



**The alignment of the Integrated Development Plan,
Organisational Performance Management System and
Budget: A case study of the Kopanong Local Municipality
in the Free State Province, South Africa**

Begizizwe Ephraim Mdhluli

214537589

This thesis is submitted in fulfillment of the requirements for the degree of
Doctor of Philosophy in Political Science in the School of Social Sciences,
University of KwaZulu-Natal - Howard College

Supervisor: Dr Lubna Nadvi

Durban, South Africa

2022

DECLARATION

I, Begizizwe Ephraim Mdhuli, do hereby declare that this research paper, “The alignment of the Integrated Development Plan (IDP), Organisational Performance Management System (OPMS) and Budget: A case study of the Kopanong Local Municipality in the Free State Province, South Africa” is my original work and that to the best of my knowledge and belief, has not previously, in its entirety or in part, been submitted to any other University for degree or diploma purposes. The works of others cited or referred to are acknowledged accordingly.

Begizizwe Ephraim Mdhuli

Date : March 2022

DEDICATION

This thesis is dedicated to my wife, Matheko Nozizwe Mdhluli. You are the one person who is genuinely happy about my achievements. Your persuasive advice regarding my life, as your husband, is amazing. Please be aware that I appreciate it. I remember when I first got my degree how you were ululating for me when I walked on the stage. The excitement of you calling my name was incredible. Thank you for the face I saw that day; it pushed me to be where I am now. This is my PhD thesis; I know you are happy and I am happy too, especially because I will receive it whilst you are still with me.

ACKNOWLEDGEMENTS

All honour and glory be to God, my Heavenly Father – I will never cease to glorify your name. Atta-Ele-roi – (Wena Modimo oa mpona) God who sees me – The Creator who did not create me by accident, but to have purpose and meaning in my life. Thank you Jesus, Your name reigns above all names. This work was trouble-free because You saw me through.

My heartfelt appreciation goes to my Wife, Nozizwe (My Anchor) Mdhluli, for your love and support; your prayers kept me going. We are in this together – Tough Times Never Last, but God's Tough People do!!!

First, I wish to express my sincere appreciation to my supervisor, Dr Syeda Lubna Bano Nadvi. Your support and positive criticism, patience, insistence on academic writing, and your gigantic knowledge on broader issues of Public Administration, Political Science, including Local Government, helped me to complete this research. A big thank you once again.

To my children, Mojalefa, Bongani, Phumzile and Siphumelele. I will do anything for you. With this one, your future is bright. My appreciation also goes to my mother (Sisi), and my wife's parents (Mama le Papa) for their unending prayers for my family. To Mme le Ntate Siyoko, keep advising us: we need you. Thank you. My sincere gratitude goes to my colleagues, N. Sigadi (your contribution still creates wonders in my work), T. Kholoanyane, T. Ramatsabane, L. Malefane, and everyone else who supported me.

Margaret Linström - for editing my work, from my research proposal to the last chapter. You assisted me even when I gave you the documents with a tight deadline in which to complete the task.

The other important person in my educational journey is Mrs T. Kunhe of the University of the Free State's Recognition of Prior Learning Unit. Ma'am, you believed in me the first time I entered your office; I am here because you saw potential in me. Thank you to the staff of the University

of the Free State (Sasol Library) for supporting me when I needed help as an external student. To my friend from Botswana, Lenna Leonard Sesa; you assisted me during tough times. Be blessed “Doc”.

Thank you to the staff of provincial departments who assisted me with research data and everything else when I most needed help. Mr Monyake Mothekge and Ms Lineo Mokheseng, thank you so much. And, to everyone else who assisted me with research data, interviews and anything else I needed.

Thank you so much to those who assisted me with the research interviews when I needed your help. Mr X.L. Futwa, your knowledge and experience is amazing – I hope we will work on an article soon. To the Provincial Auditor-General’s Office, for the interviews – thank you once more. For the staff of Kopanong Local Municipality who assisted me with data and interviews – thank you. For the political and administrative leadership – thank you so much.

ABSTRACT

Governments often design employment, skills and economic development policies by using people who are specialists in different areas, but they expect these policies to talk to each other. The different policies are necessary because they address diverse objectives to ensure effective service delivery to communities and accountability from local government officials, particularly in the South African context. However, the design of policies by different professionals often creates a lack of alignment and coherence, which creates challenges for effective implementation of policies. For example, the Integrated Development Plan (IDP) will have a number of projects, proposed by the community as well as stakeholders. On the other hand, the budget does not include some of the projects, as proposed by the community. During performance assessment and/or audits, the expected performance to be evaluated is found lacking as these projects were not budgeted for, and even if they were budgeted for, alignment could not be achieved because of various inconsistencies. This has been noted at different local levels in South African municipalities where there is a high demand for the delivery of services. Examples of policies, which lack alignment and coherence, are the following:

- a) The IDP – the projects in this document are proposed by the community and stakeholders, and must indicate the budget as a sign of alignment.
- b) The budget – when a budget is prepared within a municipality, all directorates must participate in order to ensure that their budgeted projects within the IDP are allocated sufficient funds to complete the projects.
- c) The Organisational Performance Management System (OPMS) – the audit of performance must be able to make a connection between the IDP and the budget, which means that if there is no budget of projects, as proposed within the IDP, then there is no performance; hence, there is no alignment and the IDP, the budget and the OPMS are not coherent.

The purpose of this study was to determine the extent of the alignment and coherence of the strategic policy apparatus within the South African local government framework; specifically focusing on the IDP, the OPMS, and the budget. The Kopanong Local Municipality in the Free

State served as a case study to interrogate the alignment of these policy frameworks. The study was necessitated by the fact that municipalities battle to be consistent in the alignment of these substantial and essential planning documents and the provision of clear implementation of the legislation that guides municipalities, including the Constitution of the Republic of South Africa (1996).

Utilising qualitative research design, specifically questionnaires, the study established what led to the lack of alignment and coherence between the IDP, the OPMS and the budget in the Kopanong Local Municipality. From the study population, comprising all the employees of the Kopanong Local Municipality, a sample of 27 managers and directors were selected, as they were involved in the implementation of these policies. Face-to-face interviews were conducted with the managers and directors of the Kopanong Local Municipality, and their answers were recorded and transcribed for analysis. Thematic analysis was utilised to answer the study's research questions.

The participants demonstrated an understanding of each of the three policies, as they were implemented. Based on the data analysis, the study showed that the participants were aware of the various challenges facing the effective alignment and coherence of the IDP, the OPMS and the budget. The participants further noted the impact of the lack of alignment and coherence between the three municipal policies. Moreover, the study indicated that skilled staff were needed to design the IDP, based on the budget, as this would contribute to effective alignment and coherence. The participants also referred to the OPMS as a policy that provided the key responsibilities for the implementation and monitoring of the budget and the IDP.

The study further presented a model, which was developed as a summary from the analysis of the data on the alignment and coherence between the IDP, the OPMS and the budget. The model suggested two levels of alignment and coherence of policies within the Kopanong Local Municipality, as part of policy implementation. This incorporates alignment and coherence within the policy documents, as well as practical implementation.

KEY WORDS

Policy alignment and coherence

Budget

Integrated Development Plan

Organisational Performance Management System

Local government

Policy implementation

LIST OF ABBREVIATIONS

IDP	INTEGRATED DEVELOPMENT PLAN
OPMS	ORGANISATIONAL PERFORMANCE MANAGEMENT SYSTEM
SDBIP	SERVICE DELIVERY AND BUDGET IMPLEMENTATION PLAN
PGDS	PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY
NDP	NATIONAL DEVELOPMENT PLAN
MSA	MUNICIPAL SYSTEMS ACT
MSA	MUNICIPAL STRUCTURES ACT
MFMA	MUNICIPAL FINANCE MANAGEMENT ACT
FP	FINANCIAL PLAN
KLM	KOPANONG LOCAL MUNICIPALITY
LED	LOCAL ECONOMIC DEVELOPMENT
SDF	SPATIAL DEVELOPMENT FRAMEWORK
MIG	MUNICIPAL INFRASTRUCTURE GRANT

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CHAPTER 1

INTRODUCTION TO THE STUDY

1.1 INTRODUCTION

The augmentation of the Integrated Development Plan (IDP), its linkage to the budget, including the evaluation and/or assessment through Performance Management, is critical in local government in South Africa (Department of Provincial and Local Government, 1999). Thus, these strategic apparatus are essential in the improvement of the lives of ordinary South Africans (including the working class), and of municipal services.

As Jansen (2013:200) points out,

I felt for Trevor Manuel last Thursday. In the same week that he handed over the revised National Development Plan: Vision for 2030 to the President in Cape Town, at the other end of the country a bloody massacre left bodies sprawled across a dusty stretch of veld in the North West mining settlement of Marikana. It was a horrific reminder of one of the most difficult challenges facing the Development Plan – enacting lofty ideals into a society trapped in despair. There is nothing wrong with the plan in theory; but in practice there is everything wrong with its overly optimistic assumption that we can easily become the society it envisions.

The intention of this chapter is to introduce the IDP, the Organisational Performance Management System (OPMS), including the budget in South African local municipalities. The researcher will use the Kopanong Local Municipality in the Free State as a case study. The study will also focus on international countries that have successfully implemented IDPs, the OPMS and budgeting as strategic apparatus that guide local government.

The local sphere of government in South Africa has undergone a number of changes, including the introduction of new systems and amendments to the existing laws and regulations. In essence, local government has been transformed; this included new frameworks and a political and administrative revolution (including in the demarcation of municipalities), which addressed growing levels of poverty and the financial shambles left by the apartheid

government. These issues impacted negatively on the operations of South African local government in its entirety.

Despite the aforementioned, it can be stated unequivocally that local government has to provide more support to communities in terms of service delivery. Municipalities are at the coalface of delivering services to communities; given these circumstances, proper communication and linkages have to be provided at all times. Undoubtedly many people depend on municipalities, not only for the delivery of services (as indicated above), but also for the creation of sustainable local economies and jobs through the Expanded Public Works Programme (EPWP).

The IDP, the OPMS and the budget are the best tools available to (local) government in South Africa. John (2011:6-7) makes it clear when he says, “The concept of the tools of government is one way of raising the debate above the consideration of local kinds of evidence. This approach categorises the resources of government into a small number of discreet types”.



Figure 1.1: Map of the Xhariep District Municipality in the Free State, indicating the Kopanong Local Municipality (Statistics South Africa, 2011)

Section 156 of the Constitution of the Republic of South Africa (1996) clearly stipulates that the powers and functions of municipalities must be respected as such. As part of this study, the

researcher will scrutinise Part B of Schedule 4 and Part B of Schedule 5 of the Constitution to determine the duties that should be executed by municipalities.

1.2 PROBLEM STATEMENT

“Silo approaches are not able to address increasingly complex challenges facing local communities” (Rubin & Cliquot, 2016:3)

The effectiveness of each municipality to deal with the complex challenges that communities face depends on the integration and alignment of the different policies; this premise is based on various reports that state that different municipalities in the Free State Province are severely challenged in the alignment of their IDPs, OPMS and budgets. This was established during IDP assessments; moreover, it was found that there was a lack of coherence between the IDP, the OPMS and the budget. These assessments were conducted using a tool called the Credible IDP Framework (The Municipal Systems Act 32 of 2000). The tool used questions, which were based on the Key Performance Indicators (KPAs) in local government. These KPAs included good governance and public participation, municipal financial viability and management, local economic development, institutional transformation, and basic service delivery. According to Harrison (2001), municipalities face challenges in regards to the alignment and coherence of the different policies. These challenges include a lack of integration and linkages between the IDP, the OPMS and the budget. This has led to municipalities regularly having audit queries raised by the Office of the Auditor-General.

Moreover, there was a need for a study focusing on horizontal policy alignment, as most studies concentrated on vertical alignment (Department of Human Settlement, 2013). According to the Department of Human Settlement (2013:71), “Horizontal alignment is particularly important for local IDPs, and stakeholders raised concerns of integrating sector plans into IDPs”. In addition, research on horizontal policy alignment mainly focused on “sectoral integration and coherence” (ibid.).

Therefore, this study intends to establish what leads to the lack of coherence observed between the IDP, the OPMS and the budget, which is considered as horizontal policy alignment. Furthermore, the study will suggest a specific model that could be utilised in the Kopanong

Local Municipality in the Free State to deal with the lack of coherence and alignment between IDP, the OPMS and the budget.

1.3 RESEARCH QUESTIONS

According to Akhidime (2017), a researcher has to present research questions for his/her study to set out the framework needed to ensure that the study provides answers or solutions to the research problem. Hence, the research problem guides the type and focus of the research questions. In this study, the research problem relates to how a local municipality ensures coherence between the IDP, the OPMS and the budget. Based on this, the study intends to answer the following questions:

- What is the type of linkage needed between the IDP, the OPMS and the budget?
- Why is it necessary for an organisation to have coherence in the IDP, the OPMS and the budget?
- What is the perception of Kopanong Local Municipality's employees on the current status of the IDP, the OPMS and the budget?
- How is coherence and alignment of the IDP, the OPMS and the budget achieved within the Kopanong Local Municipality?
- How does the Kopanong Local Municipality perceive the practical method of aligning the IDP, the OPMS and the budget?
- What is the practical model of ensuring coherence and aligning the IDP, the OPMS and the budget in the Kopanong Local Municipality?

1.4 AIMS AND OBJECTIVES OF THE STUDY

The primary aim of the study is to establish the perceptions of the employees of the Kopanong Local Municipality on the linkage between the IDP, the OPMS and the budget. Moreover, this study aims to develop a practical model that could enhance the alignment of the IDP, the OPMS and the budget in local municipalities in South Africa.

The study's specific objectives are the following:

- To establish what constitutes effective implementation of the IDP, the OPMS and the budget processes.

- To investigate issues of alignment among practitioners of the IDP, the OPMS and the budget in local municipalities.
- To investigate factors affecting the alignment and coherence of the IDP, the OPMS and the budget (as tools used to provide services to residents).
- To gain an understanding regarding the state of affairs within the Kopanong Local Municipality in relation to the alignment and/or coherence of the IDP, the OPMS and the budget.
- To assess the alignment that the guidelines from the Department of Cooperative Governance and the National Treasury provide to municipalities, as part of the alignment of these critical tools in local councils.

1.5 SIGNIFICANCE OF THE RESEARCH

The effectiveness of a municipality is measured based on its ability to provide coherence between the IDP, the OPMS and the budget. This is epitomised by effective, appropriate expenditure, which ensures accountability.

The data collected in this research will firstly provide information on the views of the participants from the Kopanong Local Municipality on the aforementioned aspects, including on how they operate to establish coherence. Secondly, this understanding could assist the researcher in establishing a practical model, which could enhance alignment between the IDP, the OPMS and the budget in the Kopanong Local Municipality in the Free State Province of South Africa.

1.6 DEMARCATION OF THE RESEARCH

The study will focus on the Kopanong Local Municipality. In main, it will examine the relation between the IDP, the OPMS and the budget, and the strategies utilised by the Municipality to ensure coherence. Hence, this indicates that the study will not scrutinise other issues within the Municipality, but only aspects of the IDP, the OPMS and the budget.

1.7 RESEARCH DESIGN AND METHODOLOGY

A qualitative research method is to be utilised to direct the researcher's thoughts and plans of collecting and analysing data to answer the research questions. Babbie and Mouton (2001:270)

define the primary goal of qualitative research as “describing and understanding rather than explaining human behavior”. Qualitative research techniques will be used, which will assist in accessing the research subjects, the methods of data collection, and the data analysis.

The researcher will use face-to-face interviews, which will be recorded, to provide accurate information, as provided by the participants. The participants will be different individuals within the Kopanong Local Municipality who regularly participate in the IDP, the OPMS and the budget. A specific interview schedule will be developed and the necessary information and an informed consent letter will be provided to all the participants. The aim is to interview 30 individuals who are employees of the Kopanong Local Municipality.

1.8 OUTLINE OF THE STUDY

This study consists of five chapters, including a list of references.

Chapter 1 Introduction to the study

This chapter offers a broad introduction to the study, which includes the justification of the study. Furthermore, Chapter one presents a summary of the methodology. Hence, the chapter presents a general summary needed to understand the setting of the research.

Chapter 2 Literature Review and Theoretical Framework

This chapter begins with the conceptualisation of the IDP, the OPMS and the budget – based on different researchers’ viewpoints. It also provides definitions from different researchers on these three concepts, and on how they relate to each other. Lastly, the theoretical framework is outlined. This outline presents the specific lenses utilised by researchers to understand the relationship of and the necessity for coherence between the IDP, the OPM and the budget in local municipalities.

Chapter 3 Research Methodology

This chapter presents the processes utilised to collect the qualitative data, which will be used to answer the research questions. Further, the chapter discusses the justification of the different steps adopted in the data collection, in relation to the structures and expectations within a study of this nature. The researcher will also present the qualitative techniques utilised, including the

population, the sample, the methods of data collection, and the analysis. The process of recording, transcribing and thematically analysing the data will also be provided.

Chapter 4 Data Presentation

The thematic analysis of the transcriptions of the interviews conducted is presented in this chapter. This analysis will focus on the specific themes, which are dominant within the data, to understand the situation in the Kopanong Local Municipality in regards to the coherence of the IDP, the OPMS and the budget.

Chapter 5 Discussions and Conclusion

This chapter will discuss the dominant themes from the data, and specific conclusions will be provided. Furthermore, the chapter will present the specific model, which is considered necessary and beneficial to those involved in the IDP, the OPMS and the budget within the Municipality under study.

1.9 CHAPTER SUMMARY

This chapter presented the background to the study, the research questions, the aim and objectives, and the justification for the study. It also presented the final structure of the research report.

The next chapter examines the tools for policymaking, policy implementation, and the day-to-day operations of the processes. Moreover, a comprehensive discussion on the budget, the IDP and the OPMS will be presented. Lastly, Chapter two focuses on the theoretical framework of the study, which shows the specific lenses that the researcher intends to use to examine the results.

CHAPTER 2

IDP, OPMS AND BUDGET AS TOOLS OF LOCAL GOVERNMENT

2.1 INTRODUCTION

The purpose of this chapter is to introduce the alignment and coherence of the Integrated Development Plan (IDP), the Organisational Performance Management System (OPMS) and the budget as presented by the literature available in different countries. The chapter is also to present important issues raised by different researchers in a bid to provide clarity on the alignment of the IDP, the OPMS and the budget in municipalities. Furthermore, this chapter will present the theoretical framework as the lens to be used for the analysis of the data and to provide answers to the research questions.

As mentioned before, this study will focus on answering the following questions:

- What is the type of linkage needed between the IDP, the OPMS and the budget?
- Why is it necessary for an organisation to have coherence in the IDP, the OPMS and the budget?
- What is the perception of the Kopanong Local Municipality's employees on the current status of the IDP, the OPMS and the budget?
- How is coherence and alignment of the IDP, the OPMS and the budget achieved within the Kopanong Local Municipality?
- What does the Kopanong Local Municipality perceive as a practical method of aligning the IDP, the OPMS and the budget?
- What is a practical model of ensuring coherence in and alignment of the IDP, the OPMS and the budget in the Kopanong Local Municipality?

Thus, this chapter intends to focus on answering the first two research questions. The literature will be utilised to establish the type of linkages, presented by researchers, between the IDP, the OPMS and the budget, and to illustrate why it is deemed necessary for an organisation to have coherence between the IDP, the OPMS and the budget.

2.2 DEFINING THE IDP, OPMS AND BUDGET IN SOUTH AFRICAN LOCAL GOVERNMENT TODAY

The understanding of an IDP can vary, depending on the organisation, the country and the continent where it operates. Sebai (2013:17) states, “IDP has been seen as a collective exercise aimed at achieving the developmental goals for betterment and improvement of the lives of the municipal inhabitants in a particular area of jurisdiction”. Local Government Action (n.d.) presents an IDP as follows:

...a super plan for an area that gives an overall framework for development. It aims to co-ordinate the work of local and other spheres of government in a coherent plan to improve the quality of life for all the people living in an area. It should take into account the existing conditions and problems and resources available for development. The plan should look at economic and social development for the area as a whole. It must set a framework for how land should be used, what infrastructure and services are needed and how the environment should be protected.

This indicates that the IDP plays an important role in South Africa; hence, it is necessary to look at its history. The IDP is further defined as:

...a participatory approach to integrate economic, sectoral, spatial, social, institutional, environmental and fiscal strategies in order to support the optimal allocation of scarce resources between sectors and geographical areas and across the population in a manner that provides sustainable growth, equity and the empowerment of the poor and marginalised (DPLG, 2000:15).

Further, Integrated Development Planning is aimed at the integrated development and management of the area of jurisdiction of the Municipality concerned in terms of its powers and functions/duties. Moreover, Integrated Development Planning seeks to promote integration by balancing the social, economic and ecological pillars of sustainability without compromising the institutional capacity required in the implementation (Akani, 2002; Visser, 2013). IDPs also provide a benchmark against which the goals of a municipality can be set and pursued.

2.3 THE LAW, LEGISLATION AND DEVELOPMENTAL LOCAL GOVERNMENT

It is essential to ensure that all the research questions provide solutions to the issues raised by the research itself. Most importantly, the matter whether legislation and/or regulations regarding the three-municipal apparatus is implemented, will find expression in the legislation. However, the issues of compliance in local government must be put into practice, as required by the law, because it does not allow for any shortcuts. In terms of compliance with the statutory and regulatory framework, Visser (2013, in IMFO, 2014:20) argues as follows:

Part of governance, from the Council's side, is to ensure that all the legislation and guidelines from the national and provincial government are adhered to by the administration. Non-compliance such as irregular, unauthorized, fruitless and wasteful expenditure should be investigated and the necessary action be taken against those responsible for the occurrence of it. To prevent non-compliance the necessary policies and procedures should be instituted and enforced. In this context, it is important to remember that governance and management is not a popularity contest. People have to be held responsible for their actions.

2.3.1 Constitution of the Republic of South Africa (Act No. 108 of 1996)

The Constitution of the Republic of South Africa, in Section 152, provides the framework for the IDP, as it promises a government that is accountable to communities; ensures the necessary services to communities; promotes social and economic development; ensures a safe and healthy environment; and encourages the involvement of communities and their stakeholders on matters of local government. The Constitution further articulates that a municipality must strive, within its financial and administrative capacity, to achieve the objectives set out in Subsection 1. In addition, Section 153 indicates that municipalities must structure and manage their administration by giving priority to the basic needs of the community and by providing for the social and economic development of the community, including the opportunity to participate in national and provincial programmes.

2.3.2 Development Facilitation Act (No. 67 of 1995)

The aims of the Development Facilitation Act (DFA) of 1995 includes the following:

...introducing measures to facilitate the implementation of reconstruction and developmental plans and projects in relation to land; the establishment of a developmental planning commission, which advises the government on legal matters pertaining to land development in all spheres of government; and the creation of Development Tribunals with full powers to make decisions and resolve conflicts in respect of land (PLGN-01:157-158).

Pycroft (1998:156) states that the requirement that municipalities should determine the development agenda within their areas of jurisdiction pre-dates the final Constitution. This has its own origin, not in local government legislation, but in the DFA of 1995. It sought to restructure local government planning processes and accelerate the implementation of the Reconstruction and Development Programme (RDP). Restructuring would be in relation to land development by establishing general principles governing land development throughout South Africa.

2.3.3 Local Government: Municipal Systems Act (No. 32 of 2000)

Integrated Development Planning is a process through which a municipality must prepare a strategic development plan; this plan must run for a period of five years. This is a principal strategic instrument/tool, which guides and informs all planning, budgeting, management and decision-making processes in a municipality. Chapter 5 of the Local Government: Municipal Systems Act (2000) states that each municipal council must adopt a single, inclusive strategic plan for the development of the municipality. This plan must integrate, co-ordinate and take into account proposals from the community and all relevant stakeholders for the development of the municipality. It must align the resources and capacity of the municipality with the implementation plan from the policy framework and the general foundation on which the annual review of the budget and the IDP must be based.

2.3.4 Local Government: Municipal Structures Act (No. 117 of 1998)

The Municipal Structures Act (1998) set up structures for community involvement. It refers to the establishment of Ward Committees, Street Committees, IDP Representative Forums and Community Policing Forums in wards within local or metropolitan municipalities. These

structures enable communities to participate in the development processes. By partaking in these forums, planning becomes easy because all stakeholders are present and represented during the presentations of proposals. Most significantly, proposals made from the ground are highly valued as they form the basis of the IDP. These proposals, after approval, will be included in the Service Delivery and Budget Implementation Plan (SDBIP) as a monitoring tool of the municipal council.

2.3.5 Department of Provincial and Local Government: Performance Management Guide for Municipalities (2001)

The intention of the Performance Management Guide is to serve as a set of simple, user-friendly, non-prescriptive guidelines that will assist municipalities in developing and implementing their legislatively-required performance management systems. It is designed to enable them to develop and implement such a system within their resources constraints, suited to their circumstances, and in line with the priorities, objectives, indicators and targets contained in their IDP. This guide agrees with the Municipal Systems Act (2000), which requires all municipalities to:

- Develop a performance management system;
- Set targets, and monitor and review performance based on indicators linked to their IDP;
- Publish an Annual Report on the performance of councilors, staff, the public, and other spheres of government;
- Incorporate and report on a set of general indicators prescribed nationally by the Minister responsible for local government;
- Conduct an internal audit on performance before tabling the report;
- Have their Annual Performance Report audited by the Auditor-General; and
- Involve the community in setting indicators and targets and reviewing municipal performance (Performance Management Guideline for Municipalities: 2001, Draft II:6).

2.3.6 Revised IDP Framework for Municipalities outside Metros and Secondary Cities (2012)

The 2009 State of Local Government Report noted that a number of municipalities were in distress. These municipalities had difficulties primarily in delivering the expected services to communities. The Report recommended that urgent and focused interventions should be provided to enable municipalities to deliver services effectively and efficiently. Consequently, Output 1 of the Delivery Agreement mandated the Department of Cooperative Governance (DCoG) to develop and implement a differentiated approach to municipal financing, planning and support. As part of this approach, the DCoG is required to design a focused intervention for small municipalities. This intervention involves helping small municipalities to produce IDPs that focus on planning for the delivery of services. In order to ensure that municipalities are empowered to deliver on a floor of priority services, the Revised IDP Framework must respond to challenges associated with the current framework. These challenges include:

- a lack of guidelines for project prioritisation;
- poor integration of various sector plans in the IDPs;
- poor planning, budgeting, implementation, monitoring and reporting processes; and
- IDPs that are not presented in a user-friendly manner.

