the thawing of relations, but without clear roles and responsibilities, the process remains elusive.

In response, the private sector argued that *“there are countless ways about how we can assist municipalities than they can function on their own. The sum is greater than individual contributions”*. Another BL participant made a passionate plea that *“I would strive to think of a business locally that will thrive where there is no relationship with the municipality”*. While there is the willingness to engage, it begs the question as to why this willingness cannot translate into formalised partnerships and tangible action. This is more pronounced against the backdrop of high levels of poverty, unemployment, and inequalities throughout South Africa. This is one of the quick wins that are suggested as part of the recommendations flowing from this research study.

4.9 THEME 6: LESSONS FOR FUTURE GOVERNANCE SYSTEMS

The research question on lessons for future governance systems triggered a lot of imagination and innovation from participants of how governance systems could be enhanced on policy, legal and performance levels going forward. At a policy level, two sub-themes emerged, namely policy enforcement and policy analysis. The majority of participants, seven out of 14 (50%) gravitated towards policy enforcement as a measure to enhance effective governance systems in the future.

These participants expressed concerns that the current policy environment is bloated but with less power because of inadequate enforcement capacity.

One PBO participant decried the current state of policy paralysis, which he described as “*relevant but not enforceable due to capacity constraints*”. This state of policy paralysis, according to the LGE participant “*makes the mockery of local government which is a poor cousin to national and provincial sphere government*”. At the time of the research study, Mtubatuba municipality included the nuisance and litter control by-law in its policy register, but it was observed that refuse management remains a severe challenge in town due to poor enforcement capacity.

Related to policy enforcement is policy analysis that was cited by five of the 14 participants (36%). “*Many of our policies are cut and paste*” remarked the LGE participant with a sense of despair. What this means is that policies are cascaded from the national and provincial spheres through the top-down approach due to poor policy research and analysis capacity. This also explains why most policies are unenforceable as cited by a sizeable number of participants.

These research findings are compatible with the literature review on policy management (Cloete et al., 2018). The literature search points to a prominent focus in recent times on policy coherence and policy coordination. Policy coherence implies that various policies parallel each other because they share a set of ideas or objectives (May, Sapotichne & Workman, 2006). In the South African context, the relationships and linkages between national and other policies are of particular concern (Cloete, 2018). The Organisation for Economic Cooperation and Development (OECD) summary on policy coherence is particularly relevant to South Africa about Inter-Governmental Relations (OECD, 2001).

The OECD (2001) provides five key lessons from the international experience of governments to enhance policy coherence. These are as follows:

1. There is a gap between the need for coherence and the capacity to achieve it. These capacities mostly relate to the complex environment and the practical capacities of policy-making systems;
2. Governing in a democratic political system necessarily involves a degree of incoherence. Policy-making systems have to increase their capacity to balance and reconcile divergent

pressures emanating from interest groups, political forces, the information media and the need to manage policy issues rather than avoid them;

3. No single policy-making system can guarantee improved coherence. Therefore, policy-making systems need to remain centred on the notion of coherence as a guiding principle to promote organisational values such as strategic direction, consistency and horizontal coordination;
4. Good practices exist which incorporate tools of coherence. These include appropriate organisational structures, processes and methods of work as well as the process of policy-making; and
5. The paramount tool of coherence is informed decision-making. In this regard, what matters most is not whether contradictory policies are pursued but whether they are pursued knowingly or unwittingly.

(OECD, 2001: 67)

These lessons have been used by South African scholars and practitioners in redefining policy processes (Cloete et al., 2018). In this regard, the following preconditions were identified, namely the need for strong strategic capacity at the centre of government, the need for organisational flexibility and the need for effective information gathering and processing systems (ibid).

At the legal level, three sub-themes emerged; namely, legal review of legislation enhanced capacity to enact and enforce by-laws as well as capacity for interpretation of legislation. The majority of participants, six out of 14 (43%) raised severe concerns about “*a serious pendulum swing from minimal legislation to over-legislation*”. In this regard, the consensus view is a process to review the current plethora of legislation with the view to rationalise, simplify and ensure relevance.

The next set of participants, four out of 14 (28 and 6%) differed with the notion of review but put an emphasis on the execution of the current body of legislation instead. These participants indicated that “*the challenge lies with execution*” and intimated that future municipalities must invest more in the implementation of current legislation. What this means is that while the participants understand what is to be done, there is no capacity to execute it.

In the last set of participants on the legal theme, two out of 14 (14% and 3%) were more concerned about the capacity to interpret and understand the current body of legislation. These participants decried the current state of confusion about the plethora of legislation and hence the need for capacity to interpret, understand them so that there can be a better implementation of the current set of legislation. What this means is that the participants do not understand what is to be done in the first place and hence the poor capacity to implement as a direct result.

Related to the capacity finding, it must also be borne in mind that municipalities in South Africa have the constitutional power to make their by-laws in the area of their jurisdiction in terms of Section 151 (2) of the Constitution. However, according to the LGE participant, very few municipalities have exercised this legal power. He further elaborated that municipalities are reluctant to exercise this power because of the prevailing top-down nature of the power relationship between the national and local sphere of government, particularly within party political structures. He further added that municipalities neither have the inclination nor capacity to enact their legislation, even though by law, they have the authority to do so. He concluded by attributing this top-down culture to the democratic centralisation model of the political parties in South Africa.

Part of the literature review on local government legislation is encapsulated in SALGA's 15-year review which suggests that as the local government system matures, there is a need for a review of the legislation, particularly the Municipal Structures Act, Act 117 of 1998 and Municipal Systems Act, Act 32 of 2000 (SALGA, 2015). The key issues to be considered include:

- Variations in municipal categorisation including the mechanisms for strengthening the two-tier system of local government;
- Resolving the overlap and lack of definition of the powers and functions of the three spheres of government and in particular, those of the district and local municipalities, especially Section 84 (1) on district's functions;
- The usefulness of authorisations by the Minister and adjustment of the powers and functions by the MECs which initially are part of the temporal transitional arrangement to ensure the provision of services;
- The need to review institutional and other arrangements to prevent conflicting and overlapping responsibilities;

- A revisit of the determination of service delivery mechanisations in the Municipal Systems Act, Act 32 of 2000; and
- Improving municipal monitoring and accountability.

(SALGA, 2015: 115)

At the performance level, three sub-themes emerged, namely scope of performance appraisal, quality of SMART (specific, measurable, attainable, realistic and timeframe bound) principles as well as artificial intelligence. On the current performance appraisal model, four out of 14 (28, 8%) participants observed that the scope is limited to senior managers in the municipality and does not percolate down to the front line staff, where it matters the most, at least from the public interface's point of view.

“Performance monitoring has to be holistically throughout the organisation beyond the senior managers” is how the PBO participant captured this point. What this means is in the current model, only senior managers, Section 54 and 56 managers as they are known in the light of the Municipal Systems Act, Act 32 of 2000, are subject to performance appraisals. For all managers and officials, the performance bonus is guaranteed irrespective of individual performance appraisals. *“This is what sets the public sector apart from the private sector”* bemoaned one PBO participant.

Secondly, four out of 14 (28, 8%) participants remarked that the concept of SMART principles needs to move beyond the quantitative dimension and focus on qualitative matters. One MM articulated the view that *“we have not mastered the skill of smart objectives”*. Explaining himself, he made an example of the provision of water, which is calculated utilizing standard water backlogs, as calculated by StatsSA. He further pointed out that StatsSA is only interested in the bulk and reticulation infrastructure as well as the number of taps that supply the communities with water in order to arrive at backlog figures. However, he further argued, the taps may have run out of water due to deficits in operations and maintenance. He then concluded that the current performance indicators do not measure the quality of development outcomes but instead focus on financial inputs and quantitative outputs.

Lastly, three out of the 14 (21, 4%) participants cautioned about the need to embrace new technology, particularly in light of the 4th industrial revolution. According to the LGE participant, *“through research and development, municipalities must think out of the box and begin to*

interrogate and experiment with how technological tools like artificial intelligence could be harnessed to improve governance systems". He further argued that *"while it may seem far-fetched at this point in time, given the current service delivery demands, a seed must be planted in this direction so that municipalities do not lag behind technology in the future"*. The LGE concluded that *"legislation must begin to talk to the realities of the future"*.

On the aspect of municipalities embracing new technology to improve the quality of governance, literature is still abuzz with the debate about the potential of technologies to provide cities and city planners with strategies and pathways that are more resource-efficient and sustainable (Maye, 2019). Models such as the triple helix of smart cities conceptualise cities as regional innovation hubs with knowledge from universities, industries, and democratic governments central to growth and linked by informatics (Leydesdorff & Deakin, 2014). Some scholars argue that the smart city concept is part of the neo-liberal and business-led agenda to manage urban growth (Maye, 2019).

These scholars further argue that the smart city concept is divided into two related but different understandings (Kitchin, 2014). The first conception is the extent to which cities are composed of 'everyware' or 'internet of things' characterised by ubiquitous computing and digitally instrumented environments to monitor, manage and regulate city flows and processes (Marr, 2015; Kitchen, 2014; Greenfield, 2006). The second conception is the development of the knowledge economy within the city (Leydesdorff & Deakin, 2014). In this context, economy and governance in the smart city are driven by innovation, creativity, and entrepreneurship (Kitchin, 2014; Leydesdorff & Deakin, 2014). The feature that unites this conception, these scholars argue, is the neo-liberal ethos that prioritises market-led technological solutions to municipal governance and development (Kitchin, 2014).

While these emerging smart city concepts are appealing, they are still fuzzy and warrant further analysis and critique, especially within the South African context. The jury is still out on the timing, content, and substance of these smart city concepts within the South African municipalities. The research findings reveal that the debate has commenced and warrants further empirical reflection and analysis.

The literature review is also replete with a suite of lessons that can be extracted to build more functional and robust governance systems. In this regard, it would be useful to draw lessons from

the National Development Plan that identified three key lessons from the service delivery challenges in all spheres of government in South Africa (NDP, 2012). These are cadre deployment, poor capacity and lack of accountability or consequence management (ibid). The Municipal Demarcation Board confirmed these lessons in their report on local government performance (MDB, 2012). The Auditor-General joined in the chorus of voices from which lessons can be extracted and identified poor consequence management as at the heart of poor local government performance (AG, 2012; AG 2019).

These key lessons provided the basis for the suite of local government reviews that reflected on the performance of local government over the years. SALGA and the Office of the Presidency conducted performance reviews in 2015 from which important lessons can be extracted (SALGA, 2015; DPME, 2015). These lessons include the role of district municipalities, the role of Traditional Leadership, the need to rethink powers and functions, concern about fiscal viability of municipalities, concern about growing perceptions of corruption and the differentiation model for municipalities.

To add to the lessons debate, the Institute of Race Relations (IRR, 2016), Good Government Learning Network (GGLN, 2016), South African Cities Network (SACN, 2016) and Picard and Mogale (2016) provided a suite of lessons to assist in building functional governance systems. These key lessons can be summed as ethical leadership, technical capacity, prudent financial management and a culture of performance management.

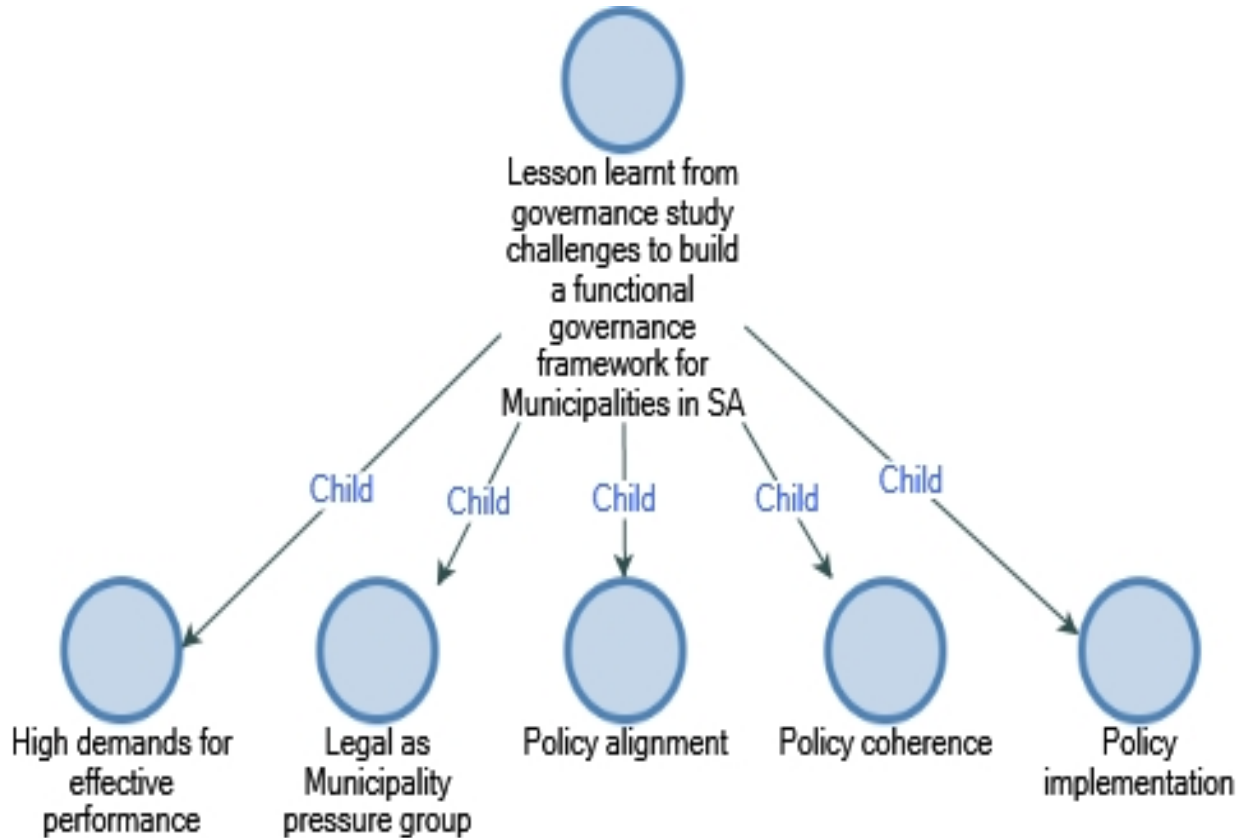
Furthermore, within the context of the South African municipal landscape, there has been a suite of governance capacity programmes designed to make municipalities work better. These range from Project Consolidate (CoGTA, 2004), Siyenza Manje (DBSA, 2006), LGTAS (CoGTA, 2009) and Back to Basics (CoGTA, 2014) as was expanded upon in greater detail in Chapter 3. These programmes have produced both successes and failures, from which lessons could be extracted to inform current policy and practice.

