UNIVERSITY OF KWAZULU-NATAL

A SYSTEMIC INQUIRY INTO THE CHALLENGES OF INTEGRATED DEVELOPMENT PLANNING – A SOUTH AFRICAN EXPERIENCE

By

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A dissertation submitted in partial fulfillment of the requirements for the degree of Master of Commerce: Leadership Studies

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2015

DECLARATION

I <u>Khethukuthula Joseph Zulu</u> declare that:

(i) The research reported in this dissertation, except where otherwise indicated, is my original work.

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ACKNOWLEDGEMENTS

ABSTRACT

The study is about investigating the factors which lead to poorly developed and managed Integrated Development Planning (IDP) in the context of cooperative government and a developmental state. The research examines South Africa's experience with the implementation of this particular policy on development, to determine the extent to which the impact of Integrated Development Planning on service delivery can be improved.

The study adopted practitioner, explanatory and exploratory research methodologies, applying qualitative methods. The study used face-to-face interviews rather than a questionnaire to allow enriched debate and inputs. Purposefully sampled respondents came from different categories of town and regional planners in municipalities responsible for IDPs, as well as Municipal Managers (including former Municipal Managers) based on their experience, provincial monitoring and support and technical advisors. Given its philosophical underpinnings and methodology, IDPs as process and plan should be very effective on the ground, however to date the development of the citizenry is still very far from the ideal, much of which is owed to a lack of or a limited integrated development planning approach. The IDP aims to pull together efforts of all local stakeholders for the development of a particular area so that the intervention is relevant and coordinated to maximise the impact of intervention. Unfortunately, ten years since the introduction of new system of local government, there is still duplication of efforts, neglect of certain geographic areas and sectors, and limited overall impact from state interventions.

Local government, for some reason, gets all the blame for the failure of government to deliver services and live by its philosophy, but in fact it is highly dependent on the other spheres for its performance. The study concludes that the concept of IDP is sound at both theory and methodology level, however, despite this, impact has not been significant. Development interventions are still disjointed and do not use a systems thinking approach to problem solving. The focus is also too infrastructural, too preoccupied with the end and not the means, and also neglects the critical human development aspects.

GLOSSARY

The following key terms were used in this dissertation:

AIDS	-	Acquired Immune Deficiency Syndrome
COGTA	-	Department of Cooperative Governance and Traditional Affairs
		Council – A municipal Council referred to in section 157 of the
		Constitution of the Republic of South Africa
HIV		Human Immunodeficiency Virus
IDP	-	Integrated Development Planning / Plan
LED		Local Economic Development
IGR	-	Intergovernmental Relations
KZN	-	KwaZulu-Natal
NDP	-	National Development Plan
PMS		Performance Management System
RSA	-	Republic of South Africa
SDBIP	-	Service Delivery and Budget Implementation Plan
SDF	-	Spatial Development Framework
SoE	-	State Owned Enterprises
		SWOT – Strengths, Weaknesses, Opportunities and Threats
TVA	-	Tennessee Valley Authority Act

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CHAPTER 1: STUDY OUTLINE

1.1   INTRODUCTION

Democratic South Africa turned 20 years old in 2014 but its local government system was only 14 years, having been established following the local government elections on 5 December 2000. With the introduction of a new local government system came a new system of planning at local government level, referred to as Integrated Development Planning. The new approach to planning was intended to be a tool to transform not just town and regional planning in the new dispensation, but also the organisational and management approach at local government level.

The purpose of this chapter is to provide a background to the research problem being investigated in this research project. It provides a rationale for conducting this particular study and in doing so it outlines the problem statement, unpacking the perceived status quo for the issue at hand. It then gives an outline of the research objectives and the conceptual framework of the research methodology to be followed.

1.2   BACKGROUND TO THE STUDY

As Town and Regional Planning practitioners, we are expected to apply certain standards, theories and procedures to ensure that the mechanisms and tools on which activities of society occur are organised, in a supposedly socially acceptable manner. In going about this coordination and organisation, certain language is expected to be used. In this profession "a high hard ground overlooking a swamp" (Schon, 1987: 3) tends to be the main approach to training, which assumes problems, and the environment in which they happen, are more or less the same, sometimes according to certain groupings, and in a way giving standardised solutions either in

specific terms or at the very least in terms of principles. "On the high ground, manageable problems lend themselves to solution through the application of research-based theory and technique" (Schon, 1987: 3). Technical problem unpacking and solution identification is always the expectation.

However, postmodernist thinking about knowledge has revealed that neither our interpretation/analysis of a problem nor our understanding of a possible solution can be accurate in every situation and/or every element of the problem; consequently our intervention is not always successful. The irony of the situation is that the problems identified and interpreted by the so-called experts tend to be relatively unimportant to affected individuals/stakeholders and society at large. In such circumstances, as a development planning practitioner (Town and Regional Planner), one has to make a conscious and careful choice: remain on high ground where you can solve relatively unimportant problems according to the prevailing standards of rigour, or dive into the mess as seen from the affected people"s perspective and use non-rigorous inquiry. Reflecting on my practice as a Town and Regional Planner, I am aware that I am always in relation with other people. "My work as a [planner] is about how I can help people develop independence of mind and action, and help them enable others to do the same" (McNiff, 2000: 37). The profession has transformed to emphasise a planner"s role as a facilitator in the development process. This is in recognition of the complexity of the problems on the ground as well as the diversity of stakeholders and their respective technical expertise required for a robust response. Now, because the planner is trained to look at the organisation of built environment and development in general for the common good rather than specialising in a particular field, she is best positioned to coordinate and facilitate the process as it involves both the specialists as well as the interested and affected parties – the public.

As town and regional planning practitioners, we are the main drivers of the integrated development planning process and the Integrated Development Plans (IDPs). Both the process and the plan are a tool meant to promote intergovernmental relations between all the three spheres of government and entrench the relatively new philosophy in the South African context of a developmental state. This is seen as a means of enabling the sustainable integrated development of communities. It can be argued that given its philosophical underpinning as well as its methodology, IDPs as processes and plans should be very effective on the ground, however to date, the development of the citizenry is still very far from the ideal and much of it is owed to a lack of or a limited integrative element in the current practice of *integrated* development planning approach.

The IDP is aimed at pulling together efforts of all stakeholders (especially, but not limited to, the public sector) for the development of a particular area so that the intervention is relevant, holistic and integrated in space and amongst role-players to maximise the impact of the intervention. Unfortunately, just over a decade since the introduction of the new system of local government and IDP as its strategic management tool, we are still getting duplication of efforts, a reductionist and disjointed approach, neglect of certain geographic areas and sectors, and limited overall impact of state interventions. Indeed, some of it is due to other factors such as financial resources, shortage of personnel, skills gaps, mind-sets, etc. The argument of this dissertation is that the failure to achieve the integrated sustainable development envisaged by the IDP is due to a failure by all spheres of government to plan and manage development across sectors and spheres in an integrated manner.

The fundamental question then becomes - in preparing the plans and operating in an integrated manner, are we sitting on „high ground" or „getting down and dirty in a swamp"? Practice has taught us that the epistemological assumption held by technical rationality that practitioners are instrumental problem solvers who select

best solutions to problems at hand is not entirely useful (Schon, 1987). Unfortunately, those that prepare the plans for the provincial and national government departments and State Owned Enterprises seem to still be highly driven by this epistemological assumption. It seems the theoretical assumption informing their practice is still on „high ground" while local government sits on the opposite paradigm, hence the poor synergy between the planning processes and plans of different spheres. Making the challenge even more complex is the fact that even in municipalities themselves, the rationale and principles of an integrated development planning approach is not yet found across all departments, and therefore is not yet an established organisational culture. Ultimately, the solutions provided for by a plan that is coordinated by simply a development planning team at a municipal level provides us with solutions that are not responding to the real problems. At the heart of the problem is this clash in the process of developing the plans and managing our functions, leading to uncoordinated and ineffective interventions in our social and economic problems.

1.3   PURPOSE STATEMENT

The South African state has opted for „developmental state" as its philosophical foundation, informing its approach to governance. Informing this philosophy is an appreciation that national, provincial and local spheres of government all have one objective in mind – to provide services, create opportunities and facilitate development in our society. An interesting characteristic to note in the structure of the South African government is that it has federal elements, in that it has different layers of government with some distinct powers and functions. However, contrary to pure federalism, these different layers are not independent of each other and the Constitution clearly defines them as being distinct, interdependent and interrelated. At the same time, the South African government structure is to some extent a unitary state in its processes and approach. The result of such a mix is that we have a unitary state that is not over centralised, that is, a decentralised unitary state. In other words, the country is divided into different municipal and provincial entities only for

convenience; otherwise it is one state with one government – distinct but interdependent and interrelated. The other differentiation between spheres is simply, but importantly, roles and responsibilities. These are critical because that is where functions are carried out by different spheres. It is in this process that where what happens in one subsystem – sphere – impacts on what happens in the other two sub-systems and vice versa.

The key functions of the national and provincial spheres of government which are the focus in this study are setting fiscal allocations, monitoring and support of municipalities, providing some services directly and a policy framework determining what local government is able to do, what development interventions of national or provincial interest are and where they should happen, and providing support and capacity building to local government. Interestingly, for a number of reasons local government gets all the blame for failure of government as a whole, yet it is highly dependent on other spheres for its performance. In fact, the Presidential Review Commission of 1998 found that "weaknesses in the structures and practices of IGR led to poor coordination within and between different departments and spheres of government, creating incapacity to implement national programmes and a consequent failure to deliver basic services" (Africa, 1999: 7). More than ten years since the application of IDP and a new system of (local) government since December 2000, the 1998 findings still hold.

In this research I argue that local government cannot set in motion a credible integrated development planning process culminating in a credible IDP and deliver on the services and development front according to expectations without proper support in terms of efficient systems, technical and financial support, as well as proper intergovernmental relations. If efficient administration, properly structured intergovernmental relations processes, capacity building, support and funding are the pre-requisite for a local government to deliver, it can be logically conclude therefore

that what is seen as failure by local government to deliver implies shortcomings by the national and provincial spheres. Our government structure is organised as one seamless unit and therefore shortcomings manifested in one sub-system is a reflection of challenges in the whole system. This is especially so for the local government sub-system, if it is considered that it is heavily dependent on provincial and national government sub-systems for legislative, policy, strategic, financial and technical support and monitoring. Getting these elements working falls within the powers and functions of the two spheres.

The assumption of this research is that inherent in local government failures are the challenges and shortcomings of the national and provincial governments. In other words, failures in rolling out credible integrated development planning processes and developing credible IDPs, service delivery and development are a reflection of problems we have in our governance system as a whole – it sits with all three spheres. As the January 2003 Cabinet Lekgotla concluded "the central challenge in intergovernmental relations is to ensure that the machinery of government works better, in a more integrated way, and more efficiently to deliver services to communities and people" (Africa, 1999: 7-8). The hypothesis of this study therefore is that the integrated development planning is not yet practiced correctly hence the development challenges and even if it was to be practised correctly its methodology is still limited to deal with such complex matters of development and will need to improve the methodology to be more systemic in its approach allowing space for more argumentation.

The purpose of the study is thus to explore the contributions of all three spheres of government to a poorly developed and poorly managed IDP in the context of cooperative government and a developmental state as the philosophical foundation of the South African state"s approach to governance. It sets out to explore the extent to which government, both at policy and operational level and at all three spheres of

government, have contributed to challenges facing Integrated Development Planning. This research type is an exploratory, descriptive and explanatory research (Creswell, 2003). This specific project is largely descriptive as it attempts to describe the IDP concept and provide information about it, but it also has exploratory and explanatory elements as it seeks to clarify why and how there is a relationship between some aspects, while at the same time it is also exploring an area where little is known.

1.4   RESEARCH PROBLEM

While South African government functions as a decentralised unitary state being three spheres but one government, there is a tendency to deal with it as a federal government. No sphere of government in the South African model is independent of each other. Therefore, solely blaming any single sphere of government for performance is fundamentally flawed. For some reasons, experience shows that local government gets all the blame for failure of government as a whole, yet it is highly dependent on other spheres for its performance. In this research I argue that weak intergovernmental relations manifesting itself in the manner integrated development planning is managed is the core reason for poor service delivery performance. Further argues that the methodology of integrated development planning leads to poor performance on service delivery. The shortcomings in integrated development planning processes as approach to governing and developing credible Integrated Development Plan, service delivery and development are a reflection of problems we have in our governance system as a whole – it sits with all three spheres. The philosophy behind the concept of intergovernmental relations is an effective and efficient government working in a more integrated manner to deliver services to the public. The problem statement can therefore be summarised as follows: *Integrated development planning is not yet practiced correctly hence the development challenges and even if it was to be practised correctly, its methodology is still limited to deal with such complex matters of development and will need to improve the*

methodology to be more systemic in its approach allowing space for more argumentation.

1.5   RESEARCH QUESTION

In more specific terms, the key question therefore the research intends answering is: *the extent to which each sphere of the South African state contributes, through limited and/or improper intergovernmental relations, developmental state and integrated development planning to shortcomings and challenges being met at service delivery and development level due to IDPs of poor quality and/or poor implementation of same.*

In other words, the research is about critiquing both the quality and nature of the process and the output. It seeks to determine the extent to which the impact of Integrated Development Planning on service delivery can be improved. In investigating this topic, the study sets out to explain and understand both the practice and the underlying philosophy behind the Integrated Development Planning. To achieve this, the following questions informed the research journey:

- What is hindering integrated development planning from living up to its expectations as per its policy documents?
- What is hindering the integrated development planning from becoming a new culture of how we govern across spheres?
- What is it that as government structures we continue to do which is not in synergy with the integrated development planning philosophy?
- To what extent is integrated development planning theoretically sound?
- What changes are necessary if integrated development planning is to live up to its promise?

With the findings from addressing these questions the study can make an important contribution towards improving the way integrated development planning is managed.

Such improvement would improve intergovernmental relations and assist the state achieve its service delivery agenda in all its facets.

1.6   RESEARCH METHODOLOGY

Blanche and Durkheim (1999) advised that four critical dimensions are to be considered by a researcher when undertaking research at the point of design:

- The purpose of the research;
- The theoretical paradigm informing the research;
- The context within which the research is conducted; and,
- The research methods used for data collection and analysis.

Firstly this study was based on a common approach to conducting research, i.e. it starts with a research question, develops a research design that leads the researcher to answer the research question, conducts the research as per its design, and finally argues the findings and reaches a conclusion. The methodology was not used as a „blueprint‟ in the sense that it is not fixed and specified in advance, but rather a framework of how the process is going to be managed. The approach to the research methodology of this study was in acknowledgement of the argument by Blanche and Durkheim (1999: 31) that:

> Although there is nothing wrong with understanding research design as blueprints, there are other legitimate research design that cannot be defined in these terms. Qualitative researchers in particular propose designs that are more open, fluid and changeable and are not defined purely in technical terms. According to this view, research is an iterative process that requires a flexible, non-sequential approach. [Here] although one begins by proposing a research question and developing a design, things can change when the research is being carried out, and there may be good reasons why one would want to change

the original design. This is not only technical considerations that are used in developing a design but that pragmatic consideration may well influence the final research.

Approaching the research in this manner is deemed essential, given the fact that this is a qualitative, explanatory and exploratory research. This approach sees research methodology as being a strategic framework that guides research activity to ensure that sound conclusions are reached rather than being preoccupied with methodology at the expense of depth of results (Gill and Johnson, 2010).

This research used selected respondents who were mainly practitioners and contributors (professionals) to shaping the governance approach of the South African state. Data collection took place through a set of questions working as prompting questions for an open discussion rather than a questionnaire. While some questions were prepared upfront, they were not intended to be an exhaustive list but were added to, omitted and rephrased as the data collection exercise unfolded. As new questions and issues emerged during the data collection process some respondents already engaged were re-approached for additional issues and clarity. Such flexibility in data collection allowed for an intensive and extensive understanding of the issues at hand. In terms of sampling, the study used a non-probability sampling technique, specifically, purposive sampling. A total of eleven respondents were selected and interviewed. Respondents were purposively sampled based on their expertise and role in the integrated development planning taking into account the research question. In terms of the type of study, this was what (Creswell, 2003) referred to as exploratory, descriptive and explanatory research.

The theoretical underpinning for the study was two-fold - collaborative planning (also known as communicative rationality) from the planning discipline, as well as systems

thinking body of theory. The concepts that are inherent in the study, i.e. they inform the study and are discussed, are integrated development planning, integrated development plans, regional planning, integration, strategic planning and systems thinking.

In terms of the list of activities/procedures to be carried out in search of a sound conclusion, they were:

- Research design
- Unpacking key concepts
- Discussion of the theory used to investigate the topic
- Data collection
- Data analysis
- Interpretation of data
- Conclusion and recommendations

1.7   SCOPE OF THE STUDY

The study was meant to investigate the application of an integrated development planning approach, both as a town and regional planning approach and as an organisational management tool. The study did not choose a case study approach so as to enable a broader understanding of application across the country, rather than being limited to a particular case. In addition, the study was about the principles and fundamentals of the key aspects of the process and how they function together, rather than details of a specific case and per aspect. The study was also not concerned with reviewing the content of IDPs, but rather on the process producing that content. It was felt that the study would make a much more meaningful contribution to the improvement of the practice if it were understood and interpreted at a higher level, rather than zooming into a particular municipality and taking it as a representation of what is happening in all municipalities in the country.

1.8   SUMMARY

Through this chapter, the study has been introduced and the rationale which served as the impetus to conduct the study was presented. The perceived problem was discussed and the objectives and the overall questions to guide the study were introduced. Further, the research design to direct the study was introduced. Effectiveness of the IDP is a critical question as it talks directly to the sustainable development of our communities and therefore social well-being.

An in-depth understanding of the IDP at concept level is presented in the next chapter, followed by chapter 3, which elaborates on the research design framework introduced here. Chapters 4 and 5 are the last parts of the research report, presenting the analysis and interpretation of data collected as well as the findings and recommendations respectively.

CHAPTER 2: LITERATURE REVIEW

2.1   INTRODUCTION

Chapter 2 serves to introduce the concepts and theories that are central to the subject being investigated. In this chapter, the conceptual framework informing the basis of the study is presented and later used to guide the data collection and analysis process as well as the findings and recommendations of the study.

The study investigates a particular exercise of a planning field, namely Integrated Development Planning. In doing so, in this chapter the field of urban and regional planning is discussed to provide a theoretical background to integrated development planning. The study is not simply about integrated development planning but looks specifically into whether this approach uses a systems thinking perspective. As a result, theories from both planning and systems thinking are discussed.

In terms of its structure, the chapter is in essence divided into two categories, i.e. planning and systems thinking. It begins with a basic understanding of the notion of planning and builds up to specifically town and regional planning, providing a definition thereof. This is followed by a discussion on the concepts of regionalism and integration. It closes with some reflections on the theories of planning relevant to the subject being studied. IDP is seen as being influenced by Communicative Rationality/ Collaborative Planning theory, which is discussed as part of the planning part of the chapter. The second section of the chapter is on Systems Thinking. In this regard, the chapter gives an overview of the notion of systems thinking in general and in relation to planning. The chapter closes with a discussion on the concept of integrated development planning within the contexts of the two theories.

2.2   PLANNING DEFINED

Planning is a phenomenon in many different fields. In its basic form, the concept of planning emanates from an intention and desire to achieve something, and specific actions to achieve that particular goal are developed and organised in an orderly, but not necessarily linear, sequence. "Planning often is used in the production of physical objects, such as cars or aeroplanes or buildings or whole towns, and in these cases a blueprint of the desired product [is]… needed" (Hall and Tewder-Jones, 2010: 1). "Planning as a general activity is the making of an orderly sequence of action that will lead to the achievement of a stated goal or goals. Its main techniques will be written statements, supplemented as appropriate by statistical projections, mathematical representations, quantified evaluations and diagrams illustrating relationships between different parts of the plan. It may, but need not necessarily, include exact physical blueprints of objects" (Hall and Tewder-Jones, 2010: 6).

Taking the basic concept of planning and applying it to the urban development context is referred to as urban (town) and regional planning. Planning in this context "refers to planning with spatial, or geographical, component, in which the general objective is to provide for a spatial structure of activities…" (Hall and Tewder-Jones, 2010: 6). By its nature, such planning results in a plan and map representation. When urban and regional planning began it was concerned with spatial/physical planning for cities and towns. This was the original definition from the early 20th century until the mid-1900s. As will be shown later, the scope widened as it developed.

With the economic decline experienced post World War I, as well as the growing cities, populations and health challenges experienced in urban centres, this simplistic understanding of town and regional planning became limited. With the complexity of the challenges being faced, new thinkers of the practice came to define and understand it as "a continuous process, which works by seeking to devise appropriate

ways of controlling the system concerned, and then by monitoring the effects to see how far the controls have been effective or how far they need subsequent modification" (Hall and Tewder-Jones, 2010: 269). This was a more in-depth view of the subject and as will be shown later, a step in the right direction given that what the field deals with are complex social science issues, which render a linear, simplistic and rigid approach unsuitable. The differences were that planning in the old definition was mainly in map form, while post mid-1900s it started to be more narrative but did not exclude mapping.