As mentioned before, The State of Local Government in South Africa Report stated that several municipalities were in serious distress. These municipalities, it argued, would need assistance to prepare IDPs that focused on an implementable plan to deliver priority services. In responding to this call, the DCoG initiated a process to develop the Revised IDP Framework, which would ensure that targeted municipalities produced IDPs that are implementable and assist government to achieve national priorities. The development of the Revised IDP Framework was premised on various legislative and policy mandates for developmental local government (Revised IDP Framework for Municipalities outside Metros and Secondary Cities, 2012).

2.3.7 The White Paper on Local Government (1998)

The White Paper on Local Government of 1998 refers to developmental local government that recognises the importance of the community in the developmental process. If a municipal

council does not take any initiative to inform the community about the IDP process, there will not be any development in that municipality, as required by the law. This will result in the community and interested groups protesting against the leadership of the municipality.

2.3.8 Framework for Managing Programme Performance Information (2007)

The Framework for Managing Programme Performance Information (2007) clarifies definitions and standards for performance information, in support of regular audits of such information, where appropriate. It also improves the integrated structures, systems and processes required to manage performance information; defines the roles and responsibilities for managing performance information; and promotes accountability and transparency by providing Parliament, provincial legislators, municipal councils and the public with timely, accessible and accurate performance information.

2.3.9 Division of Revenue Act (No. 5 of 2012)

The objective of the Division of Revenue Act is to ensure that there is provision for the equitable division of revenue raised nationally among the three spheres of government. It promotes predictability and certainty in respect of allocations to provinces and municipalities, in order for provinces and municipalities to plan their budgets over a multi-year period and promote better coordination between policy, planning and budgeting. The promotion of transparency and accountability in the resource allocation is important, as it ensures that all the allocations are reflected and reported on in the budgets of provinces and municipalities; thereby ensuring that the expenditure of conditional allocations are also reported on by the receiving provincial departments and municipalities.

2.3.10 Municipal Property Rates Act (No. 6 of 2004)

The Municipal Property Rates Act regulates the power of a municipality to impose rates on property, and the fair and equitable valuation of properties, and objections and appeals in this regard. It also allows for exemptions, reductions and rebates on property.

2.3.11 Spatial Development and Land Use Management Act (2013)

The Spatial Development and Land Use Management Act provides a framework for spatial planning and land use management to ensure inclusive, developmental, equitable and efficient spatial planning across the three spheres of government. It is also aimed at creating greater consistency and uniformity in application procedures and decision making.

2.3.12 Inter-Governmental Relations Framework Act (2005)

This Act specifies the number of structures and measures to improve the cooperative relationship between the three spheres of government. These structures include all the forums in the districts and provinces in general. The Office of the Premier, the MECs and the Mayors of all municipalities must be formally invited to participate in these structures (Steytler, 2005: 207). It is in the spirit of working together and moving South Africa forward that both local and district municipalities, and all provincial departments must work towards assisting municipalities to provide services to the people of South Africa.

2.3.12 Local Government: Municipal Demarcation Act (No. 27 of 1998)

Section 24, Part 2 of the Municipal Demarcation Board includes demarcation objectives – when the Board determines a municipal boundary, its objective must be to establish an area that will enable the municipality of that area to fulfill its constitutional obligations. These matters include the provision of democratic and accountable government for local communities; the provision of services to communities in an equitable and sustainable manner; the promotion of social and economic development; and the promotion of a safe and healthy environment. Furthermore, it will enable effective local governance and integrated development, and have a tax base as inclusive as possible of users of municipal services in a municipality.

2.3.14 Local Government: Municipal Finance Management Act (No. 56 of 2003)

The Local Government: Municipal Finance Management Act (MFMA) (2003), Section 21(1), outlines that the Mayor of a municipality must coordinate the processes for preparing the annual budget and review the municipality's IDP. Budget-related policies must correspond with the IDP. The policies must be credible and consistent at all times. At least ten months before the start of the budget year, the Mayor/Speaker of a municipality must table a time

schedule (the Process Plan) outlining key deadlines for the municipal council. The preparation, tabling and approval of the annual budget, the annual review of the IDP and budget-related policies, as well as tabling and adopting any amendments to the IDP is critical. The following policies must be adopted by the Council together with the budget and IDP: Tariff Policy, and Rates and Taxes. Section 21(2) of the MFMA emphasises the same matters – that when preparing the annual budget, the Mayor of a municipality must take into account the municipality's IDP, making certain that all reasonable steps (the Process Plan) are followed in revising its IDP, and consider revenue and expenditure projections for future years.

2.3.15 Organized Local Government Act (1997)

The Organized Local Government Act allows the Minister responsible for local government to recognise one national organisation representing the majority of the provincial organisations representing the majority of municipalities in a province. The Act also allows ten representatives of organised local government to sit in the proceedings of the National Council of Provinces (NCOP), and two such representatives in the Financial and Fiscal Commission. The Act further provides for consultation between the executive, as recognised as the representative body of organised local government, and, in accordance with its constitution, operates in terms of a unitary structure as organised local government.

2.3.16 Municipal Fiscal Powers and Functions Act (2007)

The Municipal Fiscal and Powers and Functions Act regulates the exercise of the powers of municipalities to impose surcharges on fees for services provided and for the authorisation of taxes, levies and duties that municipalities may impose.

2.3.17 Promotion of Access to Information Act (2000)

The Promotion of Access to Information Act is intended to give effect to the constitutional right of access to information held by the state or by another person, which is required for the exercise or protection of any rights, and provides for matters connected therewith. This right of access to any information held by the public and any private body may be limited to an extent that is reasonable and justifiable in an open and democratic society based on human dignity, equality and freedom, as contemplated in Section 36 of the Constitution. Indeed, a

government is the source of knowledge and information in any country. Andersen and Dawes (1991:80-81) writes, “Most other public organizations also have a responsibility for public information but devote few resources to it”. There is debate on the extent to which taxpayers’ money should be used to fulfill the information needs of various segments of society. Some contend that information is a right of citizenship; others believe that only those who seek information should pay for the costs of preparing it. Still others see the government’s responsibility fulfilled by the collection, storage and preservation of data, while the private sector should be relied on to analyse, package and disseminate it. The question of how much information will be available from the government, in what form, and at what cost will remain open for a long time to come. Before they are decided, the government will collect and store ever larger amounts of information and these issues will grow in size and complexity.

2.3.18 Promotion of Administrative Justice Act (2000)

The promotion of Administrative Justice Act provides for the administration with procedures to ensure that any administrative action is lawful, reasonable and procedurally fair. An administrative action is defined as a decision taken or failure to take a decision by an organ of state exercising a constitutional power or other public power or function that adversely affects the rights of any person.

The issues of community participation/consultation are key in municipalities and all the aforementioned policies provide the legal support. This community participation is informed by Chapter 4 of the Municipal Systems Act (2000). Local government practitioners and politicians regard the Act as the pillars of local government in South Africa, as it guides it towards working with communities to provide services. From these legal documents it is observed that communities must be involved in municipal activities. It should not be considered a favour to invite people to the meetings and events of a municipality; this is informed by law, as indicated earlier. Most councillors do not convene meetings with communities, as and when required. During IDP and Budget meetings communities raise issues, which are supposed to be raised at some stage in public meetings arranged by councillors. More legal supporting documents, such as different types of grants, are also used to support councillors and municipalities to allocate funds to communities as a way of contributing to service delivery.

2.4 GRANTS AVAILABLE TO SUPPORT OPERATION OF MUNICIPALITIES

In the following section, the different grants that have been legalised for municipalities will be discussed.

2.4.1 Municipal Conditional Grants

Municipal Conditional Grants provide support to municipalities from the National Treasury and the Department of Cooperative Governance and Traditional Affairs (CoGTA). Regarding these grants, the Auditor-General of South Africa (AGSA) has broadened the scope of its audits to consider the management and impact of the Municipal Infrastructure Grant (MIG) and the Municipal Systems Improvement Grant (MSIG), both allocated by CoGTA, as well as the Financial Management Grant (FMG), allocated by the National Treasury. Conditional grants are provided to municipalities by the national government for specific purposes because local government does not generate enough revenue to fund all its operations and capital projects. According to the Auditor-General, Kimi Makwetu (2016:8),

We raised similar findings as in 2013-14 in that although most of the funds were used, the targets identified for the programmes and projects funded by the grants were not achieved by all municipalities. In the case of the FMG and MSIG, the impact on improved financial and performance management is not always evident in the audit outcomes of the municipalities. In 2014-15, we increased the number of MIG-funded projects audited and focused on water and sanitation projects. We found that the targets of 52% of the projects we audited were either not achieved or the municipalities had not assessed their performance against targets.

Gildenhuys (1997:209-213) stated,

...the primary objective of the grants is therefore to ensure that each local government has sufficient financial means to supply at least a minimum level of public services without imposing more tax on their own communities. The purpose, however, is not to create absolute fiscal equality among all governments but rather to allow each government to supply minimum basic services relative to those of other governments at the same level. Financial grants may take various forms.

For the purpose of this study, the researcher will distinguish between the following grants:

- Unconditional grants
- Conditional grants
- Projects grants

In the following section, a detailed explanation of the grants will be provided.

2.4.2 Unconditional grants

In the case of conditional grants, specific conditions are imposed on the application of the grants by the donor government. These conditions vary from detailed prescriptions to broad guidelines on the spending of the grant money.

2.4.3 Conditional grants

In the case of conditional grants, specific conditions are also imposed on the application of the grants by the donor government. These conditions could include detailed prescriptions, to broad guidelines on the spending of the grant money. There are two kinds of conditional grants, namely variable conditional grants and fixed or limited conditional grants.

Variable conditional grants – the purpose of variable conditional grants is to reduce the costs of a service, subjected to externalities, in order to increase the scope and quality of the service. The relation between the external and internal benefits and costs will be brought into account in determining the grant. The amount of the grant therefore will vary from year to year in accordance with the change in the extent of the benefits and costs factors. Variable conditional grants allow the receiving local governments to render services, with changing negative externalities, without increasing their tax rates. The grants attempt to create both horizontal and vertical fiscal equality. A serious disadvantage of variable conditional grants is that the amounts of the grants are not limited to a fixed maximum. Their unlimited nature creates uncertainty in the donor government as to what its future obligations will be and may encourage the receiving government to increase its expenditure from time to time in an unjustifiable manner.

Fixed or limited conditional grants – fixed or limited conditional grants are more generally used and are distinguished from variable conditional grants by the limit placed on the amounts of the grants. Fixed grants are used mostly where the objective is to supply

collective services countrywide in a number of local governments and where the grants can serve as an instrument to enhance co-operation among the local governments concerned.

2.4.4 Project grants

Project grants can be made to local governments for the funding of special capital projects, such as housing projects, water supply projects and road building projects, or for any other ad hoc project. Such grants are not repeatable, but are made once only on an ad hoc basis for a specific project. Project grants could cause receiving local governments to compete with one another for grants from the donor government. The competition takes place according to the relative merit of the project to be undertaken by the applicant local government. From the viewpoint of the donor government, project grants are best from a revenue-sharing perspective because funds can be channeled to projects, which, in the judgment of the donor government, will be the most advantageous to the country as a whole. Project grants allow full control by and security to the donor government as far as its future obligations in this regard are concerned.

The national government is mandated by the Constitution to transfer conditional grants to local municipalities, subject to the delivery of certain services or in compliance with specific requirements. Agency payments are also made by one department to another in the same, or in a different, sphere of government, for services administered by the department receiving the payment (the Medium Term Framework). Conditional grants and agency payments are designed to provide for national priorities in the budgets of municipalities. These payments promote national norms and standards, and support local government development. Such grants aim to address backlogs and regional disparities in social transformation. The developmental role of local government is provided in the provision of the White Paper on Local Government (1997), which promotes an increase in investment on infrastructure to meet the basic needs of service backlogs (Matsiliza, n.d.:448).

2.4.5 Grants from national government to local government

The main financial support from the national government comes in the form of loans from the Local Authorities Loans Fund, presently administered by the Development Bank of

South Africa, and grants for low-cost housing schemes from the National Housing Fund. The loans from the Local Authorities Loans Fund may be used only for building infrastructure services. The grants from the Reconstruction and Development Fund and the National Housing Fund are conditional and may be used only for the purposes for which they were granted.

In cases where the national government mandates local government to render services on its behalf, local governments receive a subsidy to cover part of the operational expenditure for delivering such services. This is the case with primary health services delivered at municipal clinics on behalf of the National Department of Health.

2.4.6 Grants from provincial government to local government

Provincial governments support local governments in several ways. Conditional grants are provided on favourable conditions. Most of the funds for these grants come from the Reconstruction and Development Fund, channeled through the provincial governments. Examples are the Rural Administration Infrastructure Programme and the Municipal Infrastructure Programme of the Western Cape Provincial Government. The first programme provides aid for basic administrative infrastructure, such as administrative buildings, office furniture and equipment. The second provides aid for the construction of basic services infrastructure.

The provincial government of the Western Cape also support local governments, including metropolitan local councils, with unconditional grants to balance their operational budgets. These are called Inter-Government Transfers (IGTs) and are nothing other than a rate/tariff-support system. The allocation of these grants is done according to a specific formula based on the National Poverty Index. The MEC for Local Government in the Western Cape announced in his 1997 budget speech that he was going to review the grant formula to include the following aspects:

- The extent to which credit control is successfully applied by the local governments concerned;
- Steps that are taken to persuade residents to pay their municipal accounts;
- The role councillors play in persuading people to pay their accounts;
- Whether there are accumulated surpluses and why are they not being utilised;

- Whether problems experienced with operational accounts are real; and
- IGTs will not be granted to local governments with accumulated surpluses that are not being utilised nor to those not encountering problems in balancing their operational budgets.

2.4.7 Local Government Fiscal Framework and allocations

The Local Government Fiscal Framework responds to the constitutional assignment of powers and functions to this sphere of government. The Framework refers to all resources available to municipalities to meet their expenditure responsibilities. National transfers account for a relatively small proportion of the Local Government Fiscal Framework, with the majority of local government revenue being raised by municipalities themselves through their substantial revenue raising-powers, including property rates and service charges. However, the proportion of revenue coming from transfers and own revenue varies dramatically across municipalities, with poor rural municipalities receiving most of their revenue from transfers, while urban municipalities raise the majority of their own revenue. This differentiation in the way municipalities are funded will continue for the foreseeable future.

The 2013 division of revenue saw several major changes to the Local Government Fiscal Framework, including the introduction of a new formula for the local government equitable share, several new conditional grants, and the use of new updated data from the 2011 Census in allocating the Municipal Infrastructure Grant (MIG).

2.4.8 Municipal Infrastructure Grant

The largest infrastructure transfer is made through the MIG, which supports government's aim to expand service delivery and alleviate poverty. The Grant funds the provision of infrastructure for basic services, roads and social infrastructure for poor households in all non-metropolitan municipalities. Total allocations for the MIG increased to R14.7 billion in 2014/2015, R15,1 billion in 2015/2016, and R15.8 billion in 2016/2017. The MIG is allocated thorough a formula with a vertical and horizontal division. The vertical division allocates resources between sectors and the horizontal division takes into account poverty, backlogs and municipal powers and functions in allocating funds to municipalities (Division of Revenue Bill, Part 5, 2014/2015:97-98).

The five main components of the formula are described below:

Municipal Infrastructure Grant = C + B + P + E + N	
C	Constant to ensure increased minimum allocation for small municipalities (this allocation is made to all municipalities)
B	Basic residential infrastructure (proportional allocations for water supply and sanitation, roads and other services such as street lighting and solid waste removal)
P	Public municipal services infrastructure (ring-fenced for municipal sport infrastructure)
E	Allocation for social institutions and micro-enterprises infrastructure
N	Allocation to the 23 priority districts identified by government

Table 2.1: Municipal Infrastructure Grant (Division of Revenue Bill, Part 5, 2014/2015)

2.4.9 Financial Management Grant

The Financial Management Grant (FMG), managed by the National Treasury, funds the placement of financial management interns and the modernisation of financial management systems. This includes building in-house municipal capacity to implement multi-year budgeting, linking integrated development plans to budgets, and producing quality and timely in-year and annual reports. The Grant supports municipalities in the implementation of the Municipal Finance Management Act. Total allocations for the FMG amounted to R1.4-billion over the 2014 MTEF period (Division of Revenue Bill, Part 5, 2014/2015:101).

The FMG was made available by the National Treasury to promote reforms to municipal financial management practices, including the modernisation of budgeting, financial management, accounting, monitoring systems, and the implementation of the Municipal Finance Management Act. The outputs include the preparation and implementation of multi-year budgets meeting national standards, the adoption of Generally Accepted Municipal Accounting Practice (GAMAP), and improvements in internal and external reporting on budgets and financial information. R60-million was made available for 2001/2002 for allocations to pilot municipalities.

2.4.10 Municipal Systems Improvement Grant

The Municipal Systems Improvement Grant (MSIG) helps municipalities perform their functions and stabilise institutional and governance system, as required in the Municipal Systems Act (2000) and related legislation. The grant is administered by the Department of Cooperative Governance.

2.4.11 Neighborhood Development Partnership Grant

The Neighborhood Development Partnership Grant (NDPG) is administered by the National Treasury and has two components in the Medium-Term Expenditure Framework (MTEF). One focuses on urban areas and the other focuses on towns and rural areas. The urban component supports and facilitates the developments of urban network plans to create a platform for third party public and private investments to improve the quality of life in township urban hubs. Projects in towns and rural areas are implemented in conjunction with the Department of Rural Development to support catalytic projects in these areas. In 2014/2015, the Grant had an allocation of R2-billion over the MTEF period, which consisted of R1.8-billion for the capital (direct) grant and R165.3-million for the technical assistance (indirect) grant (Division of Revenue Bill, Part 5, 2014/2015:99-100).

2.4.12 Local Government Equitable Share

In terms of Section 227 of the Constitution, local government is entitled to an equitable share of nationally raised revenue to enable it to provide basic services and perform its allocated functions. The Local Government Equitable Share is an unconditional transfer that supplements the revenue municipalities can raise themselves (including property rates and service charges). It provides funding for municipalities to deliver free basic services to poor households and subsidises the cost of administration and other core services for those municipalities that have the least potential to cover these costs from their own revenue (Division of Revenue Bill, Part 5, 2014/2015:91).

The formula for the Local Government Equitable Share is as follows:

Structure of the Local Government Equitable Share Formula

$$\text{LGES} = \text{BS} + (\text{I} + \text{CS}) \times \text{RA} \pm \text{C}$$

where

LGES is the local government equitable share

BS is the basic services component

I is the institutional component

CS is the community services component

RA is the revenue adjustment component

C is the correction and stabilisation factor

Table 2.2: Structure of Local Government Equitable Share Formula (Division of Revenue Bill, Part 5, 2014/2015)

According to the Kopanong Local Municipality's Integrated Development Plan (2014/2015, 42), the equitable share allocated to the Municipality amounted to the following:

Equitable Share of the Local Government Sphere's share of revenue raised nationally – 2014/15-2016/17, as transferred to the Xhariep District Municipality in the Free State:

MUNICIPALITY	ALLOCATION 2014/15 R'000	FORWARD ESTIMATES 2015/16	FORWARD ESTIMATES 2016/17 R'000	TOTAL R'000
KOPANONG	82 502	78 397	70 209	

Table 2.3: Equatable share allocated to the Kopanong Local Municipality (Division of Revenue Act, 2014)

2.4.13 Municipal Disaster Grant

The Municipal Disaster Grant (MDG), introduced in the 2011 MTEF, is administered by the National Disaster Management Centre in the Department of Cooperative Governance as an allocated grant to local government. The Centre is able to disburse disaster-response funds immediately – without the need for the transfers to be gazetted first. Over the 2014 MTEF period, this Grant was allocated R1.1-billion (Division of Revenue Bill, Part 5, 2014/2015:102).

2.4.14 The Water Services Operating Subsidy

The Water Services Operating Subsidy is a grant with Schedule 5B (direct) and Schedule 6B (in-kind) components to fund water schemes. The direct grant funds the refurbishment and upgrading of schemes, while the indirect grant funds the costs of staff who have not been transferred to municipalities. In the 2014 MTEF, R1.9-billion was allocated for the Water Services Operating Subsidy (direct and indirect transfers). It is a transitional grant, which was expected to continue until 2016/2017, subject to review by the National Treasury and the Department of Water Affairs.

2.4.15 Expanded Public Works Programme Integrated Grant for Municipalities

The Grant promotes the use of labour-intensive methods in delivering municipal infrastructure and services. It is allocated through a formula based on past performance, which creates an incentive for municipalities. The formula has an extra weighting to give larger allocations to poor, rural municipalities. The Grant had an allocation of R1.9-billion over the 2014 MTEF period (Division of Revenue Bill, Part 5, 2014/2015:102).

2.4.16 Infrastructure Skills Development Grant

The Infrastructure Skills Development Grant (ISDG) develops capacity within municipalities by creating a sustainable pool of young professionals with technical skills related to municipal services, such as water, electricity, and town planning. The ISDG places interns in municipalities, so that they can complete the requirements of the relevant statutory council/professional body within their respective built environment field. The interns can be

hired by any municipality at the end of their internship. The Grant had an allocation of R372.4-million over the 2014 MTEF period (Division of Revenue Bill, Part 5, 2014/2015:102).

2.4.17 Public Transport Network Operations Grant

The Public Transport Network Operations Grant (PTNOG) subsidises the operational costs of public transport system built through the Public Transport Infrastructure Grant. Previously, both grants formed part of the Public Transport Infrastructure and Systems Grant. The PTNOG has been split into separate infrastructure and operational grants to provide more transparency on what is being funded and to provide cities with greater certainty about the levels of operational funding they will receive to support their new public transport networks. The PTNOG was allocated R3.3-billion over the 2014 MTEF period (Division of Revenue Bill, Part 5, 2014/2015:101-102).

2.4.18 Municipal Human Settlement Capacity Grant

The Grant, administered by the Department of Human Settlements, funds capacity for the development of human settlements in the six metropolitan municipalities, targeted for assignment of the housing function. The Grant was allocated R300-million in 2015/2016 and R300-million in 2016/2017 (Division of Revenue Bill, Part 5, 2014/2015:99-101).

2.5 ALIGNMENT OF SECTOR PLANS AND THE IDP THROUGH AN INTEGRATION PROCESS

The Municipal Systems Act provides that municipalities should undertake an integrated development planning process that integrates all sectors' strategies, programmes and projects to promote integrated development in communities. However, assessments conducted on the plans over the last five to six years revealed found that most municipalities were struggling to use the integrated planning process as a mechanism to facilitate integrated and coordinated delivery within their localities. It has emerged that IDPs only mentioned projects that would be implemented by other government spheres, without showing a linkage with other programmes. This challenge could be attributed to, among others, a lack of guidelines to assist municipalities to integrate various plans and programmes in their IDPs. Therefore, the purpose of this section is to:

- Discuss critical sector plans and their significance;
- Demonstrate the sequence and relationship of the sector plans; and
- Outline the process to ensure proper integration (Revised IDP, 2012:17).

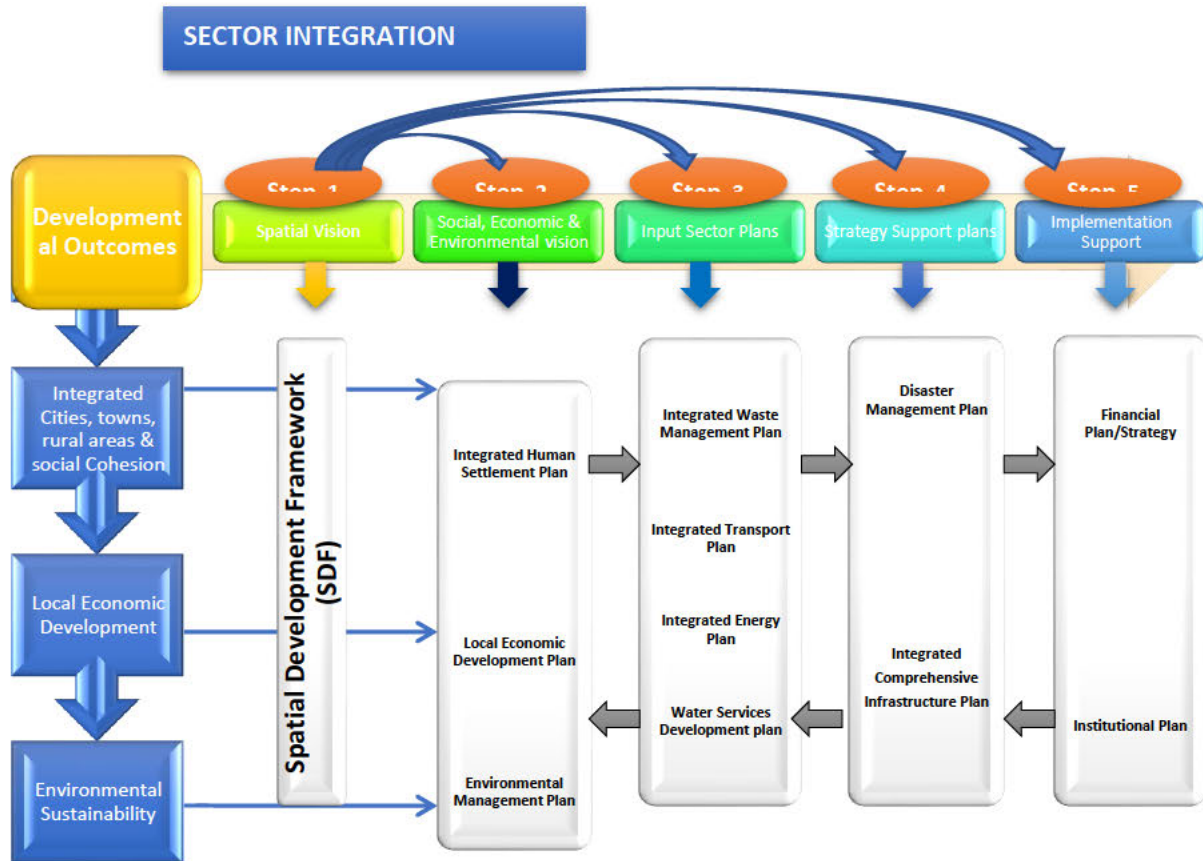


Figure 2.1: The Revised IDP Framework for Municipalities Outside Metros and Secondary Cities (Developed for the Provincial Development Planning and Implementation Forum, Free State Province, 2013).