In light of these current governance challenges, Da Cruz et al. (2019) identify a research agenda currently receiving intensive scholarly attention. These are citizen participation in decision-making, current institutional shortcomings, government capability, civil society organisation with

decision-making, working across government tiers (vertical) to mention but a few. Lessons from these research studies will inform the fledgling governance theory and practice.

The case studies confirm these important lessons from which functional governance systems could emerge to assist municipalities in South Africa. The performance management envisioned takes into account the current service delivery demands as well as future demands in the light of growing urbanisation, population dynamics and erosion of municipal revenues. Figure 5.4 below provides the schematic representation of some of the lessons extracted from the study on governance challenges.

Figure 4.4: Lessons learnt from Governance Challenges



Source: Author's Fieldwork (2020)

4.10 OBSERVATION OF GOVERNANCE INTERFACE

4.10.1 Mtubatuba case study

During the research study, observations were made on 13 November 2019 at the Mtubatuba IDP Representative Forum held at the Council Chamber, with some sector departments as well various Community Based Organisations (CBOs). The Mtubatuba municipal manager chaired the meeting and proceedings went as planned. The meeting consisted, by and large, of presentations by the Private Sector and the Legislature, with very little participation from the sector departments, which was a serious cause for concern, especially from the Inter-Governmental Relations perspective.

This is because sector departments such as human settlements and transport, as governance partners, are expected to provide planning inputs into the municipal plans to promote integrated planning. Not only is integrated planning a legal requirement but it is also good practice as it enhances development impact. The absence of sector departments, therefore, compromises the quality of planning and lessens development impact.

The poor attendance of the district municipality, in particular, meant that the water and sanitation could not be discussed during the meeting. This is because the district municipality, as a water authority, is the custodian of water and sanitation matters within its area of jurisdiction. What this meant was that the key service delivery demand by communities across the municipality could not be discussed at the meeting, rendering the meeting meaningless.

Furthermore, it was also noteworthy that there was no input from the CBOs during the entire meeting. It was observed that a representative from the St Lucia Ratepayers Association wanted to make an input but could not as they were not on the agenda during the meeting. The representative ended up making a written input to the municipality, which did not sit down well with the representative.

Lastly, it was also observed that during the data collection process, 14 Managers and Officers were suspended due to allegations of maladministration, fraud and misrepresentation. Such an observation further confirmed governance instability as cited by the focus group participants. All these observations point to a municipality with capacity constraints to meet community expectations, hence the rise in service delivery demands.

4.10.2 uMhlathuze case study

In uMhlathuze, an observation was also conducted during an Inter-Governmental Relations (IGR) session and a community meeting on 19 November 2019. The community meeting, which was attended by about 1000 community members proceeded well. What was observed during the community engagement was that only the political leadership made inputs, and there was no input from community members who passively received messages and occasionally clapped hands in appreciation. These observations point not only to skewed power relations during the deliberations at Council engagements, but also respond directly to the research question on how municipalities interpret and experience their governance role in responding to the changing service delivery demands.

Furthermore, as fate would have it, both case study municipalities appeared on the national news channel, eNCA, on the same day, 30 December 2019 on different matters. In the case of Mtubatuba municipality, the municipal manager was interviewed about fraud and corruption, resulting in a sum of R136 million that could not be accounted for. At the next clip, was a story regarding the resolution of a governance matter in Richards Bay Minerals in uMhlathuze municipality, following the intervention of the Mayor as well as the KwaZulu Natal Premier. What was observed during the news clip was the classic exhibition of governance in action, displaying how different municipalities interpret and experience their governance role in responding to the changing service delivery demands.

4.10.3 Document Study

The author had access to internal documents from the Department of Cooperative Governance and Traditional Affairs (CoGTA) as well as the Integrated Development Plan (IDP) in respect of the two case study municipalities, as part of the document study. This valuable information provided an additional angle for triangulation to validate emerging data from the primary research.

According to these suites of documentation, the Mtubatuba Local Municipality has a history of Provincial Intervention in terms of Section 139 (1) (b) of the Constitution, Act 108 of 1996 due to governance challenges in June 2012, 19 September 2012, 20 January 2015 as well as on 13 March 2019 (CoGTA, 17 July 2019 a). This demonstrates that the municipality, has over the years, experienced a wide range of governance challenges such as political in-fighting, failure to take

decisions, taking wrong decisions, falling foul of compliance and poor consequence management (ibid). At the time of the research study, the Mtubatuba Municipality was still under administration.

According to the IDP for Mtubatuba Municipality, the municipality has achieved 81% access to water services and 69% access to sanitation services (IDP, 2019). However, despite these statistics, according to internal documents, there is evidence of public outcry for water services, particularly inwards along the N2 corridor as well as St Lucia town (CoGTA, 2019 d).

This public outcry became violent on 08 July 2019, resulting in the shutdown of the national road (N2) for one day, which necessitated intervention from SAPS and the Provincial Government. On further probing, while going through the report, the author was informed by the Technical Director during the data collection phase that the situation is getting worse as water is no longer flowing from the pipelines due to poor operations and maintenance. It must also be mentioned that while water provision is the preserve of the district municipality, it is the local municipality that bears the brunt of service delivery protestations.

In the case of uMhlathuze Local Municipality, documentary evidence reveals a municipality that values good governance practice, judging by the history of a clean audit or unqualified opinions since 2014. The history of good governance has led to an above-average service delivery performance concerning access to water and sanitation. It is noteworthy that uMhlathuze municipality, in terms of the 2016 Community Survey by Statistics South Africa (IDP, 2019), has 100% access to sanitation, water and electricity.

The document study has further resonance with the empirical investigation, as alluded to in the section above. In this regard, the focus group interviews were useful as they provided a platform for members of the community to articulate their relationship with the two case study municipalities.

In the case of the Mtubatuba focus group interview, members of the community were united in their dissatisfaction with the level and quality of service provision, especially water and sanitation services. In the case of the uMhlathuze focus group interview, it was the opposite scenario with participants registering their satisfaction with their relationship with the municipality, notwithstanding some challenges. Therefore, the document study confirms the research findings,

which in turn are compatible with the literature review, albeit with some notable variations regarding some points of emphasis.

4.11 SUMMARY

This chapter provided research findings following the data collection exercise from 26 October 2019 and 08 December 2019. The research findings are presented in a thematic analysis format to allow for the research questions to be examined in greater detail. The six major themes are role interpretation and definition, causal factors to the rise in service demands, quality of leadership, and conditions for effective governance systems, governance partnerships and lessons for future governance systems.

There is a suite of sub-themes that emerged, which are crystallised and discussed around the emerging themes and the research questions. Responses from the in-depth interviews and focus group discussions were further interrogated against the document study and observation report. This is necessary to ensure triangulation and conclusive findings.

The research study provided the prism to closely examine how municipalities interpret and experience their governance role in responding to the rise in service delivery demands. The research findings reveal a widening communication gap between the municipality and its governance partners, resulting in the rise in service delivery demands. The research findings also reveal that municipalities are increasingly grappling with capacity constraints to meet the rise in service delivery demands such as water, electricity, housing and roads, as evidenced by the case studies.

As expected, the research findings confirm the concept of government overload and ungovernability, as a theoretical construct espoused in the late 1970s (Crozier, Huntington & Watanabe, 1975 as cited in Peters & Pierre, 2016). However, what also emerged from the research findings, is the critical role played by the quality of leadership in the municipal administration to improve governance systems. The research findings strengthen the call for the professionalisation of the local government sector that is currently gaining momentum (LGSETA, 2018). The research findings are significant in shaping the future trajectory of municipalities in South Africa.

The research findings have implications for theory, policy and practice. It is clear from the research study that there are notable gaps in the literature concerning the definition of roles and responsibilities of various governance partners within the municipal space. There is also a paucity of research on the role and impact of the quality of leadership on public governance.

On the policy and practice front, the research study has brought into sharp focus the need for a differentiated approach in the categorisation, provision of capacity support and performance monitoring of municipalities in South Africa. The next chapter presents the summarized version of the findings concerning the research questions and objectives. It also addresses the limitations of this research study, implications for future research, policy and practice. Furthermore, it provides pointers to contribute to existing knowledge. Finally, the research findings provide the basis for some key recommendations that are articulated in the final chapter of this research study.

CHAPTER 5

DISCUSSION ON RESEARCH FINDINGS AND CONTRIBUTION TO KNOWLEDGE

Sometimes we find significant meaning in the single instance, but usually, the important meanings will come from reappearance over and over...Robert Stake (1995)

5.1 INTRODUCTION

The previous chapter provided the presentation of research findings emanating from the two case studies in uMhlathuze and Mtubatuba local municipalities, KwaZulu Natal in South Africa. The research findings were presented in a thematic analysis format as informed by the research questions. These findings were also validated against document studies as well as active observation reports to allow for triangulation and to draw cogent conclusions.

The purpose of this chapter is to pick up the nuances, comparisons, controversies, contradictions and dilemmas from the research findings with the view to concluding the research questions. This discussion of the findings critically examines the implications for current theory, policy and practice, with special reference to the South African municipal landscape.

It is evident from the research findings that there are critical shortcomings in the existing body of knowledge in respect to theory, policy and practice. Some of these shortcomings are addressed in this chapter as a contribution to the existing stock of knowledge. The main contribution as articulated in this chapter is the definition of governance roles and responsibilities for different governance partners within the municipal space.

Lastly, this chapter ends with a discussion on the significance of the contribution to knowledge, with a particular focus on the theoretical, policy, pragmatic and personal dimensions. This conversation sets the stage for the synopsis, research conclusion and provides pointers to the set of recommendations that will inform further empirical studies in the next final chapter.

5.2 FIRST RESEARCH OBJECTIVE: TO CRITICALLY EXAMINE HOW MUNICIPALITIES INTERPRET AND EXPERIENCE THEIR GOVERNANCE ROLE IN RESPONDING TO THE CHANGING SERVICE DELIVERY DEMANDS

As indicated in Chapter 1, the first research objective sought to examine how municipalities interpret and experience their governance role in responding to the changing service delivery demands in South Africa. At the core of the research question is the examination of the rising service delivery challenges against the backdrop of an elaborate legislative framework, massive financial inflows as well as substantial monitoring support by the national and provincial government on municipalities in South Africa (LGSETA, 2018).

It will be recalled that the governance role of municipalities in South Africa is cogently defined in terms of Section 152 of the Constitution Act, Act 108 of 1996. In essence, the research objective sought to examine the extent to which municipalities align their governance role in practice with the constitutional imperative to achieve the desired service delivery outcomes. A municipality is the total of the political leadership, administrative officials, labour, business, NGOs, CBOs and the general citizenry as defined in terms of Section 2 of the Municipal Systems Act, Act 32 of 2000.

Empirical evidence revealed that despite the ubiquity of the governance concept in common parlance and political rhetoric, its actual meaning is not without contestation (Bevir, 2011). The meaning depends on time, context, phenomenological orientation, and ideological persuasion (ibid). In other words, municipalities interpret and experience their governance role differently, depending on the dynamic complexity of the municipal environment with many layers of stakeholders who are in a power relationship with one another (LGSETA, 2018; de Visser, 2010; Van Donk et al., 2008).