In terms of content, the former focused more on predicting the future and trying to be rigidly controlling in terms of future growth, spatial direction and land use types. The latter is more flexible, offering principles and a framework rather than controlling and predicting. The original conceptualisation was concerned with setting out "the desired future end state in detail, in terms of land use patterns on the ground; …the new approach concentrates instead on the objectives of the plan and on alternative ways of reaching them, all set out in writing rather than in detailed maps" (Hall and Tewder-Jones, 2010: 280). The former was dominated by what came to be known as Master Plans, while the latter in the early days were known as Structure Plans.

Over the decades since its conception, the field of planning has continuously been perfected. By the end of the 20th century, the definition had expanded to include issues of power relations, conflict management and empowerment. Planning was no longer seen as an expert planner-led activity, as planners came to be seen as facilitators, with communities or stakeholders shaping the process and the product. It also became less about maps than the Structure Plans. In fact, urban and regional planning began to go beyond planning and plans only, becoming a corporate management tool/skill including performance monitoring and review. As a result, (Dewar and Kiepel, 1996) defined planning a management mechanism/process as enabling a local authority to identify desired outcome and directions; devise

measurements and process to move towards the achievement of these; measure achievements; and make on-going adjustments to achieve what was intended. This process is used to guide the allocation of resources to achieve particular results, thus it involves the setting of priorities and performance indicators. The results coming out of the process can be both tangible and intangible; obvious tangible results are the provision of services and infrastructure, and the immediate result is a plan itself. Intangible results, on the other hand, include community empowerment, imparting skills and building community ties.

What necessitated the practice of urban and regional planning was the chaos of cities, which had developed and addressed individual problems of transportation, communication, water supply, sanitation, etc. However, "no attention was paid to their interrelation and interaction – the city became more and more chaotic" (Blumenfeld, 1967: 275). The growth of cities‟ physical development and populations created unprecedented problems. Initially, each discipline – economics, health, sociology – worked in isolation to address the challenges as they interpreted them from their worldview. "But it has become more and more evident that the individual problems can only be solved together, because they are all interrelated aspects of one indivisible problem, the life of human beings within a definite space, which has to be viewed as a whole" (Blumenfeld, 1967: 280). Therefore, urban and regional planning has, in its character, coordination and proper functioning of an urban landscape to function harmoniously; it coordinates landscape as well as the various sciences that study each of these separately.

2.3   REGIONAL PLANNING

To discuss regional planning, one has to start with discussing the term „region‟. Initially planners and geographers talked of a region as a homogeneous area. Clearly for planning, homogeneity becomes a problematic criterion. For planners, a region is

an area with land uses that significantly feeds into and interacts with other regions, which are reasonably in proximity but bigger than a local community/town. For planning, the more homogenous an area, the more it is dependent on activities from outside. "Therefore, heterogeneity, rather than homogeneity, is characteristic of a planning region" (Blumenfeld, 1967: 86). A region is defined by a political and natural boundary just like a local area, but covers more than one local area. In the case of the South African local government system, the overall political boundary might be for a so-called local area, but in reality it is physically wide and heterogeneous in character. The political boundaries of South African municipalities were designed with concept of regional planning in mind.

Urban and regional planning started off by focusing only on towns and cities on a scale regarded as local (metropolitan areas). However as the discipline developed, there was a realisation that no local areas exist in isolation and that intervention at the local scale is less effective, so boundaries had to be moved out to a regional scale. The complexity of issues and their interconnectedness beyond a local community led to the dawn of comprehensive planning in both sectors covered and geographical coverage.

Regionalism is a planning concept that has its foundation in the idea of holism, i.e. the whole is greater than the sum of its parts. "Buildings, land uses, and roads all have impacts on adjacent sites" (Allmendinger, Prior and Raemaekers, 2000: 18). During the first half of the 20th century, it became apparent to the town planning practitioners and thinkers that effective development planning necessitated such planning to be on a larger scale than simply urban centres. This came from realising that no local built environment functions on its own independently of its surrounding environment. As Hall and Tewder-Jones (2010); Hewitt (2011) and Wannop (2014) explained, regional planning is an attempt to link all of an urban region to developments within each local part. According to Blumenfeld (1967: 85), going for regional scale was "because the

world was getting bigger, populated by more people making more claims on its resources, spatial planning,…. was forced to take into account other activities going on in the same area, on which it is dependent and which may compete with it for land, water, or other resources".

The economic decline of the post-World War I period and the socio-economic challenges that came with it also affected Britain and its cities. After trying a few interventions and investigations, in 1937 the British government finally established a Royal Commission on the Geographic Distribution of the Industrial Population, which was led by Sir Anderson Montague-Barlow, to conduct a detailed investigation and make recommendations. The report of this Commission contributed significantly to the history of town and regional planning. "The particular contribution of the Barlow Commission…was this: it united the national/regional problem with another problem, the physical growth of the great conurbations, and presented them as two faces of the same problem" (Hall and Tewder-Jones, 2010: 93). The report set the basis for regional planning, which was introduced firmly from the mid-20th century. Another planning exercise that gave birth to regional planning was river valley planning experience, particularly the Tennessee Valley development. This was a multi-purpose project with different projects supplementing each other, while some mitigated against negative aspects of others. The Tennessee Valley Authority Act (TVA) was the first popular and large-scale project to which the early regionalists saw their ideas being applied.

The period immediately post World War II saw a resurgence of regional planning because of a "recognition of the role of regional development strategies in economic development and strategic positioning" (Harrison and Todes, 1999: 60). Regional planning theory is the foundation of integration as it emphasises the interconnectedness of the environment, population and economy, i.e. holism. Integrated Development Planning has its history in regional planning, however before

discussing the IDP and showing this link to regionalism, one of its critical elements need to be discussed – integration.

2.4   INTEGRATION

The new thinking about planning which emerged in the post-World War II period saw issues such as social, economic, biological, environment etc. as complex interacting systems. This was a distinct departure from the beginning of planning as a formal discipline. In the early days of urban and regional planning it was linear, simplistic and predictive in its nature. The new conceptualisation of planning had as its basic notion that any phenomena "can be viewed, and described, in terms of systems; their different parts can be separated, and the interactions between them can be analysed. Then, by introducing appropriate control mechanisms, the behavior of the system can be altered in specific ways, to achieve certain objectives on the part of the controller" (Hall and Tewder-Jones, 2010: 270). The idea here is that to effectively understand and manage such activity with so many phenomena in place, takes a holistic perspective rather than isolated approach. This is not to claim or attempt any complete understanding of all of them, but to give a fair understanding of what is going on in the whole environment.

This is where the concept of integration in the field of urban and regional planning emerged. The concept relates to both the process of preparing a development plan as well as the product from that process - the plan itself. In terms of the process, integration in development planning relates to engaging communities in general and stakeholders specifically, unpacking challenges and exploring possibilities together. Doing so involves role players from different sectors of the economy, environment, infrastructure and landscape, and also includes financial viability and institutional development. The end result - the plan - should equal economic opportunities, social cohesion, better linkages between places of work and residences, improved

infrastructure, spatial compaction and different land uses. The term „integration"
relates to both the process and outcome in development planning. "An integrated
approach to the process of planning relates to coordination between sectors such as
economic development and spatial planning, or to linkages …but it also relates to
interaction within planning such as linking strategic, operational and spatial elements
of decision-making in the planning process" (Harrison et al., 1998: 60).

Urban and regional planning is also futuristic in its approach, which allows it to
contribute to the field of sustainability. There are many definitions offered for
sustainable development, but the most commonly used is by the 1987 Bruntland
Commission Report. According to this report, "sustainable development is
development that meets the needs of the present without compromising the ability of
the future generations to meet their own needs" (Allmendinger et al., 2000: 22). What
stands out in this definition is that it is about safeguarding the interests of the people;
limits to resources; and continuous, equitable access. Like all such definitions, it is not
a straightforward matter where all scholars in that field completely agree; the danger
is that sometimes an issue means different things to different people. Some use it to
refer exclusively to the environment, economy or society, others see it as being
people-centred, while others see it as natural environment-centred. Allmendinger et
al. (2000: 26) puts it succinctly:

> This approach thinks of the world in terms of the stocks and flows of
> resources we need to sustain a satisfactory quality of life. This „capital
> stock" can be human – knowledge, skill and organizational capacity;
> man-made – the assets we make with that knowledge and skill; and
> natural. The mission of sustainable development then becomes the
> search for a development path that allows us to prosper, but also to
> pass on to the next generation undiminished or even increased capital
> stock. The idea is that you live off the interest generated by the capital,
> leaving the capital untouched, in the best tradition of accounting.

This understanding was taken through to the World Summit on Sustainable Development held in 1992 in Rio de Janeiro, Brazil, which was a turning point in sustainability in relation to urban and regional planning (Wheeler, 2013). It adopted a Local Agenda 21 resolution, which guided the form of urban and regional planning into the 21st century. This influenced the Integrated Development Planning introduced with the Local Government: Municipal Systems Act (N° 32) 2000. Local Agenda 21 is about developing a local/regional policy that establishes partnerships among local key stakeholders for local sustainable development agenda. "The goal of Local Agenda 21 is to move towards sustainable development, therefore in terms of its content it is integrative, seeking to break down barriers between sectors in both public and private life" (Allmendinger et al., 2000: 41).

In terms of the process, Local Agenda 21 local policies also have to be developed using a Communicative Rationality theory"s logic of equity, involve multiple stakeholders and be participatory. "It tries to be bottom-up, inclusive, participative, and open to scrutiny" (Allmendinger et al., 2000: 41). In line with the Summit resolution to have all signatory countries have their local authorities with Local Agenda 21 by 1996, South Africa adopted Integrated Development Planning as its Local Agenda 21 as it already had objectives and theoretical principles found therein.

In South Africa, with its apartheid history and the resulting impact on the urban fabric and exclusionary system of government, integration has a more significant meaning. In the context of South Africa, it has a special meaning and is used to refer to correcting the errors of the past in terms of inequitable distribution of development. Town and Regional Planning was used by the apartheid regime to enforce and justify its philosophy of separate development, therefore the integration notion of the new dispensation was a breath of fresh air for both town planners and communities. "Not only does it symbolise a break from the bad name the planning profession has

created for itself in enacting Apartheid spatial policy but it also makes good planning sense: a fragmented urban form is inefficient, expensive to maintain and in the South African context, highly inequitable" (Odendaal, 1999: 1). Such urban form was not only expensive for the state to maintain, but also expensive and burdensome to the citizens regarding transports costs and time. In a country like South Africa the negative impact was felt most by the (previously) disadvantaged majority, who were living the furthest from central places, and the poor. As a result, integration in the South African context serves a transformation agenda beyond spatial development, but also economic inclusion and development as well as social cohesion.

Integration for planners is associated with efficiency and effectiveness in service delivery and development (Wheeler, 2013). It represents a paradigm shift in modernist construct, shifting from pure science with its reductionist dominance and using a holism perspective. For modernism, individuals have the power to effect change and progress. Modernism believes that by scientific enquiry and technological progress it is possible to advance and positively influence the circumstances of people"s lives. "The basic tenets are that knowledge is an objective construct different and superior to irrational forms of knowledge such as tradition and religion; that rational knowledge of society is attainable; that empirically tested knowledge is truth"(Healey, 1997: 17). To be pointed out is that Town planning is at its foundation a modernist concept which is concerned with the improvement of people"s lives through scientific enquiry and intervention.

Postmodernism, on the other hand, came about during the second half of the 20th century as a challenge to the modernist view on society and science; the modernist institutions, social systems and underlying assumptions were challenged. So while pre-democracy planning was used for segregation using modernist ideals even way past its epic days, post-apartheid planning is pro-integration of physical space (built

environment) and the governance/decision-making process, in terms of the approach using postmodernist ideals.

The integrative approach in itself suggests an acknowledgement of all interested and affected stakeholders being equal and contributing to truth-making, rather than planners having a superior authority, and all contributing to the truth-making. In post-apartheid South Africa, integration became a rallying call to reshape the landscape in terms of both physical infrastructure and social structure, to ensure opportunities were created for everyone as equals, and future shaped together. Integration is a recurring theme in a post-apartheid South African planning.

Integration as a rationality for planning is evident in IDP processes and products, but the issue is the extent and adequacy. The drive for integration in planning in South Africa is a post-apartheid phenomenon and therefore relatively new, although internationally it has its history in the post-World War II reconstruction agenda; it can be traced to regional planning theory, which emphasised the interconnectedness of the environment, population and economy. Integration is a recurring theme of a post-apartheid South Africa.

2.5   REFLECTIONS ON PLANNING THEORY

As shown at the beginning of this chapter, town and regional planning has evolved over the years, starting off as an artistic/architectural practice and by 1960s beginning to be understood as a natural science discipline (Taylor (1998); Ortiz-Guerrero (2013); Cumberland (1973); (Glasson, 1974). The logic was that "if town planners were trying to control and plan complex, dynamic systems, what seemed to be required were rigorous „scientific‟ methods of analysis" (Taylor, 1998: 160). This was an era of perceiving planning practice and a decision to go beyond urban design, but

to include all development dynamics of a locality. Artistic dominance of urban design, including the ability to understand aesthetic appearance, was therefore shifting, and what emerged was a demand to pull together various development elements and therefore a need or assumption for rationality. Planning became equated with rationality which is equated with science, therefore planning could now be categorised as a scientific exercise.

While the shift from viewing a planner as an artist to seeing him/her as a scientist was a major paradigm shift, a common thread that remained was the fact that a planner was a specialist in the planning process, possessing some planning expertise an ordinary person lacked. However, the demands and experience of the new role started to prove otherwise. With time, it became apparent that the planning practice was really, at the core, inherently a value laden political process; it was always a judgment call on desirable environment to create or conserve. The next debate in this journey of town planning discipline was questioning whether value and political judgment required specialist skills, and if such skills were possessed by planners and not ordinary people. This shift of thought, which leads us to the theory used as the main reference for planning side in this dissertation, is summarised by (Taylor, 1998: 161) below:

> What is „better" is a matter of value, and planners have no superior expertise in making value-judgments about environmental options. However, the view is still taken that town planner possesses some specialist skill, namely,   skill of managing the process of arriving at planning decisions. A tradition of planning therefore has emerged, therefore, which views the town planner"s role as one of identifying and mediating between different interest groups involved in land development. The town planner is viewed as not so much a technical expert…but more as a „facilitator" of other people"s views about how a town, or part of a town, should be planned.

Towards the end of the 20th century, the planning discipline was not only facing the challenge of expert knowledge and being expert driven, but it was also facing pressure to be action-oriented. There were growing concerns that with planning becoming less about physical planning and more about strategic planning, there was less tangible evidence of the implementation of strategies. This pressure led to additional emphasis being placed on communication and negotiation skills, which were deemed critical if planners were to hope for plans that would get implemented. There is an acknowledgement by Critical Rationality theorists that town planning as a scientific empiricism exercise no longer provides a credible response to contemporary social conditions. Critical Rationalists argue that for the response to the social conditions to be sound, it has to be based on arguments, deliberations and dialogue. "For Critical Rationality, planning and its contents is a way of acting we can choose after debate" (Zulu, 1999: 16). It sees "planning as a communicative process that shapes the attention of the public and decision making to information" (Zulu, 1999: 16). In other words, it argues that solutions from argumentation are more enduring and effective than those from abstract reasoning by scientists. As a result it is pro community participation; its conception works on the basis that truth is a product of debate informed by experiences and understanding. In this argument, the notion of planners as experts and communities not being capable of planning is nullified; it is argued that communities are ones acquainted with local issues, not planners.

In the late 1980s and early 1990s, two new theories were emerging from this emphasis - Communicative Planning theory and Communicative Action theory respectively (Taylor, 1998). It is important to note the differentiation between communication and negotiation, including that they both have slightly different outcomes given their inherent characters. "Communication refers to the business of communicating in general, whereas negotiation is a specific kind of interpersonal communication" (Taylor, 1998: 163). Communicative planning puts more emphasis on the communication aspects of the planning process, specifically debates and arguments. Jurgen Harbamas is regarded as the father of Communicative Planning

theory, while theorists such as Healey, Fischer and Forester are also main contributors.

Communicative Planning theory is not just concerned with problems of implementation, but also focuses on participatory democracy elements in planning. "But these planning theorists were also motivated by the ideal of a democratic, participatory style of planning, which incorporated all groups who stood to be affected by environmental change, not just those powerful actors who were in a position to carry out – or „implement" - major development and environmental change" (Taylor, 1998). Communicative Action, on the other hand, focuses on the implementation challenge, hence its focus on negotiation and power dynamics elements. It "focus[es] on the theory and practice of negotiation, for it is primarily through negotiation – through bargaining and reaching agreements with other actors who have the resources to invest in development – that planners can best secure implementation" (Taylor, 1998). Put differently, both communicative planning and communicative action are interested in ensuring agreement between stakeholders, the difference being that for the former, agreement should be with everyone as equals (empowering/transformative in terms of participating) and for the latter, agreement should be targeted at resourceful stakeholders on whom resources to make the plan a reality on the ground depends.

These theories emerged against the background of a major paradigm shift from modernism to postmodernism, influencing this change in thought about town planning. Modernism is a worldview that emanated from the enlightenment period or post industrial revolution; it is about a belief that each individual is born free, all people are equal, respect for life and the individual, truth exists independently, and the power of an individual to effect change and progress. The idea of truth existing independently and the power of an individual to effect change and progress have critical relevance to town planning.

Town planning developed and found its relevance during the urban social challenges of the post-industrial revolution, during which period there was strong belief in the classical scientific enquiry. Naturally, it found itself as a modernist construct. However the problem town planning found itself with was that the nature of issues it dealt with were not the same as the classical problems of science. In most instances, in technical problems, even those that seem complicated like getting men to the moon, the objective is only one and very clear and all the processes involved are subject to the laws of physics which are more linear and consistent (Hall and Tewder-Jones, 2010). Town planning problems and processes, on the other hand, are more complex (Hall and Tewder-Jones, 2010: 7):

> First, the basic objective is not well understood; there is clearly more than one objective, and perhaps dozens (economic growth, fair distribution of income, social cohesion and stability, reduction of psychological stress, a beautiful environment – the list seems endless). These objectives may not be readily compatible, and may indeed be contradictory. Second, most of the processes which need controlling are human processes, which are less well understood and work with much less certainty than laws in the physical sciences.

The complexity of issues worsened as planning deals moved from urban design and an architecture focus to include all development aspects at play influencing the development of a particular area – economy, infrastructure, finance, and so forth. As a result, the paradigm shift from modernism to postmodernism became more apparent in town and regional planning.

Integrated Development Planning as a planning approach for a new democratic South Africa was conceptualised against the developments in the discipline as discussed

above, namely from paradigm shift to postmodernism, from focus on urban design to forward planning, focus on sustainable development, communication and debate. According to Communicative Rationality theories, while a modernist traditional scientific approach has its own place, planning is about communicating ideas, participation and debate. Further, for Communicative Rationality, reasoning is not just pure logic and scientific empiricism, but includes all ways we come to understand and know things and use knowledge in acting. In other words, the so-called non-scientific ways we come to acquire knowledge like gut feel, observation, etc. As Forester in (Mandelbaum et al., 1996: 204) put it, "we learn from friends as well as from scientists; we learn from historical studies and the experiences of others as well as philosophical argument and social science". He argued that for planners, emotions expressed from engaging different stakeholders – residents, developers, decision makers, business people, and different boards – are no less than reason and passion no less than rationality.

Communicative Rationality therefore challenges town and regional planning as a technical rationality agenda as argued by other theories, especially from the early years of the discipline. Hoch in (Mandelbaum et al., 1996: 225) correctly argued that initially, planners were trained "to master and apply the methods and techniques of an instrumental rationality grounded in utilitarianism". This kind of thinking was the basis for arguing that planners arrive at rational choices after applying these methods and techniques. It is this kind of thinking that Communicative Rationality challenges. It argues instead that such classical scientific process is not possible given the competing and sometimes conflicting land uses. "They want lots of things, and no calculus exists that will let them mathematically trade off one bit of one end for another bit of another" (Mandelbaum et al., 1996: 247).

While this conception of planning by Communicative Rationalists might be plausible, the problem is that class, race, gender, political power and culture influences social

relations, causing divisions and therefore consensual and equitable decisions are difficult. Further, whether planning decisions are reached through arguments and debate by ordinary people, that only addresses the method part and not the methodology, which has significant influence on the outcomes.