It is important to include the following from the IDP Guide Pack V (2000:5):

The approach to the Integrated Development Planning suggests that specific sectors should only be considered when they are relevant to particular local priority issues and can make a contribution to addressing these priorities. Planning at provincial and national level is primarily sectoral and based on existing government departments' programmes. These have specific sectoral requirements that need to be met by municipalities. The implementation of these programmes will invariably occur in the area of jurisdiction of municipal government. To ensure that municipal priorities are addressed, and in the spirit of cooperative governance, the planning process of all

spheres of government must be aligned with and inform each other. This requires that municipal planning process takes into account the legislative, policy, and strategy approaches of the line of provincial and national government.

The Guide Pack also instructs IDP professionals on how alignment should be approached in the process of IDP development within local municipalities; it also provides other policy guidelines. On alignment, the Guide Pack says the following:

A key concern among role players in the IDP process is how to achieve alignment between the different development sectors to support municipal development (certain dimensions which are also line departments, such as the environment). This section is intended to guide the reader (researcher) in his or her use of the sections dealing specifically with the development sectors, on the concept of alignment. Development sectors such as water and sanitation, housing, health and education have traditionally been institutionalized and addressed through separate government line functions. For operational purposes, each department has been allocated separate budgets and has been given responsibility for developing and implementing different legislation, policy and programs. For municipal planning and delivery to be integrated, vertical and horizontal alignment needs to take place between the spheres of government. Secondly, since the latest municipal demarcation process establishes wall-to-wall municipalities across the country, when provincial and national sector departments implement, they will be doing so within a municipal area. This means that local priorities need to form the basis for alignment between governmental sectors and spheres (IDP Guide Pack V, 2000:9-10).

The following table presents an overview of the alignment objective per planning phase in the IDP process. Sector specialists and other stakeholders in the IDP process can use this as a practical guide for alignment, to define their respective role in the process:

Phase	Objective for Alignment
Analysis Phase	▪ Defining for the sectors what information is relevant to the IDP process and what would need to be undertaken as a parallel sector planning process

Strategic Phase	▪ Making relevant sector planning information available to municipalities
Project Phase	▪ Sector specific alignment of legal requirements for areas of relevance with IDP priorities ▪ Compliance requirements with the principles of the Development Facilitation Act (1995) and the National Environmental Management Act
Integration Phase	▪ Provide technical detail to IDP projects, thereby ensuring feasibility and compliance of projects proposals with sector policies and requirements ▪ To ensure that sector plans and programmes, relevant to the IDP priority issues, are in line with locally driven priorities, objectives and strategies
Approval Phase	▪ Consolidate sector programmes/plans for each sector for operational management and implementation ▪ Consolidate integrated programmes for cross-cutting dimensions of development to ensure consistency and sustainability ▪ Providing a final opportunity for alignment on the draft IDP

Table 2.4: Summary of IDP (IDP Guide Pack V, 2000:10)

2.6 HISTORY OF IDP IN SOUTH AFRICA

According to Harrison (2000), the IDP was introduced in 1996 through the White Paper on Local Government, which introduced the concept and clarified its objectives. The IDP was described as a progressive discourse on governance and planning, which is generally centred on integration, performance management and participation. When focusing on international organisations and government departments, a number of planning instruments are utilised to achieve integration, effective performance management, and participation. Harrison (2000) further states that although the South African story was to connect strongly with these international trends, there is a specifically local tale that links to the South African legacy of apartheid-related fragmentation. From the late 1970s, the reformist wing of the apartheid state searched for solutions to grow politically and economically (Harrison, 2000). There was the hope that regional coordination (which cuts across provincial and homeland boundaries) would resolve some of the challenges the country was facing. Within that context, the then government was experimenting with various forms of integrated development planning. As an

example, Harrison (2000) presents the integrated regional planning initiatives that were established in the KwaZulu-Natal region, and the integrated rural development programmes in the homelands of Gazankulu and Transkei, which were supported by the Development Bank of South Africa. However, Harrison (2000) noted, without a fundamental reorganisation of political and administrative structures, these initiatives had limited impact. This lack of impact led to the shift towards a strategic planning approach at the local level, and saw the beginning of Natal's Package of Plans, which were linked to the town-planning scheme.

Therefore, it is obvious that South Africa needed a local planning instrument that would be effective and act as a framework for the development of societies that were not equally developed. Based on fresh perspectives of the new democratic government in 1994, most things had to change, and the planning methods were included. After 1994, planning instruments were introduced, such as the Development Facilitation Act promulgated in October 1995 (Development Facilitation Act, 1995). Land Development Objectives, which local authorities were required to prepare, and Development Tribunals, which were given the power to override legal restrictions on land development, were some of the efforts utilised to provide effective planning after the democratically elected government came into power. Their primary intention was to "facilitate and speed up the implementation of reconstruction and development programs and projects in relation to land" (RSA, 1995b:1). Despite these efforts, which were taking place in smaller areas of governance, there was a need for a broader instrument to coordinate and direct the activities of local authorities. The opportunity was provided in late 1996 by the preparation of a piece of legislation to amend the Act, which provided a legal basis for the system of transitional local government.

2.7 THE INTEGRATED DEVELOPMENT PLAN

In South Africa, a number of critical and strategic legal frameworks and sector plans inform planning in local government. The significant part played by these legal frameworks is to ensure proper alignment of the strategic documents (RSA, 2000:12). During the apartheid era, the IDP operated on a racially segregated basis, concerned only with the needs of the privileged groups in society.

The IDP is a key strategic apparatus, which guarantees that local municipalities are managed properly; it is meant to transform local government into a developmental sphere of government (DPLG, 2000). Alignment of the IDP, the OPM and the budget assists incumbents to lobby for resources, and to utilise and implement projects. The implementation and management of these tools assists a municipality in reflecting the needs and aspirations of the citizens within a specific municipal area (DPLG, 2000). A credible IDP also has to reflect professional planning. According to Subban and Theron (2012:21),

The value of the Integrated Development Planning process for municipalities lies in formulating focused plans and developmental priorities. The approach would assist in avoiding wasteful expenditure and perpetuating past spending patterns, viewed as common challenges in municipal governance. The notion of adopting a more business-based approach, was therefore not to run councils like companies, but to ensure that scarce resources were spent effectively, efficiently and economically, as it impacts on the triple bottom line for municipalities.

2.7.1 Defining Integrated Development Planning

The Department of Provincial and Local Government (2000:14) presents the following definition of Integrated Development Planning:

...a participatory approach to integrate economic, sectoral, spatial, social, institutional, environmental and fiscal strategies in order to support the optimal allocation of scarce resources between sectors and geographical areas and across the population in a manner that provides sustainable growth, equity and the empowerment of the poor and the marginalised.

This definition of Integrated Development Planning has placed at the forefront key elements that are important in understanding this concept. These elements are participation, strategic focus, integration, prioritising those in greatest need, and a delivery orientation.

2.7.2 Core Components of the IDP

The Municipal Systems Act (2000:24) requires municipalities to adopt a single, inclusive plan for development which:

- Links, integrates and coordinates plans and takes into account proposals for the development of the municipality;
- Aligns the resources and capacity of the municipality with the implementation of the plan;
- Forms the policy framework and general basis on which annual budgets must be based; and
- Is compatible with national and provincial development plans and planning requirements.

Section 26 of the Municipal Systems Act (2000) goes further to present a list of the core components of the IDP. The Act indicates that the IDP of a municipality should:

- Present the long-term development vision, which emphasises the critical developmental and internal transformational needs of the municipality;
- Reflect the municipality's assessment of the degree of developmental activities; this should include both the positive (where there is development) and the negative (where there are no basic municipal services);
- Present the municipality's development priorities and objectives to be dealt with during their term; this has to include LED aims and internal transformation needs;
- Reflect the development strategies, which are aligned to the national or provincial sectoral plans and planning requirements binding on the municipality in terms of legislation;
- Present the spatial development framework that includes the guidelines for the municipality's land use management system;
- Present the general operational strategies;
- Reflect the disaster management plans;
- Reflect a financial plan, which must include a budget projection for at least the next three years; and
- Reflect a set of key performance indicators and performance targets.

These core elements of the IDP for a municipality are intended to benefit the specific municipality and the individuals who reside in the areas under its control. In the next section, the benefits of the IDP will be explored in detail.

2.7.3 Benefits of the IDP

Generally, the IDP helps a municipality to effectively use its scarce resources, speed up delivery, attract additional investment, strengthen democracy, and enhance institutional transformation. The following are other benefits of the IDP to different stakeholders in a municipality:

- ***Municipal Council:*** The IDP provides clear and accountable leadership and development direction to the council. It further helps the council to develop cooperative relationships with stakeholders and communities, obtain access to development resources and external support, and monitor the performance of municipal officials.
- ***Councillors:*** The IDP provides councillors with a mechanism to communicate with their constituencies, enables councillors to represent their constituencies effectively by making informed decisions, and enables councillors to measure their own performance.
- ***Municipal Officials:*** For municipal officials, the IDP guides the planning unit within the municipal administration by providing them with a mechanism to communicate with councillors, contribute to the municipality's vision, and be part of the decision-making process.
- ***Communities and other Stakeholders:*** The IDP gives communities and stakeholders an opportunity to inform the municipal council about their development needs in order for the municipality to determine the development direction. The IDP further provides a mechanism through which to communicate with councillors and the governing body. In addition, the IDP provides a measurement for the performance of the councillors and the municipality as a whole.

- **National and Provincial Sector Departments:** For the national and provincial sector departments, the IDP provides guidance to the operational areas that they service; hence, they know where to allocate their resources. It also allows departments to coordinate their service delivery and development programmes in a municipal area based on local conditions and requirements, as presented in the IDP.
- **Private Sector:** The IDP serves as a guide to the private sector in making decisions with regard to areas and sectors to invest in.

Therefore, the IDP benefits all sectors within the municipality and within the provincial and national government.

2.7.4 Integrated Development Planning methodology in municipalities

Heller (2001:47) offers an account of the “technocratic creep” of South Africa’s Integrated Development Planning and the extent to which it has been implicated in the demobilisation of civil society. Heller (2001) further compares the IDP with budgetary and planning processes in Brazil and India, concluding that IDPs are prescriptive and state-led. Fakir (2005:2), on the other hand, writes that the developmental state emphasises performance, managerialism, technical and bureaucratic efficiency, and effectiveness.

There are Integrated Development Planning challenges facing municipalities in the South African context. Some of these challenges are not due to the municipal management, as the main custodian of the implementation of the IDP. Glass (2010) has noted that some of these challenges are a result of a lack of knowledge of the work municipal managers do and are expected to do. However, there are other aspects involved in the process, including the following:

- Minimal input from other municipal departments;
- No proper understanding of the IDP and section plans within the municipality;
- It is not fully researched;
- No input or alignment from provincial government; and

- Provincial project implementation is done under threat: funds are offered and the municipality must develop a business plan and persuade the district to assist with the implementation (Glass, 2010:17).

2.8 THE ORGANISATIONAL PERFORMANCE MANAGEMENT SYSTEM

Firstly, it must be said that the Organisational Performance Management System (OPMS) has been presented in other sources as the Performance Management System (PMS). Hence, in this study the two will be utilised interchangeably. This is done because wherever performance management takes place, there should be an organisation of some sort. A government entity, which includes a municipality, could also be an organisation.

Harrison (2006) indicates that in the United States of America (USA) outcomes-based performance management was considered as a feature of New Public Management, which was introduced during the Clinton-Gore administration. In the 1990s, outcomes-based performance management became central to the functioning of public authorities in the USA; then, it was linked to planning instruments. Very soon state and local authorities followed suit, and performance evaluation provided the core of the American ‘Re-invention Movement’, which was highly influential internationally. This emphasis was largely on the results of concerns flowing from the decentralisation processes of removing local officials from the direct control of higher levels of authority (Speklé and Verbeetenb, 2014). A related concern was with “rational budgeting”; that is, the linking of budgets to approved priorities and strategies. This shows that the performance management issue is not new, but has a long-standing history, not only in South Africa, but also in other countries including the USA, New Zealand and Australia.

The Local Government Municipal Systems Act No. 32 of 2000, Section A, requires every municipality to establish an OPMS that is commensurate with its resources and best suited to its circumstances in line with its priorities, objectives, indicators and targets reflected in its IDP. It further obliges every municipality to promote a culture of performance among its political structures, political office bearers, councillors and administrators, and to administer its affairs in an economical, effective, efficient and accountable manner (Guidelines for the development of OPMS Policy Framework in Municipalities, 2010). Fuo (2013:11) argues as follows:

By using key performance indicators, it is possible to assess the extent to which a municipality has succeeded in achieving its goals and objectives, including the extent to which it has succeeded in combating poverty and extreme inequalities in access to social services. It is suggested that the involvement of the community and the minister in setting appropriate key performance indicators could help in enhancing accountability in the IDP process.

The White Paper on Local Government (1998) proposed the introduction of performance management systems to local government, as a tool to monitor service delivery progress at local government level. It concluded that integrated development planning, budgeting and performance management were powerful tools, which could assist municipalities in developing an integrated perspective on development in their areas. It would enable them to focus on priorities, within an increasingly complex and diverse set of demands, and to direct resources allocations and institutional systems to a new set of development objectives (*ibid.*).

Chapter 6 of the Local Government: Municipal Systems Act (Act No. 32 of 2000) requires local government to:

- Develop a performance management system;
- Set targets, monitor and review performance based on indicators linked to the IDP;
- Publish an annual report on performance management for the councillors, the staff, the public, and other spheres of government;
- Incorporate and report on a set of general indicators prescribed nationally by the Minister responsible for local government;
- Conduct an internal audit on performance report audited by the Auditor-General; and
- Involve the community in setting indicators and targets and reviewing municipal performance.

An effective OPMS has different outcomes, and it will facilitate the following:

- The clarification of job responsibilities and expectations;
- The enhancement of individual and group productivity;

- The development of employee skills and capabilities to ensure that they perform optimally through feedback and coaching;
- The development of employee behaviour that is aligned with the organisational core values, goals and strategy;
- The establishment of a platform for making operational human capital decisions (e.g., salaries); and
- The improvement of communication between employees and managers (Pulakos, 2004).

2.8.1 Understanding a Performance Management System

In terms of a definition, Williams (2002) argues that it is a difficult task to define performance management, but presents a clarification of three main perspectives of an OPMS:

- Performance management is a system devised to manage employees;
- Performance management is set to manage the organisation; and
- Performance management is set to bring together the organisational management and the employee management to maximise the production goals.

Armstrong (2009) presented an OPMS as activities and processes that are interrelated and cannot be separated. Armstrong (2009) went further to demonstrate that these activities are supposed to be treated holistically within an organisation as a strategy of managing employees' performance. This is important, as by developing employees' skills, it could result in the organisation effectively achieving its financial goals. Thus, an OPMS is defined as an integrated strategy intended to increase and improve the company's performance by focusing on employees as individuals and on the team's capabilities (Armstrong and Baron, 1998).

Broadly, performance management is a strategic approach to management, which equips leaders, managers, workers and stakeholders at different levels with a set of tools and techniques to regularly plan, continuously monitor, and periodically measure and review the performance of the organisation in terms of indicators and targets for efficiency, effectiveness and impact. Therefore, an OPMS can be seen as a complex process intended to encourage

employees to meet the set targets of the organisation. It brings together the business goals with people management, as individuals and as teams, by strengthening effectiveness.

2.8.2 The benefits of an Organisational Performance Management System

Every organisation that implements an effective OPMS starts by clearly identifying the expectations of its staff and further presenting how these expectations could be achieved. Sahoo and Mishra (2012:3) state, “High-performing organisations require effective performance management systems to promote and develop the values, principles and competencies needed to sustain optimal outcomes”.

Johnston (2016) presented different benefits that an organisation could gain by implementing an OPMS. The organisation could:

- Show improved financial performance;
- Recognise improved sales or clients;
- Be able to align organisational financial objectives with employee behaviour and hence achieve a motivated team of employees;
- Observe improved communication with employees on the implementation of identified changes towards the new set of organisational goals; and
- Be able to demonstrate to individuals their contributions towards the organisational achievement of expected turnover and financial gain.

Therefore, based on this, it can be said that an OPMS is necessary for the effective operation of an organisation for management purposes. According to Sahoo and Mishra (2012:3), performance management is a process of managing employee performance to obtain the desired organisational results. These authors (*ibid.*) state that performance management includes activities such as “joint goal-setting, continuous progress review and frequent communication, feedback and coaching for improved performance, implementation of employee-development programs and rewarding achievements”.

2.8.3 The nature of the Organisational Performance Management System in South Africa

The requirement (the necessity) for the development and implementation of an OPMS is provided for in South African legislation, which makes it peremptory for municipalities to comply. In addition, the Auditor-General is required to audit municipalities (Office of the Auditor-General, n.d.).

Section A of the Local Government Municipal Systems Act No. 32 of 2000 requires every municipality to establish an OPMS that is commensurate with its resources and best suited to its circumstances in line with its priorities, objectives, indicators and targets reflected in its IDP (Local Government Municipal Systems Act No. 32, 2000). It further obliges every municipality to promote a culture of performance among its political structures, political office bearers, councillors and administrators, and to administer its affairs in an economical, effective, efficient and accountable manner. In seeking to comply with the above statutory requirements, this document therefore serves as a Performance Management Systems Policy Framework for a municipal council. It also caters for the development, implementation and rollout of a performance management system with a particular municipal council.

Section 7 of the Municipal Planning and Performance Management Regulations indicates that a Municipality's OPMS entails a framework that describes and represents how the municipality's cycle and processes of performance planning, monitoring, measurement, review, reporting and improvement will be conducted, organised and managed, including determining the roles of the different role-players (Government Gazette: Municipal Planning and Performance Management Regulations, 2001). In developing an OPMS, a municipality must ensure that:

- It complies with all the requirements as set out in the Act;
- It demonstrates the operations and management process, starting from the planning stage up to the stages of performance review and reporting;
- It clarifies the roles and responsibilities of the different role players who take part in the implementation;

- It clarifies the processes of implementing the system within the framework of the Integrated Development Planning processes to determine the frequency of and the lines of accountability for performance;
- It relates to the municipality's employee performance management processes; and
- It provides for the procedure by which the system is linked to the municipality's integrated development planning processes.

It is the responsibility of a municipal council to ensure that it adopts and/or approves the framework for the performance management system, which will guide the performance processes within a municipality. In most cases, municipalities do not adopt these regulations, but want to implement them.

Regarding the role and involvement of the community in the entire system, Du Plessis (2013:17) emphasises the importance of this element. Du Plessis (*ibid.*) states, "From a local perspective, autonomy could therefore be seen to refer to municipality's taking the initiative in identifying and pursuing opportunities to enhance the lives of the local communities".

2.8.4 Establishment of a Performance Management System

Municipalities appoint people who should ensure that performance management is executed. Chapter 6 of the Municipal Systems Act indicates how performance management should be implemented (Local Government Municipal Systems Act No. 32, 2000). A municipality is expected to establish a performance management system that:

- Is commensurable with its resources;
- Is best suited to its circumstances;
- Is in line with the priorities, objectives, indicators and targets contained in its IDP;
- Promotes a culture of performance management among political structures and political office bearers in its administration; and
- Administers its affairs in an economical, effective, efficient and accountable manner.

According to Williams (2006), performance management is a strategic approach to management. Hence, the establishment of an OPMS will equip leaders, managers, workers and

stakeholders at various levels with a set of tools and techniques to regularly plan, monitor, measure and review performance in terms of indicators and targets for efficiency, effectiveness and impact (Williams, 2006).

Altman (1979) argues that the implementation of government programmes often fails because of weak management technology, and poor information systems and monitoring mechanisms. For improved implementation of government policies, clearly defined goals aligned to the broader objectives should be stipulated. Altman (1979) concludes that measuring performance against these goals should be monitored in order to hold officials accountable, while allowing for corrective action.

In entrenching performance management in local municipalities, the municipal manager and managers accountable to him/her must take into account Section 195 of the Constitution, which states that Public Administration must be governed by democratic values and principles (The Constitution, 1996). The Constitution further presents the principles, which include the following:

- Promoting and maintaining high standards of professional ethics;
- Providing services to all without bias, and being fair;
- People's needs must be responded to and they must be encouraged to participate in policy making;
- Public Administration must be accountable;
- Transparency must be fostered by providing the public with timely, accessible and accurate information; and
- Good human resource management and career development practices, to maximise human potential, must be cultivated.

South Africans must broadly represent Public Administration. Employment and personnel management practices must be based on objectivity, fairness, and the need to redress the imbalances of the past (Williams, 2006:11). The Municipal Finance Management Act (No. 56 of 2003) requires that local municipalities establish internal audit units. In other instances, these services will be outsourced, based on the needs of the municipality. The Municipal Systems

Act, Section 45, stipulates that the results of a municipality's performance measures must be audited by an internal audit unit, which will include the following:

- The functionality of a municipality's performance management system;
- A municipality's performance management must always comply with the Act; and
- The extent to which a municipality's performance management is reliable in measuring performance, by making use of indicators.

The Auditor-General scrutinises the issue of performance, which includes the development of the IDP. The following are the recommendations from the Auditor-General (2016) to municipalities in South Africa to ensure improvements:

- Management (accounting officers and senior management), the political leadership (mayors and councils), as well as oversight - municipal public accounts committees (MPACs) and portfolio committees - do not respond with the required urgency to the AGSA's consistent messages about addressing risks and improving internal controls. There has been some improvement in the control environment of municipalities over the past five years, but progress has been slow and in 2014-2015, we rated the majority of municipalities' statuses in all areas of control as "concerning" or "intervention required". Of particular concern is the status of information technology (IT) controls, although some improvement has been evident over the past five years, and the implementation of the IT governance framework is expected to have a positive impact on municipal IT control environments.

Vacancies and instability in the key positions of municipal manager, chief financial officer and head of SCM Unit affect the financial and performance management of municipalities and can have a direct effect on audit outcomes. The impact on audit outcomes was apparent in the regression in audit outcomes (across all three audit areas) in 2011-2012 because of instability after the 2010-2011 elections. In 2014-2015, we again identified a direct correlation between stability in the municipal manager and chief financial officer positions and good audit outcomes. The competency levels of these key officials also contribute to their performance. We started tracking vacancies, stability and achievement of the minimum competency requirements as from 2012-2013, noting an improvement since then in the number of key officials with the required

competency. Improvement was also seen in addressing vacancies and creating stability, but of concern was that vacancies in chief financial officer positions stood at 20% by 2014-2015 year-end, with those of municipal managers at 17%.

The slow response to the high levels of non-compliance, poor audit outcomes, SCM transgressions and unauthorised, irregular as well as fruitless and wasteful expenditure demonstrates a lack of consequences in local government for poor performance and transgressions. Councils at 45% (47% in 2013-2014) of municipalities that reported unauthorised, irregular and fruitless, and wasteful expenditure in the previous year had not investigated these transgressions as required by the Municipal Finance Management Act (MFMA). We also continue to report to management the indicators of possible fraud or improper conduct in the SCM processes for investigation, to little avail as these cases continue to increase and are not investigated in most instances.

- Strengthen financial and performance management in local government in South Africa.
- Assist mayors and councils to start from an appropriate foundation for their five-year terms following the 2016 municipal elections.
- Strengthening basic internal controls, improving consequence management and stability in key positions (Makwetu, 2016:8-9).

The IDP is a consultative process. Thus, appropriate forums should be established for local residents, government representatives, NGOs, civil society and external sector specialists. The intention is to analyse problems affecting service delivery, prioritise issues in order of urgency and long-term importance, develop a shared vision and common strategic frameworks, formulate project proposals, compile an inventory of proposals, and integrate, assess, align and approve IDP sector plans.

Councillors, officials and the community should collaborate in the preparation of the IDP, the budget, and the OPM in local municipalities. The process will assist in allocating scarce resources in a manner befitting service delivery. Holzer and Collahan (1998:130-131) state that

the cooperation of councillors and officials will improve the attitude of the community towards the leadership of the municipality.

Performance measurement is not a single tool or practice. It is a cluster of tools with a common foundation that is applied to various practices, such as policy analysis and performance (Van der Molen, Van Rooyen and Van Wyk, 2001:162-163). Van der Molen *et al.* (2001) state that nowhere in the literature is the study of performance measurement more developed than in the efforts to create performance-based budgeting at the heart of public sector reform. The researcher suggests that there is a clear indication of alignment between the budget and the OPMS. Lynch (1995:43-44) describes performance budgeting as the rational allocation of money based upon grouping activities and defining the outcomes of those activities.

In addition, the political wing and the administrative section of local municipalities need each other. The success of each of these sections depends on the other. Fischer (1998) states that three main areas should be considered. The first area of concern is whether managers and officials ought to be involved in value-based decision-making. Fischer (1998) indicates that, in practice, this argument has been a territorial one about the boundaries between the roles of managers and officials. On the other hand, there are politicians and board members (in local government it will be councillors and senior managers). The classical distinction between these two groups is that one group is responsible for policymaking and the other for operations (Fischer, 1998:27). This matter boils down to the fact that there is a need for councillors, officials and the community to work together in the preparation of the IDP, the budget and the OPMS in local municipalities. The entire process will help in allocating scarce resources in a manner befitting the delivery of services to communities; thus, avoiding protest action in municipalities.

For a municipality to perform better on the IDP, the budget and the OPM, the municipal leadership should motivate their staff, as this is also a measurement of a function. The process offers staff members a more positive way of considering their employer, and being committed to the goals set on their behalf. The Cabinet approved the Municipal Turn-Around Strategy (MTAS) in local government as a means to enhance performance in this sphere. The aim of the MTAS is to involve members of the community and their stakeholders, to provide clarity on the work of government, and to explain the other plans of the government in a particular area/ward. The MTAS for local municipalities is linked to the broader objectives and strategies

of local government. This process monitors and assesses municipalities and speeds up the delivery of services.

The issue of aligning performance management with the budget is an important matter, which must be accounted for. Some scholars interpret performance management as a tool used in a variety of settings and in a variety of forms. It is a tool fraught with pitfalls; a tool created by science for use by a government. The essentials of the abovementioned aspects of performance management are the following (DPLG, 2000):

- In ignoring the pitfalls, we risk providing inaccurate and false information to decision-makers.
- It helps us to better understand the extent to which performance measurement suffers from the dysfunction that must be examined.
- It tries to avoid the dilemma created in the conflict of cultures.