At the policy level, the issue of local governance is currently high on the institutional agenda of many local and regional authorities throughout many countries (Haus et al., 2005; Pierre, 2011; Peters & Pierre, 2016; Schoburgh & Ryan, 2017). However, literature is replete with studies conducted largely in the Organisation of Economic Cooperation and Development (OECD) countries (Haus et al., 2005; Schoburgh & Ryan, 2017). As a result of various studies conducted

in these countries, various models of urban governance have emerged, ranging from managerial, corporatist, pro-growth and welfare approaches (Pierre, 2011).

There is a growing body of literature in South Africa since 2009 generated by studies on the complex interplay between the state and society, particularly at a local level. The main trigger for these studies is the growing schism between the state and society as evidenced by rising service delivery demands and protestations in South Africa (Picard & Mogale, 2015; Tshishonga, 2015; Zulu, 2013; de Visser, 2010). Zulu (2013) coins it as a “massive crisis of delivery” (2013: 70).

As a result, policymakers have been hard at work experimenting with various instruments to enhance service delivery and tackle the shackles of pedestrian economic growth, stubborn poverty, high unemployment, deepening inequalities and youth marginalisation (National Development Plan, 2011; Netshitenzhe, 2012). The Local Government Turnaround Strategy (2009) and Back to Basics (2014) are some of the policy instruments by national and provincial governments designed to respond to the crisis of service delivery at the municipal level (CoGTA, 2009; 2014). In KwaZulu Natal, the Operation Sukuma Sakhe (OSS) initiative was added to the policy mix in 2012 to further enhance service delivery on the ground (Tshishonga, 2015).

As if that is not enough, the current State President, Cyril Ramaphosa, launched the District Development Model (DDM) on 17 September 2019 in Lusikisiki, OR Tambo District Municipality in the Eastern Cape to respond decisively to the rising service delivery demands across municipalities in South Africa (Budget Speech, 2019). In his Budget Speech delivered in the National Assembly on 17 July 2019, the State President decried the lack of coherence in planning and implementation, resulting in non-optimal delivery of services and diminished impact on the triple challenges of poverty, inequality and employment (Budget Speech, 2019).

However, these ambitious policy initiatives must be seen against the backdrop of the research findings, which confirm the multiplicity of the conceptual understanding of the governance role as opposed to a shared understanding among governance partners interviewed. This multiplicity of understanding of the governance role has serious implications on how municipalities receive this policy and capacity support initiatives on the part of national and provincial spheres of government. The current suite of capacity support does not factor into account the multiplicity of

understanding on the ground and tend to follow the ‘one size fits all approach’ as articulated by SALGA (SALGA, 2015).

It is evident from the research findings that municipalities are at different levels of understanding in terms of their governance role in responding to the changing service delivery demands. This explains the growing calls for the re-categorisation of municipalities in various quartiles, as opposed to the current categorisation as defined by the Constitution (SALGA, 2015). It will be recalled that the Constitution (1996) categorises municipalities into three, namely Category A (metropolitan), Category B (local municipality) and Category C (district municipality). Empirical evidence, as established by the research findings, confirms this growing call by SALGA (2015) for the reconceptualisation of municipalities according to their profiles as well as powers and functions (SALGA, 2015).

To understand local municipalities, further classifications have been provided, such as the Municipal Infrastructure Investment Framework (MIIF) classification (MDB, 2018). This divides Category B municipalities into four groups largely representative of the larger ones that exercise more powers to smaller ones, with fewer resources and exercising relatively few powers (B1 through B4). Category C municipalities are further divided into two groups based on those that are water authorities and those that are not (ibid).

Specifically, the MIIF classification for local and district municipalities is as follows:

- B1: Secondary cities: the 19 (9%) local municipalities with the largest budgets;
- B2: 26 (12%) municipalities with a large town as the core;
- B3: 101 (49%) municipalities with relatively small populations and a significant proportion of the urban population but with no large town as the core;
- B4: 59 (29%) municipalities that are mainly rural with, at most, one or two small towns in their area;
- C1: 23 (52%) of the district municipalities that are not water service providers and generally have few service delivery functions;

- C2: 21 (38%) of the district municipalities are water service providers and often have substantial obligations.

(Municipal Demarcation Board, 2018: 3)

For purposes of benchmarking of the municipalities in the following sections, the MIIF classification provides a useful means of measuring the municipality's characteristics against other categories B/C municipalities. There is an attempt across a range of government departments such as CoGTA, Water Affairs, Human Settlements, Rural Development and Land Reform to use the B1 – B4 typology to better understand local municipalities.

As challenges have emerged within the local government sector, along with a growing need for more targeted interventions, so too has the need emerged for a more nuanced understanding of municipal differentiation (SALGA, 2015). Questions have emerged, such as why differentiate, for what purpose and whether a single differentiation model is sufficient (ibid). Therefore, while the first research objective has been achieved, critical shortcomings have come to the fore in a manner that has implications for both policy and practice. This implication is revisited with the proposed governance model emanating from this research study.

5.3 SECOND RESEARCH OBJECTIVE: TO EXAMINE THE CRITICAL CONDITIONS THAT MAKE MUNICIPALITIES FUNCTIONAL IN SPITE OF CHANGING SERVICE DELIVERY DEMANDS

The second research objective sought to examine the critical conditions for effective governance systems in the municipalities, amidst changing service delivery demands.

Within the South African municipal context, the critical conditions for governance within the context of the changing service delivery demands are neatly laid out in the White Paper for Local Government published in March 1998. According to the White Paper, there are three critical conditions for functional governance, namely, integrated development planning and budgeting, performance management and community participation (White Paper, 1998). These critical conditions find resonance with Section 152 of the Constitution Act, Act 108 of 1996 that lists the object of local government as the promotion of local democracy by the provision of sustainable

basic services, promotion of social and economic development, promotion of safe and healthy environment as well as community participation.

The White Paper on Local Government postulates that these three conditions are difficult to fulfil amidst changing service delivery and thus recommends three pieces of legislation to assist municipalities in this regard. This holy trinity of municipal governance includes the Municipal Structures Act, Act 117 of 1998, Municipal Systems Act, Act 32 of 2000 and Municipal Finance Management Act, Act 56 of 2003. Within the climate of limited resources, these pieces of legislation provide the basis for responsible, responsive, efficient, effective and accountable municipal governance. The essence of the research objective is to closely examine how municipalities are assisted by this suite of legislation to build functional governance systems.

In an effort to assist municipalities to build a robust governance regime, the National Treasury introduced the compulsory Municipal Competency Levels for all senior managers in municipalities to prescribe financial and supply chain competencies, core managerial and occupational competencies as well as higher educational qualifications (National Treasury, 2007). These measures, according to the National Treasury, were taken to professionalise the bureaucracy and insulate them from political interference in the light of growing structural and systemic governance challenges (*ibid*).

Consistent with this literature review, the research findings postulate five conditions for functional governance in municipalities, amidst changing service delivery demands. These are the positive interface between political leadership and administration, technical competence, legal compliance, financial prudence, and ethical integrity. These five conditions set the tone at the top and define the quality of governance leadership that is critical for effective governance systems. These five conditions are consistent with the study on the governance challenges in the local government sector conducted by LGSETA in 2018 with 20 Local Government Experts whose outcome has strengthened the call for the professionalisation of the local government sector (LGSETA, 2018).

The implication of these research findings is significant for policy and practice. While National Treasury has attempted to professionalise the local governance sector through the Minimum Competency Framework in 2007, it does not have a direct mandate in this sector (National Treasury, 2007). SALGA, which has a direct mandate in local governance has only played lip

service to the professionalisation of the local government sector, with no concrete plans in that direction (SALGA, 2015).

Indications are that LGSETA is taking the mantle to create the necessary conditions for effective governance systems in the municipalities, with the professionalisation agenda being the centrepiece of this policy initiative (LGSETA, 2018). At the heart of the professionalisation agenda are the following objectives:

- streamline requisite performance improvement imperatives, skills development;
- initiate reinvention and scale-up of service delivery advancement in municipalities;
- consolidate and strengthen work ethics, performance capabilities and effectiveness, as well as enhancing good governance and
- strengthen the systems, protocols and service delivery guidelines already applicable at the local government level.

(LGSETA, 2018: 3)

From this discussion, it follows that the second research objective, which sought to examine the critical conditions for effective governance systems in the municipalities, amidst changing service delivery demands, has been achieved in this research study.

5.4 THIRD RESEARCH OBJECTIVE: TO CRITICALLY EXAMINE THE ROLE OF LOCAL GOVERNANCE PARTNERS LIKE NON-GOVERNMENT ORGANISATIONS AND BUSINESS IN ASSISTING MUNICIPALITIES TO RESPOND TO THESE CHANGING SERVICE DELIVERY DEMANDS

The third research objective sought to examine the role of various governance partners such as the private sector, academia, NGOs and CBOs in responding to the changing service delivery demands. At the heart of the raging debate in the governance literature is the role of each partner in the overall developmental agenda (Haque in Bevir, 2011). As indicated in the previous chapter, what compounds the debate is the unprecedented global proliferation of the NGO sector at the local, national and international level with diverse missions such as poverty alleviation, environmental protection, and gender equality (ibid).

The research findings established that there is a critical role for the private sector, academia, NGOs and CBOs in the governance architecture within the municipal space. However, what is clear is that the nature of the role remains elusive and difficult to define such that other governance partners understand it clearly. This has implications for policy and practice as the current scenario leads to role diffusion and tension among governance partners. This suggests that there must be an attempt to clarify roles, responsibilities and expectations from the governance partnership.

What is equally important, flowing from the research findings, is for the role to be defined in writing and expectations, responsibilities, and obligations to be recorded accordingly. This is one of the recommendations emanating from this research study. Part of the contribution to new knowledge and practice is to suggest possible roles for each key governance player in the municipal space.

Therefore, the research objective which seeks to examine the role of various governance partners such as the private sector, academia, NGOs and CBOs in responding to the changing service delivery demands, has not been achieved.

5.5 FOURTH RESEARCH OBJECTIVE: TO EXTRACT LESSONS FROM THE STUDY OF THESE SERVICE DELIVERY CHALLENGES TO ASSIST BUILD FUNCTIONAL GOVERNANCE SYSTEMS FOR MUNICIPALITIES IN SOUTH AFRICA

The fourth and last research objective sought to examine the lessons that could be extracted from this governance study in order to assist municipalities with effective governance systems that respond to the changing service delivery demands. The literature review is replete with lessons from the study of service delivery challenges that can be extracted to assist in building functional governance systems in South Africa. Policymakers and scholars have been seized since 2009 about the rise in service delivery demands and challenges amidst an elaborate legislative framework, massive financial inflows and substantial monitoring support (LGSETA, 2018). This research study seeks to respond to this societal concern by extracting lessons that will build functional governance systems for municipalities in South Africa.

Three key lessons stand out in this research study, namely, the increasing importance of the quality of leadership at a personal level, the interface between political leadership and administration within the municipality as well as the role of governance partners outside the municipality. The sum of the quality of leadership, the interface between political leadership and administration as well as the nature of governance partnerships determine the success of municipal performance and service delivery outcomes.

The first lesson, quality of leadership, emerges from the research findings on the critical conditions for effective governance systems in municipalities. Within the South African context, the nexus between governance and leadership is increasingly receiving scholarly attention (Cloete et al., 2018; Van der Waldt, 2010), as was revealed in the previous chapter. Van der Waldt (2010) notes that leadership challenges specifically centre on political and administrative interfaces. Van der Waldt (ibid) further argues that challenges with policy implementation at the municipal level are the manifestation of governance and leadership challenges.

Commenting on the reasons why some few municipalities maintain their clean audit outcomes in the face of declining audit outcomes in municipalities, the Auditor General remarked that the best practices at these municipalities included quality leadership that is committed to a strong control environment and effective governance (AGSA, 2019). Continuous monitoring of their audit action plans in order to address any audit findings timeously and a proactive approach to dealing with emerging risks were also common features at these municipalities (ibid).

This proactive stance to emerging risks is also echoed in the academic study on strategic leadership as an approach to promoting service delivery by local government in South Africa (Ndlovu, 2016). In this study, Ndlovu (ibid) argues that strategic leadership is the missing ingredient in the performance of municipalities as organisations (ibid).

The second lesson touches on one of the most critical issues currently facing local government in South Africa. The complex political-administrative interface is high on the local government agenda in South Africa, as confirmed by the research findings. Section 52 of the Local Government: Municipal Systems Act, Act 32 of 2000 stipulates that the responsibilities of political

office bearers/structures, as well as the municipal manager, are governed by rules defined and detailed in writing and acknowledged by the municipal functionaries. However, in practice, studies indicate that this is easier said than done as this interface is often characterised by tension and conflicting interests (de Visser, 2010).