Harbamus argued that people engage based on their interests as stakeholder groups rather than a general community. He introduced the concept of abstract systems to describe structures that define the environment within which we plan and with which we engage. He stated that these provide boundaries in which we live as we create our personal world and live within these boundaries of abstract systems. His theory is called Collaborative Planning and is about the way we make sense of public life through open public debate. This line of thinking helped to shape the kind of planning techniques employed. It provides a conceptual approach to inter-group relationships, viewing community in terms of various interest groups rather than a single fuzzy unit. For Collaborative Planning both modernism and postmodernism are not fault-free, but it believes that the ideals of modernity are still achievable through communicative action. In other words, in Communicative Rationality, the reductionist narrow scientific element of modernism is replaced with negotiated, open debate. Due to the centre-stage accorded to communicative action in Collaborative Planning, it has become a critical planning concept.

2.6 SYSTEMS VIEW OF URBAN AND REGIONAL PLANNING

2.6.1 Systems Thinking at a glance

Somehow the reductionist approach to life has been entrenched in our society for centuries. It has come to influence our worldview so much that society finds it extremely uncomfortable to move away from it; it has come to be regarded as the absolute, fundamental and most truthful way to view life. It was Descartes who said in

1637 that reductionism should be applied if we are to understand the world and its problems (Jackson, 2000), yet experience and research that came after Descartes showed that while this might be true for certain levels of systems, it is not for complex problems set in social systems.

> From a very early age, we are taught to break apart problems, to fragment the world. This apparently makes complex tasks and subjects more manageable, but pay a hidden, enormous price. We can no longer see the consequences of our actions; we lose our intrinsic sense of connection to a larger whole. When we then try to „see the big picture," we try to reassemble the fragments in our minds, to list and organise all the pieces. But... the task is futile – similar to trying to assemble fragments of a broken mirror to see a true reflection. Thus after a while we give up trying to see the whole altogether (Senge, 1990: 3).

Today"s society is faced with complex systems and this experience has led to a conclusion that as humankind we are unable to comprehend and manage any system completely. "Systems thinking, it is argued by Checkland (1981), can be seen as a reaction to the failure of natural science when confronted with complex, real-world problems set in social systems" (Jackson, 2000: 2). In complex problems, the relationships between the parts are more critical than understanding the parts themselves, as the relationships lead to emergent properties. This dilemma about the ability to fully understand the universe and free will, as well as the failures of the Machine Age to provide full answers to social and economic problems and the theories that were emerging, led to the introduction of Systems Thinking. It particularly became relevant because of its approach to understanding a system. Here, "a system is a whole that consists of a set of two or more parts [and] each part affects the behaviour of the whole, depending on the part"s interaction with other parts of the system" (Johnson, 1993: 7).

According to Systems Thinking, to understand any system the focus should be on the manner in which its constituent parts interact rather than understanding the parts on their own. As a result, for Systems Thinking parts should be kept together and functioning during an intervention, because as soon as elements are put apart the system effectively ceases to exist. The system is defined by the properties of the whole and no single part on its own has those properties. In other words, they are emergent from the interaction of different parts. Points of interaction should therefore be understood as giving the purpose or reason for the existence of a system. A system is thus not a sum of its parts, but rather a result of the interaction of its parts. Systems Thinking is a direct opposite of Reductionism in that the latter uses an analysis approach which implies setting apart, while the former uses a synthesis approach which seeks to understand the system with its parts kept intact. Systems Thinking concerns itself with revealing the structure of the system and how it works.

The problems we are faced with daily are interconnected and interdependent, with their variables constantly changing their shape and essence due to interactions between them forever changing. The reality is that in the complex environments in which we live today, we need a shift in our worldview. The fact is that now, "the systems age is well and truly upon us and is characterised... by complexity, turbulence and a multiplicity of viewpoints about the direction we should be taking and how we should handle the difficulties we face" (Jackson, 2000: 4). Due to this environment, society finds itself pushed by circumstances towards systems thinking. "Large-scale problems – such as poverty and environmental degradation – require substantial societal learning in order for lasting change to occur" (Waddell, 2001: 1).

2.6.2 Systems Thinking approach to planning

At the same time that there was a shift in planning to think beyond a town centre and a physical design to a regional scale, the systems approach to planning emerged. In this regard, McLoughlin, Chadwick and Faludi were early authors to discuss this theory in the late 1960s to early 1970s (Taylor, 1998). In fact, this perspective of

planning was not emerging for the first time, as Geddes had come up with such thinking in the early 1900s, arguing that cities and regions were functioning entities. Therefore since the beginning of the planning discipline it has always been seen as dealing with systems, and it was argued that it should accordingly adopt a systemic approach. However due to the focus of planning in its early days, i.e. the physical design and aesthetic appeal of town centres and concerns of „proving" the profession to be a „real science", the systems thinking perspective was marginalised. Instead the rationalist and reductionist perspectives dominated.

In essence, the Systems Thinking philosophy in planning flows logically from the concept of seeing a physical environment as a system. Planning, by its very nature, is about analysis, planning and controlling an environment. If we see the environment as systemic in its behaviour, to be effective in understanding and controlling it one must use a systems perspective. Planners had to appreciate that the environment they were trying to understand and control was complex and therefore linear and reductionist approaches were not useful. "Once it was acknowledged that cities (or regions, etc.) were complex systems, it became all the more clear that planners needed to understand how cities worked" (Taylor, 1998: 62).

The systems view of planning can be regarded as a response to the criticism of traditional view of planning. This new perspective improved the theory and practice of planning in many ways: the complex nature of cities and regions came to be appreciated, as were the interrelationships of land uses. This appreciation of interrelationships caused planning to focus on the functional aspects of land use in relation to the wider environment. For this reason, assessment of development applications no longer as stand alones but part of a system, moved from blueprint plans to trajectory/guidelines plans due to a new understanding of dynamism and changes in environments, and moving beyond physical elements in plans preparation to include social and economic aspects as they are a strong part of cities" and

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regions" lives. "The emergence of the systems view of planning can thus be seen as logical response to the deficiencies of physicalist theory" (Taylor, 1998: 64).

2.7 INTRODUCTION TO INTEGRATED DEVELOPMENT PLANNING

2.7.1 Theoretical pillars

The new democratic South Africa means that all South Africans are equal by law and therefore all citizens should have access to basic services such as water and electricity. It also means that they should fully participate in the economy and the development of the country. The new government thus had to put in place policies and programmes to redress the inequalities caused by the apartheid system, hence the emphasis on and drive towards the provision of household infrastructure and services; the creation of liveable, integrated cities, town and rural areas; local economic development; and redistribution of land. This meant that a bottom up and participatory approach had to be introduced to ensure that all citizens had a voice in these issues. Public participation was thus a key tool to formulate policies and programmes that govern the country. The circumstances favoured a democratic developmental state if the country was to get on a path to social justice, and an integrated development planning became an appropriate tool for such an approach.

South Africa opted for a government system that is integrative in its approach, thus Integrated Development Planning became a preferred tool. Core to this tool is an understanding that it is both a process and a plan. In other words, it is supposed to characterise the government"s organisational culture as well as produce an Integrated Development Plan (IDP) - a blueprint for development agenda. This tool is perceived on one hand to provide a sound platform for critically analysing the current socio-economic trends of an area of jurisdiction or a municipality to provide rational decisions (plan). On the other hand, as a process it is perceived to be creating an organisational culture of partnerships between different internal and external

stakeholders, as well as budgetary and performance management systems. The conception and application of this tool reflects a particular ontology and epistemology. Integrated development planning reflects the history and maturity of planning with the concepts of integration and regionalism characterising it. As a result, this led to the paradigm shift from modernism to postmodernism. As(Hall and Tewder-Jones, 2010) put it:

> In the modernist era, planning was regarded as a science and thus only trained officials could engage in it. As with all sciences, planning was expected to consider the environment in its totality and then follow prescribed procedures, which follow one after the other to reach a rational conclusion. In postmodernism that conceptualisation of planning is challenged. It is… argued [in postmodernism] that there is no absolute truth waiting somewhere to be revealed through an application of criteria and methods applied by professionals. Therefore it follows that not only the „scientist‟ is capable of engaging with planning.

The main concept behind Integrated Development Planning is integration. Perhaps the first point to be clarified here is that there is Integrated Development Planning and an Integrated Development Plan. The latter is a specific product resulting from the former. IDP is, in essence, a business strategy for a municipality in the same way as would be found in the business world, i.e. meant to provide strategic guidance on the broader goals and objectives of the municipality as well as its environment and resources. Integrated Development Planning, on the other hand, is a transformative method or a new approach to governance; it is a reengineering methodology to governance. An IDP‟s key elements are sector coordination, intergovernmental relations coordination, institutional development, community participation and budgeting (Dewar and Kiepel, 1996; Africa, 2000; Planact, 1997; Van Huyssteen et al., 2009). Even more necessary and relevant is the agenda of transforming the state given institutional fragmentation (silo mentality) and spatial divisions. The IDP has, as

its goal, cohesive institution planning in an integrated manner and achieving a spatially integrated society (Dewar and Kiepel, 1996).

The postmodernism departure within planning theory marked a fundamental paradigm shift, casting planning as essentially a communicative action (Healey, 1997; Campbell, 2001; Campbell and Fainstein, 1996). Communicative Rationality is regarded as a key theory informing integrated development planning. This concept of Communicative Rationality has a different conception of human reason. "The concept of a communicative model implies an expansion from the notion of reason as pure logic and scientific empiricism to encompass all the ways we come to understand and know things and use that knowledge in acting" (Zulu, 1999: 21). The conceptualisation of planning as a technical or instrumental rationality directing change is no longer plausible. Planning should be seen as a way of acting that we can choose after debate, i.e. the public"s attention is drawn to knowledge that helps it to reach a decision.

2.7.2 Roots in Strategic Planning

The questioning of the absolute authority of science on understanding and determining situations, as well as the widening of planning"s geographic scope from the urban core to include areas outside the core, dominated the modernism – postmodernism paradigm shift of the post-World War II period. This shift moved urban and regional planning practices more to the realm of solving complex problems than when they were focusing on urban design. All of a sudden the characteristics of an area were heterogeneous, boundaries were more political and administrative (abstract) than physical, stakeholders" interests and profiles were less homogenous, and the nature of issues and interrelationships widened. Urban and regional planning was moving beyond attempts to control and manage the physical built environment into the problem-solving arena of life as it manifests itself in the built environment.

Given its complex problems-solving mandate, urban and regional planning had to adopt a strategic planning tool to perform its role. "The strategic approach is also distinguished by its ability to provide a structured interpretation of the current situation, to reduce uncertainty, to formulate strategic choices, and to identify long-term possible futures (or scenarios)" (Robinson, 2014: 15).

As Robinson (2014: 16) summarised, the strategic planning process plays a role in:

- providing an integrated picture of the community"s current position and future prospects;
- identifying trends that shape the community and help to establish a new sense of direction;
- positioning the community to seize opportunities and to act, rather than merely to react to change;
- allocating limited resources to the most pressing issues;
- identifying those actions, policies and investments that will have the greatest impact on the future of the community;
- ensuring that activities have a long term focus and direction, regardless of changing leadership and local crises; and
- providing a mechanism for public/private sector cooperation.

In line with the above, the strategic planning process generally follows these generic steps: organisation, issue identification, external analysis and forecasting, internal analysis and assessment, attainable goals and measurable objectives, strategy development, plan development and implementation (Robinson, 2014). In terms of organisation, it refers to preparing the institutional structures, systems and tools that the organisation will use to manage the process. These include, but are not limited to, determining and setting aside budget, establishing a steering committee, preparing a

project charter, and identifying the team to actually do the planning (steering committee monitors and evaluate).

While doing all these initial activities, a planner should have at the back of his/her mind the implications and dynamics of implementation so that the ultimate goal influences the decisions from the first step. The next step is the identification of issues, which is done through a comprehensive analysis of the current situation and trends. In terms of internal and external analysis is basically a SWOT (Strengths, Weaknesses, Opportunities and Threats) Analysis for internal and external factors. The next step is to determine realistic goals and specific objectives on the basis of the analysis results. This stage includes visioning, which summarises where we want to be. The strategy development stage answers the question, „How do we get to where we want to be?", as pointed out at the goals and objectives stage.

After this point the process closes with two stages, which transcend the plan to action mode. These last two steps are plan development, which is concerned with translating prioritised strategies into detailed action plans or projects, and the implementation stage, where action plans are linked to budget. The integrated development planning practiced in South Africa is informed by this strategic planning approach.

2.7.3 Defining Integrated Development Planning

Integrated Development Planning in South Africa was introduced with the promulgation of the Municipal Systems Act (Act Nº 32) 2000, hereinafter referred to as the Systems Act. It stipulates that all municipalities in South Africa must prepare an Integrated Development Plan for their area of jurisdiction. Throughout the world, particularly in the United States and Britain, postmodernist planning was introduced post World War II in a response to dysfunctional cities, urban sprawl, areas which were supposed to be working together but which were not linked, and recognising the role of ordinary people and interest groups in urban and regional planning. This

bottom-up, inclusionary and geographically integrated approach was not possible in South Africa given its socio-political context; it was only at the dawn of the democratic dispensation in the mid-1990s that such a planning philosophy could be introduced. In the case of South Africa, therefore, postmodernist planning was introduced as a response to planning challenges as per international experience, as well as to overcome the apartheid legacy of separate developments and exclusionary planning.

In essence, an IDP is an approach to planning that involves the entire municipality in finding the best solutions to achieve sound and long-term development. The municipality here is meant in its broader sense, consisting of political, administrative and citizenry arms. The plan ensures key municipal activities and processes are encompassed in a single document. The IDP is a continuous process whereby a local authority prepares a 5-year strategic plan for growing and managing development in its area of jurisdiction. The plan is reviewed annually in consultation with communities and stakeholders. This enables it to inform annual budgets and annual programmes/ performance targets. After every local government elections, the new Council has to decide on the future IDP; a Council can adopt the existing IDP or develop a new one, which takes into consideration existing plans.

"Integrated Development Planning aims at critically analyzing the current socio-economic trends of an area of jurisdiction for local government with the purpose of providing rational solution[s]" (Zulu, 1999: 20). These plans seek to promote integration by balancing social, economic and ecological pillars of sustainability without compromising the institutional capacity required in the implementation, and by co-ordinating actions across sectors and spheres of government. The Systems Act defines the IDP in more detailed terms as a single inclusive strategic plan for municipalities that:

- integrates and co-ordinates service delivery within a municipality;

- forms the general basis on which annual budgets must be based;
- aligns the resources and capacity of the municipality within the implementation of the plan;
- assists a municipality in fulfilling its constitutional mandate as a developmental local government; and,
- facilitates the process of democratisation through vigorous public participation.

Clearly the concept of IDP is in line with the latest international perspective on urban and regional planning. As was shown above, urban and regional planning has moved beyond the narrow development control of the physical environment to the strategic management of the built environment, and lately to the integration and coordination of development management as whole, incorporating different disciplines such as the economy, society, psychology, infrastructure, administration, etc. Central to Integrated Development Planning is the notion of a new approach to development planning, i.e. an integrated approach. The concept of integration is aimed at harnessing the country"s scarce resources in order to maximise social development and economic growth in a coherent and purposeful manner, by preventing municipalities, sector departments and parastatals in particular from acting in an ad-hoc, uninformed and uncoordinated manner, leading to dysfunctional development, duplication and wastage of limited resources.

The integration elements in the IDP are enhanced significantly through:
- the structuring of implementation into the IDP processes e.g. the involvement of the key implementers in the planning process;
- the development of specialist cross-cutting plans e.g. a 5-year financial plan, a 5-year capital investment programme, a 5-year action plan and an integrated institutional programme; and,
- the alignment of human activities, organisational systems and financial resources, both within and outside the local municipality, to enhance delivery,

e.g. contracts with external service providers, a properly organised project management system and a Performance Management System.

Like any other public management tool, urban and regional planning is embedded in a particular broad system of government, which influences its suitability and effectiveness. The Constitution of the Republic of South Africa (Act 108 of 1996), states that the government of South Africa is constituted as national, provincial and local spheres of government. These three spheres are designed to be distinctive, interdependent and interrelated. It should be noted that the Constitution does not declare any sphere to be independent from the others. However, a significant departure from the past with this spheres approach is that local government is now a sphere of government in its own right and is no longer a function of national and provincial government. All spheres are obliged to observe the principles of co-operative governance put forward in the Constitution. Cooperative government assumes the integrity of each sphere of government, but it also recognises the complex nature of governance in modern society. No country today can effectively meet its challenges unless its different components function as a cohesive whole. According to (Africa, 1998) this involves:

- the collective harnessing of all public resources behind common goals and within a framework of mutual support;
- developing a cohesive, multi-sectoral perspective on the interests of the country as a whole, and respecting the discipline of national goals, policies and operational principles;
- coordinating their activities to avoid wasteful competition and costly duplication;
- planning and utilising human resources effectively;
- settling disputes constructively without resorting to costly and time-consuming litigation; and
- rationally and clearly dividing the roles and responsibilities of government so as to minimise confusion and maximise effectiveness.

IDPs are vital tools to ensure the integration of local government activities with other spheres at provincial and national levels, by serving as a basis for communication and interaction at the local community level. IDP thus serves as a mechanism for alignment and co-ordination within spheres of government. Within the municipality, the IDP plays the role of providing a space for engagement between officials, councillors, citizens and other stakeholders on practical local concerns.

2.7.4 The IDP methodology

The IDP process has many activities which are not meant to be sequential; these steps occur in six phases. "While some of the planning activities are planning events which will have to be done in a certain sequence, other planning activities are related to ways and means of considering certain aspects and planning requirements during or in-between certain planning events" (Africa, 1999: 14). The methodology for the integrated development planning process has the following four characteristics:

- A participatory process – with various stakeholders within and beyond the political boundaries of a municipality, from analysis to decision-making. This engagement with stakeholders is on a needs basis, rather than engaging everyone all the time and at every step.

- A strategic process – meaning a systematic and focused approach in assessing issues and searching for solutions, with policy imperatives, principles, local contexts and resources forming a framework. This goes well beyond simply compiling priority lists and transforming them into budget proposals.

- An integrated approach - harnessing the country"s scarce resources in a coherent and purposeful manner by ensuring municipalities, sector departments and parastatals in particular act and think in a holistic manner.

- An implementation oriented planning – the strategic aspect should not be confused with implying that the plan should not be detailed; rather it should be

quite specific in terms of quantities, impact, quality, responsibilities, location, time and costs to make sure all required information is in place for delivery to occur. Therefore the plan should be comprehensive in scope and succinct in details, but cover all essential details per issue.

To apply this methodology the IDP Guide Pack III (2000) recommends four means to do so. The first approach is to view the process as being event-centred instead of a tool or method-centred process. This approach means that planning is seen as having to organise certain events with each having its own purpose, techniques to be used to realise the purpose, and outputs targeted to be achieved from each. It is argued that such an approach encourages a consultative and strategic discussion process on real issues. Secondly, it is an understanding that there are generic approaches that apply to all types of municipalities and specific techniques and tools, which may differ at varying degrees from one municipality to the other. Thirdly, IDP is meant to be formulated and applied through and by various stakeholders who are not necessarily planning experts, therefore the language must be as much as possible normal business language, avoiding planning jargon without missing the meaning. Lastly, the whole process is organised into six phases with various planning activities within each phase. Again, the activities are not to be regarded as steps to be followed sequentially.

The process of developing an IDP is done in six phases as listed below and discussed in the IDP Guide packs (Africa, 1999; Africa, 2000):

- Phase 0: Preparation
- Phase 1: Analysis
- Phase 2: Strategies
- Phase 3: Projects
- Phase 4: Integration
- Phase 5: Approval

Phase 0 provides assistance on how to plan the planning process. This phase produces a document called the Process Plan, which is the planning process roll out plan that clarifies roles and responsibilities, organisational arrangements, scheduling of time frames, financial requirements, and alignment with other processes at different levels.

Phase 1 determines the de facto situation of municipalities, the priority issues as well as an indication on what the plans should be focusing on. During this phase information is collected on the existing conditions within the municipality. It focuses on the types of problems faced by people in the area and the causes of these problems. The identified problems are assessed and prioritised in terms of what is urgent and what needs to be done first. The information on availability of resources is also collected during this phase.

Phase 2 is where development objectives, strategies and vision based on key issues are formulated. During this phase, the municipality works on finding solutions to the problems assessed in phase one.

This entails:
- developing a vision
- defining development objectives
- creating development strategies
- project identification

Phase 3 is derived from the strategies, objectives and vision to inform concrete proposals for projects to implement these strategies. During this phase the municipality works on fine-tuning the project concepts identified during Phase 2. In this phase clear details for each project have to be worked out in terms of:

- Who is going to benefit from the project?
- How much is it going to cost?

- How is this project going to be funded?
- How long will it take to complete?
- Who is going to manage the project?

Clear targets must be set and indicators worked out to measure performance as well as the impact of individual projects.