2.8.5 Performance improvement in local municipalities in South Africa

There are complexities associated with organisational performance management in local government; there are also obstacles to productivity if improvement is required. The complexities are as follows:

- A lack of receptivity to new ideas - subordinates and supervisors may be reluctant to change.
- Aggressive and militant trade unions may influence the workforce to believe that productivity could lead to job losses.
- Residents might fear that change and innovation could cost money; they might object to such changes because taxpayers have the right to question “unjustified” expenditure (Hillard, 1995:4).

2.8.6 Performance management and the utilisation of human resources

The 1997 World Development Report suggests that countries with poorly paid public servants tend towards higher levels of corruption (Forje, 2009:64). This indicates that no institution,

including local government, will realise the results of performance measurement should it not attend to this issue.

In its Local Government Manifesto in 2011, the African National Congress (ANC) as the ruling party in South Africa indicated that there was a need for municipalities to be more effective and accountable, and to have clean local government by working together with provincial and national government. As much as the ANC appreciated that there were challenges in local government, it further stated, "... ensure that each municipality publishes and regularly reports on its local performance plan with targets for improvement in local services, and be expected to achieve them. Where necessary, and informed by its monitoring mechanisms, national and provincial government will make interventions at local level to remedy weaknesses that are identified through the monitoring" (ANC Local Government Manifesto, 2011:13). In this instance, the Manifesto of the ANC agrees in principle with what is stated in the Constitution, in Chapter 7, Section 152 (1), as the objectives of local government:

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

Accountability, including community participation, is one of the main forms of democracy. A democracy is where people elect representatives, in order to make decisions on their behalf. Local government councillors are elected directly by residents to represent their interests in the local council. Councillors receive a mandate from the voters based on their election manifesto; this is a form of representative democracy. Participatory democracy, on the other hand, is where people make all decisions themselves. All the people affected participate in decision-making and no representatives can decide on their behalf. This can work in small communities or organisations where everyone can meet to discuss and decide on an issue.

Jacobs and Calland (2002:233-234), referring to when Thabo Mbeki was the President of South Africa, stated the following: "In conjunction with reconfiguring the state-society relations in

the era of delivery, Mbeki has come to power with an overwhelming mandate to speed up change and deliver on the ANC programme”. President Mbeki also unveiled a clear and detailed vision of South Africa that included “reducing poverty, stimulating economic growth and development, developing human resources, and creating jobs”. Some of his specific proposals included stepping up the fight against crime by restructuring the criminal justice system, rightsizing the public service, creating a business-labour-government investment council, changing the labour law regime to promote job creation, forming a government partnership with grassroots citizens’ groups in order to promote development, and building a partnership between the the public and private sector. According to Barrel (1996), Mbeki’s “reputation as a doer and someone who can make things happen has won him the title of the kick-arse president”. However, to what extent did this new delivery approach clash with the people-driven development approach, which emphasises the opportunity for popular participation in government decision-making? As Friedman (1999) stated, in the course of the drive to deliver, the technical aspects of securing economic growth, implementing social programmes to reduce poverty and inequality, and deracialising the society were likely to take precedence over democratic goals like respecting political diversity or extending representation through strengthened provincial and local government”. Broad consultation and participation could become more perfunctory in light of fast-tracked delivery (Marais, 1997).

A study by IDASA on executive policy-making in South Africa indicated the following:

- Public participation in its broadest sense, in relation to many of the departmental and ministerial policy-making and law-making processes, may have come to be viewed as something of a time-wasting procedure. The political leadership’s need to be seen to act and act quickly, to address the needs of the electorate, has taken precedence as the term of office of the present parliament has progressed (IDASA, 1999a).
- “Both the national department and the provincial departments of housing use consultants to perform specific work for them as additional capacity to the departments. These persons would be the only outsiders who contribute to executive decision-making. NGOs and CBOs (community-based organisations), which during the time of the National Housing Forum had considerable voice and input into policy-making, are feeling marginalised” (IDASA, 1999b).

The researcher observed issues, relating to community participation, in the Naledi Local Municipality (NLM) in the Free State during the 2008/2009 financial year. The observation related to the Municipality deciding to change house numbers, without consulting the community. This matter created many problems within the community, as people did not know which house number to use, especially regarding sending and receiving mail at the Post Office. However, the community decided unilaterally to use the old house numbers, and not the new house numbers, which were introduced by the Municipality. This observation relates to the fact that the political leadership of the Municipality did not own the process of introducing new house numbers in the community. The fact is that when the administration and/or management brought about these changes, they did not correctly advise the council about these developments; thus, the community was disregarded and ignored; which made them feel isolated.

There are different arguments to this particular debate; however, the researcher has chosen to bring one of the arguments to the fore with regard to justifying the above case in point. Oldfield (2002, in Samson, 2007:35) notes that in practice, participation can lead to disempowerment. However, if participation is combined with collective organisation and proactive reflection by the participants on the limitations of the existing modes of governance, the act of participating in the process of participatory democracy not only ensures a democratised society in the present; it can also build the capacity required to envision and pursue more radical transformation in the future (Samson, 2007:35).

According to John (2011:76), Performance Management “is not short of critics”. Some of the criticism levelled against it includes:

- Performance is hard to measure, or at least hard to quantify through grading and ranking schemes. This means that the targeting of performance is not efficient at addressing matters that might not be close to the optimal outcome.
- In relation to the first point, the performance regime distracts the organisation from its core aims and makes it concentrate on those who are in the performance regime. Prendergast (2001) provides an example of this on performance measures and the police force, whereby more scrutiny of the police force caused them to reduce the number of criminals they arrested because they feared external review.

- Certain organisations offer an incentive to boost the results to achieve the desired performance score, rather than actually improving services. Thus, organisations would seek to hit their targets by manipulating information. An example of this is the creation of temporary hospital rooms on corridors by means of curtains in British hospitals in order to fulfil a national target (Hood, 2006:517). In the South African context, ‘temporary hospitals’ are created when the Department of Health brings in mobile clinics; that is, vehicles and modular clinics, especially to farming communities and to the areas/townships where there are no clinics.
- Meeting performance targets may undermine important values, such as the public service ethos among staff, which could sustain the organisation in the end.
- Performance management becomes a political tool for a government seeking to be seen to be improving services, which means there is added pressure from the centre to force an organisation to improve and meet the targets, which may accentuate distorted goals. This typically leads to too high expectations, and often ends up with the target being abandoned.
- Finally, the performance management regime suffers regulatory capture: the people doing the regulating are likely to be expert members of a regulated group, who are adept at lobbying. This means performance management may be a game played from the top down, with the regulator pretending to police the regulated parties. It should be added that performance management regimes are often resisted by the groups who are being regulated; typically, organisations in the public sector, who are much more concerned with administration than other publics, like consumers, and have effective professional representatives to put forward their points of view (John, 2011:76).

2.9 UNDERSTANDING THE BUDGET

Effective financial management is a constitutional requirement for all three spheres of South Africa’s government. The Municipal Systems Act 32 of 2000, Chapter 2, establishes the right of municipal councils “to fund the affairs of the municipality by charging fees for services” (RSA, 1996). Further, Section 75 of the Municipal Systems Act provides general powers to a municipality to levy and recover fees, rates and tariffs in respect of any municipal function or service provided. In addition, Chapter 8 of the Act provides what is required from municipalities to execute such responsibilities.

Referring to the budgeting process, Rodman (1968:14) argues as follows:

The budget process can be a source of problems. Lack of co-ordination between planning and financing has its own particular aspects: the budgetary credits allotted to the plan may be insufficient, essential loan funds may be unavailable, foreign exchange needed for equipment importation may be denied, foreign aid programmes may be uncoordinated with each other or with the budget. Moreover, the budget process, by its nature, tends to act as a restraint; its officials are inclined to adjust programmes to available resources rather than try to secure resources (e.g. by tax reform) for financing desirable programmes. If the planning agency is politically outweighed by the budget bureau, or if the planning unit is part of the Ministry of Finance, the forces of restraint may prevail. The budget itself should serve as a control on the quality of projects, and as an authoritative commitment of funds. Too often, however, premature and ill-conceived projects slip through and the budgets are subject to endless approval. Year round ad hoc expenditure control is often resorted to as a substitute for good budgeting, and this is a negation of programming and planning.

Chapter 2 of Municipal Budget and Reporting Regulations (2003) indicates that municipalities must establish municipal budget steering committees. The mayor of a municipality must establish a budget steering committee to provide technical assistance in discharging the responsibilities set out in Section 53 of the Act. The steering committee must consist of at least the following persons:

- a. The councillor responsible for council matters,
- b. The municipal manager,
- c. The chief financial officer,
- d. The senior managers responsible for at least the three largest votes in the municipality,
- e. The manager responsible for budgeting, and
- f. The manager responsible for planning and technical aspects on infrastructure.

Many municipalities in South Africa do not adhere to these regulations, as indicated and required. An example is the Naledi Local Municipality in the Free State. Although a budget steering committee was established by the Mayor, in regards to the Senior Managers accountable to the Municipal Manager, the Chief Financial Officer attended the committee

meetings at times, but the Director of Corporate and Social Services and the Acting Technical Director did not attend the budget steering committee meetings at all. However, the Municipal Manager went ahead with the meetings as if there was nothing amiss with the fact that these Directors did not attend the meetings.

It is through these committees that the municipal council is able to determine whether there is progress in the work of both the administration and the political wing, which have to play an oversight role. The regulation highlights an important aspect of the tabling of annual budgets in municipal councils. It relates to the fact that an annual budget and supporting documentation tabled in a municipal council in terms of Section 16(2) and 17(3) of the Act must be in the format in which the council will eventually approve it and it must be credible and realistic; thus, it must be implementable. At the mid-point of this process, the Municipal Manager must ensure that the Service Delivery and Budget Implementation Plan (SDBIP) is drawn up as an instrument that guarantees that the municipal annual budget is put into operation accordingly. Clearly, if there was no alignment of these strategic apparatus right from the start, issues of non-alignment will be exposed by this document during the reporting process.

It needs to be emphasised that there is a need for municipalities in South Africa to ensure that they comply with the relevant legislation that deals with budgeting, in particular. Municipalities should also be aware of the fact that there are various types of budgets that need to be applied from municipality to municipality. The following section focusses on the types of budgets that are used in South Africa, and which must be applied as such.

2.9.1 Incremental Budgeting

Municipalities have traditionally used incremental budgeting in the preparation of each annual operating plan. Incremental budgeting is based on the understanding that the budget will reflect line items within each class of expenditure, and that such line items will be grouped into budget votes, where the votes in turn will represent the principal functions, services or activities of the municipality. The system of line items used is uniform throughout the municipal voting structure, although not every vote will necessarily comprise the same line items, particularly under general leisure. Although it is believed that incremental budgeting simply entails the addition of a reasonable percentage to each line item in the most recently approved annual

operating budget, this is in fact the case in only a relatively small number of line items. Although incremental budgeting has been criticised for not being sufficiently analytical or critical of a municipality's activities, one must understand that the process of compiling the line item allocations, on which each vote is composed, is not only based on the premise of adding an agreed percentage to the previous year's budget.

According to Reddy *et al.* (2003:76), "An incremental budget uses the previous year's expenditure as a yardstick to determine the expected expenditure for the following year. This simple approach is commonly used to prepare the operating budgets of local authorities. The estimated sum on an item in the budget is adjusted by a percentage to allow for anticipated increases. The budget for the next financial year is based on the actual income and expenditure of the previous year and is adjusted for expected price increase". Fuo (2013:12), in turn, argues, "In most municipalities, there is a general lack of the technical skills and knowledge necessary for performing key duties in financial management from an operational perspective. This is a major constraint and one of the biggest challenges facing municipalities. These technical skills include planning, engineering, project management, and plant operating. Inadequate capacity at the senior management level and lack of financial management skills in municipalities result in poor service delivery. Furthermore, a high turnover of senior management in municipalities, particularly Chief Financial Officers, is a major issue affecting municipalities' capacity to manage their finances properly and thus lay a sound foundation to expand and improve service deliver".

2.9.2 Performance Budgeting

Performance budgeting has always been favoured in both the public and, pertinently, the private sector. Although this type of budgeting has various titles, such as Management by Objectives (MBO) and the planned programmed budgeting system (PPBS), these approaches are variations on the same theme. PPBS was a hugely elaborate system of performance budgeting, in which endless performance indicators were used to support trivial budget allocations, and the annual operating budget resembled major telephone directories. This type of approach, in essence, is only suitable for votes or sub-votes with sensibly measurable performance outputs. Thus, the votes for roads, electricity, refuse removal, water, maintenance

workshops, the housing department, and health may be able to provide meaningful information on the performance targets they are aiming for with their budgetary provisions.

2.9.3 Activity-Based Budgeting

At present, this type of budgeting is favoured (although it is not new to many municipalities). It is simply an approach that ensures that all the costs that reasonably and properly belong to a particular activity are grouped together in to the vote or sub-vote to which such activity relates. The important consideration in applying proper activity-based budgeting is to identify those activities that are significant in a municipality's operations, and can meaningfully be costed separately as activities, when many of these activities are so interrelated to one another within a particular function or service, or are so minor, that they could just as easily be classified with another type of activity.

2.9.4 Zero-Based Budgeting

This approach was popularised by then Governor Jimmy Carter in the state of Georgia in the USA in the 1970s. Zero-Based Budgeting (ZBB) is essentially suitable for the annual capital budget, but is of doubtful application if one is dealing with capital projects where contractual or other legal commitments exist. The use of ZBB in compiling the annual operating budget is tenuous in the extreme. We have already seen that by far the greatest part of the operating budget is determined by the factors over which a municipality has limited control, for example, the budget for salaries and allowances, for bulk purchases of services, depreciation, and finance charges' contribution to provisions. The fact that each one of these major provisions is determined anew for each operating budget is not the same as saying that they are zero-based. The use of the term "zero-based" would imply that one could provide nothing for such allocations, if one so wished; that is clearly not the case when dealing with these major components of the operating budget. The application of ZBB in its purest form, as advocated by Carter, entails the preparation of a range of "decision packages" for each activity to which the budget relates. These decision packages would then entail a complete justification of the activity. The administrative burden of applying ZBB proved to be considerable in the state of Georgia, and "in the views of some critics more time was spent on putting together decision packages than on providing services" (Fourie and Opperman, 2011:146).

Reddy *et al.* (2003) quoted Sarant (1978), who defined zero-based budgeting as follows:

A flexible approach to budget formulation by which budget analysis and justification shifts away from increments above the baseline represented by existing programs to a systematic review of decrements below the baseline; that is, financial requirements for both new and existing programs and activities are justified and analysed by the decision makers.

Sarant (1978, in Reddy *et al.*, 2003) further states that ZBB is significantly different from the incremental budgeting approach in that it:

- deals with practically those elements of the manager's budget request, not just increments or changes over the previous year budget;
- examines ongoing activities just as closely as proposed activities; and
- provides managers with a range of choices in setting priorities and funding levels.

ZBB does not assume that because an expense has been incurred in the previous year it must be included in the next budget, or that the pattern of expenditure for the current year will be “in line” with that of the previous year's estimates. ZBB virtually ignores past performances and involves a critical assessment of only those expenses, which are necessary to operate the municipal council efficiently. This method of budgeting “requires a lot of time, thought and research” (Sarant, 1978 in Reddy *et al.*, 2003:78).

There is also a need to provide clarity on what budgeting is, as this will assist municipalities and their entities. According to Visser and Erasmus (2002),

A budget is essentially a framework linking specific spending objectives with their associated costs, and is, therefore, applicable to any situation where spending objectives have to be determined – from household to multinational company – including, in this context, the government sector.

Visser and Erasmus (2002:9) add, “A budget serves as a basis for a government’s financial activities, as all the other components of financial management in the public sector are related to the budget”. The authors (*ibid.*) explain that a public budget has four basic dimensions. First, it is a political instrument that allocates scarce public resources among the social and economic needs of the jurisdiction. Second, a budget is a managerial and/or administrative instrument. It specifies the ways and means of providing public programmes and services, and establishes the costs and/or criteria by which its activities are evaluated for efficiency and effectiveness. Third, a budget is an economic instrument that can direct a nation’s, state’s or municipality’s economic growth and development. Fourth, a budget is an accounting instrument that holds government officials responsible for both the expenditure and revenue of the programmes over which they exercise control (Visser and Erasmus, (2002:9).

Most political principals do not know that it is their responsibility, as the budget is being prepared, to be part of the preparation and development of the whole process. Being part of this process would help them to obtain a better understanding of the technicalities, as they prepare their speeches for their constituencies. Moreover, they would be aware of what is included in the budget, and what it entails. This contrasts with Mayors and Speakers, who often are given a speech to read to communities, without knowing what is in the speech. They do not know whether what is written in the speech will change the lives of the people and their living conditions, or not.

2.9.5 Strategic significance of the budget

It is important for South Africans to understand what the budget in their municipal jurisdiction could bring about. In this regard, Fourie and Opperman (2011:122) state the following:

The budget is the most immediately important mechanism in giving effect to a municipality’s service delivery strategies. Although the IDP is municipality’s strategic blueprint, it is the annual budget that provides the tool for implementing the IDP: it is therefore imperative for municipalities to ensure that their annual budgets are output driven, and that the intended outcomes are in line with the service delivery objectives outlined in the IDP. By adopting their year budgets as part of each annual budget process, municipalities are compelled to take a medium-term view of their service delivery implementation targets and are enabled to make more informed decisions on

whether their budgets are properly aligned with the IDP, whether their IDP is attainable, and whether revisions to key aspects of the IDP are dictated by unavoidable budgetary constraints. In short, a sound budget is one that sensibly allocates realistically expected resources to the achievement of defined performance objectives identified as priorities in the approved IDP.

2.9.6 Budget-related policies

Many policies relate to the budget. The following list presents some of these policies:

- **The Rates Policy** - The council must take due cognisance at all times of the rates applicable elsewhere in the economic region, and of the impact that its own rates may have on local economic development. All rateable properties must be valued in compliance with the Municipal Property Rates Act, and a new valuation roll must be prepared at least once every three years. Interim valuation rolls are prepared annually. Varying rates rebates on assessment rates must be considered for each of the specified categories of properties when the council approves its annual operating budget, and provision for rates relief must be made in each budget in respect of the indigent and the needy aged (the Rates Policy will set out the criteria for such relief, as well as the parameters of the various rates rebates to be considered). The council must approve all these matters.
- **The Tariffs Policy** - As with rates, the council must take due cognisance at all times of the tariffs applicable elsewhere in the economic region, and of the impact that its own tariffs may have on local economic development. The council must ensure that its tariffs are uniformly and fairly applied throughout the municipal region. Tariffs apply to the four major services provided by the municipality, namely, electricity, water, and sewerage and refuse removal. The council should as far as possible recover the expenses associated with the rendering of each service concerned, and the tariff a particular consumer or user pays should be directly related to the standard of service received and (in the case of measurable services) the quantity of the particular services used or consumed.

- **The Fixed Asset Management Policy** - The policy covers a wide range of matters that have a direct impact on the budget, including:
 - Capitalisation criteria: material value
 - Capitalisation criteria: intangible items
 - Capitalisation criteria: reinstatement, maintenance and other expenses
 - Maintenance
 - Deferred maintenance
 - General maintenance of fixed assets
- **The Banking and Investment Policy** - This policy “deals with interest earned on investments, and may state, for example, that the interest accrued on all the municipality’s investment, will, in compliance with the requirements of GRAP, be recorded in the first instance in the municipality’s operating account as ordinary operating revenues, and thereafter be appropriated to the reserve or account in respect of which the investment were made. The policy will also deal with raising both the short and long term debt” (Fourie and Opperman, 2011:182-184).
- Lastly, the Indigent Policy, the Free Basic Services Policy, the Funding and Reserves Policy, the Supply Chain Management Policy, and other policies (which are not mentioned) must be considered so that the budget is of a high standard.

2.9.7 The benefits of a budget

The following are the identified benefits of a budget within a municipality:

- Municipalities are assisted by the budget in the process of transforming their places of work to be acceptable to work in;
- Through the effective use of the budget, community members are provided with knowledge of the municipal services that are delivered in their area;
- The budget should enhance stakeholder communication and participation by providing the areas selected as spending priorities;

- The budget provides support to councillors to enable them to efficiently implement municipal policies and provide community members with achievable plans and programmes; and
- The budget provides effective financial management in delivery.

2.9.8 Funding the operating budget

As per the annual Division of Revenue Act (DoRA), equitable share is a formula-driven allocation to municipalities and represents local government's share of nationally raised revenue. Equitable share allocations are intended to supplement the municipality's own revenue, which is derived from trading services and property rates. While municipalities may use their equitable share allocation at their own discretion, it is intended primarily for funding free basic services.

In the annual DoRA, the national conditional grant allocations are allocated for a specific purpose and have conditions attached to how they may be utilised; for example, the Municipal Systems Improvement Grant (MSIG) and the Finance Management Grant (FMG) are allocated to municipalities to strengthen their internal capacity. National conditional grant funding usually is made available in the annual DoRA to further those national priorities applicable to local government.

Where municipalities fail to meet the conditions, as stipulated in the annual DoRA, or fail to spend their conditional grant allocations, the funds must be returned to the National Revenue Fund. In the Provincial Gazettes similarly, provincial transfers are earmarked for a specific purpose and municipalities are expected to adhere to the stipulated conditions of each grant. Section 216 of the Constitution provides for the national government to transfer resources to municipalities in terms of the annual DoRA to assist them in exercising their powers and performing their functions.

An Overview of the Provincial Revenue and Expenditure for the 2012/2013 Medium Term Strategic Framework (MTEF) states the following:

In addressing these socio-economic challenges, the Provincial Government of the Free State will use the budget as a tool to address the above-mentioned challenges. The focus

will mainly be on funding and implementation of the identified strategic thrust of the government. Through the provincial budget, the provincial government will foster alignment across all votes and strive to create synergy amongst the various departments to realise tangible service delivery to our people. The provincial government will continue with implementation of the identified 12 outcomes as reflected by the Presidency; furthermore, the provincial strategy thrust will continue to be guided by the 2009-2014 MTEF as outlined below. This includes:

- Stimulation of the economy for growth and jobs
- Improving education outcomes
- Improving the health profile of our citizens
- Continuing with the rural development strategy linked to land and agrarian reform and food security
- Continuing investment in economic and social infrastructure
- Increasing safety
- Creating cohesive and caring communities
- Pursuing regional development
- Creating sustainable resources management, and
- Build a developmental state, including improving public services (Estimates of the Provincial Revenue and Expenditure, 2012/2013:4).

2.9.9 Funding the capital budget

The alignment of the IDP and the budget in local municipalities falls into place in funding the capital budget, as this is the most significant part of managing resources. When municipalities draw up or review the IDP, it should be done in conjunction with the budget. The IDP and the Budget Process Plan/Timelines guide the aforementioned process.

Correct procedures should be in place in order to execute work in a stable environment; that is, the financial planning and budgeting process. It should be noted that local municipalities are not exempt from these processes. National and Provincial Treasury is charged with ensuring that these processes are implemented. The government has to execute a dual approach concerning the way it uses its fiscal instruments to maintain social equality by the distribution

and allocation of wealth and resources. The issue of budgeting in local municipalities is essential in the sense that all financial resources should be accounted for.

Visser and Erasmus (2002:80) define a budget as follows: “Simply a document identifying, stating and indicating an objective with associated expenditure linked to each objective. It is not peculiar to government or business, but is found within every household”. In regards to municipal budgets, Schwedler (2009:2) states that budgeting matters should be subject to public participation as it is a significant component in the horizontal integration of policies. It underpins integrated planning approaches, which are closely related to the lifestyle and needs of the public. Participatory budgets ensure continuity in public participation and make political decisions possible (*ibid.*).

In most cases, municipalities do not make an effort to ensure that they involve communities, in wards or in entire areas, in knowing what the budget entails. Budgets are an integral part of the administration of municipalities. Hence, as much as councils ensure that public participation is done with the IDP, it must also be done in conjunction with the budget. More often than not, people within communities think that municipalities are trying to hide something from them when they do not inform them about the budget. Moreover, communities are of the opinion that municipalities only talk to them about other issues, or they talk about the budget when they require funds for their operations. Thus, municipalities should convene public participation meeting in wards to ensure that they inform communities about essential matters.

Community/public participation is a concept that is glibly used by researchers, planners and politicians. Defining the concept of community participation is not easy (Muller, 1994). McGee (2002) defines community participation as a process through which the community can influence and share control over development initiatives, decisions and resources that affect them. The ability to take control over development, according to Srinivas (1994), is dependent on the willingness of both the government and communities to accept certain responsibilities and carry out certain activities.

According to Fourie and Opperman (2011), public participation is an essential part of the political and administrative wing of local government in South Africa in regards to community participation and budget-related policies in the annual budget processes. In terms of Chapter 4 of the Municipal Systems Act, municipalities must create conditions for local communities to

participate in their affairs, specifically in the preparation of the budget. To achieve this goal, municipalities must utilise their resources and annually allocate funds in their budgets, appropriate for achieving and implementing the required community participation. Part of the general community consultation process (not limited specifically to the annual budget) is the requirement that a municipality must provide for:

- The receipt, processing and consideration of petitions and complaints lodged by members of the local community,
- The notification and public comment procedures,
- Public meetings and hearings by the municipal council and other political structures and political office bearers,
- Consultative sessions with locally recognised community organisations and traditional authorities, and
- Reporting to the local community (Fourie and Opperman, 2011:177).

According to Siddle and Koelble (2012), “Funding of local governments is among the most pressing of issues arising from decentralisation”. A primary issue here is whether to fund them from central government sources or from locally derived sources. However, raising revenue is not the only problem; in most developing countries, there are huge problems of local expenditure management (World Bank, 2000). This is linked inextricably to a challenge discussed earlier, that of capacity constraints. Siddle and Koelble (2012:52) have the following to say about budgeting at local government level:

Budgets are often unrealistic, relying on inflated forecasts, with the result that arbitrary cuts have to be made, generally in a manner that is not transparent. Weak financial management and accounting skills at the local level are matched by the lack of capacity to audit local government accounts. This provides enormous scope for abuse, which results, in turn, in little public trust in the finances of local government.