The third lesson is encapsulated in the first research question, which is a critical understanding of how municipalities interpret and experience their governance role in light of the rise in service delivery demands. It is evident from the literature review that there is a distinction between government and governance, taking the position that modern governance necessarily involves more than just the institutions of government (Bevir, 2011).

A governance perspective encourages collaboration between the public, private and non-profit sectors to achieve mutual goals (Tshishonga, 2016). If a government, especially local government, is to be effective and efficient in delivering sustainable services, it needs commitment to the ethos of good and responsive governance (ibid). Various structures and forums have been established since democracy was introduced, to facilitate, entrench, and to enhance the effective functioning of government. However, these programmes have had minimal success (ibid). Such failure has resulted in the rise in service delivery demands, as confirmed by the research findings.

These lessons are significant for policy and practice. Policymakers need to provide strict guidelines for the selection criteria for councillors in municipalities. The current free-for-all approach based on political popularity does not work, as evidenced by the research findings. Similarly, the appointment of senior managers must be based solely on merit as opposed to political considerations, as articulated by the Local Government Expert during the interview session held on 01 November 2019. In the same interview, the Local Government Expert also put forward mechanisms to protect good managers from being removed for political ends, as is sometimes the case.

Therefore, the last research objective that sought to examine the lessons that could be extracted from this governance study in order to assist municipalities with effective governance systems that respond to the changing service delivery, has been achieved.

5.6 IMPLICATIONS FOR GOVERNANCE THEORY

Governance theory is still in its infancy even though the pursuit of good and effective governance is as old as government itself (Peters & Pierre, 2016). According to the literature review, governance theory has its intellectual roots in the discursive approaches in terms of which actors interact with one another, whether in the case of conflict or search of consensus (Peters & Zittoun, 2016). From this perspective, by studying the multiple social practices in which the discourse takes place, such as arguing, expressing conviction, conducting analyses, defining terms, attempting to persuade, negotiating or contesting, discursive approaches not only provide the different means of investigating the issues of power, legitimacy and governance at the forefront of public action (ibid).

Discursive approaches are drawn from the work of Jurgen Habermas and Michel Foucault (Peters & Zittoun, 2016). Habermas' theory of communicative action laid the groundwork for discursive approaches through both its critique of technological rationality and the notion of communicative reason (ibid). Foucault's reflections on the role of discourse as the site of production of knowledge and power have been used in various ways by scholars as an approach to the analysis of public policy (ibid).

However, what is clear in both the case studies is that, in practice, the quality of discourse depends on the politics of supply and demand. Demand is the articulation of societal expectations on government and public services (Peters & Pierre, 2016). Supply is the capacity of the government to address those expectations, against the backdrop of increasing costs for public service (ibid). The mismatch between supply and demand is at the heart of the governance crisis. Failure of supply and accountability, as is the case with Mtubatuba Municipality, leads to governance failure and erosion of public confidence in the government. Similarly, when there is a relative match between supply and demand, as is the case with uMhlathuze Municipality, governance is enhanced, as confirmed by the research findings.

As such, as governance theory develops, it needs to be robust enough to explain these empirical realities of successes and failures. Governance theory needs to be broken down into its constituent elements so that it can be understood more holistically than is the case currently. Furthermore, the

governance theory must not shy away from explaining the dynamic complexities of the roles of different governance actors, within the context of complementary or conflicting objectives.

5.7 THE THEORETICAL CONTRIBUTION: THE DEFINITION OF GOVERNANCE ROLES AND RESPONSIBILITIES

As indicated in Chapter 2 on the theoretical framework, there is a growing scholarship on the concept of governance that gained traction in the 1980s when it was re-minted by economists and political scientists, and disseminated by institutions such as the United Nations (UN), World Bank and International Monetary Fund (IMF) (Jessop, 1995; Bevir, 2011). Four perspectives emerged from the literature search, ranging from state-centric, society-centric, market-centric and network governance. The key variable in all these perspectives is the role of the state in responding to the changing service delivery demands in society.

Imbued with the idea of “hollowing out of the state” (Rhodes, 1994, 1996), some scholars have consistently argued for the diminished role of the state in favour of networks in society. However, some scholars such as Peters and Pierre (2016) argue for the functionalist role of the state in steering the governing action and implementation of public policy. Employing the functionalist role of government, it is their contention that they will be able to overcome the academic squabbling about the relative roles of the state and social actors in governing. Peters and Pierre (2016) strongly argue that amid the shift of the locus of political power from the state to the networks in society, the state has a fundamental role to play in steering these interactions among governance partners.

However, the academic squabbling that Peters and Pierre (2016) sought to overcome has not subsided but on the contrary, multiplied. This is to be expected given that the theories of governance are still in their infancy and, therefore, are prone to the generation of new ideas (Peters & Pierre, 2016, Levi-Faur, 2011, Bevir, 2011). Some scholars such as Da Cruz (2019) posit an argument for networked governance based on a social compact among various governance partners.

While the debate is raging on the global north, there is less scholarship in the global south about the nature of the governance interface between the state and society. Within the municipal

environment, fewer studies have been conducted on how the governance debate pans out in practical terms, and hence this research study was to respond to this knowledge gap.

Within this context, it will be recalled that one of the main research findings is that while municipalities operate within the same legislative and policy framework, they interpret and experience their governance roles differently. In other words, there is no shared understanding by different governance partners on the roles, responsibilities, and expectations of one another.

Based on empirical case study analysis, an argument is hereby posited that governance is the quality of social interplay among key stakeholders in order to achieve the common goal. The value-add defines the quality that each stakeholder brings to the governance partnership. An ideal governance partnership is when the expected roles, responsibilities and expectations of each governance partner are spelt out in order to allow for the provision of value-add to the social partnership. The roles and responsibilities cannot be assumed as this creates both confusion and conflict, which erodes the quality of governance partnership.

This suggests that there must be an attempt to spell out the roles, responsibilities, and expectations from the governance partnership. It became evident through the research findings that there are glaring shortcomings in the definition of roles and responsibilities for various governance partners within the municipal space. Peters and Pierre (2016) argue that governance requires some set of actors in society to perform five major functions and to do so in a very integrated manner. These are decision-making, goal selection, resource mobilisation, implementation, as well as feedback and evaluation learning (ibid). They are not specific about the actual roles of different actors, suffice to say that the cooperative arrangement between public sector actors and social actors is most likely to lead to positive outcomes, subject to empirical confirmation (ibid). The research findings confirm this assertion.

With this in mind, the Municipal Systems Act, Act 32 of 2000 defines the municipality as the organ of state that consists of the political structures (councillors), the administration of the municipality and the community within the municipal area. While the roles and responsibilities of the political structures and administrations are extensive in various pieces of legislation and delegation framework, there is a gap in the definition of roles and responsibilities concerning

various components of the residents inhabiting the municipal area. These governance partners include the private sector, NGOs, CBOs and academia.

The table below provides the proposed roles and responsibilities of various governance partners.

Table 5.1: Roles and Responsibilities of various Governance Partners

ROLE	RESPONSIBILITIES
MUNICIPALITY	<ul style="list-style-type: none"> ✓ Provides the platform for constructive engagement, inclusive of logistical facilities; ✓ Chairs and steers the governance engagement; ✓ Identifies and provides resources for governance partnership, inclusive of joint governance programmes and projects; ✓ Provides secretariat support for governance partnership and ✓ Ensures transparency, accountability and reporting.
PRIVATE SECTOR	<ul style="list-style-type: none"> ✓ Provides institutional support to the governance partnership; ✓ Provides business expertise to the governance programmes and projects; ✓ Identifies private resources to match municipal funding and ✓ Ensures transparency, accountability and reporting.
	<ul style="list-style-type: none"> ➤ Provides specialist institutional support to the government partnership;

<p>NON-GOVERNMENTAL ORGANISATION</p>	<ul style="list-style-type: none"> ➤ Provides professional expertise to the governance programmes and projects; ➤ Identifies specialist resources from the donor community to match municipal funding; ➤ Ensures transparency, accountability and reporting.
<p>COMMUNITY-BASED ORGANISATION</p>	<ul style="list-style-type: none"> ➤ Provides community support to the government partnership; ➤ Facilitates social compact with the municipality and ➤ Ensures transparency, accountability and reporting.
<p>ACADEMIA</p>	<ul style="list-style-type: none"> ➤ Provides research support to the governance partnership; ➤ Provides monitoring support to municipal programmes and; ➤ Ensures transparency, accountability and reporting.

5.7.1 ROLE OF THE MUNICIPALITY

(a) Provides the platform for engagement

- (1) The municipality must provide public owned and adequate facilities within the locality as a platform for constructive engagement.
- (2) The municipality must provide adequate physical space at no cost and avail sufficient time for the governance engagement.

(b) Chairs and steers the governance engagement

- (1) The municipality must facilitate the process of crafting the strategic agenda, as defined by legislation and appropriate policies.
- (2) The municipality must steer the strategic agenda as defined by governance partners.

(c) Identifies resources for governance partnership

- (1) The municipality must consider making provisioning for co-funding of strategic projects.
- (2) The municipality must augment its limited resources with additional resources drawn from governance partnerships.

(d) Provides secretariat support for governance partnerships

- (1) The municipality must provide secretariat support to ensure effective two-way communication to sustain governance partnerships.
- (2) Public Participation Units or Inter-Governmental Units must be on hand to provide for this function.

(e) Ensures transparency, accountability and reporting at appropriate structures

- (1) The municipality must report consistently to appropriate structures on the functionality of the governance partnerships.
- (2) All financial transactions in this regard must be reported monthly, quarterly, midyear and annually in line with the Municipal Financial Management Act, Sections 52, 71, 72 and 121 reporting.

5.7.2 ROLE OF THE PRIVATE SECTOR

(a) Provides institutional support to the governance partnership

- (1) The private sector, through the local or regional chamber of business or similar structure, must provide valuable institutional business to the partnership.

(b) Provides business expertise to the governance programmes and projects

- (1) The business chamber or similar structure must harness its expertise and goodwill for the benefit of the workers and residents who reside within the municipality and its surroundings.
- (2) The business chamber or similar structure must provide formal input to the DP, budget, SDBIP, SDF and annual report as well as the oversight process to ensure credibility, transparency and accountability.

(c) Identify private resources to match municipal funding

- (1) The business chamber or similar structure must, through corporate social responsibility programmes, consider providing capital funding claimable as a tax credit.
- (2) The business chamber or similar structure must consider providing co-funding for strategic infrastructure strategic projects from which rates rebates could be claimed.

(d) The private sector must ensure transparency, accountability, and reporting

- (1) The municipality must report consistently to appropriate structures on the functionality of the governance partnerships.
- (2) All financial transactions in this regard must be reported monthly, quarterly, midyear and annually in line with the Companies Act, Act 71 of 2008 and its applicable regulations.

5.7.3 ROLE OF THE NON-GOVERNMENTAL ORGANISATION

(a) Provide specialist support to the government partnership

- (1) The NGO sector must provide specialist support for the benefit of residents within the municipality and its surroundings.
- (2) The NGO sector must provide formal inputs to the IDP, budget, SDBIP and annual report as well as the oversight process to ensure credibility, transparency and accountability.

(b) Identify specialist resources to match municipal funding

- (1) The NGO sector must consider leverage fundraising resources to be channelled towards the municipal area.

- (2) The NGO sector must consider matching its funding with municipal funding to create win-win scenarios.
- (c) The NGO sector must ensure transparency, accountability and reporting at appropriate structures.**
- (1) The NGO sector must report consistently to appropriate structures on the functionality of the governance partnerships.
- (2) All financial transactions in this regard must be reported monthly, quarterly, midyear and annually in line with the Non-Profit Organisations Act, Act 71 of 1997 and applicable regulations.

5.7.4 ROLE OF THE COMMUNITY-BASED ORGANISATION

(a) Provide community support to the government partnership

- (1) The CBO sector must provide community support for the benefit of residents within the municipality and its surroundings.
- (2) The CBO sector, such as Ward Committees and Ratepayers Association, must provide formal inputs to the IDP, budget, SDBIP, annual report as well as the oversight process to ensure credibility, transparency and accountability.

(b) Facilitate the social compact with the municipality

- (1) The CBO sector must hold the municipality responsible for effective service delivery and cultivate a culture of fair payment for those public services rendered.
- (2) The CBO sector must ensure that the rights of vulnerable groupings in the community, especially the elderly, women, youth and children are realised within municipal programmes.

(c) The CBO must ensure transparency, accountability and reporting at appropriate structures

- (1) The CBO sector must report consistently to appropriate structures on the functionality of the governance partnerships.
- (2) All financial transactions in this regard must be reported monthly, quarterly, midyear and annually in line with the Non-Profit Organisations Act, Act 71 of 1997 and applicable regulations.

5.7.5 ROLE OF THE ACADEMIA

(a) Provide research support to the government partnership

(1) The academia must provide research support on municipal programmes for the benefit of residents within and their surroundings.