Phase 4 ensures that all sector plans from within and outside the municipality are aligned and integrated. Once all the projects have been identified, the municipality has to check again that they contribute to meeting the objectives outlined in Phase 2. These projects will provide an overall picture of the development plans, all of which must now be integrated. The municipality should also have overall strategies for issues dealing with AIDS, poverty alleviation and disaster management. These strategies should be integrated with the overall IDP.

Phase 5 is for public comments and approval of the plan. The IDP is presented to the council for consideration and adoption, which may adopt a draft for public comment before approving the finalised IDP.

An overview of each phase is contained in the IDP Guide Pack III to support the practitioners, and gives a more useful understanding of the methodology in practice. The table below describes the phases in terms of their purpose, processes and outputs. Phases 0 and 5 are not included as they are simply about preparing to rollout the process and routing for approvals at the end, rather than the four core phases of the methodology.

Phases	Purpose	Process	Outputs
Phase 01: Situational Analysis	To ensure that decisions will be based on: • people"s priority needs and problems; • available and accessible resources; and • dynamics influencing the development in municipalities.	• Desk top analysis of existing services comparing to standards and gabs. • Participatory problem analysis/issues prioritisation. • In-depth analysis related to identified priority issues.	• Assessment of the existing level of development. • Priority issues/problem statements. • In-depth understanding of the nature/dynamics/ causes of these issues • Knowledge on available resources and potential.

Phases	Purpose	Process	Outputs
Phase 02: Strategies	• To ensure broad inter-sectoral debates on the most appropriate ways and means of tackling priority issues. • To consider issues within policy guidelines and principles, available resources, inter-linkages, competing requirements an agreed vision. • To find more appropriate, innovative and cost-effective solutions – to make choices.	• Inter-sectional workshops as a forum for open discussion on dealing with priority issues. • District-wide workshops for strategic debates addressing cross boundary issues and sectoral alignment.	• Vision for municipal area. • Objectives for each priority issue. • Strategic options and choice of strategy (for each issue). • Tentative financial framework for projects. • Identification of projects.

Phases	Purpose	Process	Outputs
Phase 03: Projects	• To ensure a smooth planning/delivery link through detailed and concrete project planning processes via Project Task Teams (PTTs). • Provide platform for sectoral specialists to provide concrete proposals with tentative targets, costs estimates, technical standards, location and time frames	• The PTTs in consultation with specialists from provincial/national agencies and from the communities or stakeholders effected by the project are in charge of working out projects proposals.	• Indicators (quantities, qualities) for objectives. • Project outputs with targets and location. • Major activities‟ timing. • Responsible agencies/actors. • Costs and budget estimates and sources of finance. • Elaboration of sector plans.

Phases	Purpose	Process	Outputs
Phase 04: Integration	• To ensure that the results of project planning will be checked for their compliance with the vision, objectives, strategies and resources, and that they will be harmonised. The harmonisation should result in a consolidated spatial, financial and institutional framework as a second basis for smooth implementation.	• Presentation of project proposals to the IDP Representative Forum and discussion. • Matching/alignment (within municipality). • Revision by project task teams searching for synergy. • Compilation of revised proposals.	• Revised project proposals (possibly also strategies). • Cross cutting plans including a financial plan, capital investment programme, municipal action plan (for municipal management), Integrated Spatial Development Framework, Integrated programme for LED, environmental issues, poverty alleviation, gender equity, HIV/AIDS, institutional plan for implementation management, consolidated monitoring/performance management system, and a Disaster Management Plan.

(Africa, 2000)

2.7.5 Systems view of Integrated Development Planning

The title of this research project is „A systemic inquiry into the challenges of Integrated Development Planning – A South African experience". Planning theories deal with both the process of planning and the substance or object being planned, namely substantive planning theories and procedural planning theories. Accordingly it is important to clarify IDP in relation to systems thinking theory as well as planning theory, however this distinction is not always absolute.

The Communicative Rationality theory being used in this research to understand the IDP experience as practiced in South Africa can be categorised mainly as a procedural theory. It deals with the „what" of planning and is about the methodology with which planners go about implementing their planning process. The Systems Thinking view of planning, on the other hand, mainly deals with the „substance" (environment) that town planning deals with, and therefore can be regarded as substantive theory (Chadwick, 1971). Both theories, i.e. communicative rationality and systems thinking theory, were used in a complementary fashion in this study given its two-pronged focus. Integrated Development Planning in this study is investigated both as a management mechanism intended for transformation of the state, as well as a planning practice.

2.8   SUMMARY

Urban and regional planning has increasingly inherited the characteristics of systems thinking theories. This planning maturity and the adoption of a Systems Thinking approach seems to have been natural given the complexity of the issues it manages. The interconnectedness and interrelationships of towns, land uses and all other aspects of functioning of every built-up area made the use of systems thinking logical. When this transformation of the discipline took place, it introduced the concept of

integration and regionalism. Both concepts acknowledge in a way the interconnectedness of elements, the emerging properties from that interaction, and the debate about systems boundaries. The chapter then discussed the extent to which the IDP being a planning activity is shaped by the systems thinking approach - at least at concept level. The adequacy of that influence and whether such is recognised in the application of the concept of IDP is what this research intends to answer.

CHAPTER 3: RESEARCH METHODOLOGY

3.1   INTRODUCTION

Chapter one states that this study is about investigating the factors which lead to poorly developed and poorly managed Integrated Development Planning/Plans in the context of cooperative government and a developmental state. This is a study about South Africa‟s experience with the implementation of this particular policy on the development of IDPs and aims to determine the extent to which the impact of Integrated Development Planning on service delivery can be improved. Put more succinctly, the agenda of this study is to establish whether IDPs as a new way of governing in the democratic South Africa has been a success or a failure. Chapter 3 outlines the methodology followed in the endeavour to answer this question. This chapter outlines the step-by-step research methods undertaken to study the research problem as stated in Chapter 1.

In applying the tools used to conduct this research, the researcher did not use them in isolation and in a linear approach. Rather, they were used in a supplementary and constant feedback loop manner, allowing emerging information to inform what to do next. This research approach should be seen as "a creative and strategic process that involves constantly assessing, reassessing, and making decisions about the best possible means for obtaining trustworthy information, carrying out appropriate analysis and drawing credible conclusions" (O‟ Leary, 2004: 1). In addition, the researcher used personal experience in the field as a practitioner for IDPs since 2002.

In terms of the outline of this chapter, it starts with a summary of the background to the study to put all other sections in context and to link this chapter to the previous chapters. The next section is the research paradigm, which locates the study within the qualitative method and practitioner research. The research paradigm is followed by a section on the data collection instruments used, giving arguments for the choices made. The discussion of data analysis approach then follows, and the chapter closes with some ethical considerations.

3.2   BACKGROUND TO THE STUDY

The study presupposes that the Integrated Development Planning process has some challenges. These challenges are deemed to not be simple and linear, but complex and requiring systemic methods to have any meaningful understanding. This research sets out to explore the extent to which government, both at policy and operational level and across all three spheres of government, have contributed to the challenges facing Integrated Development Planning. The IDP is intended to be an impetus to transform the South African state to ensure that there is visible and meaningful delivery of services and development of people and physical spaces. Such service delivery and development to happen in a manner that ensures optimum utilisation of resources, and that such development happens in an integrated manner and it views communities and geographical space as one interactive system functioning in an integrated manner.

This is informed by our history which saw some areas and communities being unfairly advantaged over others, and a disaggregated approach to development management resulting in a waste of resources. Therefore the challenges that the study refers to direct the investigation to the extent to which the IDP has delivered on this objective, and seeks to determine the extent to which the impact of Integrated Development Planning on service delivery can be improved. In investigating this topic, the study

sets out to explain and understand both the practice and the underlying philosophy behind the IDP.

In order to achieve the above aim, the following specific objectives were explored:

- To determine causal factors of ineffective Integrated Development Planning as a governance tool for comprehensive service delivery;
- To establish the extent to which the limited impact of the Integrated Development Planning on service delivery and governance is due to government structure and practice;
- To establish the extent to which the limited impact of the Integrated Development Planning on service delivery and governance is due to shortcomings in its theoretical basis; and
- To determine the amendments necessary for Integrated Development Planning to improve its overall service delivery and governance efficiency.

3.3   RESEARCH PARADIGM

"Research is used in development work for a variety of purposes. It may set out to explore an issue in order to plan a programme; it may, more broadly, ask people in an area about their own needs; or it may aim to collect in-depth information about a specific issue, to make a case for change" (Laws, 2003: 7). This research project is about the latter as it is meant to improve the effectiveness of the IDP for better governance and service delivery.

Accordingly, this study is located within the Practitioner Research paradigm. "Practice-oriented research is more about understanding the practice by intervening and change of practice" (De Jong et al., 2013a: 164). The paradigm involves investigating a particular element in a discipline with the aim of improving its practice. The main objective of this study is to understand the practice of IDP with the intention

of bringing about improvements. Practitioner Research is a type of research carried out by practitioners for the purpose of advancing their own practice (De Jong et al., 2013a) Such research is done to solve specific, practical questions; for policy formulation; for administration; and to understand a phenomenon. In line with what (Stringer, 1999) referred to as Community Based Research, with regards to IDPs meant to develop a mutually acceptable solutions to a problem. This is a departure from the modernist scientific research paradigm, therefore questioning its rigour to qualify as a scientific method is expected.

The epistemological view argues that scientific research as an independent and objective study that is not influenced by objects and subjects is a fallacy. In other words, the notion of reality existing somewhere independently of subjects and objects is regarded as no longer sound. "Practice-oriented research needs a complementary, different methodological way of thinking and maybe even a different epistemic basis" (De Jong et al., 2013b).

This research type is exploratory, descriptive and explanatory research (Blanche and Durkheim, 1999). This specific project is largely descriptive as it attempts to describe the IDP concept and provide information about it, but it also has elements of explanatory and exploratory methodology as it seeks to clarify why and how there is a relationship between some aspects, while at the same time it also explores an area where little is known.

Two modes of enquiry can be applied in any research – qualitative and quantitative; this study is placed within qualitative research. As can be seen from the above this study is meant to understand a social phenomenon, and qualitative research is regarded as being more appropriate to explore the nature of a problem, issue or phenomenon. This approach allows flexibility in all steps of the research process and

allows the process to be influenced by human actions and human minds, not claiming independence and classical objectivity. This is from an appreciation that social life in policy etc. is the outcome of embedded human actions and human minds. Some of the advantages of a qualitative method are argued to be "emphasis on understanding, focus on understanding from respondent"s/ informant"s point of view, interpretation and rational approach, observations and measurements in natural settings, subjective *insider view* and closeness to data, explorative orientation, process oriented, holistic perspective and generalization by comparison of properties and contexts of individual organisms" (Ghauri and Gronhaug, 2002: 86). The qualitative approach is naturally more favoured and used in social sciences than natural sciences, however the former from time to time mixes both approaches. As (Kvale, 1996: 10) pointed out:

> Qualitative methods are not merely some new, soft technology added to the existing hard-core quantitative arsenal of the social sciences. Rather, the mode of understanding implied by qualitative research involves alternative conceptions of social knowledge, of meaning, reality, and truth in social science research. The basic subject matter is no longer objective data to be quantified, but meaningful relations to be interpreted

The two modes are informed by epistemological and ontological assumptions. In this regard, the choice is informed by whether one wants to work within a positivist (modernism) scheme or a postmodernism scheme (Denzin and Lincoln, 1998). The former is more relevant and used mainly in natural science research, as it sees research as an unbiased investigation of reality. For positivists, reality is a static truth out there waiting to be discovered. (Kvale, 1996: 3) described the modernist approach to interviews as a „miner metaphor", arguing that knowledge is understood as buried metal and the interviewer is a miner who unearths the valuable metal. Some miners seek objective facts to be quantified, while others seek nuggets of essential meaning. In both conceptions the knowledge is waiting in the subject"s interior to be uncovered uncontaminated by the miner. The interviewer digs nuggets of data or meaning out of a subject"s pure experiences, unpolluted by any leading questions.

The postmodernist constructive paradigm, on the other hand, argues that there is no fixed reality out there waiting to be discovered. For this paradigm "Research should accept that the researched are actively engaged in constructing their world, as is the researcher. There will always be different ways of seeing things and a range of interpretations that can be made" (Laws, 2003: 273). Classical objectivity of research and universal truth as argued by the positivist/modern paradigm is refuted. Rather, research in a postmodernist paradigm is that of the „truth" being constantly constructed and evolving, and research being influenced by the social environment within which it is taking place and the assumptions of the researcher.

This study is about a social entity in the form of a government, as well as a particular action/strategy in the form of an IDP process and its output - the plan. The study was therefore conducted on an entity made up of individuals. It also focused on both the development process and the strategy itself. This is the context that informed and influenced the chosen research paradigm and approach. The methodology used was not a „blueprint" in the sense that it was not fixed and specified in finer details in advance, but rather a framework of how the process was going to be managed. This approach was necessary as this is a qualitative, descriptive, exploratory and explanatory research, and therefore had to allow an iterative feedback loop to inform and influence the process as unfolded.

The practical steps stated below were followed in this research journey to find answers to the research questions:

- Formulating the research problem
- Extensive literature review
- Developing the objectives
- Preparing the research design
- Collecting the data
- Analysis of data

- Interpretation
- Formal write ups of conclusions reached.

3.4   DATA COLLECTION

3.4.1 Method

Face-to-face interviews were used for collecting data, which allowed for a discussion on the topic with succinct purpose and structure. This tool is becoming most favoured for data collection in business management research field (Remenyi, 1998). While interviews are nothing mysterious and stem from day-to-day conversation, "it goes beyond the spontaneous exchange of views as in everyday conversation, and becomes a careful questioning and listening approach with the purpose of obtaining thoroughly tested knowledge" (Kvale, 1996: 10).

Interviews, especially open-ended and focused interviews, had for a long time been regarded as an inappropriate tool for scientific research. The fact that they emanate from the logic of knowledge being generated by human interaction in day-to-day ordinary conversation was the cause of this challenge. "To contemplate the nearness of the research interview to everyday conversations may also have been threatening to the scientific legitimacy of the „young" social sciences" (Kvale, 1996: 6).

There are three types of interviews, i.e. open-ended, focused and surveys. Open-ended questions are used by researchers as prompting questions for an open discussion rather than a questionnaire. The interviews in this research took the form of combining open-ended questions and a focused interview approach. This was important as the researcher was interested in the respondents" opinions about the issue at hand "as well as his or her insights into certain occurrences" (Remenyi, 1998: 176). Therefore while some questions were prepared upfront, they were not intended

to be used as an exhaustive list but to be added to, omitted and rephrased as the interviews unfolded. As new questions and issues emerged during the data collection process some respondents already engaged were re-approached for additional issues. Such flexibility in data collection should allow for an intensive and extensive understanding of the issues at hand. The open-ended questions and semi-structured interview instrument, given the nature of the enquiry, were seen as the most appropriate. It is important that the instrument applied is on the basis of relevance and informed by the type of data required to be credible and defendable.

"Interviews are… verbal reports only and as such are subject to the problems of bias as well as poor and inaccurate articulation and listening" (Remenyi, 1998: 176). To mitigate this, this research used audio recordings as a back-up to notes and to serve as a referral point. This tool was used with full awareness of the respondents. Respondents were further advised of their rights to withdraw from the study at any time. On average the interviews lasted for approximately 1 hour (60 minutes), with the shortest session being approximately 40 minutes and the longest approximately 90 minutes.

3.4.2 Sampling Technique

In terms of sampling, the study used a non-probability sampling technique, specifically, purposive sampling. As a result, probability sampling, which is particularly popular with quantitative research, was not used. The study used selected respondents who were mainly practitioners and contributors to shaping the governance approach of the South African state, particularly through the IDPs. The predetermined group was chosen for being specialists in IDP in particular, as well as being experienced in public administration in general. They were therefore chosen on the basis of their expertise and the valuable insights they could provide into the topic.

Respondents were from the following categories - Municipal Managers, IDP Process Support Specialists, IDP Technical Advisors, Town Planners and Political Leadership. The researcher was mindful that there were many other stakeholder categories that were part of the IDP process that were left out of the list of respondents, e.g. civic organisations, business organisations, Amakhosi, etc. While these are important for the process itself, they were deemed to be not entirely relevant for addressing the core areas of concern of the study, which focuses more on the philosophical basis on which the methodology and the process of the IDP is based, rather than the actual experience of the process. The table below provides a list of respondents and their profiles, but it should be noted that some positions are kept general and in some cases municipality names are not specified. This is simply to protect the identity of the respondents as per the researcher‟s commitment to them, because some positions make it obvious, for example some municipalities only have one Municipal Manager.

Respondent Reference	Designation	Organisation	Role
R/1	Senior Town Planning Professional	KZN Department of Cooperative and Traditional Affairs	• Provides provincial government support to municipalities on IDP • IDP specialist • Part of a group of senior officials who conduct credibility assessments of IDPs • Vast experience with IDPs both at provincial and local government levels
R/2	Senior Town Planning Professional	KZN Department of Cooperative and Traditional Affairs	• Provides provincial government support to municipalities on IDP

			• IDP specialist • Part of a group of senior officials that conduct credibility assessments of IDPs • Vast experience with IDPs both at provincial and local government levels
R/3	Municipal Manager	Municipality	• Accounting Officer/Head of Administration • Responsible for strategic direction of his municipality • Drives IDP and whole organisation"s vison at strategic level • Vast experience previously as senior official for IDP
R/4	Senior General Manager: Corporate Governance	Provincial Department	• Former Municipal Manager • Experience as custodian of IDP • Experience as strategic driver of IDP
R/5	IDP Manager	Municipality	• Project owner for IDP • Drives IDP at primary and technical/ operational level

			• Understands technical aspects
			• Involved in IDP on daily basis
R/6	Principal Town and Regional Planner	CSIR	• Researcher in Local Government and Development Planning • Technical specialist in IDP and Development Planning • One of the key personnel the CSIR uses to provide advisory services to the SA government on development planning
R/7	Speaker	Municipal Council	• Experience as former chair of portfolio committee responsible for IDP • Former political champion for IDP
R/8	Former Speaker	Municipal Council	• Experience as former chair of portfolio committee responsible for IDP • Former political champion for IDP
R/9	Municipal Manager	Municipality	• Accounting Officer/Head of Administration

			• Responsible for strategic direction of his municipality • Drives IDP and whole organisational vison at strategic level
R/10	Former Municipal Manager	Administrator (S139 of Constitution)	• Has been used as an Administrator in various municipalities in the country • Vast experience as a Municipal Manager • Vast experience as a key official responsible for IDP as municipal strategic plan

3.4.3 Interviews Schedule

The format that the interviews took was a one-on-one basis, due to the fact that "the personal interview is becoming the most frequently used method of evidence collection by business and management researchers" (Remenyi, 1998: 176). When appointments were scheduled, a further briefing on the purpose of the research and details on what it sought to ascertain were covered. This was meant to improve the quality of responses by minimising knee-jerk answers, but at the same time the researcher did not want to ask leading questions to avoid polished answers. The one-on-one approach allowed direct interaction with the respondents and allowed the interview to be more interactive rather than a question and answer session. This approach also enabled high quality and a high rate of responses. During the process, participants were encouraged to raise their views freely, being assured of the

confidentiality of their identity and responses. The questions were asked in a manner that enabled descriptive, exploratory and explanatory responses.

The questions were structured, as per the objectives of the research, to determine the extent to which the impact of Integrated Development Planning on service delivery can be improved. In more specific terms, they were intended to:

- determine the causal factors for the ineffectiveness of Integrated Development Planning as a governance tool for effective and holistic service delivery;
- establish the extent to which the limited impact of the Integrated Development Planning on service delivery and governance is due to the government structure and a reductionist and fragmented approach;
- establish the extent to which the limited impact of the Integrated Development Planning on service delivery and governance is due to shortcomings in its theoretical basis; and,
- to determine the amendments necessary for Integrated Development Planning in order to improve overall service delivery and governance efficiency.

3.5   DATA ANALYSIS

This stage was an opportunity to step back and look at what the process had produced as raw data, to organise the data in a particular order, and to interpret it to establish more meaning. In analysing the collected data in this research project, a thematic approach was used. According to (Mouton, 2006), in qualitative research the meaning of data is seen in a holistic manner rather than in its different parts. It is this understanding which informed the approach of emerging themes, rather than isolating answers and quantifying them. It also meant a holistic rather than reductionist approach to analysis, soliciting more of the essence of the emerging meaning of

responses. Further, the objectives of the research informed the framework for the analysis. Qualitative data has its strength and usefulness in concepts that emerges. It allows focus in meaning rather than categorisation and tallying of respondents and what they said. "It is best to think in terms of themes which emerge, and not worry too much about how many respondents said one thing or another" (Laws, 2003: 377).