2.9.10 The budgeting process

An organisation that is able to establish a budgeting process has the potential of operating a successful business venture (Needles *et al.*, 1993). If an organisation does not have a

coordinated budgeting system, such an organisation will not have a clear idea of its financial path. If a budget is drawn up properly, it provides the necessary monthly information on labour demands, the required raw materials, the cash needed, and the expenditure on capital facilities. The organisation will also be able to provide comparisons between its strong and weak areas, which originate from the budgeted amounts. The comparison between the strong and weak areas helps those in management to identify the reasons for the organisation achieving, or not achieving, its targeted income. In line with this thinking, in 2014 the then Minister of Cooperative Governance, Pravin Gordhan, made the following important statement, “It is high time that municipalities are administered like businesses and that they must be professional at all times. In other words, some of the case studies in the private sector will assist municipalities to find their right footing or try to do things correctly”.

2.9.11 Defining budget in a private sector context

According to Needles *et al.* (1993), “Almost everyone uses the word budget as if it were a cure-all for the financial problems of an enterprise”. However, a budget is simply a plan, and specific management actions are needed to make it a reality. A budget is a planning document created before anticipated transactions occur. Often called a plan of action, a budget can consist of financial data, non-financial operating data, or a combination of both. The data are projected for a series of events that have yet to occur. Hence, the primary objective of a budget is to forecast future financial and non-financial transactions.

Other misconceptions about budgets are obvious in the innumerable reports on television and in newspapers regarding the budget and deficit spending by the government. The cure for deficit spending, it is said, is to “balance the budget”. This statement is misleading because spending processes alone cannot be used to balance the budget. To reduce or reverse a current deficit, one must ensure that the revenue is greater than the expenditure. There is only one way to operate within a balanced budget, and that is by first preparing a document in which the planned revenue equals the planned expenditure, and then by operating within these constraints.

A budget can take an infinite number of shapes or forms. The structure depends on what is being budgeted for, the size of the organisation, the degree to which the budgeting process is integrated into the financial structures of the enterprise, and the background of those who

prepared it. Unlike the formal income statement or the balance sheet, a budget does not have a standard form that can be memorised. Moreover, a budget can be as simple as the projected sales and costs of a corner soft drink stand or as complicated as the financial projections of Exxon Corporation or Ford Motor Company.

The person, or people, who prepares the budget develops the actual format of the budget. A company may develop its own format for its budget, which is used on a regular basis. However, if a new product or service requires budget information, the document needs not to follow the structure or format of other budgets. The second objective of a budget is that the information should be as accurate and as meaningful to the recipients as possible. To meet this objective, a budget should present information in an orderly manner. Scant information may result in over- or under-spending because the reader did not understand the limits suggested by the document. According to Needles *et al.* (1993:971-972), “A budget needs not to contain both revenues and expenses, nor does it have to be balanced. A materials purchase/usage budget, for example, contains only projected expenditure for raw materials and parts. A budget can also be made up entirely of non-financial data, such as hours or number of services.”

2.9.12 Preparing the budget in local government

The Municipal Finance Management Act No. 56 of 2003, Circular 10 of 2004, provides only six steps that should be followed by municipalities in developing a budget. The Circular indicates that consultation for the budget occurs throughout the budget process and/or the preparation cycle.

The following steps must be followed in budget preparation:

	Step	Process
1	Planning	Schedule key dates, establish consultation forums, and review previous processes.
2	Strategising	Review the IDP, set service delivery and objectives for the next three years, consult on tariffs, indigents, credit control, free basic services, etc., and consider local, provincial and national issues, previous years' performance and current economic and demographic trends, etc.

3	Preparing	Prepare the budget, revenue and expenditure projections, draft budget policies, and consult and consider provincial and national priorities.
4	Tabling	Table the draft budget, the IDP and budget-related policies before the council, and consult and consider local, provincial and national inputs or responses.
5	Approving	The council approves the budget and related policies.
6	Finalising	Publish and approve the SDBIP, and Annual Performance agreements and indicators.

Table 2.5: Planning and preparing the budget

It is important that municipalities should ensure that budget processes are followed to the letter, and not only as a matter of compliance. The managers responsible should do quality work. Mayors and councillors should ensure that the schedule for key deadlines is provided on time for inspection so that the other activities of politicians in a particular municipality do not clash with those of the MFMA calendar. (The abovementioned information will be unpacked in the next chapters, including the full schedule of key deadlines and/or the IDP and Budget Timelines/Process Plan by the IDP, and the Budget and OPMS Managers in local government in South Africa).

Local government budgets are critical for the enhancement of people's livelihoods. Makgetla (n.d., in Buhlungu *et al.*, 2007:150) states:

In 2005, for the first time, the Treasury published the budgets of all municipalities on a common format, making it possible to analyse the extent of redistribution through local government budgets. To do this, the municipalities are divided into quintiles of the populations based on expenditure per person; that is, the municipalities are split into fifths by population, with ones that spend the least per person in the lowest quintile and the ones that spend the most in the top quintile.

The below table indicates that Kopanong Local Municipality, FS 162, was in Quintile 4.

Quintile	Average expenditure (rand)
Quintile 1	3 637
Quintile 2	2 630
Quintile 3	1 488
Quintile 4	504
Quintile 5	146
Total	1 699

Table 2.6: National Treasury (2005)

Buhlungu *et al.* (2007:162) conclude:

The analysis of the budgets indicates that in the first 12 years after democracy the fiscus did little to overcome the inequalities left by apartheid. The poorest districts continued to fall behind in terms of access to basic infrastructure. In these circumstances, there was little hope of stimulating local economies and raising incomes. The result was ongoing destitution and migration to the metro areas in Gauteng.

The ANC 2016 Local Government Manifesto shone light on the future of development in South Africa. The Manifesto addressed issues, which relate directly to the local government IDP and budgeting; that is, skills development and municipal capacity building. Individuals are strategically placed and/or positioned to ensure that there is development and service delivery in municipalities: These individuals are involved with the following:

- Enhancing the existing skills and capabilities and recruiting officials with the requisite technical skills, administrative knowledge and experience,
- Strengthening local partnerships with the private sector, trade unions and community-based organisations to enhance service delivery,
- Strengthening and consolidating relations between councillors and traditional leaders to improve services to traditional communities,

- Bringing additional engineering, project planning and financial management skills to urban municipalities,
- Building capacity to undertake long-term planning with a view to ensuring the coordination and integration of strategies for growth and development,
- Developing programmes for youth councils in municipalities,
- Strengthening the internal capacities of municipalities to monitor the work of municipalities, including early warning mechanisms to identify areas where challenges may arise,
- Promoting the education and training of municipal officials through skills development initiatives,
- Providing additional national and provincial support to further improve the capacity of local government to deliver services, and
- Developing capacity to address challenges linked to the non-payment of bulk suppliers and the recovery of money owed to municipalities by communities, governments departments and businesses (ANC Local Government Manifesto, 2016:20).

The ANC Manifesto provides clarity on what must be done in local government in relation to public participation and accountability. This includes:

- Strengthening public participation to ensure that all communities participate in municipal programmes and activities,
- Further improving the accessibility and accountability of councillors through regular report back and feedback meetings in communities,
- Requiring councillors to sign performance and accountability agreements,
- Strengthening partnerships with community organisations and other forums of people's participation,
- Rolling out the Batho Pele Standards for local government to improve service delivery, and
- Ensuring that all municipalities conduct consumer satisfaction surveys (ANC Local Government Manifesto, 2016:16).

2.10 OTHER TOOLS IN ADMINISTERING MUNICIPAL FUNDING

In the context of local government in South Africa, the IDP, the OPMS and the budget are major tools that help to govern and administer the funding of municipalities. It must be clarified that these tools on their own are different and they are anchored by the regulations that are prescribed by both the provincial and national government.

The first direct tool involves changing the incentive structure facing individuals and organisations by altering the law and reformulating the regulatory framework. This process has been applied by many Western states, and has the capacity to deliver good results. Most of these countries do not face obstacles from within the state, such as, another branch of government or a veto player.

The second tool involves increasing or altering the level of public finance directed at a public problem, whether it is about direct government services, or the transfer of payments, or affecting the different kinds and levels of taxation. This tool appears in Hood-Margetts' (2007) *Tools of Government*. The state or public authority can deploy more funds to release capacity, buy-in people dedicated to the task, and invest in technology to address human problems. The same effect may be generated indirectly by taxes, which in effect create a line of expenditure for a group of citizens, or impose costs or benefits, depending on their activities.

The next pair of resources/tools is more indirect, seeking to attend to the internal workings of the state or public authority that could have positive spin-off effects, perhaps helping the efficacy of tools number one and two. The third tool is the organisation of bureaucracies and delivery agencies, which could be reconfigured by incentives for good performance, contracting out public services, creating quasi-markets, and improving regulation – what may be called the new public management sector can involve decentralisation and the handing-over of responsibilities to private enterprise and other non-state organisations.

The fourth resource is similar, but requires change that is more radical. It is the reform of the structure of the state or public authority through the redesign of formal and informal political institutions. This change can be a simple transfer of an institution from one context to another or a recalibration of an existing institution. For it to work it needs some introspection about the purpose of an institution, what principles it is based on, and the causal mechanisms that can

create desired behaviour among the decision-makers of a political system and at large in the wider society.

The next pair of tools is softer, and even more indirect, where there is less of a command and control mechanism but more reliance on cooperation, persuasion and social interaction. These tools are newer, fewer and less familiar to policy-makers, so-called non-standard in this scheme. The fifth tool out of six is about the knowledge base of government, through communicating and persuading, using the ability of the state to communicate messages and to engage in acts of persuasion. This technique is about creating more equal forms of dialogue between the citizen and the state through participation in local decision-making, and the co-production of public services by citizens working alongside professionals.

The sixth and final lever is similar, using soft levers of networks and systems of governance to effect the changes, such as through the partnerships between the private and the public sectors. These networks can connect to stocks of social capital, partly from using these soft linkages, ensuring the state is responsive and cognates with these social factors. Networks may create virtuous circles of cooperative activity that then radiate into more effective policy outcomes. The last factor is almost beyond the capacity of the state or other public sectors, and can only be encouraged by other tools of government, such as public finance and delegations (Salamon and Lund, 1989). According to John (2011:10), “The tools of government may be seen as an infinite regress: tools needing to implement the tools, meta tools to introduce these guiding tools, meta-meta tools and so on”.

Top-down	Internal to the state	Non-standard
1. Law and regulation	3. Bureaucracy and public	5. Information, persuasion
2. Public spending and	management	and deliberation
taxation	4. Institutions	6. Networks and government

Table 2.7: Representation of the three pairs of tools (John, 2011)

The abovementioned tools are considered effective (John, 2011). Management should ensure that their compliance is up to scratch, regulations are implemented to the letter, and that politicians/councillors play their oversight role (John, 2011). However, administratively, management must ensure that there is communication and participation from top-down to

bottom (right at grassroots level), and that everyone understands what the approach of management is, in general, in a particular activity. The same applies to the participation of the society in the development of the budget, the IDP and the OPMS, as it helps both politicians and administrators to understand the needs of the people. This is precisely because there should not be any over-simplification of any government programme. Management must implement a programme of action that will link all the sectors in order to ensure that all stakeholders participate. It will ensure that both the administration and the political office do not struggle during and after a crisis. Hence, there should always be a way to deal with a crisis in the municipal environment.

As part of the tools should be included the SDBIP. The following elements must be included in IDP development, as they are integral to the process:

Related Cabinet Lekgotla Resolutions
M&E Frameworks
State of the Province Address
State of the Nation Address
Outcome 9
Goals of the Provincial Growth and Development Strategy
Municipal Turn-Around Strategy
COP 17 or Climate Change
Related Global Warming issues
Back to Basic Issues (as directed by the Minister of Cooperative Governance) (2015)
District Lekgotla Resolutions/IGR Resolutions or Mayor's Forum Resolutions

Table 2.8 Information and/or issues that must be included in the IDP

The above-mentioned are the basics required for developing and tabling a valuable and quality IDP document, which includes everything that is expected from it by the constituencies at grassroots level.

2.11 THE IDP, THE OPMS AND THE BUDGET AS PART OF POLICYMAKING AND IMPLEMENTATION

Integrated policymaking in South African local government has never been easier, considering the introduction of the Development Facilitation Act No. 67 of 1995, which assisted in coordinating and/or ensuring that the IDP becomes a reality in municipal councils. There has however been a real struggle in realising what was and/or is expected from the IDP. Wu *et al.* (2010:100) assert the following:

With an increasing population, recurring financial crises, widespread poverty, and deepening environmental issues such as climate change - one of the famous problems of our time - the need for sound public policies has never been greater. These and other pressing collective problems are too vast for communities, much less individuals, to resolve on their own: only government has the potential to address them. Yet, the potential for effective government action is often not realized, at least in part because very few public sector organisations are equipped to address complex public problems in an integrated, coherent, and adaptive fashion.

2.11.1 Policymaking

The public sector today is influenced by legislation and/or policies, which assist in the correct administering of this sphere. The issue of policymaking is also significant in that even the people who develop policies must be knowledgeable, competent and skilled in the processes of policymaking. The development of the IDP, the OPMS and the budget in local government requires a skilful individual with commitment and passion for the field.

Before going further, it is necessary to define policy in a theoretical context. According to Mothae and Sindane (2007:146), “Policy is the authoritative exposition of objectives that indicates what the policy makers wishes to do, what they want to achieve and where they want to go with the developments of the community”.

With the experience that the researcher has acquired in local government in South Africa, he defines policymaking as follows: It is a compass that directs politicians and government

officials to implement/execute and put into practice the plans, as approved by the politicians. Moreover, this compass must be used effectively, efficiently and economically, with the utmost care.

Moving on to integration, Wu *et al.* (2010:101) state, “Integration encompasses two components: goals and processes”. It is essential to accept that many local government officials do not understand the requirements in terms of the goals and processes of the IDP and the OPMS. The question that remains is whether public sector managers (IDP, OPMS and Budget Managers) are prepared to learn how to conceptualise and put on the table a consolidated document. Wu *et al.* (2010) assert the following:

Policy integration must not be confused with policy effectiveness, because policies may be effective without being integrated. For instance, if economic growth is the overwhelming objective of policymaking and it is achieved, but at the expense of social stability and environmental integrity, then the government policies can be described as being effective rather than integrated. Achieving integrated policies is a more difficult task than achieving effective ones because of the need for maintaining balance across sectors. Integrating policies serves numerous desirable purposes. First, it ensures that policies are at least minimally consistent - and ideally synergistic - with each of society’s key goals. Second, it allows opportunities for identifying innovative policies that draw on the synergies possible among the key goals. Third, it allows opportunities for identifying any necessary trade-offs among objectives and for proposing remedial measures. Finally, efforts towards integrating policies increase the transparency and accountability of different stakeholders’ attitudes towards different goals.

In practical terms, many of the managers who deal with these key tools in local government are given the freedom and space to work, according to what is required of them. Some of them complain about a lack of support from both political and administrative leadership; hence, some of their programmes fail.

The process of integrating is not an easy task and, in some cases, it requires experts to guide specific managers in municipalities. During certain times, the IDP Manager must coordinate with all the other managers, for instance, the OPMS Manager and the Budget Manager, to work

together and consolidate their efforts in bringing the documents together, as required. In other words, the perception that these managers work in silos must end.

2.11.2 Policy implementation

In most cases, implementation happens after all the processes have been followed and completed; for example, after the development stages have been done, after consultation with relevant stakeholders, and after everybody have gave their input. Implementation is an important stage in the policymaking process. Stewart *et al.* (2008) define implementation as a process of stakeholders and an organisation working together to execute laws, procedures and techniques to help attain the set goals and objectives. It is also necessary to understand implementation as an interactive process, which involves setting goals and actions relevant to achieving them. Mthethwa (2012:37) describes policy implementation as the “mechanisms, resources, and relationships that link policies to program action”. Policy implementation is about undertaking, executing, finalising and producing or completing a specific task. Understanding policy implementation is necessary because often after the adoption of policies, organisations and governments do not implement them as planned, which results in not achieving the intended results.

Paudel (2009) describes implementation as carrying out, accomplishing, fulfilling, producing or completing a given task. Paudel (2009) further states that Pressman and Wildavsky (1973), as the pioneers of policy implementation, defined implementation in relation to policy as a process presented in documents. This includes the interactions between the process and the actions required to achieve the specific outcome. Paudel (2009) stated that this process of implementation encompasses different steps, which takes the documented decisions and changes them into actions that will achieve multiple changes. Pressman and Wildavsky (1973) defined implementation with specific reference to the policy, which is “policy implementation” by the official documents.

According to Khan (2016), policy implementation is a term that many researchers present differently based on their field of expertise, but most agreed that it is a crucial stage in the process of policy design. The concept of policy implementation involves a complex change process in which government departments are required to take decisions needed to transform

policies intended for the betterment of communities into programmes, procedures, regulations, or practices. Mostly, the leaders in this process of policy implementation within the government sector are the managers involved, based on their performance management objectives.

Hence, the managers are expected to master the basics of policy implementation, especially after its development in their area of work. This is achieved by bringing together those who took part in the development, and then to continue with the implementation of the policy. However, managers neglect one element when they implement policies; they forget that implementation is about politicians as well. In other words, policies must be implemented as if politicians are part of the process from the beginning to the end. Moreover, the day-to-day running of the processes must remain in the hands of managers at all times.

Policy implementation includes the specific actions taken by government employees, the private sector or those groups who work together to achieve the set objectives, as presented in a policy document. Policy implementation can be seen as a process of interaction between those individuals who are given the responsibility of executing policy and the documents providing the information on each policy. This interaction between the policy documents and individuals encompasses specific actions directed towards the achievement of objectives provided in the policy documents. This includes both one-time efforts to transform decisions into operational terms and continuing efforts to achieve the large and small changes mandated by policy decisions. Policy implementation embodies the role of employees, who can be public servants in government departments, and they are expected to efficiently and effectively execute the policy to attain the objectives that are intended to improve service delivery to the people.

There are challenges that face the process of policy implementation, with managers having to deal with the costs involved. The following issues could cause failure in the process of policymaking:

- Failure to prepare;
- Neglecting the analysis part of the process;
- Leaving out politicians in the process; hence, lacking political buy-in; and
- Lack of knowledge to allocate scarce resources, and interpret policy intentions.

The following list includes brief strategies that policy managers can apply in order to achieve the desired outcomes. Policy managers interested in moving policymaking in a more integrated direction can manage their implementation activities in order to:

- Build constituencies supportive of policy change among a range of stakeholders, who bring different resources and interests to the table;
- Set overall objectives and design parameters for policies; and
- At some point, secure sufficient formal authorisation and the resources necessary to drive the process forward.

According to Wu *et al.* (2010:77), the implementation tasks facing leaders and managers involve the following:

- Identifying individuals and units within organisations that will carry forward specific plans and collaborations;
- Operationalising broad policy objectives into specific, measurable targets that, in turn, are broken down into supporting tasks implemented by identifiable groups of people on a schedule; and
- Ensuring the necessary operational capacity, including paying attention not just to equipment and human resource, but also to the incentives for grassroots implementers to act as required for the successful execution of the policy intention.

Jordaan and Fourie (2013) emphasise the synoptic history of public administration, which they refer to as activity. The discipline of public administration is characterised by multiple stages of development that are different in relation to the influences resulting from the environment and other global events. In this process, there is a need in the early stage of development to emphasise the moral and political issues, which will be followed by establishing a public administration that meets the needs of society. This requires employees with expertise in areas such as taxation, statistics and administration. For this to be achieved, departments are required to ensure structural arrangements that will maximise the use of the available resources to effectively implement laws and secure the integrity of the organisation. Bagby and Franke (2001) presented public administration as a science aimed at meeting the needs of society and satisfying them by ensuring balance between the inputs and the outputs. Reform initiatives

within administration and service delivery to communities have demonstrated the increased need for specialised expertise. Specialised expertise is the result of training and development, which is designed to provide the identified skills.

This study needs to engage critically with all the issues relating to the nature of public administration, to offer a perspective on the implementation of the alignment of the IDP, the budget and the OPMS in local government. To have a clear understanding of public financial performance management, one needs to understand the relationship to policy as a statement with intent made by someone with authority, and then the implementation thereof. The most common goals of implementation are to carry out, accomplish, fulfil, produce, or complete. These goals could easily be associated with service delivery.

Policy implementation is regarded as the accomplishment of policy objectives through the planning and programming of operations and projects so that the agreed outcomes and desired results are achieved. Valuable lessons for future management interventions, aimed at enhancing organisational performance, can be drawn from the management reforms of the past.

Stewardship, centrally placed on the firm basis of governance as a performance platform, implies fostering an environment that supports and demands performance and insists on the efficient use of resources. The performance platform approach is based on what should happen before any advanced solutions can be discussed, but with a more holistic approach to public financial management. It aims to establish a performance scenario at operational level designed to achieve increasing performance by line managers, with specific reference to public financial management and accountability. The hypothesis behind the platform approach is that the strategic profile of the organisation is embedded in responsive, responsible and respected government, and that the strategic setting gives rise to the operational platform. Derived from these concepts are the characteristics of good governance as the anchor for the operational platform. Good governance implies an operational modification and the more effective use of the operational platform in order to enhance service delivery (Jordaan and Fourie, 2013).

Modification by means of the inverted hierarchy implies a shift from the traditional organisation as a typical triangle where the ultimate power and authority rests with one individual at the top of the organisation, and all others are subordinate to this person. The

inverted hierarchy rejects this concept of an organisation and proposes an inverted triangle, symbolising the role of top management as empowering. Jordaan and Fourie (2013:30) explain this approach as follows:

This approach shifts the emphasis from less focus on command and control to a role of managers based on interaction and involvement aligned to service quality that provides value to the citizens. This approach is liberating and developmental in nature and allows for achievement and continuous improvement achieved by enabling, empowering and giving responsibility to the operational level of service organisations. The inverted hierarchy confirms existing convergence between the top-down and bottom-up approaches of policy implementation and highlights the close relationship between policy implementation and service delivery.

Bhuyan, Jorgensen and Sharma (2010) presented seven dimensions that influence policy implementation, namely:

- The policy, its formulation, and dissemination;
- Social, political, and economic context;
- Leadership for policy implementation;
- Stakeholder involvement in policy implementation;
- Implementation planning and resource mobilisation;
- Operations and services; and
- Feedback on progress and results.

These seven dimensions will be described in detail below. The questions that need to be answered are also highlighted.

2.11.2.1 The policy, its formulation and dissemination

This dimension refers to the policy content, the nature of the formulation process, and the degree of dissemination. The questions would be, “Are the policy’s goals, objectives, and strategies clear and appropriate given the issues to be addressed by the policy? Do key stakeholders agree on the goals and strategies? Has the policy been disseminated to and understood by those responsible for implementation?” (Bhuyan *et al.*, 2010:6). The adoption and implementation of policies often change and new strategies arise. Some organisations are

expected to modify or fully let go of certain practices in order to achieve their goals utilising their policies. Most of the time this implementation requires implementers and employees who are trained in the content covered in the policies; they must also have the required skills.

2.11.2.2 Social, political and economic context

This dimension is referred to as follows: “The various social, political, and economic factors outside of the policy process that can either enhance or hinder effective implementation. Depending on the nature and scope of the policy, social norms such as gender inequality and governing processes such as decentralisation and other factors can affect policy implementation. What are the effects and consequences of these factors?” (Bhuyan *et al.*, 2010:6). This means that in order to achieve policy goals the implementation must go through different phases, such as changes in political regimes, governmental structures, economic conditions, and social environments.

2.11.2.3 Leadership for policy implementation

This dimension indicates that strong leaders and their commitment to policy implementation are needed to facilitate monitoring, the provision of the necessary resources, and accountability for putting policies into practice. But sometimes the leaders “responsible for policy formulation might find their attention diverted elsewhere once the policy is adopted, or the responsibility for leading implementation might shift to new individuals and groups. How effective is the leadership for implementation?” (Bhuyan *et al.*, 2010:6). These authors (*ibid.*) further state that in most countries, formulating national policies is the responsibility of national government officials, while the implementation is local administrators’ responsibility.

2.11.2.4 Stakeholder involvement in policy implementation

This dimension recognises the following: “Policy formulation is increasingly a multisectoral endeavour, yet this engagement might not continue during the policy implementation stage. Thus, it is crucial to consider the extent of stakeholder involvement in policy implementation and the nature of the relationships and collaboration among different stakeholders” (Bhuyan *et al.*, 2010:6). Hence, most of the time, different groups and organisations come together to work towards the same goal and even agree on how to provide the necessary support to each other. This collaboration could include the formulation of policies and the implementation processes.

2.11.2.5 Planning for implementation and resource mobilisation

This dimension refers to consideration of “the planning, resources, and capacity needed to facilitate policy implementation. Does an implementation plan exist? Do organisations need new skills and training in order to implement the new policy? How will funding for new initiatives be ensured? How reliable is the resource flow?” (Bhuyan *et al.*, 2010:6).

2.11.2.6 Operations and services

This dimension refers to the following: “...the co-ordination mechanisms, operational systems, and capacity of individuals and organisations charged with delivering services outlined in the policy. What are the positive changes as a result of putting the policy into practice on the ground? What are the challenges?” (Bhuyan *et al.*, 2010:6).

2.11.2.7 Feedback on progress and results

This dimension, in turn, “recognizes the importance of regularly gathering, disseminating and using feedback to assess progress toward achieving results. Who is and is not receiving information about implementation? How is the information used? Are the perspectives of beneficiaries or clients considered?” (Bhuyan *et al.*, 2010:6). Policy implementation requires that those involved should agree on specific indicators and methods of feedback in order to track the progress made toward the achievement of the goals set. These indicators should be measurable and comprehensive; while on the other hand, they should take into consideration the beneficiaries and the clients who the service is provided to.

Thus, it can be said that policies are necessary for any government. They could be utilised to present the implementation guidelines and systems, and determine the relationships that would govern service delivery. It should further be stated that any policy, even if it is a good policy, could encounter implementation challenges and operational barriers. Hence, it is necessary that attention is paid, not only to the formulation of a policy, but also to the implementation process. This means that a policy should be considered as a “living document” that requires different stakeholders’ input to meet its goals. This is the same for the OPMS, the IDP and the budget within the Kopanong Local Municipality, where these policies have been adopted from the national government and have to be implemented by different stakeholders who require the necessary understanding, knowledge and monitoring abilities to ensure that the expected goals are attained.