(b) Provide research support to the government partnership

(1) The academia must suggest the research agenda and provide matching research support. The academia can conduct regular quality of life, peer review as well as monitoring and evaluation of strategic municipal programmes.

(2) The academia must also provide formal inputs to the IDP, budget, SDBIP, annual report as well as the oversight process to ensure credibility, transparency and accountability.

(c) The CBO must ensure transparency, accountability and reporting at appropriate structures

(1) The academia must report consistently to appropriate structures on the functionality of the governance partnerships;

(2) All financial transactions in this regard must be reported monthly, quarterly, midyear and annually in line with the Higher Education Act, Act 101 of 1997 and applicable regulations.

5.8 SIGNIFICANCE OF CONTRIBUTION TO KNOWLEDGE

It will be recalled that the academic rationale for this research project is to respond to the knowledge gap about how municipalities in South Africa interpret and experience their governance role in responding to the changing service delivery demands. This is in response to the greater societal call for responsive, accountable and transparent municipalities that provide basic services to communities, as espoused in the Constitution Act, Act 108 of 1996. How municipalities interpret their role has a bearing on how they exercise their powers and functions in the provision of basic services. In the same vein, how municipalities experience their governance role also has a bearing on how they interact with various governance partners in responding to the changing service delivery demands.

The research project was framed around these questions to suggest functional governance systems for municipalities in South Africa. The significance of responding to these research questions is in assisting to build the governance systems for municipalities in South Africa. It is expected that

such municipalities, driven by governance imperatives, will best respond to the changing service delivery demands.

Against this background, the research project provided insights into the interpretations and experiences of critical players in performing their governance role in the municipal space, mainly mayors, municipal managers, business, and ward committee members. The research project, with its research findings, is expected to contribute to society at four key levels. These are theoretical, policy, pragmatic, and personal levels.

At a theoretical level, the research project has confirmed that municipalities are at different levels of understanding in terms of their governance role in responding to the changing service delivery demands. The research project also confirmed the widening communication gap among governance partners, which explains the rising service delivery demands. The research also found that part of the problem is the lack of definition on the roles, responsibilities and expectations of the governance partners on the ground. This matter was elaborated upon in greater detail in the preceding section on contribution to knowledge.

At the policy level, the research project has brought into sharper focus the experiences of municipalities as they exercise their governance roles in responding to the changing service delivery demands. It must be recalled that with the Mtubatuba municipality, there is empirical evidence of a municipality under siege under the weight of changing service delivery demands, to the dissatisfaction of some citizens. With uMhlathuze municipality, on the other hand, there is empirical evidence of a municipality adequately responding to the changing service delivery demands, to the satisfaction of some citizens. It is noteworthy that municipalities underpinned by the same legislative and policy framework would exhibit different development experiences on the ground.

This has significance from both policy and practice. It signals the need for policymakers to craft a differentiated policy response package that is commensurate within the unique profiles of different municipalities. It is evident that the current “one-size-fits-all” is untenable. Contextual dynamics, unique locational features and socio-economic profile of each municipality must underpin this envisaged differentiated policy response package.

At a pragmatic level, informed by the envisaged differentiated policy response package, the research project puts forward a business case for a governance functionality matrix to assist with the differentiation strategy for municipalities. From a pragmatic perspective, this governance functionality matrix is elaborated upon in the last chapter on recommendations.

At the personal level, this research project has provided space to meaningfully experience the different roles for the municipal office bearers, private sector, academia, NGOs and CBOs in the governance architecture within the municipal space. It is evident from the literature review that there is a distinction between government and governance, taking the position that modern governance necessarily involves more than just the institutions of government (Bevir, 2011).

A governance perspective encourages collaboration between the public, private and non-profit sectors to achieve mutual goals (Tshishonga, 2016). If a government, especially local government, is to be effective and efficient in delivering sustainable services, it needs commitment to the ethos of good and responsive governance (ibid). The research project has thus sharpened not only one's theoretical insights but also the empirical analysis critical to functioning effectively within the municipal space.

While the research project investigates vexed issues of governance at the time when municipalities are under immense pressure to ensure universal access to basic services, the study provides an opportunity for strategic reflection and empirical analysis. A case in point is the declaration of COVID-19 as a global pandemic by the World Health Organisation (WHO) at a media briefing on 11 March 2020. This declaration and the subsequent promulgation of the State of Disaster by the State President's, Cyril Ramaphosa, on 15 March 2020 call for collaborative governance driven by municipalities to ensure the provision of water and social relief packages as the first line of defence against this global pandemic (RSA, Government Gazette, 2020).

Once again, policymakers are calling for collaborative governance across government, private sector, civil society and other stakeholders to bridge the capacity constraints of each stakeholder group to respond to the crisis on its own (UN Habitat, 2020). It can thus be contended that this research project is both timely and significant in an under-researched and topical area of study.

5.9 SUMMARY

This chapter addressed the nuances, comparisons, controversies, contradictions, and dilemmas from the research findings with the view of discussing their deeper meanings. The discussion of the findings has two layers. The first layer examined the findings in respect to the four research questions from the lens of the contemporary theoretical debate on governance. The second layer allowed for a discussion on the implications of the research findings for current practice, with special reference to the South African municipal landscape.

This chapter addressed some of the critical shortcomings in the existing body of knowledge in respect to theory, policy and practice. These shortcomings were addressed in a manner that contributes to the current stock of knowledge. Informed by research findings following the case studies in uMhlathuze and Mtubatuba municipalities, the chapter focused on the tight definition of roles, responsibilities, and expectations of different governance partners within the municipal space. This is against the background of municipalities being caught in the whirlwind of changing service delivery demands and policy implementation.

In the case studies conducted, it emerged sharply that while the roles of various governance partners are generally known, on closer investigation it became patently clear that these roles are often assumed and not reduced in writing. The roles of the mayors, municipal managers, NGOs, CBOs and business organisations, concerning one another, are not spelt out in no uncertain terms. It was evident from the research findings that this was a critical knowledge gap that warranted scholarly attention.

Lastly, this chapter ended with a discussion on the significance of the contribution to knowledge, with a particular focus on the theoretical, policy, pragmatic, and personal dimensions. At each dimension, a discussion ensued on the benefit of the research project to society, policymakers, practitioners at a municipal level as well as at a personal level. This conversation has set the stage for the synopsis, research conclusion and provides pointers to the set of recommendations that informs further empirical studies in the next final chapter

CHAPTER 6

CONCLUSION AND RECOMMENDATIONS

It always seems impossible until it is done.....Nelson Mandela, 2001

6.1 INTRODUCTION

This thesis has critically examined the extent to which municipalities interpret and experience their governance roles in responding to the changing service delivery demands. Drawing on relevant literature and two case study areas in KwaZulu Natal, four research questions were crafted to systematically guide the study in a manner that adds to the current body of knowledge. Following this intensive study, various research findings have emerged that may assist municipalities to improve their governance systems in South Africa.

This final chapter seeks to critically reflect on the four research objectives and determine if these objectives are met. In this regard, each research objective is critically reflected upon followed by a determination on the extent to which the objective is met, whether fully or partially. This critical reflection and synopsis set the stage for the general conclusion to be drawn from this research project.

In addition, of critical importance in this chapter is the commentary on the methodological process and study limitations thereof. This commentary on the methodological process and study limitations provides the basis for the recommendations. The recommendations are designed to assist municipalities to migrate steadily from the current low governance, low service delivery scenario into a good governance and universal access scenario. The final component of this chapter provides pointers for possible areas of further research.

6.2 RESEARCH OBJECTIVE 1: TO CRITICALLY EXAMINE HOW MUNICIPALITIES INTERPRET AND EXPERIENCE THEIR GOVERNANCE ROLE IN RESPONDING TO THE CHANGING SERVICE DELIVERY DEMANDS

The first research objective was to critically examine how municipalities interpret and experience their governance role in responding to the changing service delivery demands. As a point of

departure in examining the governance role of municipalities, an extensive literature search was conducted in Chapter 2, focusing on the various perspectives of governance, from state-centric to partnership approaches.

For a start, the research finding indicated that municipalities are not homogenous entities that share the same interpretation and experience of their governance roles. This became evident through the wide array of responses from various governance partners about their roles within the municipal space. This research finding on different interpretations is expected as it is compatible with the school of thought among scholars as well that despite the ubiquity of the governance concept in common parlance and political rhetoric, its actual meaning is not without contestation (Bevir, 2011).

The research finding also revealed that various municipalities respond differently to changing service delivery demands. It became evident in the comparative case study analysis that some municipalities have created space for governance partners to engage in their competing interests. On the other hand, in some municipalities, some governance partners struggled to find space to express their interests within the municipal space. This differential interpretation and experience of municipalities in expressing their governance role has a profound implication for policy and practice. This will be elaborated upon in the recommendations section.

In this regard, this research objective was partially met as the study did not provide conclusive responses on how municipalities interpret and experience their governance role in the changing service delivery demands. On the contrary, the study raised more questions than answers on how municipalities interpret and experience their governance role in responding to the changing service delivery demands.

6.3 RESEARCH OBJECTIVE 2: TO CRITICALLY EXAMINE THE CONDITIONS THAT MAKE MUNICIPALITIES FUNCTIONAL IN SPITE OF CHANGING SERVICE DELIVERY DEMANDS

The second research objective was to critically examine the conditions that make municipalities functional despite changing service delivery demands. In this regard, after extensive literature review and primary research, the case studies reveal five critical conditions for functional municipal governance. These are political interface, technical competence, legal compliance,

financial prudence, and ethical integrity. These five conditions are critical ingredients for building a capable state, as stated in Chapter 13 of the National Development Plan (2012).

However, in arriving at these critical conditions that make municipalities functional despite changing service delivery demands, most participants cited the quality of leadership as the golden thread that cuts across all these critical conditions. In other words, according to most participants, the quality of leadership is the essential ingredient in each of the five conditions. This finding is corroborated in the literature review which suggests that scholars are demonstrating a new interest in emerging forms of leadership, namely, authentic, ethical and servant leadership, which induce an ethical dimension in transformation leadership (Hoch et al., 2016; Sadler, 2003).

These scholars argue strongly that leadership is increasingly a dominant factor in organisational influence (Hoch et al., 2016). There is evidence of scholarly attention on these emerging forms of leadership that focus on leader behaviour and interpersonal dynamics that improve followers' confidence and positive outcomes, beyond task compliance (Hannah et al., 2014).

Within the South African context, the nexus between governance and leadership is increasingly receiving scholarly attention (Cloete et al, 2018; Van der Waldt 2010). Van der Waldt (2010) notes that leadership challenges specifically centre on political and administrative interfaces. Van der Waldt (ibid) further argues that challenges with policy implementation at the municipal level are the manifestation of governance and leadership challenges (ibid).

Therefore, the research objective in this regard was partially met, as some pertinent questions were raised about the relationship between governance and leadership, which merits further research study.

6.4 RESEARCH OBJECTIVE 3: TO CRITICALLY EXAMINE THE ROLE OF LOCAL GOVERNANCE PARTNERS LIKE NON-GOVERNMENT ORGANISATIONS AND BUSINESS IN ASSISTING MUNICIPALITIES TO RESPOND TO THESE CHANGING SERVICE DELIVERY DEMANDS

The third research objective was to critically examine the role of local governance partners such as the private sector, NGOs, CBOs and academia in assisting municipalities to respond to the changing service delivery demands. According to the research findings on this research objective,

it was found that there is sufficient consensus that these governance partners have a critical role in assisting with the changing service delivery demands.

However, according to the extensive literature review on this research question, the role of these governance partners is unclear. As part of the contribution to new knowledge, the different roles and responsibilities of various governance partners within the South African context were deliberated on in greater detail in Chapter 7.

In an effort to respond to the critical gaps in the governance theory, the researcher crafted roles and responsibilities based on the expectations of governance partners, including the municipality, NGOs, CBOs and academia. A table was developed that spells out these roles and responsibilities, as discussed in Chapter 7. This determination of the roles and responsibilities is one of the significant contributions to knowledge.

Furthermore, a draft Memorandum of Understanding (MoU) between the municipality and the private sector was crafted to tighten these roles and responsibilities, as per **APPENDIX C**. Other MoUs can be modelled from this basic template. Therefore, given the extensive coverage of this research question in Chapter 7, it is my considered view that this research objective was fully met.

6.5 RESEARCH OBJECTIVE 4: TO EXTRACT LESSONS FROM THE STUDY OF THESE SERVICE DELIVERY CHALLENGES TO ASSIST IN BUILDING FUNCTIONAL GOVERNANCE SYSTEMS FOR MUNICIPALITIES IN SOUTH AFRICA

The fourth and final research objective was to extract lessons from the study of these service delivery challenges to assist in building functional governance systems for municipalities in South Africa. In this regard, various lessons were extracted to build a functional municipal governance model, as will be elucidated later in the recommendations section.