The relatedness of messages from themes became important for analysis and interpretation. To determine the relatedness of the themes, key words/phrases and significant underlying messages were the main determining factors. Indeed, key phrases were considered in the overall context. Interest was focused more on the interconnectedness, relationships and interrelatedness of emerging concepts. This was to keep to the principle of holism in qualitative data analysis. In all this, the literature on systems thinking theory and theories informing regional planning were used to give meaning to the emerging themes.

Lastly, the interpretation to give meaning to the emerging message from the responses and emerging new ideas formed. The new emerging ideas, the trends from the responses and a detailed literature review were used to formulate the findings and the conclusions. All alternative meanings deemed possible were considered and assessed to reach key findings and the conclusion.

3.6   ETHICAL CONSIDERATIONS

Ethical consideration in research is important, thus the respondents were asked to participate and give their consent in writing. In the request for consent, the issues of participating voluntarily, the safekeeping of data, not revealing their identities as well as the use of audio recordings were communicated in advance. Such considerations were important as any findings will have important implications for the credibility of the

university and researcher. This is particularly important given the nature of the research being to address a practical problem and the interviewees being actively involved in the process, i.e. their identities had to be safeguarded. Further, such ethical considerations were important given the intended benefit of this research being to assist with improving a real situation in society. Findings reached without following proper research ethics cannot be trusted to be credible and might be misleading, and therefore could have a serious negative impact. It is thus important to ensure that the research process is credible from the beginning until the end. In this regard, the researcher acknowledged his role and appreciated the importance of ethical considerations throughout the process. Accordingly, everything possible was done to ensure the integrity of the process.

3.7   SUMMARY

This chapter has given an outline of the process and instruments employed in the conduct of this research, and the rationale for this particular research and specific objectives were restated. The methodology followed in carrying out the research was also discussed. The paradigm informing the research approach was stated and it was clarified that the research used a postmodernism constructionist approach and qualitative methods. Further, it can be regarded as a descriptive, explanatory and exploratory type of research. The chapter also showed that the primary data were collected using semi-structured interviews, with open-ended questions being used to guide the discussions rather than to be answered strictly in an inflexible manner. The responses were organised according to the themes and meanings accorded to them, as the chapter on the findings will show.

CHAPTER 4: DATA ANALYSIS AND FINDINGS

4.1   INTRODUCTION

The purpose of this chapter is to present the outcomes of the research process. It provides the results of the findings of the interviews conducted, the analyses of the collected data, and interprets the findings informed in the background by the theoretical framework discussed in Chapter 2. The chapter opens with a brief discussion of the process followed in the data collection as well as profiles of the respondents. This is followed by a presentation of the data collected and their analysis. It closes with the findings which emerged from the interpretation of data.

4.2   DATA COLLECTION PROCESS

This is a study about an Integrated Development Planning process as practiced in South Africa. Various stakeholders were selected based on the different roles they play in this process. They were people who are hands-on in preparing the IDPs and managing their implementation (i.e. planners in municipalities), owners of the process in the sense of overall management responsibility (municipal managers), people who provide support to the drivers of the process and local government work broadly (provincial COGTA and Institute of Local Government Management), people who have been in the forefront of advising COGTA and specialists on this process and strategic planning policy in general (CSIR), and politicians who are tasked with the responsibility to provide political vision and direction to inform the process and play an oversight role.

Interviews were used for data collection. There are generally three types of interviews used in research, i.e. open-ended, focused and surveys Remenyi (1998). Open-ended questions were used as they are better suited to prompt an open discussion instead of a questionnaire. The interview took the form of combining an open-ended and a focused interview approach. According to Kvale (1996), open-ended questions and focused interviews are considered to be more appropriate when research focuses on respondents" facts about the issue at hand, and this was the case for this project. Therefore while some questions were prepared upfront, they were not used and not intended to be used as an exhaustive list but to be added to, omitted and rephrased as the interviews unfolded.

Such flexibility in the data collection method allowed for an intensive and extensive understanding of the issues at hand. The instrument applied was on the basis of relevance and was informed by the type of data required to enable credible and defendable data. To ensure accuracy of recording the responses, this research used audio recordings as a back up to notes and to serve as a referral point. This tool was used with the full awareness of the respondents as they all signed letters of consent, which specifically mentioned the use of audio recording.

In terms of sampling, the study targeted a particular type of people working with the IDPs for expert information. As a result, probability sampling, which is particularly popular with quantitative research, was not used. Instead, non-probability sampling – and in particular purposive sampling - was used. According to Teddlie and Yu (2007), purposive sampling is the most preferred sampling method when the study has to deliberately select experts, which was the case here. This research used selected respondents who were mainly practitioners and contributors (professionals) to shaping the governance approach of the South African state on a daily basis, particularly through the IDP. The predetermined group was chosen for being specialists in IDP in particular, as well as being experienced in public administration in

general. They were therefore chosen on the basis of their expertise and the valuable insights they could provide into the topic. They were from the following categories - Municipal Managers (current and past), IDP Process Support Specialists, IDP Technical Advisors, Town Planners and Political Leadership. Their profiles in terms of age, race and academic level were not considered, as they were not regarded as relevant for the study. These were experienced stakeholders who had been in the field for years; in fact, most of them were involved when the IDPs came into effect in early 2000.

The format that interviews took was one-on-one interviewees. This approach allowed direct interaction with the respondents and allowed the interviews to be more interactive rather than question and answer sessions. This approach also encouraged a high quality and a high rate of responses. During the process participants were encouraged to raise their views freely; questions were asked in a manner that enabled descriptive, exploratory and explanatory responses.

4.3   ANALYSIS OF DATA

The data analysis was undertaken through qualitative forms including thematic and content analysis. The data were grouped into various themes according to the trend of the responses to the interviews.

Key messages emerging from the responses were grouped according to their relatedness and given a theme title. Relatedness was determined based on the common responses whose messages were similar or meant the same thing when interpreted. Below is the analysis of the data according to the 14 themes that emerged.

4.3.1 Notion of integrated planning

In essence, the respondents appreciated the introduction of integrated development planning at the beginning of the new system of democratic local government on the 5th December 2000. They were grateful that due to the integrated development planning process there was now a common understanding that preceding and informing any development was planning. Some highlighted that such a culture of planning was good for the future of government, as both internal and external stakeholders will grow to appreciate the importance of this exercise. Some respondents believed that it was instilling awareness in ordinary people that the local government does not only action development initiatives, but also strategically thinks about them and their impact first.

R/3: "IDP has set a scene for coordination and cooperation… it has set the firm basis for the collaborative approach."

R/7: "The participatory process, planning with non-planners and stakeholders is empowering to them and in the long run beneficial to government as ordinary people will now be aware every development initiative is preceded by a planning debate."

R/9: "The main achievement I think for the IDP… is to make planning a culture. Now, key stakeholders internally and externally know that annually they have to carefully think about development priorities of a municipal area."

Through the IDP experience, planning has come to be regarded as part of the governance process. Beyond just the notion of planning, the integration element was also highlighted. Integration was seen as an important element as it underlined sustainability, which characterised IDP and perfectly linked the general planning and integrated planning to a specific tool of IDP and its background. IDP emanated from the 1992 United Nations Conference on Environment and Development, at Rio de Janeiro, Brazil Local Agenda 21 resolution. This is the conference that introduced sustainable development concept and planning at local level. The resolutions of this

conference were taken further in the 2002 World Summit on Sustainable Development in Johannesburg, South Africa. It was from these United Nation"s conferences on sustainable development that South Africa developed the concept of IDP as its Local Agenda 21 tool. It was for this reason that integration element was appreciated.

R/10: "… the foundation of IDP is so sound because it is something which is researched across the globe, it comes from the Local Agenda 2…"

There was a general feeling that an integrative approach is an essential ingredient of IDP if local government is to have their interventions lead to community satisfaction, and that it is a sustainable response. IDP, with its theory, methods and methodology, is deemed ideal to manage the complex socio-economic issues the country is facing; it is seen as a vigorous and responsive way to unpack the socio-economic conditions faced by the poor in particular.

The interviewees felt that without proper and sound integration, the impact on the ground as intended by the concept will be limited, and today"s experience indicates this challenge. Therefore while IDP is a good thing, they argued that the environment within which it is applied is not geared to make it work. The intergovernmental relations processes and the powers and functions will have to be attended to if IDP is to work as intended.

R/2: "The IDP as a concept is good in terms of what needs to be delivered but our environment is not matured enough to fit the methodology."

There is also a concern about the integration aspect not being done genuinely. Some felt that all local government really does in the name of integrating is to document

analysis and plan interventions which are prepared separately of each other into one document.

R/2: "We still do get the planning that is following different streams… the exercise of documenting planned interventions in one document does not necessarily mean that they are integrated."

Despite all these concerns, the introduction of a planning culture was appreciated and its value was acknowledged. There was some sense of comfort that municipalities with their stakeholders were now forced to pause annually and think strategically about challenges facing their areas" desired interventions. There was comfort that planning is so institutionalised, such that even in cases where implementation is not in line with the plan there would be an excuse of incompleteness of the plan or its quality which notably it is not questioning planning itself and its role

R/2: "IDP introduced a human element in planning which was not there in the traditional planning approaches that preceded it."
R/9: "We have come a long way with IDPs achieving the introduction of planning preceding any development."

4.3.2 Democratising planning

According to respondents, one of the essential characteristics of the IDP is its participatory methodology; it is a bottom-up democratic planning process. This was seen as a positive contribution, strengthening local democracy and the overall understanding of the manner in which government works. The methodology introduced planning to ordinary people which is commendable. It was seen as instilling principles of democracy, making them have meaning for ordinary people.

For respondents, IDP achieved democratisation of planning; it allowed throwing away traditional old-style planning that was top-down and more focus on control measures for development, introducing strategic thinking for development initiatives. The methodology is more democratic and accommodating to non-planners, making it an accessible process and more integrative. The 1998 White Paper on Local Government, which is a policy framework defining the kind of local government that was to be established with the elections on 5 December 2000, defines itself as being made up of three components – political, administration and community. IDP was seen as enabling joint planning by these elements in particular, as they provide space for local stakeholders to shape local development agendas, with sector departments seen as providing expert information and guidance to inform engagements. It creates enough consensus among local stakeholders regarding what must be done to develop the local area and its people, and creates a platform for coordination and cooperation, as well as informed development action. The tool was hailed as having introduced a human element and demystifying the planning process, while creating awareness of local government and its purpose amongst ordinary people.

For the respondents, therefore, IDP is a sound management and transformation tool to bring about a culture change in local government management; it is a new way of development management introduced for new system of local government.

R/2: "The IDP made a planning process that was originally too technical for general public accessible; it demystified planning."

R/9: "The main achievement of IDP is to make a planning culture, to know that every year you are forced to sit down and think about development of an area, its integrated programmes and integrating with other spheres."

The respondents also noted limitations and challenges that go with such a participatory process. One critical shortcoming linked to implementation is that the

output of this process still does not influence the budget. This has a negative effect on the whole process as it loses credibility when it becomes clear to people that after mapping their future little is done, and in fact development still happens outside the IDP process. This lack of budget influence is made worse by reviewing the IDP every year and in doing so going back to the same communities to ask the same question(s) asked the previous year, with no to very few benefits being yielded from the process. IDP is a 5-year plan and there is a view that such a timeframe should give enough time for some implementation to happen and show benefits from the process before going back to consultation, thus earning credibility. Further, doing the same process every year instead of once every five years makes it difficult to improve the quality of the process.

R/9: "The sphere that controls only 8% of national revenue is the one forced to plan in an integrated manner and the spheres controlling 92% not forced by any piece of legislation to do the same and to align."

R/4: "If IDP is to improve… to regulate how provincial and national spheres budget based on priorities from IDP."

R/7: "…it is only by forcing national and provincial governments to prove alignment with IDP that we can see integrated development and benefits of IDP methodology."

There was also concern with the time required for an adequate and credible participatory process versus legislated timelines within which municipalities are required to complete the plan. Public participation by its nature takes time, and it is even worse if one considers that an understanding of and participation in government, especially in the early years, was foreign to communities. In addition to that is the concept of development planning, which was also foreign. Now the whole IDP has to be completed in about eight months. This period allows just once off, one day public meetings with clustered communities and 21 days to comment on the completed product before it is finally adopted by Council. The IDP core phases are situational analysis, preparation of development strategies, identification of projects and

approval. In the once-off public meetings researcher had experience of trying to do all three phases in one meeting, yet such a time allocation only allows one to scrape the surface.

R/9: "If one just takes one element, which is data usage, this time is a problem for the process; the reality is that collecting realistic primary data and verifying and interpreting secondary data in a way that leads to sound interventions requires time."

4.3.3 Limited debate and innovation

One of the challenges presented by democratising planning is a lack of or limited debate and innovation. Rural communities in particular are unable to meaningfully contribute to the engagement due to low levels of literacy and a poor understanding of governance issues; the process presupposes that everyone has a good understanding of development dynamics and can reason about it from the same level.

R/7: "Remember that the community that we are dealing with is based in a rural situation. Very few people are literate and therefore they will not be familiar with even the easiest of terms that are used in the development."

The other view raised was with regards to the way the proceedings of the meetings were being managed, i.e. they tend to be too open in the sense that any kind of suggestion is taken as it is. There is no interrogation of views expressed to establish whether they make sense and suitable interventions discussed for the issues at hand. The process needs to ensure that we manage the discussion to be within the realistic resource limitations. The needs to be a balance between allowing community to dream with what is financially possible, otherwise unrealistic expectations are created and the process loses credibility. This is not to say that being realistic about what is financially possible should stifle the process and make it seem like the plan is just done for compliance purposes and to simply endorse what administration and/or

politicians have already decided upon. The respondents stated that there were some serious concerns with this lack of debate and innovation. The feeling was that the plan is no longer created with an understanding and buy-in of the rationale behind it, but rather the process is so artificial now that it is clearly just done to say that the public was involved and that a plan has been produced.

R/5: *"…most of the comments that we get from our communities are operational issues."*

R/7: *"For communities when you embark on a consultative process, it's like not talking developmental, but just compiling a wish-list and programmes that will come to see implemented in their respected wards and localities…"*

Instead of a facilitated collaborative planning approach that encourages and pushes for a debate about issues, people now do not even raise issues but simply projects, which are listed for inclusion in the IDP without even checking if they are really the community"s view or just those of an individual. Unfortunately this problem has gone beyond ordinary community level and is now characteristic of even IDP Representative Forum meetings, where local business leaders, community leaders and sector department officials engage on the plan.

R/1: *"[In] IDP guide-packs, you had good concepts on how [we] supposed to do this integrated planning, for instance, I'm just thinking of one matter that is serious now, climate change – alternative sources of water, energy and how we do many other things to mitigate against climate change which in project identification the focus was on alternatives and best possible approach."*

Urban communities were also seen to be posing challenges of their own. While they are more comfortable with making contributions and have a better understanding of the workings of government and development dynamics, their attitudes are not

helping the process. This is perhaps because of the similar challenges of engaging as if the resources are limitless.

There are two main problems highlighted with urban communities – apathy and claiming to know it all. These meetings are held in the evening to accommodate the fact that the majority of people in the urban areas are working, however attendance is still low. Those who attend assume they know how government works and about development issues given their experience and roles in the past, including being public servants or corporate executives, however the reality is that there were significant changes introduced with the new democratic local government. These changes include, but are not limited to, changing the role of local government from merely providing services to being a facilitator for development; from being a level of government and thus a functionary of provincial and national government to being a sphere equal to the national and provincial sphere; and moving away from provisioning procurement to supply chain management with totally different procedural requirements, which emphasises transparency and open competition. In essence, in most cases there is a mismatch between what they know and/or assume and what the reality of the new system is.

R/7: "But when you go to the urban side, the willingness to participate doesn't come at a level that is expected… and they think they know yet there is a lot to learn on their part in terms of integrated development planning."

4.3.4 Quality of the plan

As already indicated, all respondents were happy with the concept of the IDP and its methodology in general. Areas of concern with the methodology were on how we action it and elements we introduce outside the IDP as an attempt to improve governance, which end up being part of the IDP methodology. Mayoral Izimbizo (Mayoral Public Meetings) are a classical case. These were introduced by national government as a measure to have the Mayors talk directly to the public on general

service delivery issues through a series of public meetings held at least once a year. On implementation this was seen to be a duplication of IDP community workshops, and as a result, the latter was discontinued in favour of the Mayoral Izimbizo. Reflecting on this decision, respondents argued that this move is one of those that has severely impacted negatively on the quality of the IDP.

The approach between the two is significantly different; the Izimbizo are more publicity/outreach campaigns, while IDP community workshops are workshops where there is some level of debate regarding the social, economic and infrastructural problems facing that particular community at ward or cluster of wards level and debate interventions.

R/7: "We should go back to IDP methodology on community participation as we used to have; keep Izimbizo but use information from community workshops to confirm at Mayoral Izimbizo or vice versa."

R/9: "In our municipality I still insist (I was meeting with the IDP team) to say, the meetings we are going to have with the public in around November is not going to be Izimbizo led by the Mayor."

Also, irrespective of the format these community engagements take, communities tend to see them simply as opportunities to give government their wish-list of projects, rather than to collectively strategise as a community about the future of their area. There was also a strong view that this process, given the complexity of issues it deals with and its expected comprehensiveness in analysing and proposing responses, has unrealistic timelines. For IDP teams in non-metropolitan municipalities the norm is a maximum of two officials. With that size of team, it is impossible to develop a credible IDP which is well-considered in every aspect.

R/9: "IDP is not about town planning field only, but all municipal governance fields e.g. human resources, financial management, etc. But this has not been instilled in municipalities."

It is argued that due to the above there is not even good quality use of the already available data. Useful data is rarely sourced from other departments within the municipality or sector departments, and when it is sourced, it is not used critically to provide insight and deeper meaning so that there can be more suitable interventions. They are stated with not much sense of critical engagement.

R/10: "Because really it's planners of today who are determining how South Africa will look like hundred years from now. As we are busy with it, it doesn't seem to me that we are aware of the kind of impact we are going to make in future generations because of the decisions we are taking now."

R/9: "There is no projection using data readily available but data used just for analysis of issues at that particular time and not what that data means for the future."

R/9: "There is a lot of data generated by municipalities outside IDP process e.g. capturing aerial view during valuation processes, assets verification, workplace skills plan, etc. All these processes give quality data useful for planning but it is not used in the IDP process."

R/9: "If you look at the time we have to produce IDP in terms of legislation and want a credible document, it is always impossible to produce a credible process and plan."

Respondents were also despondent about too many requirements being imposed by COGTA for preparing the IDP, feeling that these requirements stifle innovation of the municipalities in general, and particularly the IDP teams. Despite good quality IDP guide-packs issued at the start of the process in early 2000, from time to time COGTA issues some requirements with which municipalities must comply. For instance, the

KwaZulu-Natal COGTA now has a template on every sub-topic to cover in preparing an IDP, even to the point of specifying which analysis tool must be used. Even the report structure is standardised, claiming quality control and ease of reference when assessing the document. This rigid approach to strategy management makes boundaries for content too fixed, compromising the critical aspect of the process and the ability and freedom to think widely and focus on issues that are a priority for a local area.

R/1: *"Where probably we are now missing a point is where we keep one way of analysing as if it is the best and…if somebody doesn't do SWOT but does PESTEL… it is not considered a proper scenario analysis… forgetting that there are so many ways you can analyse a situation and arrive at key issues that you need to deal with whether you use SWOT or PESTEL or scenario planning."*

R/1: *"If it were for me I would take that [COGTA IDP guideline] template and throw it to the sea because it tends to keep development issues in the box which shouldn't be the case."*

R/3: *"Due to this fixed format the document is bulky and dominated by analysis rather than interventions."*

The strength of the IDP is its responsiveness to local strategic issues which might not be manifesting themselves in a similar way to the municipality next door. On paper another strength is its comprehensiveness in providing a broad framework, however with rigid boundaries, regular new requirements, and strict timeframes to prepare it in and/or time allocated, this is proving to be difficult.

4.3.5 Institutionalised Strategic Planning

Integrated Development Planning has been a critical part of local government systems re-engineering such that strategic planning has become an integral part,

however the annual reviews are proving to be a challenge for the credibility of the process. Respondents were of the view that maybe the only positive thing about annual reviews of the IDP is that municipalities have now organised their processes such that they know that every year they have to plan. Further, the public is now used to the process and their involvement. Although IDP may be arguably weak, it is nothing compared to just rolling out development without any strategic thinking behind it. This is not to downplay the challenges mentioned already, as if these are not managed they might undo all the benefits that the concept has delivered so far. In addition, the complexity of today"s problems really need out of the box thinking so that innovative locally suitable interventions can be identified.

R/6: "IDP is a 5-year plan and development by its nature is a long term issue. The annual reviews structured such that communities are engaged annually on their development needs, causes communities to lose interest because in most cases within a year what they have raised the previous year has not been addressed."