According to the Free State Provincial Growth and Development Strategy (2007), when one considers all the challenges, especially at the local municipal level, it would appear as if financial management remains the biggest challenge. Although other aspects in the field of governance are important, it is suggested that priority should be given to ensuring effective financial management. A number of barriers to good governance exist, including the following:

- The alignment of IDPs, budgets and FSGDS need to be strengthened.
- The quality of IDPs remains weak.
- Asset and financial management remain serious obstacles.
- Effective communication with stakeholders and clients remains a problem.
- Ensuring effective human resource management is problematic.
- Effective financial management and the issues of corruption and unethical behaviour need to be addressed.
- Effective monitoring and evaluation must be ensured.

The aforementioned provides clarity in relation to how local government is weak in many areas of governance, administration, development and implementation. There is the need for a strategy that will talk to the issues in local government, as well as in provincial departments that provide support to municipalities, in order to strengthen municipalities. A clear implementation and/or action plan must be linked to the strategy in order to achieve all the objectives.

The Local Government: Performance Management Regulations for Municipal Managers and Managers Accountable to the Municipal Manager (No. R 805, 1 August 2006), coupled with Integrated Development Planning, clarifies the relevance of these strategic legal apparatus in municipalities, as follows:

a) The Local Government: Performance Management Regulations for Municipal Managers and Managers Accountable to the Municipal Manager seek to set out how the performance of Municipal Managers and Managers, directly accountable to the Municipal Managers, will be uniformly directed, monitored and improved. The Regulations include include the following:

- ✓ The provisions and the requirements of the employment contracts;

- ✓ The performance agreements, which must include the Key Performance Areas and Core Competency Requirements; and
- ✓ The contents of the job description for Municipal Managers.

b) In terms of the relationship with Integrated Development Planning, it is necessary to outline that the “IDP and Performance Management System processes are seamlessly integrated. The IDP fulfils the planning stage of Performance Management and Performance Management fulfils the implementation, management, monitoring and evaluation of the IDP process”. These processes need to be viewed and managed as an integral part of each other. Although the development of the PMS is a separate process, it has strong parallels with the preparation and development phases of the IDP. It is crucial that the continuous development of the PMS identifies and overlaps, and is used to calibrate the synergies between the IDP and the PMS of a municipality. To ensure an effective basis for performance management, the IDP process also needs to identify the associated steps for the PMS at each stage to provide for the requirements of the PMS (Performance Management Policy Framework for Eden District Municipality, 2012/2013).

c) It is important to emphasise that there is a relationship between the IDP, the PMS and the budget at the municipal level. Because of the stages of the PMS, there is a phase where there will be rewards, and this is where the budget is applicable. “A separate meeting should be held between the manager and the employee to show the link between the employee’s final performance score and reward. This will be determined by the remuneration policy of the municipality. The reward meeting must be held after all the performance reviews for the Municipal Manager and his/her direct reports have been held and after the appropriate political authority have finalized and agreed to the performance related pay for that particular financial year” (Performance Management Framework for Eden District Municipality, 2012/2013).

Turok et al. (2011) state that the PMS is mandatory for all managers in the public service. However, there seems to be reluctance to use the system to discipline or remove incompetent employees. The emphasis is on overcoming weaknesses, but unless the senior manager is committed to vigorous capacity development in his/her department, mediocrity is tolerated. In many parts of the public service, productivity and integrity are absent. White-collar crime, such

as the abuse of government vehicles and equipment and the petty theft of office supplies, is common. Despite improvements to intergovernmental relations, most departments still work in ‘silos’, with little strategic insight or cooperation with other departments to achieve development goals.

The Community Survey (CS) (2016) was the second intercensal survey held in a democratic South Africa. This is a household-based survey; it is also one of the few available data sources, which provide data at municipal level. Provision of data at this level supports evidence-based decision-making, which has increasingly become a best practice that many countries, including South Africa, have embraced. The CS 2016 results were critical in promoting optimal resource allocation and utilisation in all spheres of government in order to reduce poverty and vulnerability among South Africa’s most marginalised citizens. The development and implementation of policies and the application thereof by the legislature/council makes it necessary to have reliable statistics that inform the social, demographic and economic standing of the country. In this case, it is relevant to state that, based on the CS 2016 results, the population of the Kopanong Local Municipality was 49 999 (Community Survey - 2016).

2.12 INTERNATIONAL TRENDS ON THE IDP, OPMS AND BUDGET, INCLUDING LESSONS TO BE LEARNT

The researcher will provide a brief background on international trends in countries that have a respected practice of IDPs, OPMS and budgeting, and have successfully achieved development through these strategic apparatus. A case study of a country and/or city is significant and can assist South Africa and its municipalities in learning more from their achievements.

2.12.1 Inclusive Barcelona: A project for agreement with citizenry

The City of Barcelona, through the 2008-2011 Barcelona Municipal Action Plan, made it a political priority to work towards social inclusion, translated into a significant boost to the budget and the involvement of all municipal and territorial district areas of action (Barcelona, 2007). The 2005-2010 Municipal Plan for Social Inclusion was a programmatical instrument, which articulated the set of social policies related to the fight against poverty and exclusion. The Plan also identified participation as a fundamental

strategy so that inclusion policies could be rolled out based on the city's social action capabilities. This involved shoring up the relational, cross sectional and participative dimension to establish partnerships, generate synergies, coordinate and promote joint actions and define shared goals between the municipal government and all the other actors who operated in the social sphere (Barcelona, 2007). In this regard, the Citizens' Agreement for an Inclusive Barcelona Project demonstrated the link between the municipal organisations and the principles included in the Municipal Plan for Social Inclusion (Barcelona, 2007).

The Citizens' Agreement was based on joint action, involving a commitment to share and disseminate knowledge, experience and information, to propose themes and projects that could be fostered from the network, and to participate in networks that promoted social inclusion (Barcelona, 2007). Action networks were the main channel for articulating the operators' joint social action in the areas of care for the homeless, drop-in centres for children and teenagers, social and vocational integration, shelters for immigrants, and support for carers and businesses committed to the community. The promotion of new networks was one of the challenges of the Agreement and covered everything from culture to housing for inclusion. In line with the Citizens' Agreement for an Inclusive Barcelona, the Municipal Councils of Social Participation were where the city's social entities could influence municipal governance from a perspective of validation and make proposals in relation to social policies. The Barcelona Social Welfare Council, established in 1988, was one of the most important entities (Barcelona, 2007).

2.12.2 Aligned and integrated delivery of services to Regional Western Australia

According to the Australian Department of Planning (2013), "The Western Australian economy continues to be the strongest in Australia. Significant opportunities are available for Western Australia to propose from growth through its diversified economy, mainly driven by its mineral resources and agricultural commodities. There is also potential to further develop these and other industries." To maximise Western Australia's strategic advantage in prospering from these opportunities required the State to be committed to building strong and resilient regional communities and for there to be greater coordination, alignment and integration. To achieve this outcome, the Directors-General

of the Department of Local Government and Communities (DLGC), Planning (DoP), and Regional Development (DRD) worked together to maximise the benefits of their departments' and other agencies' activities and services (*ibid.*).

The Australian Department of Planning (2013) further stated, "The aim of having a closer working relationship is to provide better planning for regional investment and local government services to support robust regional communities with a future". This was enhanced through better delivery of planning and funding, including Royalties for Regions (RfR) and other funding sources, which delivered more effective infrastructure and services. "The closer working relationship of the three departments also supports the Ministers responsible for Local Government and Community Services, Planning and Regional Development. This will fulfil the State's goals to provide effective regional policy, planning and development and service delivery coordination to maintain and expand the State's strong economic position" (Department of Planning, 2013:1).

2.12.3 British Virgin Islands

The development of Integrated Development Planning within the British Virgin Islands came about on the basis that the level of planning and budgeting was not well coordinated. Hence, it had to develop a strategy that would guide the entire process.

According to O'Neil (2000:8), "The basis for the National Integrated Development Strategy (NIDS) is to create a different kind of society in which people are the subject of their development. The desire for a different type of community grew in part out of the awareness of the benefits of a better balance between economic gains and social cohesiveness. NIDS aims to create communities where people are happy to live, work and play, where there is access to economic opportunity and benefits, and a pleasant and safe environment". NIDS further aimed to improve the perceptions of where people live, to strengthen social cohesion, and to improve the fabric of society by putting the following in place:

2.12.3.1 Planning Context

The legislative framework was equally diffuse. While there were several pieces of legislation on the statute books, weak implementation and enforcement were major constraints that inhibited their effectiveness (O’Neil, 2000).

2.12.3.2 Planning Process

Creating the strategy was an analysis-driven exercise. Judgements/choices about what strategy to pursue ideally would be grounded in a detailed assessment of the external environment and internal situation (O’Neil, 2000). The strategy should match the full range of external and internal situation considerations. Failing this, the strategy was not likely to be adequate. The critical path began with the situation analysis and moved on to strategic choices (or alternative strategies); such an analysis was the starting point of the exercise. It facilitated the understanding of the situation in each area/sector of analysis. This included the identification of the main issues/driving forces/critical factors, the evaluation of the strategic options, and the definition of a chosen strategy. The integrated planning process began, as any planning process should, with the definition of the objectives. The implementation of the strategy required all stakeholders to participate in the process (O’Neil, 2000).

2.12.3.3 The Project

This is another part that must be dealt with in an honest way as it affects the lives of the public (O’Neil, 2000). This part was dealt with in collaboration with the United Nations Development Program (UNDP)/the United Nations Centre for Human Settlements (UNCHS). The first objective was to establish the guidelines within which the economic, environmental, physical and social elements of development planning were coordinated. The second was the coordination among all the agencies and institutions involved in the development planning. The third objective was establishing Integrated Development Planning, and the fourth was institutionalisation of the Integrated Development Planning process.

2.12.3.4 Integrated Development

This was one approach to the planning that was based on the notion of strategic management (O'Neil, 2000). It was perceived as more appropriate than the traditional top-down planning methodologies to cope with the challenges posed by more prevalent and turbulent environments characterised by a high degree of uncertainty. The following elements were needed, or were missing:

- A long-term strategic view;
- An inter-disciplinary and multi-sectoral approach;
- Strong overt-political commitment;
- Institutional strengthening and/or administrative reforms;
- Wide stakeholder participation, and
- The establishment of a practical mechanism to facilitate continuing and meaningful interaction among the stakeholders.

The strategy was born out of a recognition that economic growth was no longer a dominant or exclusive concern and the goal of planning. The integration of all these facets of development was a necessary element of a successful development strategy. This approach ensured the balance between growing economic activities that tended to be dominant, and other fragile natural, social and cultural factors that were not easily reproduced (O'Neil, 2000).

2.12.3.5 The National Integrated Development Plan

The The National Integrated Development Plan (NIDP) was described as the future for the British Virgin Islands, and it articulated the vision and set goals, and identified the strategies, tactics and actions needed to attain the vision (O'Neil, 2000). The NIDP phases were as follows:

- Vision,
- Situation Analysis,
- Challenges/Issues/Constraints,
- Policies/Strategies,

- Specific Measures/Actions,
- Implementation,
- Monitoring and Evaluation, and
- Review.

2.12.3.6 Political Process

The political process included all politicians, all stakeholders, and the public. The political process employed a number of mechanisms to complete the decisions about choices for development (O’Neil, 2000). At the centre of the political process was consultation and participation. According to political operatives, the political process started with the representatives’ democratic process as consultation between those who were elected and those who elected them.

2.12.3.7 Bureaucratic Process

The bureaucratic system for planning was characterised by the lack of a clear separation between the allocation and the administration of investments (budgeting) and the determination of priorities (planning) (O’Neil, 2000).

2.12.3.8 Policy Coordination

The process of globalisation appeared to challenge the predominance of the autonomy of the political system by advocating for a consolidated system of the various powers and elevating the logic of economic power to the dominating influence (O’Neil, 2000). Much as the NIDP was highly technical and needed some politicians in the process, officials in the IDP represented the bureaucracy; they were in fact proxies for political representatives (O’Neil, 2000).

2.12.3.9 Political Coordination and Integrated Development Plan Process

Political coordination of the development process was not only critical, but also complex, with the agenda of various interests competing (O’Neil, 2000). For example, political representatives not participating in the research and analysis delayed moving forward

with the approval process because of their need to validate the technical findings. Political coordination spanned the spectrum of strategic and operational planning to ensure the proper allocation of resources, and that the aspiration and hopes of the people and the priorities of the government were aligned. Political coordination required the clear establishment of roles, and the concept of political responsibility was essential (O’Neil, 2000).

2.12.3.10 Monitoring and Evaluation Framework

This was an important part of the planning process. Monitoring referred mainly to performance measurement in terms of the timing, costs, and progress of plan activities. It had to be done on a monthly, quarterly and annual basis (O’Neil, 2000). Evaluation focused on the effectiveness of the plan, and its policies and programmes, especially in the long term.

2.12.3.11 Programmes/Projects to improve planning

There was a need for increased public participation, and increased effectiveness and efficiency of the delivery of services to the public and other stakeholders (O’Neil, 2000). The initiatives, such as Programme Based Budgeting and Accrual Accounting, were intended to improve the financial management and complete the links between planning and budgeting to improve the effectiveness and efficiency of the delivery of services to the public. Lastly, capital budget matters required that the the projects were put through a well-defined process of development and appraisal before they were placed in the pipeline for implementation (O’Neil, 2000).

2.12.3.12 Programmes/Projects to improve Financial Management

The programmes/projects to improve financial management were partially responsible for the three initiatives related to finance and planning. “The measures included the introduction of finance and planning skills. The finance and planning personnel liaised with the development and planning department and the Ministry of Finance in the

development of programmes/projects and budgeting matters respectively” (O’Neil, 2000).

2.12.4 The United Kingdom

South Africa has to learn from the best practices that are implemented in other countries. The United Kingdom provides intensive and varied experience regarding the policy, programmes and plans to operate a good and clean administration. The issue of programme planning and management refers to planning of the programme of activities, milestones, management and decisions. It further refers to establishing a baseline, determining relevant indicators, and establishing mechanisms for monitoring and reviewing success. Having established the vision and values, and the approaches and potential partners, the focus moves to the following aspects:

- A clear understanding of what your programme will look like and will achieve.
- Who will play what role in driving the community cohesion agenda?
- Where will the responsibility rest for driving the community cohesion programme within the local community structures?
- Developing working relationships and building networks in the community.
- Ensuring the sustainability of the programme or project.

It is useful to develop an implementation plan that covers:

- A list of actions and targets for each project.
- A list of targets for each project overall.
- Individual responsibilities for actions or projects.
- Research allocation for a partner or a project.
- Key milestones and a timeline for completion.
- How each target/action/project relates to the vision and objectives to be accomplished.

It is important to understand the picture of cohesion and establish a baseline from which to measure success and monitor progress (Cloete and Kotze, 2009:19-20). There is a need for

South African municipalities to take stock, so as to ensure that officials learn from successful countries who implement the same model of planning in their cities, and are progressive countries. It is part of enhancing a progressive South Africa that will become one of the best countries in the world in terms of providing guidelines for better planning and alignment.

2.13 DEFINING POLICY ALIGNMENT

In terms of the Local Government Municipal Systems Act No. 32 of 2000, Section 25, each South African municipality must compile an IDP. This is a five-year plan outlining a municipality's vision for the long-, medium- and short-term development of its area of jurisdiction. Section 25(1) necessitates IDPs to be aligned with a municipality's resources and capacity, taking into consideration the annual budget.

Mdhluli (2013:48) concurs with Theron (2007) that there is a need for the higher echelons of municipalities to identify financial problems through supervising budgetary controls, which means that the alignment of strategies and medium-term allocations play a crucial role in budgeting. Hence, the provincial government will be able to align its expenditure accurately with policy implementation plans, put in place programmes that enhance service delivery outputs efficiently, and improve the monitoring and evaluation of expenditure, according to the government's priorities. The major considerations in terms of the budget and IDP are indicated as follows by Theron (2007):

Prepare a financial plan in accordance with the integrated development plan in respect of all its powers, duties and objectives, structure and manage its administration and planning process to give priority to the basic needs of its community, and promote social and economic development within its area of jurisdiction and support the implementation of national and provincial development plans, manage its financial resources to meet and sustain its objectives, regularly monitor and assess its performance against its integrated development planning, and annually report and receive comments from its community regarding the objectives set out in its integrated development plan.

From the above it is clear that the alignment of the budget and the IDP is imperative. Most municipalities fail to align their budgets and their IDPs. In most municipalities, when objectives

are set, they will place notices in local newspapers, on public notice boards, and/or in community libraries for people to comment on the objectives set in conjunction with the IDP and the budget. At a particular point, however, municipalities do not include the community's comments in their reviewed IDPs and budgets, or the contingency plans. However, this must be done at all times. At this point, the researcher is obliged to indicate that the alignment of the IDP, the OPMS and the budget is essential in the development of a municipal council, as they are the link between all the available resources.

Fourie and Opperman (2011:8) state the following on the alignment with the Municipal Finance Management Act No. 56 of 2003, "The close linkages and alignment between the Municipal Systems Act and other national legislation should be recognized for a better understanding, correct interpretation and application of this Act. In particular, the MSA and the MFMA are complementary to each other in many areas and should therefore be read together".

Alignment in the context of Integrated Development Planning means that there should be an arrangement and/or a grouping of all sector plans and capital projects in a municipality, which must assist local government to deliver to its constituencies. It is clear that alignment cannot be done separately from other departments within a municipality; in other words, all departments must collate their operational plans and ensure that they are coordinated within the municipality and its departments/units. This point is emphasised by Van Donk *et al.* (2008:279) who said the following: "Alignment is a cross-cutting matter, as it overlaps with local economic development (LED)". There is poor alignment and a lack of coordination between LED and the IDP as tools of implementation in the local, provincial and national government spheres. Somehow, the "LED does not reflect in the IDP as a strategic document of a municipal council. In most cases at the local level, the challenge is to link the IDP with provincial growth and development strategies and national objectives" (*ibid.*). It is the IDP, at the centre of a municipality, which must coordinate, link and integrate plans for the betterment of its communities. The plans mentioned above must be aligned and integrated with the human and financial resources of a municipality to ensure that the plans are achieved, as agreed on in principle. Pycroft (2000:91) further states, "The municipal systems legislation outlines an integrated approach to address the existing system weaknesses, with a high degree of integration between the municipal budget, the municipal organisational performance

management system (OPMS) and the core component of the new systems architecture, the Integrated Development Plan”.

In terms of what the IDP should include, the Municipal Systems Act states that an IDP must reflect the following:

- The municipal council’s vision for the long-term development of the municipality. Special emphasis is to be placed on the municipality’s most critical development needs;
- An assessment of the existing level of development in the municipality. This should include the identification of any communities which do not have access to adequate basic services;
- The council's development priorities and the objectives of its elected term. The priorities should be consistent with the municipal council’s long-term development vision and should consider the social and economic advancement of disadvantaged sections of the community. Development objectives must include specific details of the priority development programmes and projects, and should be based on the priorities of the municipality;
- The council’s development and operational strategies. Following an assessment of the existing situation and the formulation of a vision for the future with development priorities and objectives, the council needs to decide how resources and capacity can best be used to realise its vision and objectives. The IDP must describe in detail how the municipal council will realise its developmental objectives and the timeframe within which those objectives will be realised. Operational strategies should ensure, if necessary with external support, that the municipality has the institutional, organisational and financial capacity to realise its developmental objectives and should pool the municipality’s resources towards realising its developmental objectives; and
- The council’s spatial development framework (SDF), which should guide the way in which the physical area will be developed; for example, giving details on where households and transport infrastructure will be placed, and what the nature of development will be in different parts of the local area (Pycroft, 2000:91).

The aforementioned is a clear indication of the importance of linking planning, budgeting, implementation, monitoring and reporting. The process to ensure proper linkages of these processes to ensure effective implementation is outlined below:

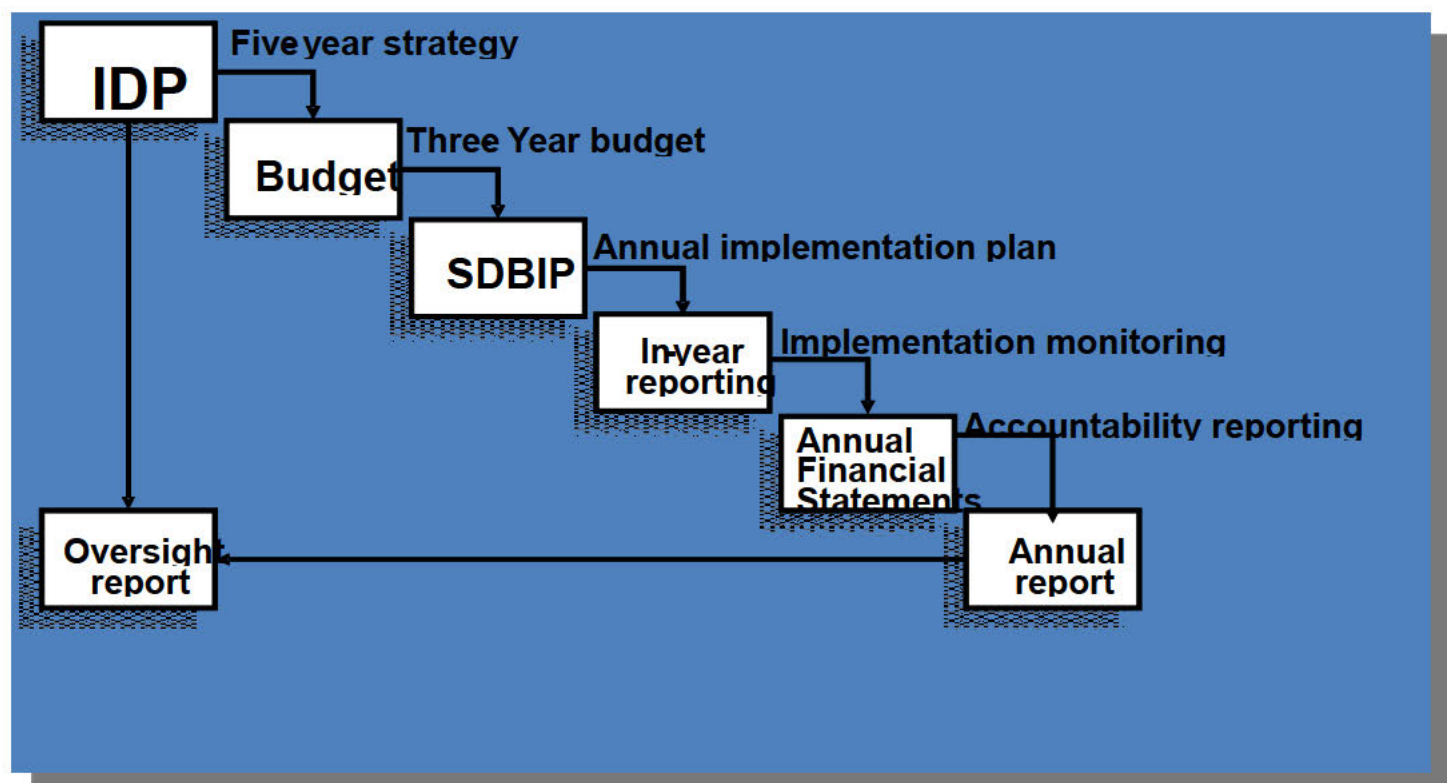


Figure 2.2: The Revised IDP Framework for Municipalities Outside Metros and Secondary Cities (Provincial Development Planning and Implementation Forum Free State Province, 2013)

This clearly implies that not only the budget, the OPMS and the IDP must be aligned, but also a number of aspects, like sector plans, need to be coordinated for a municipality to have a fully functional and effective system in place. The alignment of the IDP, the budget and the OPMS must be over-emphasised from time-to-time by all municipal bureaucrats. Within areas where coordination is needed, it is becoming increasingly evident that informal coordination and partnerships are better alternatives than central coordination. It is possible to achieve a self-aligning organisation where the focus is on the primary component (in South Africa's context, the IDP) it has to achieve.

Performance measures should also be carefully crafted to give an organisation feedback on how well it is staying focused on its main purpose, and by so doing, it will give units within an organisation sufficient information to self-align, rather than being forced into alignment. The strategic plans and goals that serve as a starting point for the development of agency performance measures could be utilised in a way that enhances coordination and collaboration across agencies. This process can be used by other structures; for example, management can use strategic plans to identify shared goals, access all programmes, and develop performance measures that enhance collaboration and alignment. Alignment could include shared time frames, consistent criteria, and the collection of consistent and reliable data.

Circular 10 of the Municipal Finance Management Act (2005/2006) states that the preparation of the budget and the IDP time-schedule (the schedule of key deadlines) must be treated with respect, and those municipalities that have not complied with the Circular should do so with immediate effect. Furthermore, it states that,

The IDP and Budget process must be one process. It is considered that a well-run budget process that incorporates the IDP review will facilitate community inputs, encourage discussions, promote a better understanding of community needs, provide an opportunity for feedback, and improve accountability and responsiveness to the needs of the local communities. It also positions the municipality to represent the needs of the community and to provide inputs to the relevant provincial and national department strategies and budgets for the provision of services such as schools, clinics, hospitals and police stations (MFMA Circular No. 10:1).

In practical terms, a coherent approach to the alignment of the IDP, the OPMS and the budget in South African municipalities can only be realised when the Service Delivery and Budget Implementation Plan (SDBIP) is developed and approved by councils. All the projects that are planned in the IDP must be reflected in the SDBIP. Some of these projects might not be included in a municipality's annual budget, for some or other reason. This could cause problems, when the processes for the OPMS have to take place, as some of the projects, targets, strategies and objectives will not be linked to other strategic apparatus. The IDP, on the other hand, delivers a number of products that translate to the formulation of the municipal budget, the development of an annual SDBIP, and an OPMS for the municipality. This clearly shows

that alignment must never be compromised by taking shortcuts in the process of developing these strategic apparatuses.

According to the Department of Human Settlement (DoHS) Report (2013), the concept of alignment is difficult to define, but it could be understood as being possible only when two or more things were compared. Alignment could also be described as “the correct position of different components with respect to each other or something else so that they perform properly... alignment is usually understood as policies or plans having some common link or relationship so that they ‘talk to each other’ demonstrating intergovernmental corporation” (*ibid.*). The DoHS Report established that there was a poor understanding of alignment, the process of achieving policy alignment, and the necessary process for evaluating policy alignment. The success of any form of policy alignment depends on the presence of at least two or more of the following: a common vision; common objectives; plans showing that decision-making is evident; and policies that have a common shared concept. For successful policy alignment, there should be agreement on what it means within the specific institution; there should also be agreement on the shared concepts within the policies. Moreover, a purposeful plan for policy alignment is required for both the short term and the long term (DoHS, 2013).