Three key lessons stand out in this research project, namely, the increasing importance of governance partnerships, the nature of the interface between political leadership and administration within the municipality and the role of governance partners outside the municipality. The total of the governance partnership, the interface between political leadership

and administration as well as the role of governance partners, determine the success of municipal performance and service delivery outcomes.

The first lesson, quality of governance partnership, emerged from the research findings on the critical conditions for effective governance systems in municipalities. While most participants decried the current state of local government, they cited the importance of governance partnership as the key driver for municipal performance. This lesson is corroborated in literature by the emerging forms of the mode of governance that is increasingly receiving scholarly attention (Peters & Pierre, 2016).

The second lesson touches on one of the most critical issues currently facing local government in South Africa. The quality of the interface between Political Office Bearers (POB) and administrative officials is high on the local government agenda in South Africa, as confirmed by the research findings. Section 52 of the Local Government: Municipal Systems Act, Act 32 of 2000 spells out the roles and responsibilities of POBs and the municipal manager in writing. However, in practice, empirical evidence points out to a frosty interface that is often characterised by tension and conflicting interests (de Visser, 2010).

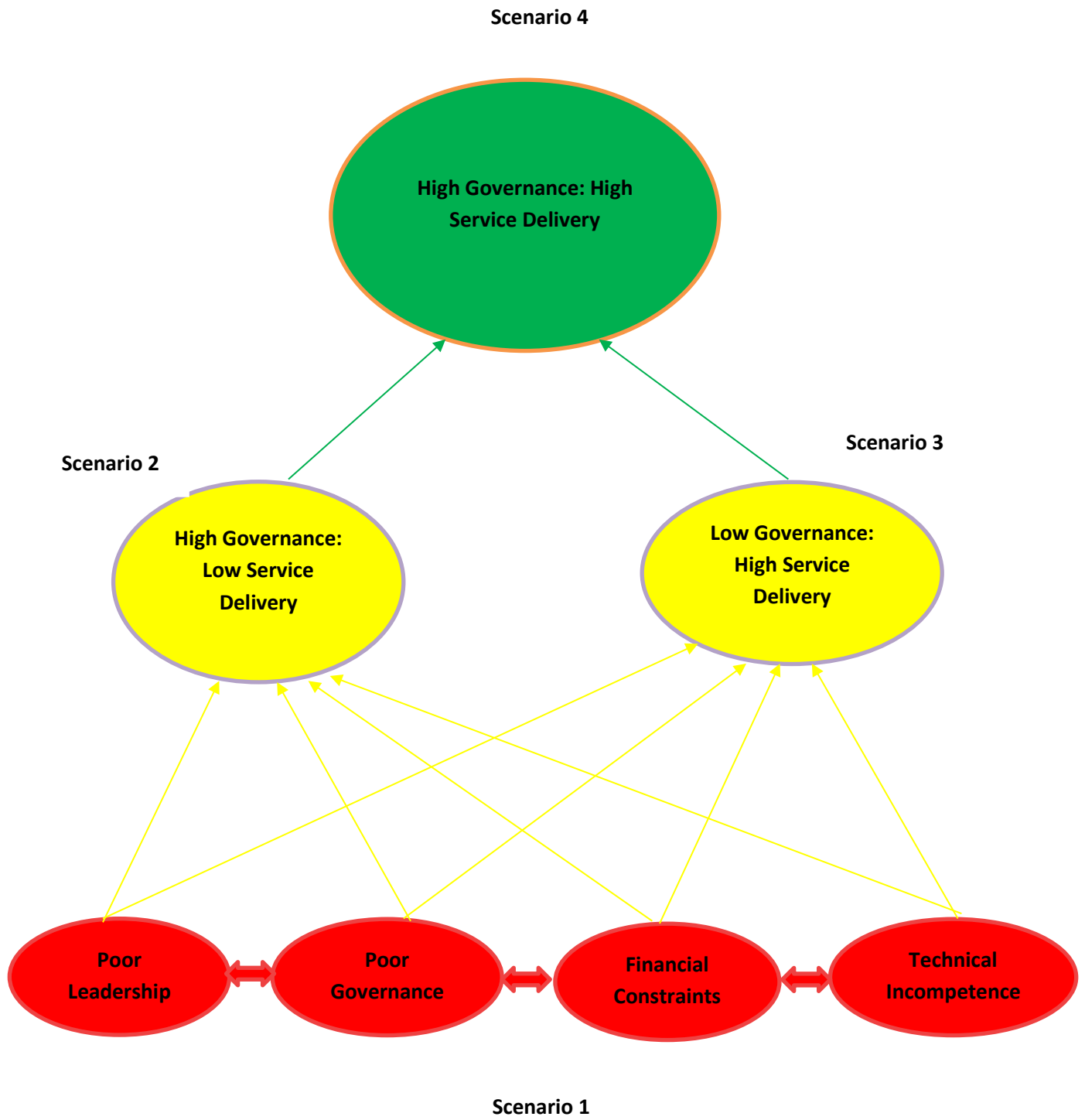
The third lesson relates to the governance-centric perspective, which encourages collaboration between the public, private and non-profit sectors to achieve mutual goals (Tshishonga, 2016). If a government, especially local government, is to be effective and efficient in delivering sustainable services, it needs commitment to the ethos of good and responsive governance (ibid). Various structures and forums have been established since democracy was introduced, to facilitate, entrench, and enhance the effective functioning of government. However, these programmes have had minimal success (ibid). Such failure has resulted in the rise in service delivery demands, as confirmed by the research findings.

Based on these three lessons, the municipal governance functionality model is consequently crafted, as per **FIGURE 8.1** below, to assist municipalities to migrate from the current low governance, low service delivery scenario, depicted as Scenario 1 towards good governance and universal access scenario, depicted as Scenario 4. Universal access to basic services is the *raison d'être* for municipalities as enshrined in Section 152 of the Constitution Act, Act 108 of 1996.

The model is underpinned by two critical variables, namely the quality of governance, as articulated in the audit opinion of the Office of the Auditor-General as well as the extent of service delivery, as articulated by StatsSA. According to this model, most municipalities are in Scenario 1, which is characterised by poor leadership, poor governance, financial constraints and technical incompetence. However, many municipalities such as Mtubatuba, based on empirical findings, fall within this scenario. These are the municipalities that dominate headline news because of the litany of governance deficit challenges, financial mismanagement and poor service delivery outputs that are associated with them.

Scenario 1 municipalities are often at the receiving end of the national and provincial administration intervention, in line with section 39 of the Constitution Act, Act 108 of 1996. These are municipalities such as Mtubatuba local municipality that are regarded by CoGTA as dysfunctional, distressed and needing urgent intervention strategies (CoGTA, 2018). However, through concerted national and provincial capacity support, some municipalities, such as Ukhahlamba local municipality, have moved towards Scenario 2 in which good governance dominates but with minimal access to service delivery outputs such as water and sanitation.

FIGURE 6.1: The Governance Functionality Model



Source: Author's Fieldwork (2020)

Some municipalities, such as uMhlathuze Local Municipality and eThekweni Metropolitan Municipality, are in Scenario 3 characterised by much higher service delivery outputs in terms of access to water, electricity and sanitation, but serious with governance deficit. The ideal scenario, Scenario 4, is the one in which good governance is in tandem with high service delivery outputs. Very few, if any, municipalities are in this ideal scenario. I contend that applying the five conditions for effective service delivery; namely, a positive interface between political leadership and administration, technical competence, legal compliance, financial prudence and ethical integrity will push municipalities towards the ideal Scenario 4 zone.

These five conditions must be underpinned by the professionalization of the local government sector as it has been spoken about by key players in this municipal sector, namely SALGA (2012), ILGM (2017) and LGSETA (2018). The professionalization agenda is gaining currency as more concerns are raised about the state of local government, as was articulated by key participants.

As part of the section on recommendations, both the governance functionality model and the matrix are given extensive coverage. In this regard, this research objective was partially met as the journey towards functional governance systems is replete with dynamic complexities, contradictions and dilemmas.

6.6 FINAL CONCLUSION

This final chapter reflects on the four research objectives and critically determines the extent to which these objectives are met. In this regard, each research objective is revisited followed by a determination on the extent to which the objective is met, as a synopsis of the research project. Consequently, the overall conclusion is drawn from this critical reflection on each research objective to bring this study to its logical end.

The conclusion is that municipalities interpret and experience their governance roles differently in responding to the changing service delivery demands. As such, the current one-size-fits-all policy support package is not responsive to the needs of municipalities in South Africa. Consequently, how municipalities interpret and experience their governance role as well as the current policy support package amidst changing service delivery demands has a bearing on the development outcomes.

This conclusion is based on the extensive literature review and corroborated by the two case studies conducted as part of this research project. This conclusion has profound implications for theory, policy and practice, as alluded to below. Given that the governance theory is still in its infancy and finding its scholarly feet, many scholars from a wide spectrum of disciplines including sociology, developmental studies, and political science, are currently grappling with the notion of various modes of governance. As the scholarly debate unfolds on the shift of the locus of political power from government to networks and other forms of exchange between the state and society, the theory of governance is increasingly being enriched (Peters & Pierre, 2016).

At a policy level, this final conclusion has immense implications for the various mechanism, processes and procedures designed to monitor and support municipalities in South Africa, as espoused in Section 154 of the Constitution, Act 108 of 1996 as well as Section 105 of the Municipal Systems Act, Act 32 of 2000. Section 154 of the Constitution enjoins the national and provincial spheres to craft a policy mix to monitor and support municipalities in fulfilling their legislative obligations in light of the changing service delivery demands.

At a practical level, given the varying interpretations and experiences of their governance roles, municipalities need structured monitoring and support in order to keep them focused on their constitutional obligation as envisaged in Section 152 of the Constitution, Act 108 of 1996. This is necessary to ensure common development outcomes as envisaged in the National Development Plan (2012). With different interpretations and experiences on the ground within the context of changing service delivery demands, it is easy for municipalities to be overcome by overload and ungovernability (Peters & Pierre, 2016). It is recalled that overload is a concept associated with Crozier, Huntington and Watanuki coined in 1975, referring to problems associated with the ever-increasing expectations on the government from citizens, organised interests, and the business community (ibid).

Paradoxically, it is the revolution of rising expectations that trigger the increasing level of public services, which in turn trigger changing demands for more public services (Peters & Pierre, 2016). These changing service delivery demands, driven by higher community expectations, shift in population dynamics and technological change often take place within the context of budgetary constraints, which further stretch the capacity of public service to a breaking point (PWC, 2007). In light of the contemporary challenges, one can also add climate change and global pandemics as

recently evidenced by COVID-19, which have placed further demands on urban systems (UN Habitat, 2020).

Consequently, the rising and changing service delivery demands call for nimble and robust governance systems that propel municipalities to rise above developmental challenges and dilemmas. The conventional approaches using business-as-usual tools call for innovative governance tools to connect municipalities with citizens, NGOs, CBOs and organised businesses to respond to these uncharted waters and future pandemics (UN Habitat, 2020).

In light of these constantly changing service delivery demands, the study proposes a more structured and yet nuanced definition of the roles and responsibilities of the governance partners within the municipal space. This proposal was addressed in greater detail in the preceding chapter. Furthermore, the study recommends the governance functionality matrix for consideration as part of the differentiated strategy for municipalities in South Africa. Flowing from this governance functionality matrix, four scenarios emerged, within which municipalities may exercise their governance role. The governance functionality matrix is elucidated in greater detail in the recommendations section.

6.7 RECOMMENDATIONS

Reflecting deeply on the empirical findings, it has become more evident that municipalities are not homogenous entities, given their contextually unique, locational environment. The Constitution (1996) categorises the municipalities into three based on powers and functions, namely, Category A, metropolitan, Category B, local municipality and Category C, district municipality. This categorisation takes into account the powers and functions of different municipalities as informed by variables such as population demographics including density, spatial attributes, geographic size, service delivery performance as well as financial and governance capacity.

However, even within these broad categories, there are differentials within local, district and even metropolitan municipalities. In view of these many differentials, it has become increasingly difficult for different state institutions to provide an appropriate policy response package that factors these differentials into the equation.

Consequently, various state institutions came with different differentiation models to inform the spectrum of policy response packages for municipalities. In this regard, the National Treasury and

CoGTA, in the main, have suggested various classifications of municipalities in order to craft a policy response that is commensurate with municipalities showing a common profile (CoGTA, 2009; 2012).

With this in mind, flowing from the research findings, the author proposes a two-variable model, one qualitative and the other, quantitative. These are quality of governance to measure the tone at the top as well as the extent of service delivery output in the municipality. In this model, the relationship between the two critical variables is assessed to produce a four-scenario matrix. The two critical variables, namely, quality of governance on the one hand and the extent of service delivery output, on the other hand, are juxtaposed to produce four distinct scenarios.

The quality of governance is determined by the audit opinion by the Office of the Auditor General published on an annual basis. The Constitution Act, Act 108 of 1996 entrusts the Office of the Auditor-General with the requisite authority to make a credible pronouncement on the quality of governance or tone at the leadership level. Thus, the role of the Auditor-General is to provide an independent oversight role of government operations through financial and management audits (Nzewi & Musokeru, 2014).