4.3.6 Ownership of the plan

Another emerging theme from the interviews was the issue of the sense of ownership of the plan by both Council and administration. Councils were seen as not understanding the politics of management as expected, as they have governance oversight over the performance of municipalities. To that end, a company needs to protect the strategy from anything that might compromise its implementation, and be constantly aware of both internal and external threats. It therefore constantly checks even its own decisions against the thinking in its strategy.

R/9: "A standard practice is that a company or organisation develops its strategy and the responsibility is on itself to see it to its fulfilment."

Another problem with IDP is that it is managed such that there are no consequences for anyone acting outside it. IDP is a strategic plan for a municipal area. In the context of South Africa, no area is outside a municipal boundary and authority. Although powers and functions are shared amongst three spheres, authority for what happens in any area is the jurisdiction of a municipality. Yet the tool to instill this authority and provide guidance for all stakeholders is not respected. In the worst cases even the municipalities fail to produce an IDP within the stipulated deadlines, and there are no consequences.

R/1: "…*we still get as late as October, municipality submitting IDP and wonder we are three months into the financial year and you are getting an IDP from [this] municipality, so it means it has started the financial year without an [approved] IDP, so you shouldn't have approved the budget to start with if you didn't have an IDP and you wonder to what extent then do those municipalities get punished for doing that.*"

IDP is seen as an IDP unit process and document. It is not owned by the whole municipal management and Council both at preparation process level, as well as when the document has already been approved by the same Council recommended by the same management executive of a municipality. This lack of ownership by the municipality directly or indirectly leads to a lack of ownership or respect for the plan by other spheres of government, state owned companies, private companies and individuals. The resulting effect is that compliance to the plan regarding development initiatives on the ground is non-existent. The respondents felt that there were some loopholes in the system that made it possible for the Council and all other stakeholders to not respect the IDP. This was highlighted as a concern as it clearly has negative implications for implementation. The fact that the process is driven and seen as being owned solely by IDP units was mentioned as one of the gaps; the other units and specialists stand on the sidelines. It was also pointed out that budget and organogram critical as they are, get processed and finalised without ever considering what the IDP says about them. Audits by the Auditor-General were also seen as

being skewed in terms of scope, as they are auditing compliance with the preparation and implementation of the IDP.

R/1: "For instance, you get a municipality getting a clean audit [Auditor General's unqualified audit opinion with no matters of emphasis] that has not spent money… clean audit should go beyond just [assessing proper] use of money for purposes intended but should go to say are these people performing, are the people out there getting services…"

R/4: "Even municipal departments still operate in isolation and do not understand their role in the IDP and how they are supposed to influence their processes."

4.3.7 Leadership

A number of respondents raised very strongly the issue of a lack of leadership in this process, which was blamed on allowing the process to be compliance driven. The passion that used to characterise officials involved in this process has eroded, which is blamed on the rigid and prescriptive approach adopted by national and provincial government that has resulted in it not being stimulating and challenging. While others feel that although there are now many areas that are prescribed, there are still many aspects where innovative thinking still can and should happen.

R/1: "The first five years [of IDP process] we were enthusiastic and probably very close on what we wanted to do though we had issues of capacity because we were starting from nothing basically we were conscious that we want to work and make this IDP work."

R/5: "The emphasis on compliance and its volume makes it impossible to get to the other aspect where one can be innovative."

The respondents also felt that planners tend to abdicate their responsibility to be facilitators of a debate to eventually arrive at a desired agreement on both the

problems and the solutions. It is this abdication of responsibility that is seen as causing the process and the resultant output to be weak. The IDP teams have been too accommodating instead of capacitating the public; and letting them know when they argue against shared planning principles. This is not to say that planning principles should be forced on communities, but the context of what communities want, e.g. a stadium, freeway off ramp, university, hospital, clinic, police station, traffic lights, shopping centre, etc., should be explained. All such land uses have clear planning principles that can be easily communicated with communities, instead they are taken as they are into the plan.

Now, there are land uses that planning principles become less clear cut or sensitive because they are at primary need level e.g. greenfield human settlement development, community hall, training centre, sports field, burials, etc. For a plan to be credible and areas to be developed properly, even these sensitive ones need boldness and passion to empower and transform societies by planners and politicians to advise and convince communities.

R/1: "I do think maybe at some point you can consult and consult [but at] a certain point there needs to be a push of some kind for certain things to happen."

Respondents argued for the IDP as powerful management tool, however this tool can only work if we preoccupy ourselves with it and believe in it. Using it properly will mean using it as a strategic framework, providing a thinking base and analysis of every key situation in a municipality, and then using it as a point of reference for all key decisions. For that to happen, a quality plan and ownership by Council, management and the IDP team is essential. The plan will also have to be seen as being used by everyone investing in the area, starting with the public sector, and then everyone can take pride in it.

It is a reality that sector departments are not going to be able to send officials from head office with up-to-date information of details on its plans and programmes, however these departments have qualified professionals who are content specialists based at regional level. In most cases they are available and willing to assist and provide their expert knowledge in the planning process, but they are not aware of what is happening locally. At the end of the day, it is the local government (wrongly or rightly) that is expected to be at the forefront of seeing to it that the IDP is implemented. For this reason, using these experts to produce a credible plan and working with them to implement it according to their sectors will only benefit the municipal area and give it a good name.

R/10: "Such usefulness of IDP is only possible if municipalities can reach out to the sector departments, state owned enterprises and the private sector."

The core IDP team and management are regarded as severely lacking in their ability to lobby and network. Perhaps a lack of focus on implementation management as part of the IDP process has led to this gap. Because there is no such focus, soft skills useful in sourcing resources are therefore neglected. In fact, lobbying and networking was identified as being not only important in sourcing financial resources, but also for sector information and expertise.

R/10: "I would argue that practitioners in local government, when they interact with counterparts in the other two spheres, they are already interacting as junior partners… they are not speaking from the position of responsibility."

There was also a view that the Municipal Systems Act (Act 32) 2000 gives the IDP very good authority. One of the problems identified, however, is that the Act does not make it illegal for there to be implementation of any development initiative that is not in the IDP. The reality is that the three spheres, although equal in the manner they have been conceptualised, are not really equal in the way their systems function and

their resource control. The national and provincial spheres have more influence than the local sphere, given the fact that they control about 90% of the fiscus. In addition, political leaders are deployed to national parliament and provincial legislations, where they have a legislative and monitoring role over local government. This state of affairs puts pressure on local government leadership and officials to exert their authority and act with confidence and conviction in this sphere, and therefore the IDP is to be heard.

R/4: "The IDP authority and local government seen as junior level of government is because nothing forces provincial and national sector departments to plan strictly according to priorities in IDPs otherwise budgets not approved."

With such a leadership vacuum a gap has opened to make IDP not just compliance-driven, but also projects-driven. The respondents were concerned that rather than being a strategic policy document, IDPs have been reduced to be only about projects and service delivery. All the other key components not seen as service delivery or projects have been neglected. The neglected projects include critical issues such as revenue projections and enhancement, social cohesion, institutional transformation, organograms, moral regeneration, etc. As an indicator of the lack of confidence in this process, there is also now a trend of many issues being actioned outside the IDP process. The danger with this practice is that it defeats the integration objective that led to introduction of the IDP in the first place. In fact, unless this is curbed and order is restored, we are moving away from implementing the Local Agenda 21 as per the country"s commitment to the United Nations.

R/10: "This list of challenges means one thing, leadership is key… the IDP process needs credible focused leadership. Our system is designed to have IDP as the centre of coordination, but due to many reasons including entrenched government practices from the past, we function differently. Respecting the authority of the IDP is getting more urgent by the day."

R/2: "We are waiting for the day where municipalities would strongly say this cannot happen here or in this form because it is not desirable."

4.3.8 Powers and functions

Powers and functions was one of the emerging themes from the respondents. The issue with this is that their current conceptualisation has so many gaps, which causes confusion. With the municipality not sitting with all the powers and functions relating to all key development areas, integration will always remain a challenge. The allocation of powers and functions as per the Constitution, which lists some of the key development functions as provincial government functions, makes it difficult for local government to be the key development agent as the government closest to the people. Such functions include, but are not limited to, district and provincial roads crisscrossing municipal areas and being main connector routes in a municipal area, primary health care, basic education, etc.

With the development related powers and functions not all being at local government, there will always be a problem with the extent to which it can play its oversight and coordination role for every development in its area of jurisdiction. In other words, a municipality is not in a position to call any sector department to account, due to the split of powers and functions. It does not have sole control over what is happening in its area. This is a problem as these sector departments are developing people and areas belonging to a municipality and the entity whose people are being affected cannot question their actions.

R/4: "Whatever any citizen needs on daily and regular basis should be provided for at local government level – pension, education, water, roads etc. Province and national should only provide standards and policies and backbone infrastructure e.g. roads linking to other countries, major water dams, bulk electrical stations, etc."

R/2: "Whoever came up with the concept of IDP functions and have it driven at municipality level had an expectation that a municipality would really be in charge of everything that is happening in its space. We clearly overrated the autonomy of municipalities."

Although in the Constitution and all legislation the South African government is organised into three spheres, in practice we still have levels of government with local government being the lowest level. While through IDPs local government has theoretically been given the power to control what is happening on the ground, practically the power seems to rests where the resources are. As mentioned earlier, the national and provincial spheres together control not less than 90% of the national fiscus.

4.3.9 Backlog pressures

The lack of compliance with, and respect for, the plan was seen as sometimes due to the „luxury" of backlog pressure; as backlog numbers are high and include primary needs, government might be getting away with poor planning and poor integration. There is a tendency to implement without planning, or if a plan does exist, to disregard it. Perhaps without being aware, we are subconsciously leaning towards preferring to focus on driving services and development without careful consideration of planning and integration. Even as organisations we might be inwardly preferring that and with this system of government and using this complex planning tool is still fairly new the natural temptation is perhaps to simply carry out services that are obvious, however this way it is not the plan, the strategic thinking and the integration that drives development initiatives, but finances and engineering.

R/3: "After all, doing without thinking is always tempting and seems less complicated and not stretching one's mental abilities."

R/1: *"Somewhat planning was seen as a fluffy, nice to do stuff not helping us respond to the socio-economic conditions were facing and making matters worse was that there are no consequences for not complying with the plan."*

R/8: *"While IDP is theoretically sound for sustainable and integrated development, we risk - due to pressure [to develop at a faster pace now], to act with not well thought through decisions in short term and they haunt us in future."*

However this attitude (whether it is perceived or real) does not give all involved a fair opportunity to try out the IDP tool to see if it works for the country or not. In addition, this disorderly approach prevents the state from creating integrated and sustainable development to produce satisfied communities. At some point one hopes that the key role players will appreciate that development by its very nature is integrated, and thus reacting to backlogs by just doing will come back to haunt us in the future.

4.3.10 Synchronisation of intergovernmental processes

The current approach to intergovernmental relations (IGR) is also seen as one of the drawbacks towards effective and efficient integrated planning process. The sector departments and state owned enterprises generally do not cooperate with local government, particularly for IDP preparation and implementation. A silo mentality is still a problem and departments are operating with the mind-set of the old system where local government was a junior partner, and not applying an integrated approach to governance. They generally do not participate in IDP and when they do, they are represented by junior officials who are not well-informed about the department"s strategic direction and decisions. As a result, dissatisfaction has set in with some municipal officials. All this affects communities negatively as it results in poor IDPs and therefore no critical consideration of the socio-economic pressures they are facing daily.

R/8: "…national treasury and the NDP are becoming quite synchronised now, the budget is now responding to the priorities."

R/2: "Provincial and national government allocate budget for functions and because they are not tied to particular municipal area, they can always redirect funding irrespective of need and without any explanation to the originally intended beneficiary municipality."

Synchronisation of government processes, including budgeting, is critical. Communities are less worried about which sphere provides a service, as their main issue is to get the services due to them from government; they are not interested in the government"s internal dynamics. This lack of coordination has led to many service delivery challenges, for example, housing units built in greenfield areas with no additional schools. There is no denying that the principle of integration is sound and well suited to be a governance approach in the 21st century, yet the respondents argued that the problem in the case of South Africa seems to be having this concept of integration only emphasised at the local government level. This is not necessarily to say that the same tool for integration (IDP) should be used by the other spheres, but the point is that they should also manage development as a sphere in an integrated manner, whatever the tool.

There are many signs of disjointed development planning and management in these two spheres – national and provincial government. Sector departments tend to plan and operate in isolation, yet their functions naturally feed into each other. Clearly when the entity controlling about 8% of national revenue is the one compelled to develop a culture of integrated planning and the ones jointly controlling about 92% are not, there is a problem.

R/7: "While there are still elements of working in silos within spheres of government, we are making strides towards an integrated approach. There is now interaction and

coordination across spheres for development initiatives with IDP being central guiding framework.”

R/7: “Lack of alignment and synergy between the national plan, provincial plan and the local plan… everyone [provincial and national] should be aligning with and implementing the local plan.”

R/9: “Local plans should be localising national and provincial plans and therefore local plans should be implementing plans from the two spheres.”

Another problem is that the Local Government: Municipal Systems Act (Act Nº32) 2000, given its title, is seen as local government legislation. In other words, nothing says that the other spheres or private sector must comply with it. Nothing says that when a SOE or a sector department implement some development, because every space belongs to a municipality they must do that in a manner that aligns with a development plan of municipality in question. Also, worsening the situation was that no legislation governing functions of national and provincial spheres where it instructs compliance with the Municipal Systems Act. All this makes IDP, the key strategic document coordinating development in every space in the country, very weak in terms of the extent of its scope of influence.

R/1: “In theory IDP is the plan for all government but the reality is the IDP are reduced to just a responsibility of the municipality.”

R/8: “Perhaps to enforce this, given the authority commanded by budget in all spheres, one of the criteria for acceptable budget should be proper alignment to IDP.”

Further, the approach by departments and State Owned Enterprises to align with IDPs by simply asking municipalities to submit their plans is seen as causing more problems. When municipalities are asked to make these submissions, in most instances the response is that nothing could be used from them. Yet if there is

nothing useful in the IDP for a sector, who is to blame and how is that gap to be closed in the future? By their design, IDPs provide a perfect platform for all three spheres to engage on development priorities. It gives a basis for cooperative governance to share and empower one another, as well as to develop a shared vision and design shared programmes for a specific municipal area.

R/10: "I am also not concerned about the cycles that they are not seamless because we are not planning for one year horizon, our cycle is five years, but we annually review."

4.3.11 Power dynamics

Another concern with the IDP as it is applied, is that prioritisation of projects is more influenced by power relationships than a planning/scientific process. The respondents felt that the process, even at a conceptual level, fails to appreciate and manage the power dynamics. Some argue that failing to pay attention to the power dynamics is dangerous and it may be allowing an unfair advantage for the better off groups in the society.

R/8: "We should be mindful of whose voice we are hearing in public participation processes including when we are doing development planning because the rich and those in power tend to have stronger voice and the poor starve to death."

The high levels of poverty and underdevelopment in certain areas cause unhealthy competition, even amongst the decision-makers. Political warfare at local government level sadly tends to be narrow and short-sighted. There is a tendency in municipalities to want to see something physically being done for each and every ward, yet this approach compromises the effectiveness of development initiatives because they are not justified by reasoning and logic, but by who has the power.

R/4: "Institutions and individuals are under threat and as a result there is growing tendency in IDP engagement for people to be more concerned about their areas being covered on development initiative rather than focusing on strategic thinking for whole municipal area."

4.3.12 Spatial planning

Spatial planning and spatial referencing is critical in development planning, but the interviewees felt that this is rendered irrelevant in the current practice, as development interventions do not reflect the principles adopted in the SDF. For instance, SDF may increase density in certain areas, e.g. peri-urban locations, and keep others low density, e.g. rural areas. When a municipality implements a human settlement project it may take a peri-urban area which will need some high rise flats and do only stand-alone units, and in a deep rural area do exactly the same greenfield development. In this way the municipality has increased density in a rural area that in its SDF said must remain low density, and has decreased density in a peri-urban area which the SDF said it must not. There is no proper understanding of what we are trying to do through SDFs, and as a result even policy positions that are taken there are hardly understood by the Council that adopts them and the management that recommends them are hardly understood. It is not surprising therefore that they go and do direct opposite when implementing their development initiatives. PA proper and sufficient understanding of SDF preparation and management should thus be inculcated.

There was also a concern that SDFs in rural areas have still not been introduced and managed properly with Amakhosi. As a result SDF is totally disregarded in rural areas, which means that there is development in areas which are risky for humans to settle in.

R/9: "The plan is done lackadaisically without using latest data and analysis of trends and no serious effort done to bring it closer to reality in the way issues are unpacked both in concept and mapping."

R/2: "The principle of providing the same level of services to everyone and no level of hard hand to discourage people settling in certain areas works contrary to SDF principles."

For the respondents, the alignment of SDF with the budget was also seen as a gap. Sector departments are allowed to have programmes that do not force them to commit to specific geographic areas in terms of their interventions. This alignment should ensure that every project is budgeted for; as part of compliance matters should be clear with regards to spatial referencing, at least at local municipality level, if not in specific villages/suburbs/town centres. This will make for useful tracking of SDF and IDP.

R/6: "…departments should be forced to provide specific spatial referencing."

4.3.13 Implementation

On the implementation side there were some concerns amongst respondents that when looking at implementation of IDP there is a tendency to look at it as if it is only about infrastructure. As a result, not much attention is paid to developing people. In the case of South Africa, some are beginning to argue that we our infrastructure is adequate but that we lack human development, and as a result a very unstable society is emerging. Such a disturbing trend emphasises the fact that IDP is not simply about infrastructural development projects, but about long term sustainable development, the transformation of society to be more equitable, and ensuring better community satisfaction levels.

R/8: "We should now focus on developing people, focusing on decision making and how people organise themselves to better their lives. Relatively speaking, we are doing just fine on infrastructure though there are still some gaps but the human development gap is too big."

Another challenge is that government seems very weak on implementation and is not an integral part of the plan and planning process. In other words, the planning process seems not to be planning for and deliberately driving implementation. IDP needs to be the blueprint for development, as in that way no development will happen unless it is informed by IDP, and implementation will be deliberately coordinated by a relevant team.

R/2: "The biggest shortcoming on implementation is that we think by preparing the plan and allocating resources implementation will happen almost automatically. Experience has shown that due to limitation on resources there is further horse trading happening outside the IDP process."

4.3.14 Performance management

There was a concern amongst some respondents about the manner in which the Performance Management System (PMS) is currently managed. While not denying its important role in improving implementation, some felt that it was also to some extent stifling innovation and the quality of the IDP. In essence, this was saying, with the current PMS being used i.e. Service Delivery and Budget Implementation Plan (SDBIP), PMS has moved from being 3 year based to being annual. As it is now annual and the IDP is reviewed annually, it encourages people to avoid being bold and innovative about what needs to be done, instead going for easy and straightforward interventions and lowering their accountability burden.

A multi-year PMS system is more inviting for innovative and high impact interventions, as it allows for such to be a target for the second or third year. Indeed, psychologically this might be seen to the person committing as if target date will never arrive. More importantly, it allows for certain enabling prerequisites to be in place before the main target is due, and therefore increases the chance of actually achieving the target. Multi-year PMS also enables a municipality to include things that are not within its scope in terms of powers and functions, because there is time to communicate this and to get commitment from the relevant entity. PMS, as originally introduced by the Local Government: Municipal Systems Act, was meant to monitor IDP implementation, hence it took place every three years.

The annual SDBIP introduced by the Local Government: Municipal Finance Management Act is structured such that it monitors budget implementation. IDP includes initiatives that need to be done by entities other than the municipality. In the PMS a municipality is able to include responsibilities outside its mandate but in the SDBIP it cannot include such things. In fact it cannot include things not budgeted for, even if those things are its responsibility. As already indicated above, IDP is not just about service delivery and it is not just about budget implementation. It is against this understanding that it is quite concerning that PMS for municipalities is now effectively the SDBIP and the gaps from this misfit are starting to show.

R/2: "…they are going to be as conservative as possible if it means documenting things in the plan it's going to translate into saying well I must be held accountable…"

4.4   SUMMARY OF FINDINGS AND CONCLUSION

The study set out to establish the extent to which the concept of the IDP and/or its methodology has systems thinking characteristics in it. The argument made was that the ineffectiveness of this tool for development planning and the transformation management of municipalities is a reflection of the absence of systems thinking in its

theoretical foundation and/or in practice. In conducting the study, research objectives were developed, sampling of respondents conducted, literature on systems thinking and town and regional planning studied, interviews conducted and data analysed and interpreted, and the results of this process are presented in 4.3 above.