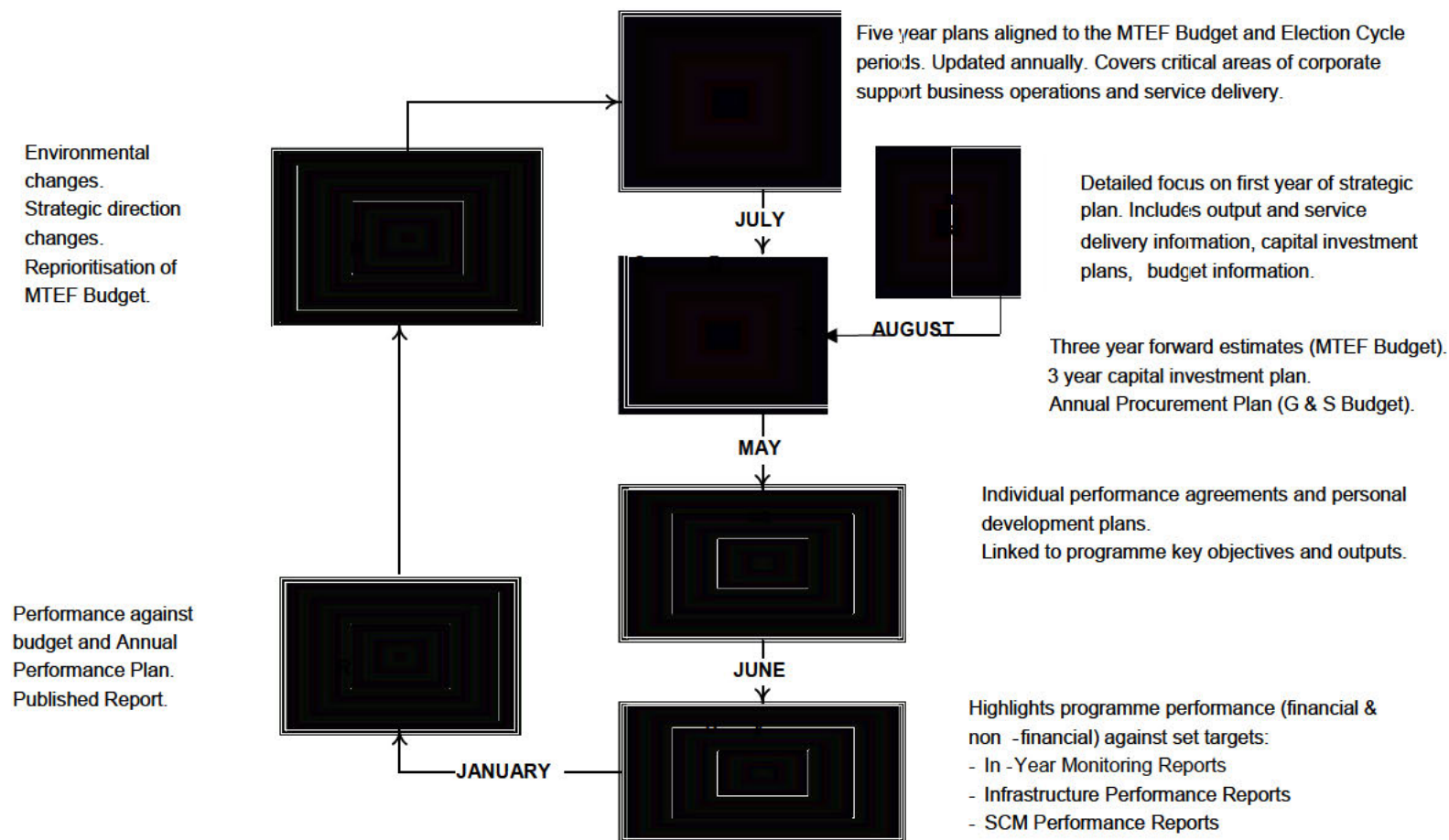
Additionally, successful policy alignment requires a closer look into how the new policy fits into the existing policies (Smith, 2003). Smith (2003:18) adds that the following questions should be asked in relation to policy implementation:

- “How does the new policy fit within the existing policy framework?
- “Does it recognise and respect the same fundamental principles?”

Based on these two questions, policy alignment concentrates on coordinating different policies, based on the fundamental principles.

Kopanong Local Municipality’s reporting cycle is a clear indication that alignment is key; from the reporting cycle, through all the strategic apparatus. This is illustrated in the figure below:

Figure 2.3: Kopanong Local Municipality's Reporting Cycle



It can be stated, given the reporting cycle illustrated above, that South African municipalities' Key Performance Areas (KPA's) play a critical role in the process of ensuring governance in councils. In relation to the municipal scorecards, Minnaar (2010:159-161) states the following:

The prescribed performance management system for municipal managers and other senior managers in municipalities (Regulations for the Performance Management of Municipal Managers and Managers Directly Accountable to the Municipal Manager, 2006) requires that the performance of municipal managers (municipal CEOs) must be measured in terms of five KPAs, namely:

- Basic Service Delivery
- Local Economic Development
- Municipal Institutional Transformation and Development
- Municipal Financial Viability and Management
- Good Governance and Public Participation.

2.14 IDP STRATEGIC PERFORMANCE PLAN

In terms of the IDP, Pycroft (2000, in Mawson, 2002:930) states,

The IDP of an individual municipality should not be seen in isolation, nor should it be in competition with other municipalities for scarce development resources. What is required is a careful coordination of all IDPs within a province – and between provinces – if the integrated development is to be achieved... Furthermore, the municipal IDPs must be closely aligned with the development objectives and funding decisions of provincial and national departments.

The following are approved sector plans in local government in South Africa:

- Local Economic Development Strategy
- Environmental Sustainability Plan
- Environmental Management Plan
- Integrated Human Settlement Plan

- Integrated Waste Management Plan
- Integrated Transport Plan
- Integrated Energy Plan
- Water Services Development Plan
- Disaster Management Plan
- Integrated Comprehensive Infrastructure Plan
- Financial Plan/Strategy
- Institutional Plan
- Spatial Development Framework

Without these sector plans, IDPs are not credible. It is through these plans that municipalities are able to provide services to communities. The following section presents a summary of IDP Sector Plans, outlined briefly to show the alignment of the sectors, as required by legislation.

2.14.1 Local Economic Development Strategy/Plan

The LED Strategy/Plan ensures that there is consistent and sustainable job creation for citizens within a specific municipality. The Plan also promotes economic development. Thereby it contributes to a consistent and coordinated programme, which can achieve a significant impact (IDP Guide Pack V, 2000:82).

2.14.2 Environmental Sustainability Plan

Natural resources must be protected for the benefit of present and future generations. The resources of the government are limited and must be used efficiently to ensure sustainability. The environmental impact of the entire planning/development cycle must be considered (from planning to project and programme implementation). All phases of development, including planning, implementation, re-use, recycling, disposal and decommissioning, have an impact on the environment, which should be recognised from the outset during the planning phase. Various environmental planning and management procedures and mechanisms are referred to in policy and legislation (IDP Guide Pack V, 2000:17).

2.14.3 Environmental Management Plan

Environmental issues must be included and reflected in the IDPs of municipalities. This process will ensure that environmental considerations are incorporated proactively in the decision-making process. An Environmental Management Plan must be prepared by national and provincial departments, as specified by the National Environmental Management Act No. 107 of 1998. This will coordinate and harmonise the environmental policies, plans, programmes and decisions of different departments. The Plan must be prepared in consultation with the relevant local municipality. The municipality can access the information needed to formulate the plans and programmes, as required by legislation. The Plan will assist in dealing with the physical, biological, social, economic, cultural, historical and political components. All environmental issues must be included in the IDP at an early stage of the process. In the planning process, the alignment and coordination of activities with a specific municipality must be done by all the stakeholders who play a role in protecting the environment (IDP Guide Pack V, 2000:17).

2.14.4 Integrated Human Settlement Plan

It is important to achieve alignment and consistency between the housing strategies, projects and targets within the local IDP and those within the provincial multi-year Housing Development Plan (currently called the Human Settlement Plan). It would be useful to involve the Provincial Housing/Human Settlement Department at appropriate points in the local planning process and to forward the local IDP (this must include both strategies and targets) to local municipalities (IDP Guide Pack V, 2000:62).

2.14.5 Integrated Waste Management Plan

The Integrated Waste Management Plan refers to the removal of any household or other waste and its disposal in an area, space or facility established for such a purpose. It includes the provision, maintenance and control of any infrastructure or facility to ensure a clean and healthy environment, which forms part of the five-year IDP Plan (Revised IDP Framework, 2012).

2.14.6 Integrated Transport Plan

There are municipalities in South Africa that have been identified as municipal transport authorities. This designation encompasses a number of transport planning and services responsibilities, which the selected municipalities have to abide by, including:

- Prepare transport plans for the transport area for which it will be responsible in terms of implementation and monitoring,
- Develop a land transport policy within its area based on national and provincial guidelines; develop its vision for the development of the area; and incorporate spatial development policies on matters such as densification, infilling and development corridors.
- Perform financial planning with regard to land transport within or affecting the transport area, with particular reference to transport planning, infrastructure, operations, services, maintenance, monitoring and administration; and
- Encourage, promote and facilitate public consultation and participation.

If a municipality is a transport planning authority, it must take responsibility for ensuring that the Integrated Transport Plan is in place and has been adopted by council. The aspects of transport planning requirements that are relevant in terms of the IDP process should be dealt with as part of the process. Transport planning authorities are responsible for their Integrated Transport Plans, which should pursue the following objectives:

- Enhance the effective functioning of cities, towns and rural areas through the integrated planning of transport infrastructure and facilities, and transport operations, including freight movement, bulk services and public transport services within the context of their IDPs.
- Enhance accessibility to public transport services and facilities, and transport functionality, in the case of persons with disabilities.

For all this to happen, municipalities must ensure that they prioritise transport in their IDPs. In this way, alignment will occur between the local priorities and the legal requirements of the Transport Planning Authorities (IDP Guide Pack V, 2000:58-59).

2.14.7 Integrated Energy Plan

The Integrated Energy Plan should form a component/part of the IDP. The approach to sector alignment should serve to inform the manner in which energy issues are dealt with, and where they are relevant or not to a municipality's priority issues. Energy questions could emerge in the IDP process. In addition, energy issues may also have to be addressed where municipal energy requirements are affected by the scale of land development or land use activities proposed by the strategies developed in the course of the IDP process (IDP Guide Pack V, 2000:56).

2.14.8 Water Services Development Plan

The Water Services Authority responsible for a municipality must develop a Water Services Development Plan. It must outline the following aspects:

- It must specify changes to the municipal authority's transport policies;
- It must be aligned to the IDP at all times as enshrined in the Development Facilitation Act (DFA), and the current Municipal Systems Act (2000);
- It must include all modes of transport and its infrastructure;
- It must also include its budget and/or funding sources, as required by the relevant MEC in the province; and
- It must set out the general maintenance and improvement plan.

2.14.9 Disaster Management Plan

The Disaster Management Plan, which in contrast to the crosscutting issues related to integrated plans, is not a compilation of aspects and components from various project plans, but it is a distinct plan, which indicates the preparedness of a municipality to cope with possible disaster scenarios (IDP Guide Pack V, 2000:83).

2.14.10 Integrated Comprehensive Infrastructure Plan

In the context of the IDP, a local municipality has to undertake Integrated Infrastructure Investment Planning (IIIP), which must form part of the IDP process. This must precede and

form the basis for any funding application. The capital expenditure to develop infrastructure is only a portion of the financial commitment that a municipality will have to make. A municipality should also consider the costs of operating and maintaining the infrastructure – costs that will increase as the infrastructure ages (IDP Guide Pack V, 2000:65). Currently municipalities draw up business plans and submit them to CoGTA. They are funded and supported to implement their projects, as outlined in a business plan, through MIG. A report must be submitted to CoGTA monthly to monitor whether the money is being used for the relevant purpose.

A municipality must develop a five-year financial plan and/or strategy, which will serve as a mid-term financial framework. This plan will assist in managing municipal revenue collection and in expenditure planning. The plan will include a capital budget and recurrent expenditure, and serve as a crucial document for ensuring a close planning-budgeting link (IDP Guide Pack V, 2000:82). According to Fourie and Opperman (2011:117), “Some municipalities unnecessarily foresee the alignment of their IDP with their Annual Budgets, and have pointed out that if the financial plan, forming part of the IDP, is properly prepared in the first instance, the alignment should be relatively simple”.

2.14.11 Institutional Plan

The Institutional Plan indicates to municipal management which plans, reforms and organisational arrangements must be established. It is important to note that it clearly shows the institutional preparedness for the efficient implementation of the IDP (IDP Guide Pack V, 2000:83).

2.14.12 Spatial Development Framework

The Spatial Development Framework (SDF) is also a five-year document of municipalities, which ensures that there is procedurally correct spatial planning in municipalities. The SDF demonstrates compliance of the IDP with spatial principles and strategies. It serves as a basis for the spatial coordination of activities and for land use management decisions (IDP Guide Pack V, 2000:82).

2.14.13 Integrated Monitoring and Evaluation Plan

The Integrated Monitoring and Evaluation Plan includes a development of key performance indicators. The system is based on a project-related indicators, outputs, targets, and activity-related milestones. It consolidates the information flow in such a way to provide the necessary information to the municipal management (IDP Guide Pack V, 2000:82).

2.14.14 Integrated Poverty Reduction Plan

The Integrated Poverty Reduction Plan is incorporated in the LED Strategy in some municipalities; however, in other municipalities it is a stand-alone sector plan. It demonstrates compliance with the IDP's poverty-related policy guidelines. The Plan assists in alleviating poverty inequalities in municipalities (IDP Guide Pack V, 2000:82).

Harrison (2002) argues that an aspect of the poor performance in relation to inter-sectoral coordination is that very few, if any, IDPs include a full range of required sector plans. The IDP assessments for 2001/02 indicated that although IDPs were drawn up, there were very few Disaster Management Plans and financial plans, and the links between the IDP and transport planning were especially problematic. In many cases, municipalities have had to carve these plans out in a policy vacuum, with the other two government spheres not providing guiding frameworks or policy direction. In addition, adequate financial and capacity building support was not available. There was also resistance from municipalities regarding sector plans, which were seen as "unfunded mandates". The IDP Implementation National Workshop also highlighted the need for national and provincial departments, which imposed municipal planning requirements, to support and fund municipalities (Harrison, 2002:18-19).

Madumo (2013:158) states that it is necessary that the system of cooperative governance facilitates the integration and alignment of development endeavours in all three spheres. In the national sphere, the Government's Programme of Action, the State of the Nation Address, and the National Plan: Vision 2030 establish an overarching framework for the development of provincial Growth and Development Strategies and sectoral plans (Van der Waldt 2015:20). It is the responsibility of municipalities to align their IDPs with the provincial Growth and Development Plans. Various mechanisms to facilitate intergovernmental relations guide these interfaces (*ibid.*).

Although it is important to learn lessons regarding alignment from other countries, it is also necessary for this study to indicate that much work has been done on the alignment of the strategic documents in local municipalities in South Africa. O'Neil (2000) justifies the work that has been done in South Africa concerning alignment by stating that Integrated Development Planning is a single process that results in the development of both vertical and horizontal alignment between the budgeting and planning processes. The strength of the Integrated Development Planning process, which produced the National Integrated Development Strategy (NIDS), is highlighted by the fact that it presented as a transparent, technically sound, and politically acceptable set of priorities on which the budgeting process can assign resources.

O'Neill (2000:30) refers to another significant strength of the Integrated Development Planning process by stating the following:

...the ability to align planning procedures across Ministries, agencies and the whole of government thereby increases the chance of better coordination at the bureaucratic and political levels. The Integrated Development Planning process was able to initiate dialogue across Ministries and departments that had never previously communicated, except to criticise the efforts of one another. In facilitating better coordination and alignment of certain development processes, the IDP process extends the efficiency and effectiveness of public service delivery. The IDP process is inclusive, proactive and affords transparency in some development processes, which previously were ineffective and went unnoticed.

It is important to note that there is a need to accept the results you are looking for during performance assessments. Welch (2001:387) observes, "What you measure is what you get – what you reward is what you get. By not aligning measurements and rewards, you often get what you're not looking for".

2.15 LOCAL GOVERNMENT EXISTS IN A POLITICAL SPACE

Local government provides two purposes for the people of South Africa. The first purpose is an administrative one, which ensures that both the human capital and finances are in order, to

ensure that the supply of goods is addressed, as required by the people who elected the leadership into power. The second purpose is to deliver basic services to the majority of people who are demarcated or reside in an area.

Local government is considered a political system because it is a participatory sphere of government, and consists of democratic values that affect the daily lives of the masses. By virtue of electing councillors as the representatives of the people in many municipal councils, that is reason enough to value local government as a political sphere.

Mathekga (2015) observes that the shift from an apartheid-era public service to a vote-based administration was, at all levels, a daunting process. Madumo (2015) states that the post-1994 government faced various challenges in the three administrative levels, namely, the national, provincial and local levels (Maserumule, 2016). Resultantly, the reconfiguration process to realign local government structures included tasks such as reviewing the performance of departments and sectors whose purpose it was to manage all issues related to the economy, infrastructure, justice, equity, security and society, as well as intergovernmental coordination and constitutional advancement. Aside from its aim to introduce positive policies to strengthen the country's economy, the ANC government established the cadre deployment policy, which advocates for party loyalists to occupy prominent positions in the public sector. Kota et al. (2017) argue that this form of political support – through the provision of state employment opportunities – is a global phenomenon administered by various ruling political parties; however, this phenomenon in Africa is believed to induce an inferior institutional quality, or to result in the poor execution of policies by the state.

According to Cloete (1995:49), local government is the lowest sphere of government, which is decentralised. Maserumule (2011:58) asserts that local government is regarded as the core of service delivery, as it is the government arm that is closest to the country's citizens. It is also the sphere of government at the forefront of the provision of basic services. In this study, local government refers to the lowest sphere of government, which has the responsibility to provide basic services to local communities.

To emphasise that local government and/or municipalities exist in a political environment, Craythorne (1997:88) indicates that the political is influenced largely by the ideology supporting the policies of political parties. The political environment is dynamic and constantly

fluctuating because the ruling political party is continually in contact with opposition parties, its own constituents, the constituents of opposition parties, and interest groups, such as organised labour – each with its own agenda, needs and demands for attention. The dynamism of the political environment can be such that even the political party in power cannot always perform its policies in exactly the way in which it was adopted by the party's congress. It is also necessary in the political environment to be aware of the nature of society, and of how society is changing. In local government, the political environment, as a rule, will be smaller and more intense, because local government is closer to the people.

Leftwich (2000) provides a useful statement regarding the characteristics of the developmental state. One trait of the developmental state is that there is a need for the political elite to show high levels of commitment to attain economic growth. This indicates that the state must be able to influence, on the one hand; while on the other hand, it directs and sets the terms required for the operations of private capital.

Pasquini and Shearing (2024) indicate that within local government, politics are central; this is the same for other government administration offices. Despite the various effects of political instability, party politics and political competition, there is no comprehensive consideration of how they affect the general operations of municipalities. Furthermore, very little is known about how local level party politics affect the development and implementation of policies. There is a strong need for a better understanding of the complex dynamics of party politics and their influence on urban and neighbourhood governance in Africa (Lindell, 2008; Pieters and Van Donk, 2008; Benit-Gbaffou, 2012; Benit-Gbaffou et al., 2013).

Malefane (2005) states that the political climate covers regulatory burden and red tape, taxes, levels of political stability, labour market regulations, and policy predictability. Moreover, the legal environment plays an important role. The laws of the country, the judicial system and the policies and laws, which affect the operation of municipalities, are crucial; the IDP is one of the policies that is critical in the success of municipalities.

The changes within municipal political leadership are another matter that brings instability within this politically driven environment. This brings in another important point regarding factors that negatively influence policymaking, which is political influence (Boshoff, 2008).

There is a notable disjuncture between the political component, which comprises councillors, and the municipalities' administration; this influences the success of the implementation of different policies (*ibid.*). Councillors and municipal employees regard policies as restricting, as they shut out certain people. Furthermore, it is said that municipal employees do not value the processes of policy development; hence, they lack commitment towards operationalising them. This has resulted in most policy development being done by consultants or service providers. This process of development has had a major impact on the implementation and adoption of some policies within municipalities, after these policies were developed.

According to Thebe (2017, in Matshabaphala, 2015:497), leadership is the behaviour in the handling of relationship with others, and relates to ethics. Leadership embraces responsiveness, accountability and professionalism. Furthermore, good ethics demonstrate the principles of good governance. Good governance should be understood in the context of ensuring that the right people are employed to do the right job, with good processes and procedures. In this context, good governance is associated with the recruitment and selection of employees. Good governance ensures that political, social and economic priorities comply with the constitutional principles and public management principles (Gildenhuis and Knipe, 2000:91). Moreover, good governance requires political education and training.

Political interference is another matter that must be addressed within local government as it brings disunity institutionally. The Macmillan Online Dictionary (2015) defines the term "interference" as "...the process of deliberately becoming involved in a situation and trying to influence the way that it develops, although you have no right to do this". Synonyms include involvement, intrusion, and participation. Politics can be broadly defined as the allocation of values in the form of policies formulated by parties and elected political office-bearers, and administration as the provision of goods and service to the public, applying the policies defined purely through political processes (Hauya, 2011). When political interference occurs, it may be any behaviour, action or idea that prevents public officials from acting in a neutral, apolitical way. It can include all forms of involvement of politicians, political decisions and interests in (municipal) administration. It can also be viewed as the impact of the political establishment on bureaucrats' personal and official decisions, and the effects thereof. The activities of politicians should be prevented from encroaching on the administration "realm", which is led by appointed technicians or bureaucrats. Research confirms that political interference is

sometimes prompted by intentional, self-serving political motivation in which an official receives a concealed benefit (Trautman, 2003). Political interference corrupts, incapacitates, and destroys people and institutions. Shafritz, Hyde and Parks (2004) hold that political interference in an administration erodes the opportunity for administrative efficiency. Policymaking activities ought to be wholly separated from administration functions and administrators have to have explicit assignments of objectives before they begin to develop and efficient administrative function.

2.16 ANC, DA AND EFF IDEOLOGIES – KOPANONG LOCAL MUNICIPALITY

2.16.1 ANC – An organisation with an amalgam of political ideologies

The ANC has developed into an ideological hybrid (Rohanlall, 2014:9). Throughout its long history it has been influenced by different ideologies (Twala, 2014:1989). As a result, the movement has been imbued with opposing principles and ideologies (*ibid.*). One of the ANC's greatest challenges has been balancing these internal ideological differences. In 1955, Chief Albert Luthuli warned that the "ANC should not dissipate its energies by indulging in internal ideological feuds; a fight of 'isms'" (Twala, 2014:1988). This has arguably become more difficult post-1994, without the unifying effect of the liberation struggle (De Jager, 2013:149).

One of the ANC's ideological influences is Africanism (De Jager, 2013:149). According to Twala (2014:1989), Africanism has dominated, from the ANC's establishment to the 1950s. Membership was exclusively black throughout this period (*ibid.*). It was argued that the Union represented the interests of whites and the participation of whites in the ANC's struggle was limited. One of its founding ideological missions was to "unite all Africans in South Africa in order to challenge the racially divisive attempts by the then ruling party" (Twala, 2014: 1989). The focus was not to establish an inclusive democracy; rather, it was about self-determination for the African people (Twala, 2014:1990). Southall (2003:255-272) argues that the ANC fought for equality, but equality of nations, rather than among individuals. Although Africanism as an ideology has varied in strength within the organisation, its influence has persisted. Post-1994 it has closely been associated with Thabo Mbeki and his presidency. However, not everyone agreed with the multi-racial approach implicit in African nationalism. Its critics interpreted multi-racialism as implying that there were basic insuperable differences

between the various national groups. Moreover, it was supposed that these differences were so great that it would be best if these groups were kept separate in a type of democratic apartheid (Twala, 2014:1991). Hence, multi-racialism was criticised for attempting to “manage the relations among the different race groups in South Africa through what became known as constructive segregation” (Twala, 2014:1990). In contrast, non-racialism was promoted. It was argued that it would only be through the adoption of non-racialism that South African politics would cease to be framed in racial terms and so allow for meaningful social change and greater equality (*ibid.*). Hence, the policy of non-racialism was adopted within the ANC (Twala, 2014:1990).

This adoption resulted in ideological tension within the liberation movement. Its position was especially contentious with the growth of the more radical Africanist position that emerged in the 1940s (Twala, 2014:1990). However, in the following decades, non-racialism rose to prominence within the ANC. The Congress Alliance and the adoption of the Freedom Charter significantly promoted the non-racial agenda of the ANC (*ibid.*). The Freedom Charter emphasised cross-racial political cooperation (Twala, 2014:1990). Its adoption in 1955 was a pivotal moment in the narrative of the struggle, exactly for its emphasis on non-racialism (*ibid.*). A number of ANC members broke away as a result, which led to the formation of the Pan Africanist Congress.

The Freedom Charter became one of the ANC’s official documents and played a significant role in the development of the ANC’s non-racial politics (Twala, 2014:1990). Non-racialism has since become deeply entrenched within the ANC. Membership of the ANC is open to all South Africans above the age of 18 “irrespective of race, colour and creed” (What ANC, n.d.). Moreover, the ANC defines its key objective as the “creation of a united, non-racial, non-sexist, and democratic society” (What ANC, n.d.). The rise of non-racialism, however, has not erased concerns about race within the ANC. The liberation of Africans, in particular, and blacks, in general, from political and economic bondage is seen as a prerequisite for a non-racial society (What ANC, n.d.; Rohanlall, 2014:84).