The extent of service delivery output is universal access to services, namely water, sanitation, and electricity as articulated in the Millennium Development Goals of 2014 (CoGTA, 2009). The minimum standards in terms of universal access to services remain 100% access to water, electricity and sanitation (VIP standard) as determined by the StatsSA (ibid). For this proposed governance matrix, an aggregate score of 90% or more for the three basic services inclusive of water, sanitation and electricity, signifies a key milestone towards achieving universal access to services. While these basic services access figures are published on five-year intervals by StatsSA, the figures are verified on an annual basis by the Department of Water Affairs and Department of Energy respectively. Hence, these credible figures are openly available at any given point in time.

Policymakers argue that water, sanitation and electricity are at the core of the basket of basic resources that municipalities provide, notwithstanding the powers and functions that, by and large, locate these basic services at the District as well as Metropolitan Municipalities (DPME, 2014; SALGA, 2015). These three basic services are chosen because they do not only sustain social life

but are also key ingredients for economic development, as envisaged in Section 152 of the Constitution Act, Act 108 of 1996.

Furthermore, it must also be borne in mind that the provision of water by municipalities has taken a new dimension with the declaration of COVID-19 as a global pandemic by the World Health Organisation (WHO) at a media briefing on 11 March 2020. Therefore, with the exponential increase in the number of COVID-19 cases, 23 143 388 as of 22 August 2020 (Worldometer, 2020), the provision of potable water by municipalities has become a matter of life and death. This was subsequently followed by the declaration of the State of Disaster by the State President, Cyril Ramaphosa, on 15 March 2020 which induced a sense of urgency on the part of municipalities to provide water as the first line of defence against this global pandemic (RSA, Government Gazette, 2020).

Using the two-variable approach, the municipal governance functionality matrix with four scenarios emerged, which differentiates municipalities according to the quality of governance as measured from the annual audit outcomes as well as the extent of service delivery at a given point in time as depicted in Table 12 below:

Table 6.1: Municipal governance functionality matrix

GOVERNANCE		HIGH	
		CAT (2) UKhahlamba	LION (4) None
LOW		TORTOISE (1) Abaqulusi Mtubatuba	BUFFALO (3) uMhlathuze eThekwini
		LOW	HIGH
SERVICE DELIVERY OUTPUT			

Source: Author (2020)

6.7.1 SCENARIO 1: LOW GOVERNANCE: LOW SERVICE DELIVERY OUTPUT (TORTOISE)

Both the quality of governance and the extent of service delivery are low in this scenario. The quality of governance in this scenario is evidenced by the annual audit opinion that is below a clean audit level as pronounced by the Office of the Auditor-General. The quality of service delivery measured by the aggregate service delivery output, as measured by StatsSA, is below 90%. It is argued that universal access to basic services, namely water, sanitation, and electricity is articulated in the Millennium Development Goals of 2014 (CoGTA, 2009). An aggregate service delivery output of less than 90% of the minimum standards in terms of universal access to services, access to water, electricity and sanitation (VIP standard) locates the municipality in this scenario.

Many municipalities, such as Mtubatuba, based on empirical findings, fall within this scenario. These are the municipalities that dominate headline news because of the litany of governance deficit challenges, financial mismanagement and poor service delivery outputs that are associated with them. These are municipalities often at the receiving end of the national and provincial administration intervention, in line with Section 39 of the Constitution Act, Act 108 of 1996. These are municipalities that are regarded by CoGTA as dysfunctional, distressed and needing urgent intervention strategies (CoGTA, 2018).

Like a tortoise, these municipalities are slow on both the quality of governance and the extent of service delivery outputs. These municipalities are often at the receiving end of the service delivery protestations. Governance capacity support for these municipalities must respond to the nature of these governances, financial and service delivery challenges. It will take serious political will, high technical acumen, and concerted efforts to turn these municipalities around to be ‘champions of service delivery’, in line with scenario four of the envisaged municipal governance functionality matrix.

6.7.2 POLICY SUGGESTIONS

Municipalities in this scenario exhibit special needs that call for a more targeted policy response. The appropriate response is the intervention, it being noted that there are at least three levels of intervention, from soft to hard, as defined in Section 139 of the Constitution Act, Act 108 of 1996. The first level of intervention is ‘hands-off but close monitoring’ of the governance systems, financial management and service delivery outputs. In this scenario, the municipality is expected

to account to the provincial government regularly to assess the extent to which it is following legislative prescripts.

The second level of intervention is harder, with the appointment of a specialist Ministerial Representative to be located within the municipality to provide hands-on monitoring and support daily. In this scenario, all decisions of the municipality are subject to ratification by the ministerial representative.

The third level of intervention is the hardest as evidenced by the dissolution of the municipal council and assumption of authority by the ministerial representative until the next local government elections. This is the harshest form of intervention when all other measures have failed to yield the desired benefits in the form of governance stability, prudent financial management and adequate service delivery outputs, especially on water, electricity, and sanitation.

6.7.3 SCENARIO 2: HIGH GOVERNANCE: LOW SERVICE DELIVERY OUTPUT (CAT)

In this scenario, municipalities are high on governance, in terms of clean audit opinion but low on the extent of service delivery, based on the StatsSA ratio of service provision. With an aggregate score of less than 90% concerning water, basic sanitation and electricity provision, these municipalities, usually small but largely rural, such as Ukhahlamba (Bergville in KwaZulu Natal) fall within this scenario.

While these municipalities are high on the good governance dimension, their main challenge is the service delivery backlog across all three basic services, which is the culmination of undulating topographical terrain, sparse population density, low economic activity, and the resultant poor revenue streams. Given their low internal funding streams due to a low revenue base, these municipalities are entirely dependent on grant transfers for their administration and sustainability.

Like cats, they are clean on governance but lazy on the critical service delivery dimension. These municipalities have a good rapport with the communities and seldom encounter service delivery protestations. With sufficient revenue inflows and more service delivery outputs, these municipalities have the potential to become ‘champions of service delivery’.

6.7.4 POLICY SUGGESTIONS

Municipalities in this scenario call for a special form of policy response. Support in this scenario is the more appropriate intervention. In terms of their demographic profile, these municipalities tend to be in rural areas with low population density and low economic activity. These municipalities are historically reservoirs of low skilled labour and continue to be sources of migrant labour, feeding cities with a higher economic base with raw labour.

However, given their good governance profile, these municipalities have the potential for inward economic investment opportunities. As such, governance capacity support for these categories of municipalities must be in the form of economic regeneration, revenue enhancement as well as service delivery improvement. Investment funding, donor funding, grant funding and corporate social responsibility should be targeted for these municipalities as there is a higher prospect of a higher rate of return on investment.

Furthermore, there could be incentive programmes that could be financially linked to their equitable share based on continuous performance. The accreditation programme could take the form of additional powers and functions such as the housing agency function currently residing in the provincial sphere of government. These municipalities could be catalysts for economic revival through human settlements, by using the housing agency accreditation with antecedent activities such as schools, agricultural parks, tourism and retail facilities.

6.7.5 SCENARIO 3: LOW GOVERNANCE: HIGH SERVICE DELIVERY OUTPUT (BUFFALO)

In this scenario, municipalities are low on governance, in terms of the audit opinion that is below the clean audit level but high on the extent of service delivery, based on the StatsSA ratio. An aggregate score of more than 90% access to water, basic sanitation and electricity services puts several big municipalities in this scenario and are on their way towards universal access to services.

Many big municipalities such as eThekweni (Durban), uMhlatuze (Richards Bay) and Tshwane (Pretoria) fall within this scenario. These are municipalities largely in urbanised areas with a high population density, intense movement of people, goods and services and a complex and diverse economy. As a result, these municipalities have a high revenue base from internal sources and do

not depend much on grant funding for the sustainability of basic services within their area of jurisdiction.

Like buffalos, these municipalities carry a lot of service delivery burdens, with millions of people benefitting from basic services accordingly. With improved governance outcomes through positive audit opinions, these municipalities are on the verge of becoming ‘champions of service delivery’.

6.7.6 POLICY SUGGESTIONS

Municipalities in this scenario call for a special form of policy response. The appropriate policy response in this scenario is monitoring. In terms of demographic profile, these municipalities tend to be in areas with high population density with a high economic base. These municipalities are historically engines of economic growth and are currently driven by the knowledge-intensive economy to be centres of growth and innovation. These municipalities attract both skilled and unskilled labour and are favoured sites for international and domestic investment opportunities.

Governance capacity support programmes must revolve around maintenance, asset and waste management, in view of the high population densities as well as service delivery outputs that are associated with these municipalities. Maintenance is particularly crucial in these municipalities as infrastructure tend to be ageing and yet in high demand due to rising population densities and higher economic activities.

6.7.7 SCENARIO 4: HIGH GOVERNANCE: HIGH SERVICE DELIVERY OUTPUT (LION)

This is the scenario of rare municipalities which are high on governance, in terms of the clean audit opinion but also high on the extent of service delivery, based on the StatsSA ratio, with an aggregate score of more than 90% concerning water, basic sanitation and electricity provision. No municipality falls within this category at this point in time, but with appropriate policy response, municipalities can be nudged towards this scenario. This is a scenario that most urban and high population density municipalities, with differentiated capacity support, should ideally fit into. All municipalities should covet this scenario to decisively deal with the triple challenges of poverty, unemployment and inequality, as envisaged in the National Development Plan.

The nature of the municipal governance functionality matrix is such that it is dynamic and not cast in stone, in line with regular StatsSA community surveys as well as the annual audit opinion by the Auditor General. The main value is that capacity support is structured accordingly as municipalities are assisted towards high governance, high service delivery status and true ‘champions of service delivery’.

Ideally, municipalities that fall into this coveted scenario and become champions of service delivery should be substantially rewarded every year through additional equitable shares. National CoGTA should consider giving these lions of service delivery special recognition and financial rewards to encourage this best practice. The National Vuna Awards must be resuscitated in this regard to drive municipal performance towards execution excellence.

6.7.8 POLICY SUGGESTIONS

These municipalities are the champions of service delivery as all municipalities are and call for a special form of policy response. These are municipalities that can run their affairs with minimal provincial and national monitoring. The appropriate policy response is an oversight with an elaborate incentive and accreditation programme. These municipalities, like all others, will be monitored and supported but will be rewarded through an incentive and accreditation programme to replicate their high governance and productivity levels.

Incentive programmes could be financially linked to their equitable share based on continuous performance. The accreditation programme could take the form of additional powers and functions such as housing and broadband services to provide the basis for the fourth industrial revolution. Through the provision of broadband services, these municipalities may become centres for the knowledge-intensive economy with tertiary economic activities, beyond the provision of the current basket of basic services.

6.8 AREAS FOR FURTHER RESEARCH

In view of the preceding discussion, it would be opportune to consider areas for further study. In this regard, the following research questions remain unanswered:

- Is there a relationship between good governance and the quality of service delivery outcomes?

- What is the impact of leadership on service delivery outcomes?
- How does the electoral system impact municipal governance? and
- How does the functionality model or matrix improve municipal performance?

These are some of the lingering questions that emanate from this research project that other researchers may consider for further study. What is clear from the research study is that while municipalities in South Africa operate within the same legislative and policy environment, each municipality interprets and experiences its governance role differently.

The policy response mix must be alive to this research finding so that the often mooted, differentiated approach gains traction. What is also clear is that municipalities are under siege from the changing service delivery demands. However, upon further empirical analysis, an opportunity beckons on the horizon for municipalities to lift themselves and take service delivery to another level. As municipalities emerge from the ashes of COVID-19, they have a choice between the current business-as-usual mode of operation and the governance-centric model of operation.

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APPENDIX A

INTERVIEW GUIDELINE

TOPIC GUIDE FOR THE CASE STUDY FOR GOVERNMENT OFFICIALS/ NGO's/ CHAMBER OF BUSINESS

Research Question 1: How have municipalities interpreted and experienced their governance role in meeting the changing service delivery demands?

A. Recognizing the value of governance as a concept

These questions aim to check the interviewee's interpretation and experience of concept of governance within the backdrop of changing service delivery demands.

1. *What is your understanding of the concept of municipal governance?*
2. *Why is governance important in municipalities?*
3. *To what an extent have you experienced changing service delivery demands in municipalities?*
4. *What do you ascribe this rise in service delivery demands to? What is the missing ingredient, if any, from a governance point of view?*
5. *Is there a gap in governance systems in Municipalities? If so, how is it manifested currently?*
6. *Is there a governance/ leadership crisis within municipalities in South Africa? Please elaborate.*

Research Question 2: What are the conditions for effective governance systems in the face of changing service delivery demands?

B. Recognizing the value of governance systems in assisting municipalities to respond to changing service delivery demands

These questions aim to check the interviewee's understanding of the extent to which municipalities are responding to service delivery challenges.