As the analysis above shows, the key messages that came from the interviews and literature review covered the following aspects:

- The introduction of the notion of integrated planning as a sustainable development tool;
- Opening up development planning to ordinary people and planning with them;
- Institutionalising strategic planning through using the IDP tool and planning on regular intervals;
- There are concerns regarding limited or no debate and innovation;
- There is a concern with the quality of the plan owing, amongst other things, to limited or no debate;
- There is a lack of visionary and passionate leadership with an unshaken commitment to driving this approach to governance;
- The limited powers and functions (areas of responsibility) allocated to local government, with some shared between spheres, are causing confusion and limiting the control a municipality can have for development in its area of jurisdiction;
- The low levels of development and high number of backlogs put pressure on and make it possible for unplanned and disjointed development driven by budget and power yielded;
- Having different spheres, the power relations between them and the skewed allocation of resources confuses intergovernmental processes;
- There are power dynamics amongst stakeholders at local level as well as across the three spheres of government;
- There are spatial planning and spatial referencing challenges;
- There is no strategic focus or concerted effort on implementation; and

- Budget-linked rather than IDP-linked performance management which is also limited to short time frames for preparation.

Based on the inputs of the respondents as well as the literature review, the research process conclusively shows that the IDP at concept level is sound, and the integrated approach to corporate and development management is a relevant 21st century phenomenon. According to systems thinking, organisations are similar to biological or living beings; as a living being‟s parts do not function independently of each other and are useful in relation to each other, so are an organisation‟s. Studies over decades have shown that organisations behave like living beings – they develop a culture, tradition, learn, etc. (Critchley and Casey, 1989). In adopting this approach, the South African government clearly demonstrated its use of spheres rather than levels of government. In the spheres approach, the government defines itself in section 40(1) of the Constitution as one government with three parts that are "distinctive, interdependent and interrelated" (Constitution, 1996).

The vision and policies for how local government should work are set out in the White Paper on Local Government (1998). The White Paper states that local government must play a „developmental role‟, which means that a local government should be committed to "work with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives" (Africa, 1998: 10). A developmental state becomes a prerequisite to developmental local government, as it can never exist in isolation but always within the framework of a broader state.

This holism approach to different parts of government means no one sphere can be singled out and blamed for any governance challenge, which by its nature is interlinked. Further, given the roles and responsibilities allocated to the three spheres,

local government is the last one to blame for anything that goes wrong. Legislation, policy-making, fiscal allocation, monitoring and capacity building are allocated to the national and provincial spheres, and whenever there are failures at local government levels, it is something the national and provincial spheres have the authority to control. Therefore when there is such a failure, it is a reflection first and foremost of a failure by the national and provincial spheres.

In its 10 yearly conferences on the environment, the UN has expressed itself clearly on the importance of sustainable development. This sustainability principle became the founding principles of the IDP tool, and the sustainable and integrative approach to planning has in the last almost three decades come to be accepted the world over as the correct notion for sound management and planning for development. "It has been noticeable, for example, that the new directions planning has taken since the later 1980s, into sustainable urban development, drew their original momentum largely from the green movement" (Ward, 2002: 397). This is the principle that gives life to the idea of a sustainable development agenda and systems thinking movement in the built environment field. Regional planning is about the interrelationships of land uses within particular geographic, political and socio-economic boundaries. The systemic approach to planning seeks to understand and manage development in such regional boundaries by understanding the interrelationships and emerging behaviours thereof (Chadwick, 1971).

In terms of the discipline, IDP is a planning approach for development management, therefore it belongs to the field of Town and Regional Planning. In terms of its founding planning theory, it is heavily informed by Communicative Rationality / Collaborative Planning. For Communicative Rationality theorists, town planning as a scientific empiricism exercise no longer provides a credible response to contemporary social conditions (Mandelbaum et al., 1996). In Communicative Rationality it is argued that for a response to the social conditions to be sound, it has to be based on

arguments, deliberations and dialogue (Taylor, 1998). Communicative Rationality sees planning as a deliberative process that exposes the public to information to empower them for sound decision making. In other words, the solutions determined through argumentation are seen as more enduring and effective than those from abstract reasoning by scientists.

However, while the IDP has this sound theoretical base, in its application we have tended to focus on the aspects of the theory that addresses communicating with the public, allowing their voice to be heard and empowering them to participate, albeit at varying degrees. This is part of Communicative Rationality and should indeed be taken into account. This tendency to focus on empowering and understanding aspects of Communicative Rationality has attracted many critics of the theory. "They find that the main problem in communicative planning is the widespread practice of its techniques, without meeting the needs and agendas of theorists... address communicative planning as a practical tool (not an epistemological view) that does not seek consensus per se, but mutual understanding and empowerment" (Kiisel, 2013: 233).

However there are other critical parts of this theory - debate and power dynamics. By focusing on awareness and empowerment we have done well through the process to broaden the understanding of government in general and local government in particular, made government accessible to ordinary people and instilled an appreciation of the importance to plan and budget before any development action is taken. Such focus almost came naturally given our history of exclusion of certain race groups from participation in governance, however by ignoring the debate and power dynamics elements, the quality and usefulness of the plan is compromised. "It has been found that if the planning is based on Habermas" concept of a logical political will-making process with undisturbed discourses, strategic planning can be used to

mobilize the people, tactical planning can be used to organize the local resources and the implementation can be supported by operative planning" (Amdam, 1997: 329).

Due to not paying attention to these elements, we have IDPs that tend to contain a big list of community wishes that are not feasible to implement, owing either to a lack of resources or because they are not in line with planning principles. Further, the quality of line of arguments and innovations that should be the basis of and reflected in strategies and projects is compromised. The end-result is an IDP that is unrealistic and cannot be implemented. This causes frustration for the public, which is seen in the general dissatisfaction about the state, apathy and the recent violent service delivery protests.

The prescriptive approach by the departments responsible for the development management function at both provincial and national level (cooperative and traditional affairs) has sadly side-tracked government from the theoretical base of the IDP. In attempting to elaborate on the IDP guide-packs they have streamlined the process to the point of the process not being about strategic planning, but rather about ticking boxes. The assessment criteria for credible IDPs in the case of KwaZulu-Natal even prescribes the analysis tool to be SWOT and nothing else; a classic example of moving away from the systemic theoretical foundations of the IDP to traditional business management theories. This is in conflict with what (Steyn, 2013: 17) said when he urged organisations to "start to consider the idea of quitting entrenched business thinking frameworks such as PESTLE and SWOT, for example, and rethink how they currently view the environment". This approach by the department is worrying, as beyond missing theoretical bases and therefore the critical systemic character of IDPs, it is also limiting innovation. This is happening when in the last almost three decades planning has transcended "from the realm of autonomous reformist thought and action into actual urban governmental policy, the state, in

various guises, began to become an important setting for planning innovation" (Ward, 2002).

What also emerged from this study is that effectiveness of an IDP process is heavily dependent on a well-oiled IGR system. This refers to the spheres respecting their Constitutional mandates, the budgeting process, the allocations aligned to IDP, and working within the spirit of cooperative government. A poor understanding of a mandate means an identity crisis and therefore risks an entity not doing due diligence in performing its roles and responsibilities. From observations and the responses from the respondents summarised above, it can be seen that the mandates of and by national and provincial spheres are either neglected in various respects or are unknown. In fact, the skewed control of national revenue perpetuates this ignorance or neglect. If these two spheres are in control of at least 90% of national revenues, they more or less have the freedom to do as they see fit as long as they are acting within the laws which govern them directly. In other words, nothing compels them to see to it that the Municipal Systems Act, which provides for IDP, is honoured. This would only be possible in current intergovernmental relations if they understood the spirit and the letter of the coexistence of all three spheres.

The power dynamics between spheres currently contributes significantly to IDP failure. This situation is critical considering that sector specialists whose input is crucial for good quality IDP sit in these two spheres. These power dynamics lead to a significant majority of the country"s budget being spent without following the plan, or at least the recognised strategic plan. This leads us to budget-led rather than plan-led development, and the implications for this practice into the future are dire; in essence, it means the goal of satisfied communities resulting from an integrated planning approach to development and corporate management will forever evade us. Ultimately it simply means that the country will not function optimally, as the services and infrastructure will not demonstrate that they were sufficiently considered and well-

coordinated to respond to communities" needs. There is simply no innovative thinking to determine relevant solutions to the complex problems facing us. "Organisations are in crisis, partly due to the lack of discovering innovative solutions for twenty-first century challenges, through new thought processes concerning strategy selection" (Steyn, 2013: 15).

IDP is not a simple and straightforward process; it is complicated both in terms of the nature of the issues it seeks to address as well as in terms of it being an iterative process. It requires a focused and deep understanding of the politics of development, yet given the comprehensiveness of the scope it covers, it will struggle to be successful without a multi-disciplinary team and ownership across spheres and within municipalities" management. The process demands professionals who are visionary and committed, and who have a clear understanding of their sector mandates as well as the broader government mandates, the interrelations thereof and their role(s) in the process. It requires professionals that have characters of dynamic leaders, and needs lobbying, networking, creating partnerships, assertiveness and other such soft skills that can only be found in dynamic leaders. On the technical skills side, the process needs someone who is good with analysis and policy formulation to be able to work through the complex and voluminous data and make sense out of it.

Time in which it is expected to be completed and human resources are too limited only allowing superficial environmental scanning. With the 21st century development complexities, organisations including government entities like municipalities cannot afford simplistic environmental scanning. "Current conceptual scanning frameworks are inadequate in considering the random and unpredictable business environmental futures that organisations need to remain sustainably competitive in" (Steyn, 2013: 15). Clearly it cannot be an individual but a team, and it also can only be effective and yield results if it is owned and championed at the highest level of every government entity and sphere.

IDP is not accorded its rightful status as a policy and strategy for development in every local area. Municipalities, sector departments, state owned enterprises, civil society organisations and the private sector are still able to drive development without any consideration of IDP imperatives. In fact, the lack of ownership and safeguarding by municipal Councils is arguably a basis for the lack of authority of the IDP. The serious meaning of IDP as an overarching development management policy and a sustainable development tool for a municipal area is still lacking from the primary custodian i.e. Council. This lack of authority makes IDP pointless and also exposes the country to development in a disjointed fashion. As (Steyn, 2013: 16) put it, "generating ideas is useless if management do not act on them". It also means we do not understand a community as a whole (wherever you choose to place a boundary – suburb, town, ward, municipality, etc.) and make interventions that take other issues in the related „systems" into account.

In summary therefore, the key findings of the study are as follows:
- IDP at concept level is theoretically sound;
- IDP is a corporate and development management relevant for 21st century phenomenon;
- According to systems thinking, organisations are similar to biological or living beings;
- Systems thinking philosophy is embedded in the concept and system of government;
- Local government should not be blamed for anything that goes wrong because anything that does goes wrong is a reflection first and foremost of a failure by the national and provincial spheres.
- Sustainability principle became the founding principles of the IDP tool.
- As a Town and Regional planning discipline"s tool, IDP is heavily informed by Communicative Rationality / Collaborative Planning;

- For Critical Rationality theorists, town planning as a scientific empiricism exercise no longer provides a credible response to contemporary social conditions;

- We have tended to focus on the aspects of the theory that addresses communicating with the public, allowing their voices to be heard and empowering them to participate, albeit at varying degrees;

- Tended to ignore the most critical part of this theory i.e. debate and power dynamics elements;

- Broadened the understanding of government in general and local government in particular, making government accessible to ordinary people and instilling an appreciation of the importance of planning and budgeting before any implementation.

- Ignoring the debate and power dynamics elements results in the quality and usefulness of a plan being compromised;

- Our IDPs contain a big list of community wishes, which are not feasible to implement owing either to a lack of resources or because they are not in line with planning principles;

- There is poor quality of debate line of arguments and innovations;

- IDPs as we have them today are mainly a consolidated project wish list.

- The effectiveness of the IDP process is heavily dependent on a well-oiled IGR system, with spheres acting with an understanding of their Constitutional mandates, the budgeting process, the allocations aligned to IDP and working within the spirit of cooperative government;

- Nothing compels national and provincial governments to see to it that the Municipal Systems Act, which provides for IDP, is honoured;

- IDP is not a simple and straightforward process; it is complicated both in terms of the complexity of the issues it addresses and also in terms of it being an iterative process.

- IDP needs a multi-disciplinary team and ownership across spheres and within municipalities" management;

- The process demands professionals who are visionary and committed, with a clear understanding of their sector mandate as well as the broader government mandate,

- The process requires lobbying, networking, creating partnerships, assertiveness and other such soft skills that can only be found in a dynamic leader; and,

- Role players still able to drive development without any consideration of IDP imperatives.

While the findings of the study suggest that the concept of IDP is sound at both the theory and methodology levels, this is not to suggest that gaps are not there, especially with regards to the methodology and methods part but as a tool it is good enough to provide adequate solutions if properly implemented. The study also finds that the impact of the IDP based on its well informed ideals has not met the expectations. While significant progress has been made especially on infrastructure development, there are still huge problems in all other aspects relating to that very infrastructure. On developing the individuals and communities beyond infrastructure, which is arguably more important, performance has been dismal. The latter requires more coordination, integration, and a more systemic approach to issues, and therefore it is no surprise we have this gap.

4.5   SUMMARY

In this chapter the researcher one set out to provide an analysis of the data collected and the findings therefrom. By its nature, the chapter brought the study to a close. From here, only the recommendations on what to do given the findings are still outstanding. The study was structured to be a reflection of the policy implementation success stories and failures. The presentation above provides useful reflective information; in essence, the IDP at the theory and methodology levels as presented in

the IDP guide-packs is sound and appropriate. Hindrances to its effectiveness and its benefits to be realised by all stakeholders is the way methodology has been interfered with. Going forward, the focus should be on correcting the issues identified.

The next step is to explore the way forward. In the next chapter these problem areas are considered further, with the intention of recommending specific actions to be taken towards improving them.

CHAPTER 5: RECOMMENDATIONS

5.1   INTRODUCTION

In this chapter the conclusions and recommendations of the study are presented, based on the research objectives stated at the outset. It therefore provides a thread linking the research objectives, literature review, data analysis and findings. It further discusses a set of recommendations based on the learnings from the whole study, particularly as consolidated in the data analysis and findings from Chapter 4. The chapter is divided into five sections; after the introduction, the second section revisits the research aim of the study. A brief summary of the data analysis and findings based on the themes that emerged are then provided, a discussion on the recommendations based on the findings follows, and concluding remarks are made.

5.2   RESEARCH AIMS REVISITED

The study"s aim was to explore the contributions by the South African state as a whole to a poorly developed and poorly managed IDP in the context of cooperative government and a developmental state. It set out to explore the extent to which government, both at the policy and the operational levels and across all three spheres of government, have contributed to the challenges facing Integrated Development Planning. It further aimed to shed light on the country"s experience with the preparation and implementation of IDPs. In essence, it investigated the effectiveness and success of Integrated Development Planning as a development planning and corporate management tool. It was conducted with the aim of improving the impact that the Integrated Development Planning process and plan can have on service delivery and corporate governance. The study set out to explore this challenge with the aim of proposing solutions to improve the practice. The researcher had an interest on investigating these challenges as a contribution to better planning

and consequently better functioning areas, sustainable development and satisfied communities.

Service delivery in this case is not used as per the popular understanding of physical projects and traditional municipal services like refuse removal, road maintenance, traffic management, street lighting and town planning etc., but includes local economic development, supply chain management, social cohesion, skills development, etc. The intention is to provide all services and physical infrastructure with not just a focus on the end product, but also with a focus on the manner in which they are provided, which should be strong on empowerment and transformation.

In carrying out the study, the following four specific objectives were set out to be explored so that specific areas seen as critical to the effectiveness of the IDP could be studied:

- To determine the causal factors of ineffectiveness of Integrated Development Planning as a governance tool for robust service delivery.
- To establish the extent to which the limited impact of the Integrated Development Planning to service delivery and governance is due to government structure and practice.
- To establish the extent to which the limited impact of the Integrated Development Planning on service delivery and governance is due to its theoretical basis or the disjuncture thereof.
- To determine the amendments necessary for Integrated Development Planning in order to improve overall service delivery and governance efficiency.

These were later converted into five categories of questions which were high-ranking questions meant to focus the study further:

- What is hindering Integrated Development Planning from living up to its expectations as per its policy documents?
- What is hindering Integrated Development Planning from becoming a new culture of how we govern across spheres?
- What is it that as government structures we continue to do which is not in synergy with the Integrated Development Planning philosophy?
- To what extent is Integrated Development Planning theoretically sound?
- What changes are necessary if Integrated Development Planning is to live up to its promise?

These questions were used to design specific questions to be used in the interviews. Both the objectives and the questions clearly show the areas of focus of the study. This chapter is now giving recommendations on improvements where required based on data analysis and findings generated through these questions.

In this research it is argued that a local government cannot set in motion a credible integrated development planning process, culminating in a credible IDP and delivering services and development according to expectations, without proper support in terms of efficient systems and technical and financial support. If efficient administration, capacity and funding are the pre-requisites for a local government to deliver, we can logically conclude therefore that failure by local government to deliver implies shortcomings by the national and provincial spheres as well. Getting these three key elements arranged falls within the powers and functions of the national and provincial spheres of government. The assumption of this research is that inherent in local government failures are the challenges and shortcomings of national and provincial spheres of government. In other words, failures in rolling out credible integrated development planning processes and developing credible IDPs, service

delivery and development are besetting factors or defects we have in our governance system as a whole. Such defects are inherently sitting with all three spheres. The hypothesis of this study is thus that integrated development planning is not yet practiced correctly as conceptualised, hence the development challenges. The notion of integration is embedded in systems thinking but the approach to IDP is disjointed and reductionist.

5.3   CONCLUSIONS

Following the interviews, data collected were divided into the 14 themes that emerged and were interpreted. Major problems were identified and highlighted as being necessary to resolve in order to improve the Integrated Development Planning.

5.3.1   Notion of integrated planning

The study concluded that the concept of integration and the IDP tool is theoretically sound as they have been supported by UN conferences on sustainability, particularly over the last three decades since 1992. While the concept of sustainability has been on the agenda for a long time, since 1992 for the United Nations emphasis has been on local action and IDP is the South African tool for this local action. Following the 1992 conference, countries were expected to develop their own localised versions of (Local) Agenda 21 (Wheeler, 2013). The inherent complexity of development issues makes the use of concepts like integration to unpack and respond to, plausible. The planning theory of collaborative planning/communicative rationality behind the IDP and the methodology was considered appropriate. Also appreciated was the fact that the practice has institutionalised strategic planning as an integral part of governance, at least at local government level.

However, the practice or the implementation of the IDP concept was found to be far from ideal. In other words, the ideals of integration were not being realised. The spirit and the letter of the methodology were not being carried out and the engagement with the methodology was of a low standard, resulting in poor integration.

5.3.2 Democratising planning

With its history of exclusion of the majority, it was important that as part of creating a new society South Africa adopted participatory methods in its programmes. Local development planning was one such area, especially because it had to deal with pressing local development issues; if citizens were to see themselves as in control, they had to have a direct say in what went into a plan. This was seen as a positive contribution, strengthening local democracy and the overall understanding of the manner in which government works. It provided a platform for local communities and stakeholders to shape local development agendas, with sector departments seen as providing expert information and guidance.

However, outputs of the process were not linked to state budgets in any meaningful manner. This was reversing and failing the whole logic of having this development planning process being participatory. With the results of the process not being linked to budgets, effectively residents were not having a say in their own development. This injustice in the process is exacerbated by reviewing the IDP every year, and in doing so, going back to the same communities to ask the same questions with nothing or very few benefits being yielded from that process. An IDP is a 5-year plan and such a period should give enough time for some budget alignment and implementation to happen, and to show benefits from the process thus earning it some credibility. Further, a participation process is by its nature time consuming, therefore annual reviews as currently structured, and even when complete new plan is due after 5 years the requirement is to complete the plan within about 8 months. Such time pressure leads to compromised quality of the process and the plan.

5.3.3 Limited debate and innovation

The study pointed to a number of challenges with regards to debate and innovation. Firstly, the process is being managed in a manner that does not acknowledge the limited exposure of rural communities to development planning and governance. Secondly, there is no interrogation of contributions to ensure that they make sense and are suitable interventions for the issues at hand. Thirdly, beyond the credibility of ideas proposed there is also no consideration given to what is financially possible, and as a result unrealistic expectations are created and the process loses credibility. Lastly, one of the reasons for this lack of debate is loss of interest by the drivers of the process due to, amongst other things, challenges in implementation, preoccupation with compliance and standardisation of documents - particularly from the provincial governments.

5.3.4 Quality of the plan

There was also a strong view that given the complexity of issues this process deals with and its expected comprehensiveness in analysing and proposing responses, the timelines within which it is expected to be completed are not realistic. Further, IDP teams in non-metropolitan municipalities are too limited in size and in all municipalities are not multi-disciplinary.

It is argued that due to the above, there is not even good quality use of already available data. Useful data is rarely sourced from other departments within the municipality or sector departments, and where it is sourced, it is not used critically to provide insight and deeper meaning so that there can be more suitable interventions. They are stated with not much sense of critical engagement.

The strength of the IDP is its responsiveness to local strategic issues which might not be manifesting themselves in a similar way to the municipality next door. With rigid boundaries regular new requirements, timeframes to prepare it and or time allocated. This is proving to be difficult each day.