1. *What are the conditions for effective governance systems amidst the changing service delivery demands?*
2. *To what extent do municipalities understand these changing service delivery demands?*
3. *How do municipalities respond to service delivery protestations challenges?*
4. *Are there areas of serious concern? If so, which ones are those?*
5. *Are there specific reasons why municipalities are coping or not coping?*

Research Question 3: How do local governance partners like business and Non-Governmental Organisations respond to the changing service delivery demands?

C. Recognizing the future role of local governance partners in responding to service delivery demands.

These questions aim to check the interviewee's appreciation of the local governance partners in responding to service delivery demands.

1. *What could be done differently to improve municipal performance?*
2. *Is there a role for the academia/private sector/NGO's/CBO's in service delivery protestation affecting municipalities in South Africa?*
3. *If so, what is and to what extend are local governance partners involved?*
4. *How can this be enhanced? Why?*
5. *Are there specific plans, if any, in this regard?*

Research Question 4: What lessons from empirical study of governance challenges can be extracted to build functional governance systems municipalities in South Africa.

D. Recognizing the future role of governance

These questions aim to check the interviewee's appreciation of the future role of governance.

1. *What could be done differently to improve municipal performance?*
2. *Is there a role for the academia/private sector/NGO's/CBO's in building a functional governance framework for municipalities in South Africa?*
3. *How can this be enhanced? Why?*
4. *Are there specific plans, if any, in this regard?*

APPENDIX B

OBSERVATION GUIDE

	IDP FORUM	LED FORUM	COMMUNITY FORUM
CONTEXT			
SETTING			
MOOD			
PUNCTUALITY			
AGENDA			
INTERACTION DYNAMICS			
DURATION			
ENGAGEMENT RESOLUTIONS			
OTHER VARIABLES			

SAMPLE APPENDIX C

MEMORANDUM OF UNDERSTANDING

ENTERED INTO BY AND BETWEEN

ABC MUNICIPALITY

Herein represented by the **Mr/s ABC/M** in her duly authorised capacity as the **Municipal
Manager** of ABC Municipality

AND

XYZ CHAMBER OF BUSINESS

Herein represented by **XYZ/B** in her duly authorised capacity as the **Chief Executive Officer** of
XYZ Chamber of Business

WHEREAS:

- A. The ABC Municipality is duly established in terms of Section 12 of the Municipal Structures Act, Act 197 of 2000 and obligated by Section 152 of the Constitution Act, Act 108 of 1996 to promote social and economic development within its area of jurisdiction;
- B. The XYZ Chamber of Business is established by Members as a Section 21 Organisation in terms of the Companies Act, Act...of ... to promote the interest of its Members;
- C. The Parties deem it expedient to record the terms of their agreement in writing, in order to establish the terms and conditions in which both Parties work together to achieve the common goals and objectives.

THE PARTIES AGREE AS FOLLOWS:

1. INTERPRETATION AND DEFINITIONS

1. In this agreement, unless the context indicates otherwise –

1.1 an expression, which denotes any gender, includes the other genders, a natural person includes a judicial person and vice versa, and the singular includes the plural and vice versa;

1.2 clause headings are for convenience only and will not be used in its interpretation, and the following expressions bear the meanings assigned to them and cognate expressions will bear corresponding meanings –

“Agreement” means this memorandum of agreement, the business plan and any annexure thereto;

“Chamber” means the XYZ Chamber of Business;

“Municipality” means the ABC Municipality;

“Parties” means the XYZ Chamber and ABC Municipality and

“Project” means the project contemplated in this agreement and the Business Plan;

- 1.3 words and expressions defined in any sub-clause will, for the purpose of the clause of which that sub-clause forms part, bear the meaning assigned to such words and expressions in that sub-clause; and
- 1.4 This agreement is governed by and construed in accordance with the laws of the Republic of South Africa, and any reference to a provision of a statute, rule or regulation must be construed as a reference to that provision as amended or extended from time to time.

2. RECORDAL

- 2.1 The Parties agree to associate with each other solely for the purpose of social and economic development of the Citizens in ABC Municipality, with special reference to job creation and preservation thereof.
- 2.2 The Initial Project will focus on local economic development and the initiation of projects that will socially and economically uplift the communities. The intention to extend the agreement to other opportunities as the need may arise from time to time.
- 2.3 The Parties are desirous of entering into this Agreement for the purposes of recording and regulating:

2.3.1 the relationship between the Parties;

2.3.2 the funding of the Project;

2.3.3 the management and operation of the Project;

3. DUTIES AND RESPONSIBILITIES OF ABC MUNICIPALITY

The ABC MUNICIPALITY hereby accepts the following responsibilities and obligations towards the agreement, namely to:

3.1 Provide leadership in the social and economic development;

3.2 Make available skilled personnel and secretariat support in order to manage the business of this agreement;

3.3 Provide logistical support to this agreement;

3.4 Provide funding to meet the running costs of the agreement and

3.5 Provide regular reports to Municipal Council to ensure transparency and accountability.

4. DUTIES AND RESPONSIBILITIES OF XYZ CHAMBER OF AGREEMENT

XYZ CHAMBER OF BUSINESS hereby accepts the following responsibilities and obligations towards the agreement, namely to:

- 4.1 Provide expertise in the field of social and economic development;
- 4.2 Raise funding towards the fulfilment of the agreement from various sources;
- 4.3 Provide regular reports to the Board of Directors to ensure transparency and accountability.

5. DURATION

- 5.1 This Agreement shall come into force and effect on the date of signature.
- 5.2 This Agreement shall remain valid for the term of office until the next local government elections or earlier should each Party or both Parties so desire.
- 5.3 This Agreement is open for extension as and when Parties agree.

6. TERMINATION

- 6.1 The Parties hereby record that, in addition to what is recorded elsewhere in this Agreement, this Agreement may be terminated upon the happening of any of the following events:
 - 6.1.1 By unanimous consent reduced to writing and signed by authorized representatives of the Parties hereto, subject to the requirement that all contractual responsibilities outstanding at termination shall be met by all Parties.
 - 6.1.2 Upon the liquidation or judicial management or sequestration provisionally or finally of either Party to this agreement;

- 6.1.3 Upon a breach of a material term of this Agreement which is not remedied in accordance with the breach clause set out hereunder;
- 6.1.4 By unlawful conduct or reckless trading of either party;
- 6.1.5 Any other matter which would justify the summary termination of this agreement under the South African Law.

7. BREACH

- 7.1 If either Party commits a breach of any of the provisions of this Agreement, the other Party shall be entitled to terminate it or alternatively to seek performance by the defaulting Party of its outstanding obligations, provided that in either instance not less than fourteen (14) days written notice shall be given by the aggrieved party to the defaulting Party to remedy any breach. In the event that fourteen (14) days is insufficient for any breach to be remedied, the relevant notice period shall be such period as is reasonable in the circumstances.
- 7.2 In the event of a termination of this Agreement, in addition to any other remedies which the aggrieved Party may have to claim damages, all contractual responsibility outstanding at termination shall be met by all Parties.
- 7.3 The remedies set out above shall be without prejudice to any other remedies which the aggrieved Party may have in law.

8. DISPUTE SETTLEMENT

- 8. Either party to the agreement may, in the event of any dispute arising out of the agreement,

refer the dispute for resolution as contemplated in the relevant legislation.

9. **DOMICILIUM AND NOTICES**

9. The parties choose their **domicilium citandi et executandi** for all purposes of the giving of any notice, the payment of any sum, the serving of any process and for any other purpose arising from this agreement, as follows

The ABC Municipality:Road
.....
Postal Code
Telephone: 000 – 0000000

The Chamber of Business:Road
.....
Postal Code
Telephone: 000 - 0000000

10. Either party, upon written notice to the other party, may vary its physical address or facsimile number to any other physical address or facsimile number within the Republic of South Africa

11. Any notice given by either party to the other party, which –

- 11.1 is delivered by hand during the normal business hours of the addressee at the addressee's *domicilium* will be deemed to have been received by the addressee at the time of delivery;
- 11.2 is posted by prepaid registered post from an address within the Republic of South Africa to the addressee at the addressee's *domicilium* will be deemed to have been received by the addressee on the seventh day after the date of posting; and
- 11.3 is sent by facsimile during the normal business hours of the addressee to the addressee's *domicilium* will be deemed to have been received on the date and time of successful transmission thereof.

12. **GENERAL**

- 12.1 This agreement constitutes the sole record of the agreement between the parties in regard to its subject matter, and neither party will be bound by any representation, express or implied term, warranty, promise or the like not recorded herein, or reduced to writing and signed by both parties.
- 12.2 No variation, modification, addition, alteration, erasure or abandonment of any clause of this agreement or consent to deviation from the agreement will be valid unless such variation, modification, addition, alteration, erasure or abandonment of any clause of this agreement or consent to deviation is recorded in writing and signed by both parties.
- 12.3 No grace, delay, relaxation, leniency or indulgence granted by either party to the other party will be deemed to be an abandonment of any right by the former party, and any such grace, delay, relaxation, leniency or indulgence will not prevent the former party from insisting on strict future compliance by the latter party with all the

terms and conditions of this agreement.

12.4 Each clause of this agreement is severable from each of the other clauses and if any clause in this agreement is found to be void, invalid or unenforceable for any reason, the remaining clauses will remain in full force and effect.

12.5 The provisions of this agreement will be binding upon the successors-in-title and permitted assigns of the parties, and the rights and obligations of each party arising out of or pursuant to this agreement will devolve upon and bind its successors-in-title and permitted assigns.

12.6 Neither party may cede, assign, transfer or otherwise make over any of its rights nor obligations as contemplated in this agreement, without the prior express, written consent of the other party.

13. COSTS

13.1 Each Party must bear its own costs of and incidental to the negotiation and preparation of this agreement.

13.2 Any costs, including attorney and own client costs and collection commission, incurred by the Department arising out of a breach of this agreement will be borne by the Municipality.

14. AMENDMENT OF AGREEMENT

14. Each Party must notify the Other Party in writing if –

14.1 any task will be delayed by more than two months;

14.2 the scope of the project needs to be increased or reduced; or

14.3 any other term of the agreement needs to be amended.

15. In the event that either Party, its sole discretion, agrees to amend any term or condition of this agreement, subsequent to a notice from the other Party as contemplated in clause 14, the agreement must be reduced to writing and attached as an addendum to this agreement.

SIGNED AT _____ ON THIS ____ DAY OF _____
20..

AS WITNESSES:

1. _____

THE ABC MUNICIPALITY

2. _____

SIGNED AT _____ ON THIS ____ DAY OF _____ 20..

AS WITNESSES:

1. _____

XYZ CHAMBER

2. _____



UNIVERSITY OF
KWAZULU-NATAL
INYUVESI
YAKWAZULU-NATALI

09 September 2019

Mr Terence Sibusiso Khuzwayo (961114154)
School Of Built Env & Dev Stud
Howard College

Dear Mr Khuzwayo,

Protocol reference number: HSSREC/00000455/2019

Project title: Municipal Governance under Siege in South Africa: Diagnosis and Opportunity: The comparative Study of uMhlatuze and Mtubatuba Local Municipalities

Full Approval – Expedited Application

This letter serves to notify you that your application received on 05 September 2019 in connection with the above, was reviewed by the Humanities and Social Sciences Research Ethics Committee (HSSREC) and the protocol has been granted **FULL APPROVAL**.

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

This approval is valid for one year from 09 September 2019.

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

Yours sincerely,

Dr Rosemary Sibanda (Chair)

/dd

Humanities & Social Sciences Research Ethics Committee
Dr Rosemary Sibanda (Chair)
UKZN Research Ethics Office Westville Campus, Govan Mbeki Building
Postal Address: Private Bag X54001, Durban 4000
Website: <http://research.ukzn.ac.za/Research-Ethics/>

17 August 2020

DECLARATION OF PROFESSIONAL EDIT

I declare that I have edited and proofread the Doctoral Thesis entitled: **MUNICIPAL GOVERNANCE UNDER SIEGE IN SOUTH AFRICA: DIAGNOSIS AND OPPORTUNITY: THE COMPARATIVE STUDY OF UMHLATHUZE AND MTUBATUBA LOCAL MUNICIPALITIES** by **Mr S Khuzwayo**.

My involvement was restricted to language editing: contextual spelling, grammar, punctuation, unclear antecedent, wordiness, vocabulary enhancement, sentence structure and style, proofreading, sentence completeness, sentence rewriting, consistency, referencing style, editing of headings and captions. I did not do structural re-writing of the content. Kindly note that the manuscript was formatted as per agreement with the client.

No responsibility is taken for any occurrences of plagiarism, which may not be obvious to the editor. The client is responsible for ensuring that all sources are listed in the reference list/bibliography. The editor is not accountable for any changes made to this document by the author or any other party subsequent to my edit. The client is responsible for the quality and accuracy of the final submission/publication.

Sincerely,



Professional
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