5.3.5 Institutionalised Strategic Planning

Having to do a plan every five years and review it annually has institutionalised strategic planning in local government; municipalities have now organised their processes such that they know that every year they have to plan. In addition, the public has become used to the process and their involvement.

5.3.6 Ownership of the plan

There is a challenge with Municipal Councils not appreciating that an organisation develops its corporate strategy and the onus is on it to ensure implementation. In some instances, a Council"s own decisions went against the thinking in its strategy. Further, IDPs are not owned and championed by executive management of especially municipalities let alone the other two spheres. Another problem is that there are no consequences for not adhering to an IDP. As a result, compliance with a plan regarding development initiatives on the ground is non-existent.

5.3.7 Leadership

An IDP is a powerful management tool, but it can only work if as government we preoccupy ourselves with it and believe in it. Properly using it will mean using it as a strategic framework and providing a thinking base and analysis of every key situation in a municipality; then it can be used as a point of reference for all key decisions. For

that to happen, a quality plan and passionate ownership by management and the IDP team is essential.

Somehow planners have abdicated their responsibility to be facilitators of a debate to be used to eventually arrive at a desired agreement on both the problems and the solutions. Planning has some guidelines in terms of what land use is suitable in what context; to allow participants to give their opinions and be recorded as if there are no standards, is an abdication of responsibility. We need boldness and heart to empower and transform from planners and politicians to advise and convince communities.

The core IDP team and management were also seen as severely lacking the ability to lobby and network. Perhaps a lack of focus on implementation management as part of the IDP process led to this expertise gap; because there is no such focus, soft skills useful in sourcing resources are therefore neglected. In fact, lobbying and networking were identified as being not only important to source financial resources, but also sector information and expertise. Local government practitioners are seen as inclining to act with inferiority complexes regarding their counterparts from other spheres, as they are their seniors and are „untouchable‟. This list of challenges means one thing; leadership is key. Our system is designed to have IDP as the centre of coordination, but due to many reasons including entrenched government practices from the past, we function differently. Respecting the authority of an IDP is getting more urgent by the day.

5.3.8 Powers and functions

With local government not sitting with all the powers and functions relating to all key development areas, integration will always be a challenge as it is difficult for local government to be the key development agent, despite being the sphere of

government closest to the people. The problem is with the extent that it can play its oversight and coordination role in every development in its area of jurisdiction. As it does not have sole control over what is happening in its area, it has no authority to call on any sector department to account. This poses a problem as these sector departments are developing people and areas belonging to a municipality, but the entity whose people are being affected has very limited to no role to play. Further, it should be considered that national and provincial spheres together control not less than 90% of the national fiscus.

5.3.9 Backlog pressures

Large backlogs, especially for primary needs, might be an excuse for government"s poor planning and integration. In other words, we might be focusing on delivering without paying attention to, and respecting the planning of, integration. This might seem an easy way out of this complex process, which we do still not fully understand. The danger is that finance and engineering are what are shaping the communities we are developing, and not strategic planning. We are therefore not creating integrated and sustainable communities.

5.3.10 Synchronisation of intergovernmental processes

Intergovernmental relations (IGR) are also seen as one of the obstructions to an effective and efficient integrated planning process. The sector departments and state owned enterprises generally do not cooperate with local government, particularly for IDP preparation and implementation. A silo mentality remains a problem and departments still operate with the mindset of the old system, when local government was a junior partner and there was not an integrated approach to governance.

Synchronisation of government processes, including budgeting, is critical. When the entity controlling approximately 8% of national revenue is the one compelled to develop a culture of integrated planning, there is a problem. No legislation governing functions of national and provincial spheres where it instructs compliance with the Municipal Systems Act. This makes the IDP, a key strategic document coordinating development in every space in the country, very weak. IDP provides a perfect platform for all three spheres to engage on development priorities. It gives a basis for cooperative governance, sharing, empowering each another, developing a shared vision and designing shared programmes for specific municipal areas.

5.3.11 Power dynamics

The process, even from a conceptual level, fails to appreciate and manage the power dynamics, yet it is inherently influenced by the same. This gives an unfair advantage to the advantaged groups in society, e.g. the educated and the politicians; their voices are heard more than those of ordinary people. The high levels of poverty and underdevelopment in certain areas causes unhealthy competition, even amongst the decision-makers; everyone wants to see something happening in his/her area and no one is interested in the municipality at large. The IDP process is blamed for failing to appreciate that these power dynamics exist and managing them.

5.3.12 Spatial planning

Spatial planning and spatial referencing is rendered irrelevant in the current practice. They are done poorly without using the latest data and analysis of trends, and no serious effort is put into bringing it closer to reality in the way issues are unpacked and packaged, both in concept and mapping. There is still a huge gap in understanding the use of and policy positions taken through SDF, and to reflect those when infrastructure investment policies or development approvals are made. SDF is totally disregarded in rural areas with dire consequences for land use control.

5.3.13 Implementation

There is a tendency to look at IDP implementation as if it is only about infrastructure. As result, tend not to pay much attention to developing people, rather focusing on places. As a result there is a concern emerging that as a country we are doing quite well with infrastructure, but seriously lag behind on human development. IDP is about the long term sustainable development and transformation of society to be more equitable and to ensure higher community satisfaction levels; it is about developing a complete community and thus cannot avoid paying attention to the development of individuals. Another problem is that the planning process seems not to be deliberately linked to implementation.

5.3.14 Performance management

The setting of performance targets on an annual basis has tended to tempt people to avoid being bold and innovative about what needs to be done and go for easy and straightforward interventions, lowering their accountability burden. Multi-year PMS allows for certain important elements to be in place before the main target to be implemented, and therefore increases the chance of actually achieving the target.

PMS therefore enables a municipality to include things that are not within its scope in terms of powers and functions, because there is time to communicate this and to get commitment from the relevant entities. PMS, as originally introduced, was meant to monitor IDP implementation over three years, while the annual version (SDBIP) is structured such that it monitors budget implementation and/or service delivery. IDP includes initiatives that need to be completed by entities other than the municipality. In the PMS a municipality is able to include responsibilities outside its mandate but in the SDBIP it cannot include such things. This is a challenge because as already indicated above, IDP is not just about service delivery and is not just about budget implementation.

5.4   RECOMMENDATIONS

The final part of this study explores ideas of what action needs to be taken to improve the situation. It is an important part of the study, responding to what triggered it in the first place, i.e. to better understand the problems engulfing the IDP process, with the sole aim being to suggest a means to improve it and thereby the lives of those in society. The recommendations that follow are a mixture of what needs to be done at different spheres of government, either jointly or individually.

5.4.1   Spatial referencing of national and provincial budgets to local municipality level

Since the elections on 5 December 2000, the country has had a wall-to-wall system of local government. In other words, there is not a square inch of South Africa that does not belong to a municipality, and every development that is implemented happens in a particular municipal area. As part of IDP budget alignment and to give real meaning to SDF, all development initiatives should have a more specific spatial referencing. This will allow better management of the communities and places we are creating.

5.4.2   IDP as criteria for national and provincial budgets

Budgets have much more influence than IDPs and determine what eventually happens on the ground. If an IDP is to be entrenched as the main driver of development on the ground, it will have to do that through a strong influence on budget. In approving sector departments‟ budgets and endorsing municipalities‟ budgets (implementation plans), national and provincial Treasuries will have to satisfy themselves of those budgets strictly implementing the IDPs. Part of the criterion should be a demonstration that every expenditure at municipal level (including organisational operations) and every departments‟ and state owned enterprises‟ work (excluding internal operations) is towards IDP implementation. Such criterion should avoid ticking-the-box mentality, but must be about the essence of the IDP.

5.4.3 Devolution of more powers and functions to give more authority and control to local government

The current arrangement of concurrent powers and functions, and provinces being allocated powers and functions of key and primary services, is problematic and negatively impacts on the ability of local government and the IDP to command the authority necessary for sound control and coordination on the ground. Such key services include so-called district and provincial roads, as many of these are key in a local economy for the whole functioning of an area. They also include human settlements" function, education, primary health, liquor licensing, etc. In essence, provinces should just be responsible for policy and practice guidelines and standards, and the actual work and control should be done at the local government level; more powers and functions will enable local government to be more in control, enable local government to enforce IDP better, and give real meaning to the government closest to the people.

5.4.4 Move from proportional representation to a constituency system

An electoral system that makes members of parliament and members of provincial legislatures responsible for specific geographic areas, e.g. a local municipality, might lead to healthy competition for development initiatives. If well-managed with clear development principles, this could be a welcome competition that will propel country forward. It can also mean that an IDP of a local municipality now has a champion that sees to it that when it is prepared, quality is ensured and implemented once in place. A ward system in local government, although weak in content, gives a glimpse of what this would be like at provincial and national level.

5.4.5 Ward Based Plans

There is sound logic in cutting the country into different wards; although they are still big, especially in rural areas, they give manageable physical space which allow for a much better understanding in the context of a municipal area of the kind of sound development that can happen. Yet there are challenges with this system. Firstly, they are used mainly as a base for political battles rather than being development focused. When they attempt to play their development role, the responsible ward committees are more of a pressure group complaining about services rather than becoming an authority and a think-tank of development in the ward. Secondly, wards are not seen by municipalities as entities meant to be used for better management of the municipality - they are basically seen as being there to allow for ward representation and not a development management purpose. Thirdly, Ward Based Plans are not seen as mini-IDPs and therefore should use same methodology. In fact, in the case of KwaZulu-Natal they are not even driven by IDP units at both COGTA and municipalities but public participation units.

These Ward Based Plans should be reworked to ensure they are part of the IDP, both in terms of the organisational structures and the methodology. This will strengthen the specificity and spatial referencing of the municipal IDPs.

5.4.6 Lobbying, networking and partnerships

This is probably key to achieving better inputs from sector departments" experts, state owned enterprises and the private sector, as well as improved implementation. IDP teams and executive management of top politicians from municipalities need to master the art of lobbying, networking and partnerships for better prospects of IDP. This is currently lacking severely; without the experts" knowledge and budgets directed towards IDP implementation, its ideals will not be realised. IDP can only

benefit from these if those that are central to its preparation and implementation can better network, lobby and create partnerships.

5.4.7   Amend auditing to focus on IDP

The auditing focus by the Auditor-General must expand its scope to include preparation and implementation of the IDP. IDP is currently part of the auditing process but is only limited to answering the „what" part of the process and not the „how" part, which would address the quality and spirit of the IDP. The latter should be the focus; it does not auger well to have a municipality spending only 50% of its development budget (physical projects and other outreach and empowerment programmes) but getting an unqualified audit opinion with no matters of emphasis.

5.4.8   National/local planning interface

To become an effective developmental state, we need to have better synergy of planning processes and efforts across the three spheres. All planning needs to be coordinated and aligned NDP, PGDS and IDPs. Sectoral planning should include specialised plans that give details to a strategic framework already determined in these three plans. A clear policy directive on the participation of sector departments and state owned enterprises in the IDP process is also needed. There should be clear strategic direction from the top on the planning processes and compliance, and strategic areas and interventions should be determined in more specific terms in provincial or national plans to inform IDPs. These may include bulk electricity supply, water provision, air travel, rail transport, harbours, etc.

5.4.9 Reposition the IDP as cross-cutting plan

The IDP is meant to be a plan for corporate management of a municipality (internal) and development of community (external). Internally it currently hardly has any impact and externally the focus is on infrastructure provision.

There is a need to reposition the plan to be the lifeblood of corporate management processes, with all the strategic management issues and interventions thereof reflected in the IDP. On the community development side, the plan should also go beyond infrastructure to include all development aspects of a community and individuals.

5.4.10 Quality of the plan

IDP teams should be multi-disciplinary, as this will make the plan truly comprehensive and improve its credibility and analysis.

The public participation process should be revisited to manage power dynamics and to reintroduce debate. Izimbizo could be kept as a publicity programme for the municipality and project requests from there could be used as input to the IDP process. This should still be debated and refined by stakeholders, both at the ward and municipality level. At those ward and municipal levels the process should be strengthened to include robust debate to confirm issues, interventions and priorities. The principles of planning and an in-depth interrogation of issues should be debated to confirm them, their nature, and alternative interventions.

Standardisation of processes and formatting of documents by COGTA should end, and instead a generally acceptable strategy document format and a focus on quality of content and processes should be implemented.

Respondents felt that perhaps to improve quality within same period municipalities should significantly increase the teams dealing with IDP or include some core specialists, e.g. development economists, environmentalists, engineers etc., as part of one team. While these specialists are available in municipalities they have specific responsibilities, so the suggestion here is to get some to be solely responsible for IDP. Alternatively, the teams that exist now can develop the plan but make it a multi-year project.

5.4.11 Peer Learning Programme

Pillars of an ideal municipality should be established and a more organised and improved Peer Learning Programme should be reintroduced to allow sharing of knowledge and expertise among municipalities.

5.4.12 Hands-on Monitoring, Evaluation and Support

National and provincial government, particularly COGTA and the Offices of the Premier and the Presidency, need to coordinate and be directly involved with municipalities to support, monitor and evaluate. This should not be limited to compliance by municipalities, but focus more on having the sector departments and state owned enterprises being visible in the IDP processes and playing their roles.

When the new IDP and local government started in early 2000, the then Department of Provincial and Local Government had the German Agency for Technical Cooperation and the Council for Scientific and Industrial Research to provide support for all spheres with the new system, however the focus was on municipalities. With the benefits of the experience to date and the current state of the IDP process, reviving the core team approach is critical.

5.4.13 Revise the time horizon to beyond five years

The 5-year horizon has its place and should be kept in the short term, but it should be augmented with a medium to long term horizon of 10 to 20 years. This will allow for a long term view to project and manage the future.

5.4.14 Public budgeting

Public budgeting should go beyond the current presentation of the draft budget but open municipality"s financial books and prepare budget in some details with members of the public. This will help to manage the expectations of residents and help them to better understand what is involved in running a municipality. It will also be a good platform to debate further prioritisation that would have happened in IDP, now debating which of those priorities are funded given limitations in resources. It is also seen as a mechanism to lobby local businesses and civil society organisations to partner with government, as they would have a better understanding of the resources available and how far it can go. This partnership may even lead to a willingness to increase rates, with everyone seeing the impact that this would have on the budget to target specific programmes or projects.

5.5   SUMMARY

The IDP has its positives as well as negatives. In terms of theory it is appropriate and responsive for the complex 21st century planning problems, but its application has some major gaps. From the findings of Chapter 4, 14ideas have been proposed to take the IDP forward and to address its current gaps. It is believed that implementing these ideas will take us closer to doing an IDP properly, synergising the whole process, and being able to use it as more than a planning tool but as governance tool.

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APPENDIX 1: LIST OF SECONDARY DATA USED

1. IDP Guide II: Preparation
2. IDP Guide III: Methodology
3. IDP Guide IV: Toolbox
4. IDP Guide V: Cross-sectoral Issues
5. IDP Guide VI: Implementation Management
6. Ugu District Municipality IDP: 2001/2002 – 2005/2006
7. Ugu District Municipality IDP: 2006/2007 – 2010/2011
8. Ugu District Municipality IDP: 2011/2012 – 2015-2016
9. Ethekwini Municipality IDP: 2001/2002 – 2005/2006
10. Ethekwini Municipality IDP: 2006/2007 – 2010/2011
11. Ethekwini Municipality IDP: 2011/2012 – 2015-2016
12. Hibiscus Coast Municipality IDP: 2001/2002 – 2005/2006
13. Hibiscus Coast Municipality IDP: 2006/2007 – 2010/2011
14. Hibiscus Coast Municipality IDP: 2011/2012 – 2015-2016
15. Hibiscus Coast Municipality IDP Review: 2012/2013
16. Hibiscus Coast Municipality IDP Review: 2013/2014
17. National Development Plan, 2012
18. The Constitution of the Republic of South Africa, 1996
19. Municipal Systems Act, 2000 (Act Nº 32 of 2000)
20. Intergovernmental Relations Framework Act, 2005 (Act Nº 13 of 2005)
21. Working Together for Development: Understanding Intergovernmental Relations
22. Intergovernmental Relations Framework Act: Evolution and Practice
23. Guidelines on Allocation of Additional Powers and Functions to Municipalities
24. KZN COGTA IDP Framework Guide (Template)
25. IDP: Implementation Management Approach

APPENDIX 2: CONSENT LETTER

University Of KwaZulu-Natal
Graduate School of Business and Leadership

M Com Leadership Studies

Researcher: Khethukuthula J. Zulu (082 450 4133)

Supervisor: Dr Shamim Bodhanya (031 260 1493)

Research Office: Ms P Ximba (031-2603587)

Dear Respondent,

I am Khethukuthula J. Zulu a Master of Commerce: Leadership Studies student at the Graduate School of Business and Leadership, at the University of KwaZulu-Natal. You are invited to participate in a research project entitled "A Systemic Inquiry into the Challenges of Integrated Development Planning – A South African Experience"

The aim of this study is to: explore the challenges leading to poorly developed and poorly managed Integrated Development Planning in terms of helping achieve a developmental state which is the philosophical basis of the South African state's approach to governance.

Through your participation I hope to both to understand these challenges as well as be able to identify strategic interventions at both method and methodology levels that can help address them. The aim is to have the results of the interview and the whole study contributing to the body of knowledge that will help improve the holistic quality of the Integrated Development Plans in both the plan preparation process as well as a new approach to governance thus ensuring responsive service delivery and development management.

Your participation in this project is voluntary. You may refuse to participate or withdraw from the project at any time with no negative consequence. There will be no monetary gain from participating in this interview. Confidentiality and anonymity of records identifying you as a participant is assured and research data will be securely stored and ultimately destroyed in accordance with university rules. Please be advised that an audio recording device will be used for recording the interview.

If you have any questions or concerns about participating in this study, you may contact me or my supervisor at the numbers listed above.

The interview should be a discussion of about 45 minutes to an hour. I hope you will take the time to participate in the interview.

Yours faithfully

Investigator's signature_____ Date_____

This page is to be retained by participant

M Com Leadership Studies
Researcher: Khethukuthula J. Zulu (082 450 4133)
Supervisor: Dr Shamim Bodhanya (031 260 1493)
Research Office: Ms P Ximba (031-2603587)

CONSENT

I_____ hereby confirm that I understand the contents of this document and the nature of the research project, and I consent to participating in the research project. Further, I hereby consent / do not consent to have this interview recorded. I understand that I am at liberty to withdraw from the project at any time, should I so desire.

_____   _____
Signature of Participant   Date

This page is to be retained by researcher

APPENDIX 3: INTERVIEW SCHEDULE

1. Just over a decade since the advent of new system of IDP legislated in 2000 (Municipal Systems Act, No. 32 of 2000), and implemented in earnest since 2002, how far do you think we"ve come?

2. The ideals of the IDP, both as a plan and a governance approach and process have not been fully realised yet. In your view what is preventing us from achieving this?

3. To what extent is this integrative approach to day-to-day management of public service possible?

4. To what extent do you think the MTEF process, protocol and timing across spheres impact on the IDP?

5. What do you think of the IDP theoretical soundness?

6. How appropriate is the IDP"s methodology and method to deal with the socio-economic challenges, noting their complexity?

7. How appropriate is the IDP"s methodology and method as a new management approach for a public sector?

8. What do you think of the authority or lack thereof commanded by the IDP across spheres?

9. What changes in government practice need to be introduced to make IDP a new culture of government?

10. What changes in the conceptual foundations may need to be amended to make the IDP more appropriate?

11. Given the performance of the IDP as a government tool for the last decade plus, what do you think of its future?

UNIVERSITY OF
KWAZULU-NATAL

INYUVESI
YAKWAZULU-NATALI

28 August 2014

Mr Khethukuthula Joseph Zulu 952050186
Graduate School of Business and Leadership
Westville Campus

Dear Mr Zulu

Protocol reference number: HSS/1038/014M
Project title: A systemic inquiry into the challenges of integrated development planning - A South African experience
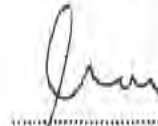
Full Approval – Expedited

This letter serves to notify you that your application in connection with the above has now been granted **Full Approval**

Any alterations to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form, Title of the Project; Location of the Study, Research Approach/Methods must be reviewed and approved through an amendment /modification prior to its implementation. Please quote the above reference number for all queries relating to this study. PLEASE NOTE: Research data should be securely stored in the school/department for a period of 5 years.

The ethical clearance certificate is only valid for a period of 3 years from the date of issue. Thereafter Recertification must be applied for on an annual basis.

Best wishes for the successful completion of your research protocol

Yours faithfully

Dr Shenuka Singh (Chair)
Humanities & Social Science Research Ethics Committee

/pm

cc Supervisor: Dr Shamin Bodhanya
cc Academic Leader: Dr E Munapo
cc School Admin: Ms Zarina Bullyraj