Communism has also been one of the ANC’s major ideological influences (De Jager, 2013:149). The Communist Party of South Africa (CPSA) was founded in 1921. Initially, it was distinct from the ANC. However, the Communist International’s interest in colonial

people, the ANC's increased worker organisation, and the rising ethos of non-racialism prompted the ANC and the CPSA to establish closer relations (Musson, 1989), to the extent that when it became evident that the National Party, elected into government in 1948, intended to criminalise Communism, the CPSA willingly dissolved itself. The majority of the party felt that they could continue the struggle from within the ANC. Therefore, by 1950, "the parallel histories of nationalism and socialism had come together: the class struggle [...] had merged with the movement for national liberation" (Saunders, 2012:435).

The Left's influence on the ANC is evident in the latter's endeavour to create a democracy with social content, as is evident in their insistence that the South African Constitution would include a guarantee for socio-economic rights and its initial pursuit of the collectivist-orientated Reconstruction and Development Programme (RDP) was also indicative of its socialist democratic orientation (Twala, 2014:1991-1992). However, the ANC has been criticised for 'talking left but walking right' (Rohanlall, 2014:9). According to Rohanlall (2014: 9), the ANC may have maintained a Communist vocabulary, but in practice, it adheres to liberal and capitalist trends. It has been criticised as neo-liberal for its apparent alienation from workers (Twala, 2014:1991).

2.16.2 The DA's liberal ideology

The Democratic Alliance (DA) is, and has always been, a liberal party. As with other liberal parties, the DA's priority is the individual (Leon, 2008:623). The DA envisions a society where a person's success is determined by his/her efforts and not by an accident of birth (DA, 2016:10; Leon, 2008:276). Hence, it cannot be a society based on unfair discrimination. All individuals must enjoy equal rights and access to opportunities irrespective of gender, ethnicity or race (DA, 2014:8). Their freedom must also be protected. The DA believes in constitutional supremacy on the basis that "the state has no right to tell people how to think and what they may or may not say" (*ibid.*). According to the DA (2014:8), individuals should be free to do what they want, as long as they do not infringe on the rights of others.

Therefore, the DA believes in limited state intervention. Ideally, the state's role is to create an opportunity society "where every individual has the power to live a life he or she values" (DA, 2014:8). The state must provide these opportunities by growing the economy and stimulating

job growth to lift people out of poverty (*ibid.*). However, the state should also provide a social safety net to protect vulnerable citizens (DA, 2014: 8). According to James (2013), “Never has liberalism’s balance between individual freedom and the power of the state to champion social responsibility and opportunity through taxation, welfare and public services been so widely understood as it is in today’s complex world”. One of the complexities that South African liberalism has had to adapt to was the legacy of apartheid. James (2013) explains that South Africa is a broken society with numerous contradictions. As a result, it has been challenging at times to translate liberal theory into practice. For example, the DA has had to question how to balance a policy of non-racialism with strategic interventions to counter apartheid’s legacy (James, 2013).

Liberals are divided about the extent of the role of the state in the economy (James, 2013). Nonetheless, the DA has concluded that action must be taken to “achieve genuine redress for the social and economic legacy of apartheid” (DA, 2014:8). According to the DA (2016:10), an equal and fair society will only be possible if the large-scale inequality left in apartheid’s wake is addressed. A level playing field must be created for all South Africans (*ibid.*). Hence, the DA is committed to both restorative and distributive justice (James, 2013). Its resultant policies are not guided by race, but by the need to benefit the least advantaged the most.

2.16.3 EFF: A unique ideological combination of Marxism, Leninism and Fanonism

The Economic Freedom Fighters (EFF) views the past and present through a unique ideological lens (EFF, 2015b). It draws inspiration from the broad Marxist-Leninist tradition and Fanonist schools of thought (EFF, 2013:6; Shivambu, 2014:77-80). In addition, it views capitalism through a Marxist-Leninist lens and asserts that its inevitable result is a class struggle (Shivambu, 2014:77). Moreover, it sees capitalism as the core of South Africa’s problems and it stalwartly defines itself as anti-capitalist (Shivambu, 2014:95; EFF, 2015a; EFF, 2013a). The EFF is also critical of the government’s commitment to neoliberalism (EFF, 2013:3). According to the EFF, the current economic policies empower a few corporations (James, 2013) and individuals at the cost of communities (EFF, 2013:3). This has contributed to poor service delivery, it has drained state resources, and South Africa remains “a consumer of finished goods and services” (*ibid.*). While the EFF defines itself as socialist, it is critical of the Eurocentrism and Western arrogance it says defines socialism and the world. To counteract this bias, the EFF gives credence to the work of Fanon (Shivambu, 2014:78), and it draws on

Fanon's argument that the economic substructure is also a superstructure in former colonies. In this instance, "The cause is the consequence; you are rich because you are white, you are white because you are rich" (*ibid.*). This perspective, however, does not explain wealthy black individuals. Black billionaires like Patrice Motsepe and Cyril Ramaphosa are regarded as white "agents" (Poplak, 2014:43).

According to the EFF (2013:2), capitalism in South Africa has always been underlined by racism, segregation and sexism. Shivambu (2014:91) argues that under apartheid, racial and class exploitation was inseparable. It resulted in a racialised capitalism that placed the black majority, particularly Africans, at the lower end of society (EFF, 2013:22). Moreover, South Africa's current system of accumulation has retained its colonial nature (Shivambu, 2014:88).

Therefore, the EFF has responded by creating racialised socialism. It has styled itself as the vanguard of the working-class revolution (Shivambu, 2014:11). Moreover, its struggle is beyond any single political party and inclusive of anyone who identifies with it (Shivambu, 2014:5). Additionally, it makes the case for intra-racial equality and does not exclude whites from the dream of economic emancipation (Shivambu, 2014:4). However, the EFF remembers that blacks were previously oppressed and whites ignored that (Shivambu, 2014:8-9). This, in turn, has justified its prioritisation of blacks in the post-apartheid era.

2.17 THEORETICAL FRAMEWORK

2.17.1 Understanding the theoretical framework

To understand the theoretical framework, firstly an explanation is necessary of what a theory is. This word 'theory' comes from the word *theoria* in Latin, while in Greek it is *theoro*, which Hanekom and Thornhill (1983) present as contemplation, speculation and sight. According to Abend (2008), a theory is intended to provide an explanation or a prediction, and to understand phenomena. In some situations, it is intended to challenge the existing knowledge, or to push beyond the boundaries of the existing knowledge. Thus, theoretical frameworks are the theoretical structures intended to support specific research.

Moreover, the theoretical framework provides the introduction and description of the theory that the researcher intends to use to explain why the research problem under study exists and

how the results are going to be interpreted to answer the research questions. Furthermore, Thornhill and van Dijk (2010) assert that with a research project, the aim of discussing theory is to provide different concepts that give guidance and operate as a framework of reference (Grant and Osanloo, 2018). This would include the specific characters that underpin the processes of reaching generalisations based on the results. A theoretical framework could also be considered as a “blueprint” for the entire research project (*ibid.*), and as a guide for the researcher. Based on this guide, researchers build and support their study and the findings. Thus, the theoretical framework provides the structure to define how the researcher will approach the reporting as a whole, epistemologically, philosophically, methodologically, and analytically.

Eisenhart (1991:205) defined a theoretical framework as follows: “A structure that guides research by relying on a formal theory ... constructed by using an established, coherent explanation of certain phenomena and relationships”. Hence, the theoretical framework of a study consists of the specific selected theory (or theories) that the researcher believes to guide his/her thinking; it also assists in understanding the research in its entirety.

According to Abend (2008:2), a theoretical framework strengthens the study in the following ways:

- It is an explicit statement of theoretical assumptions, which permits the reader to evaluate them critically.
- The theoretical framework connects the researcher to existing knowledge. Guided by a relevant theory, a researcher is given a basis for their hypotheses and choice of research methods.
- Articulating the theoretical assumptions of a research study forces the researcher to address questions of why and how. It permits the researcher to intellectually transition from simply describing a phenomenon observed to generalising about various aspects of that phenomenon.
- Having a theory helps the researcher identify the limits to those generalisations. A theoretical framework specifies which key variables influence a phenomenon of interest and highlights the need to examine how those key variables might differ and under what circumstances.

The organisational culture in the Kopanong Local Municipality will also be examined. According to Mosili (2011:67-68), “Culture is not static, it changes with time. It produces certain sets of behaviours within an organization. Above all, culture has to respond to the demands of transformation. It has to create a climate of harmony between individuals and organizations.” Strategy, on the other hand, has to match the cultural expectations of any organisation. It is a fact that there should be harmony between the culture and the tested strategy. Once there is alignment and coherence between the culture and the tested strategy, an organisation can be sure of success. Culture is powerful in the sense that it can endure even if it has been abandoned for long. The Kopanong Local Municipality, in its efforts to change the way in which it does business, has to define culture. Understanding the impact of culture on strategy could assist with the Municipality’s planning and implementation processes.

According to Coetzee (1986:71), culture can be seen as a kind of “overall reality”, which has an influence on and exercises control over individuals concerning their own personal creative potential. These more specifically include symbols, ideas, values and beliefs within the realms of their society. Development can be seen as a kind of re-socialisation and acculturation, and in this sense, it has a close affinity to culture. Development demands cultural sacrifices, such as forced acceptance of the traditions of the developed country, as well as sacrifices for the sake of technological progress. In countries where the control elements in the culture are strong, the cultural adaptation demanded by development will not happen easily. From the definition of culture, as provided here, it can be seen that culture consists of an inherent normative and personal dimension; it is thus necessary for the purpose of analysing dependent situations, to study these normative and personal dimensions.

The researcher observed that there is a culture of fear in municipalities, in particular the Kopanong Local Municipality. Some employees, for example, were not prepared to grant interviews to the researcher, even though they had been informed thereof telephonically.

Ngwane (2015:3) asserts that it is a lie to say that municipalities are failing because of the “culture of non-payment”. Instead, the problems are privatisation, outsourcing, corruption, incompetence and cadre deployment. In short, it is ANC rule. Money meant to provide and extend basic services to communities has become the ANC’s political football. It is hypocritical for authorities to call on civil society to be responsible and tell people to pay for services. The

views of the people go largely ignored by Mayors and Mayoral Committees. In 2012, the Auditor General (AG) said 89% of service-delivery targets set through the IDP processes were not met. He found “evidence of widespread fraud” in the City of Johannesburg’s administration and gave a qualified report for the third successive year. The A-G found the billing system was a “mess” and inaccurate billing queries took up to a year to resolve. He further said the council had overcharged residents by R258-million for refuse removal. South Africans often feel that if you pay for municipal services, the money goes into a black hole.

2.17.1.1 The role of political leadership in influencing organisational alignment of the IDP, budget and OPMS in municipalities

The executive mayor, the executive committee or a special committee (in a municipality of the 'plenary' type) manages the drafting of the IDP. Part of that duty is the assignment of responsibilities to the municipal manager. Section 30 of the Municipal Systems Act (2000) identifies the two primary actors in IDP management. The executive mayor/executive committee or the IDP committee is under a legal obligation to “manage the IDP process”. Duties can only be assigned to the municipal manager, who must act within the scope of these assignments.

In relation to the PMS, the Municipal Systems Act (2000) places the “development of the performance management system” in the hands of the executive mayor, the executive committee, or a special committee. They must assign responsibilities to the municipal manager. Sections 44(3)(a) and 56(3)(a) of the Structures Act place the responsibility for the development of evaluation criteria, including key performance indicators, on the executive committee and the executive mayor respectively. The establishment of a process of regular reporting to the council, other political structures, office-bearers, staff, the public, and appropriate organs of state, such as the provincial government (Section 41(1)(e) of the Systems Act), is important. The municipal manager must implement and manage this reporting system and advise the council on the kind of reporting system it should adopt. In relation to the implementation of a PMS, Sections 44(3) and 56(3) of the Municipal Structures Act charge the executive committee/executive mayor with the following:

- the evaluation of progress against the key performance indicators;
- the review of the performance of the municipality; and

- the monitoring of the administration.

The Act further states that the performance of a municipality must be monitored, measured and reviewed at least once a year (Section 41(1)(c)). Regular reports in terms of Section 41 must go to the council on the implementation of the PMS (Section 41(1)(e)). In view of the fact that the executive committee/executive mayor is charged by law with the abovementioned three tasks, it appears that these structures must manage and drive the monitoring, measuring and reviewing exercises, as well as the preparation of the reports to the council. The actual implementation of the PMS would be placed appropriately in the office of the municipal manager. Ultimately, a municipality must be able to hold the municipal manager accountable for the overall performance of the administration (Section 51(i) of the Systems Act). The executive committee/executive mayor's assignments to the municipal manager, in terms of Section 39(b) of the Municipal Systems Act, are of the utmost importance to ensure clarity around the division of responsibilities in this regard.

Fourie (2012:73) provides the following synopsis of the local political system for the different institutional arrangements in South Africa:

The overall public governance framework is normally set by the Legislature, which represents the citizens through legislation. The Executive as executing authority usually ensures that the governance framework is applied to public organisations in their jurisdiction. Governing bodies are responsible for governing their respective public organisations accordingly. The Legislature authorises the mobilisation and application of financial resources by the Executive and exercises oversight over the Executive and Administration. The Executive must normally execute the budget with the support of the Administration. Budget execution involves expending funds for resources used in administering related programmes. Financial management and accountability are usually the responsibility of the Accounting Officer, as determined in the budget system law and/or budget law. The Accounting Officer in the governing body implements the budget under the direction and control of the Executive with due diligence in respect of economy and efficiency, compliance with applicable laws, as well as applying appropriate accounting methods and reporting standards. The Executive is usually

responsible for reports to the Legislature to account for the Administration in their jurisdiction.

2.17.1.2 The role of administrative leadership in influencing the alignment of the IDP, the budget and Performance Management in municipalities

In terms of the senior management in local municipalities, the council must appoint the managers, after consultation with the municipal manager (Section 56 of the Municipal Systems Act, 2000). The municipal manager must negotiate performance contracts (according to Section 57 of the Municipal Systems Act, 2000) with new appointees. This represents a balance between the council's interest in appointing a senior management team to drive its IDP goals and the municipal manager's interest in having an opportunity to influence appointments and subsequently formalise what is expected of the new manager in a performance agreement.

In terms of municipal finances and/or budgeting, as accounting officer, the municipal manager is responsible for all income and expenditure, all assets and discharge of liabilities of the municipality, and compliance with the municipal finance management legislation. The accounting officer must provide guidance and advice on the compliance with the Municipal Finance Management Act (2003) to the political structures, political office-bearers and officials of the municipality and to any municipal entity under the sole or shared control of the municipality.

2.17.1.3 The relevant and/or official procedure for the implementation of the aligned IDP, budget and OPMS in municipalities

According to the Kopanong Local Municipality's IDP (2015/2016:46), the Municipal Manager, together with the IDP Manager and Directors, form the IDP steering committee that is responsible for the design and execution of all arrangements regarding the compilation of the IDP. The Municipal Manager is, subject to the policy directions of the municipal council, responsible for:

- The implementation of the IDP and the monitoring of progress with the implementation of the Plan; and

- The formation and development of an administration equipped to carry out the task of implementing the IDP.

The 2015/2016 IDP of the Kopanong Local Municipality does not make specific mention of the budget and OPMS in this process.

The abovementioned indicates the alignment and integration of all the strategic apparatus (the IDP, budget and OPMS) in local municipalities. It shows leadership by the mayor as a custodian of policy in a municipal environment. The mayor must always lead the processes regarding planning, budgeting and performance matters in a local municipality. The municipal environment, in many cases, needs a mayor's office that is knowledgeable of public participation issues. When the mayor and councillor attends a budget or IDP related gathering, the public or the community must have been informed of it and all the stakeholders should be in full attendance. The following are the benefits of public participation, when it is coordinated accordingly:

- The municipal plans, as prepared externally and internally, will be endorsed by the community and remains legitimate at all times.
- The process promotes fairness, reasonableness and transparency, as it is done with the people, by the people, for the people.
- It produces a well-informed community, including the stakeholders.
- Accurate, accessible and timely information teaches the broader community to make proper decisions.
- It provides a chance and space to meet with the leaders and managers of the municipality and raise/speak about issues on a given platform.

The Municipal Manager, Section 56 Managers (in terms of the Municipal Systems Act, No. 32 of 2000) and staff in general are obliged to assist in a meeting, not only for support, but to provide relevant and informative responses to community members and all stakeholders. Ideally, sector departments and other government entities should be in full attendance to make meaningful contributions. The IDP, Budget and OPMS Manager(s) should be prepared to provide accurate information regarding what is expected from the meeting of the day. These managers must have done their homework, thus, research, and possess accurate statistics. It is

important for an integrated system that there is a clear communication between the IDP, the budget and the OPMS in municipalities. It also illustrates the top-down-bottom-up approach; in other words, community members and stakeholders must own it. This approach will dispel many negative myths about local municipalities.

Moshebi (2002, in Craythorne, 1997) states that in top-down planning and centralised hierarchies, senior officials do the planning and all the decisions are taken at this level. Coordination takes place at the top, with every little autonomy in subordinates units. In addition, directives are issued in complex memorandums to lower levels via multi-levelled hierarchy.

The approach that should be used when the government meets with stakeholders and communities is that it must be well prepared when it attends community participation meetings. The paperwork must be done before the time, and relevant information should have been given to the community and/or stakeholders for perusal. If this is not done, the community and stakeholders are inclined to believe that everything is done in the offices and just given to them for confirmation (this observation is based on the researcher's practical experience). In this regard, Lobe (2008:41) asserts, "Public participation is viewed as an integral part of democracy". Public participation further has the potential to reduce poverty and social injustice by strengthening citizens' rights and influencing policymaking, enhancing local governance, and improving the accountability and responsiveness of institutions (Lobe, 2008:42).

According to Easton (1957), referring to the properties of identification, to "distinguish a political system from other social systems, we must be able to identify it by describing its fundamental units and establishing the boundaries that demarcate it from units outside the system". On the units of a political system, Easton (1957) states that in a policy matter, the units are the elements of which a system is composed. In the case of a political system, they are political actions. Normally it is good to consider these as they structure themselves in political roles and political groups. The issue of boundaries also plays a critical function. Some of the significant questions with regard to the operations of political systems can be answered only if we bear in mind that a system does not exist in a vacuum. It is always immersed in a specific setting or environment. The way in which a system works will in part be a function of its response to the total social, biological and

physical environment. The problem with which we are confronted is how to distinguish systematically between a political system and its setting. Does it even make sense to say a political system has a boundary dividing it from its setting? If so, how are we to identify the line of demarcation? Without pausing to argue the matter, I would suggest that it is useful to conceive a political system as having a boundary in the same sense as a physical system.

The boundary of a political system is defined by all those actions more or less directly related to the making of binding decisions for a society. Every social action that does not partake of these characteristics will be excluded from the system and thereby automatically be viewed as an external variable in the environment. On inputs and outputs, it is imperative to note that if we select a political system for a special study, we do so because we believe that they have characteristically important consequences for the society, namely, the authoritative decisions. These consequences are called outputs. If we judged that the political system did not have important outputs for society, we would probably not be interested in them. Unless a system is approaching the state of entropy – and we can assume that this is not true of most political systems – it must have continuing inputs to keep it going. Without inputs, the system can do no work. Without outputs, we cannot identify the work done by the system.

The differentiation within a system must be coupled with the above; as Easton (1957) argues that in this area, the system comes with energy to activate a system and information regarding to which system uses this energy. In this instance, the system is able to do the work. It has some sort of output that is different from the input that enters the environment. This must be regarded as a useful hypothesis, that if a political system is to perform some work for anything but a limited interval of time, a minimal amount of differentiation in its structure must occur. Empirically it is impossible to find a political system in which the same units perform the same activities at the same time (hence, IDP must be done with the budget, and the SDBIP and OPMS must then follow).

Currently the National Department of Cooperative Governance requires municipalities to approve the IDP, budget and SDBIP at the same time. The members of the system engage in at least some minimal division of labour that provides a structure within which action

takes place. Lastly, the integration of the system must be brought into the picture. This fact of differentiation opens up a major enquiry with regard to the political system. Structural differentiation sets in motion forces that are potentially disintegrative in their results for the system. If two or more units perform different kinds of activities at the same time, how are these activities to be brought into a minimal degree of articulation if the members of the system are not to end up in utter disorganisation with regard to the production of the outputs of interest to us? If a structure is to maintain itself, it must provide mechanisms whereby its members are integrated or induced to cooperate, in some minimal degree, so that they can make authoritative decisions (Easton, 1957:385-387).

2.17.1.4 Inputs as demands from the community

The reason why a political system emerges in a society and why people engage in political activities is that demands are made by persons/groups that cannot be fully satisfied. In all societies, one fact dominates political life: scarcity prevails with regard to most of the valued things. Some of the claims for these relatively scarce things never find their way into the political system but are satisfied through the private negotiations or settlements by the persons involved. Demand for prestige may find satisfaction through the status relations of the society; claims for wealth are met in part through the economic system, and aspirations for power find expression in educational, fraternal, labour and similar private organisations. Only where demands require some special organised effort on the part of the society to settle them authoritatively, may we say that they have become inputs of the political system (Easton. 1957).

Easton (1957) further states that there is a need to look at the external demands and the environment as a system, which is clearly distinguishable from one another and from the political system. The most important questions are: “How are demands transformed into issues? What determines whether a demand becomes a matter for serious political discussion or remains something to be resolved privately, among the members of the society?” The occurrence of a demand, whether internal or external, does not automatically convert into a political issue. Many demands die at birth or linger on with support from an insignificant fraction of the society; they are never raised to the level of possible political decisions. Others become issues, an issue being a demand that members

of a political system are prepared to deal with; a significant item for discussion through the recognised channels in the system (Easton, 1957:387-388). Van der Molen et al. (2002:256) state, “In this context, integrated development planning falls squarely into the category of being an input, since the best planning in the world does not necessarily result in outputs or outcomes. It is therefore suggested that three requirements – partnership, entrepreneurial municipal business style and measurement – need to apply to an outcome-orientated integrated development planning exercise”.

2.17.1.5 Inputs as support from both staff and sector departments

Inputs of demands alone are not enough to keep a political system operating. They are only the raw material from which finished products called decisions are developed. Energy, in the form of actions or orientations promoting or resisting political system, the demands arising in it, and the decisions issuing from it must be put into the system to keep it running. This input is called support. Without support, demands cannot be satisfied or conflicts in goals composed. What do we mean by support? We can say that A supports B, either when A acts on behalf of, or when he/she orients him/herself favourably towards B's goals, interest and actions. Regarding a government, if a political system is going to be able to handle the conflicting demands put into it, not only must the members of the system be prepared to support the settlement of these conflicts and reach consensus with regard to the rules governing the mode of settlement, they must also be ready to support the government as it undertakes the concrete tasks involved in negotiating such settlements. Regarding the output of a system, there are rewards available to a government for mobilising support (Easton, 1957:390).

In 1989, the practice of so-called ‘popular budgeting’ began, which has since developed deep institutional roots and has received world recognition for the success with which community groups have been integrated into the process of shaping municipal budgets. In South Africa, the transition to democracy was marked not only by national level negotiations, but also by sustained concentration at the local level. To a degree, that probably has no precedent in a newly found democracy. South Africa's Constitution and subsequent legislation have explicitly sought to empower local government and task it with a pressing mandate of redistribution and service delivery (Heller, 2001:140-141).

The same issues that a community needs in terms of service delivery – water, electricity, roads and storm-water, sanitation and jobs – are the pressing matters that must be addressed through a people-driven IDP, budget and OPMS in local municipalities, as enshrined in the Constitution. Moreover, Madonsela (2010:5) asserts, “the IDP instrument is one of the key tools for local government to achieve its developmental role. Overall, active participation in planning and decision-making increases the legitimacy of local government. It gives people the experience to have more influence over their lives, and it is vital to contribute to the determination of the community’s development.”

2.12.2 Theories in policy implementation

According to Paudel (2009), policy implementation research has failed to present a theory of implementation that could be utilised to explain the process of policy execution. Paudel (2009) further states that researchers within the policy implementation area continue to work, basing their work on multiple theoretical perspectives, and they continue to adopt different variables to help them make sense of their research findings. Nilsen (2015) asserts that implementation researchers have developed implementation theories to provide a better understanding and the necessary explanation of different aspects occurring in the process of implementation.

May (2013) states that the implementation theory was developed to provide a foundation for the evaluation and understanding of the process of policy implementation. May (2013) adds that implementation does not refer to one policy being implemented by a new way of thinking, acting or organising, which is introduced to the system of an organisation. The aim of the implementation theory is having a “robust set of conceptual tools that enable researchers and practitioners to identify, describe and explain important elements of the implementation process and their outcomes” (May, 2013:2).

The process of the evolution of implementation research occurred over three generations (Paudel, 2009). The first generation lasted from the early 1970s to the 1980s, while the second generation spanned the 1980s to the 1990s, and the third generation was from 1990 onwards (*ibid.*).

2.17.2.1 *First Generation Implementation*

According to Paudel (2009), the first generation of implementation research focused on the types of authoritative decisions that were implemented either at a single location or at multiple sites. Their analysis uncovered the problem of policy implementation - the uncertain relationship between policies and implemented programmes - and sketched its broad parameters. Those researchers who took part in first generation implementation noted the challenges of policy implementation as originating from uncertain relationships between policies, the decisions made, and the type of programme followed during implementation (Paudel, 2009).

2.17.2.2 *Second Generation Implementation*

The researchers in the second generation were concerned with framework development (Paudel, 2009). Their focus was to utilise these frameworks, explaining the success or failure of policy implementation programmes. They also focused on describing and analysing the relationships between policy and practice. Despite these researchers focusing on frameworks, they generated important lessons for policy, practice and analysis, such as that policy cannot always mandate what matters to outcomes at a local level.

The researchers in the second generation demonstrated the importance of periods and recognised the variability over time and across government policies. They emphasised the explicit or implicit model of the policy implementation process and the time frameworks (Paudel, 2009).

2.17.2.3 *Third Generation Implementation*

The two generations of implementation research added extensive knowledge of what implementation was and of the reasons why it varied. According to Paudel (2009), the first two generations were not successful in differentiating between the types of implementation outcomes, causal patterns that led to success or failure, and the variables that are responsible for implementation. The third generation is still underway. This generation of implementation research has adopted various theories to test the implementation process through comparative cases, which included statistical research design. The researchers within the third generation

focused on research design; this included the explicit theoretical concepts in the operation and use of appropriate qualitative data.

These third generations of researchers have also described implementation theories. According to May (2013:2), implementation theories provide “a robust set of conceptual tools that enable researchers and practitioners to identify, describe and explain important elements of implementation processes and their outcomes”. These tools were utilised to come up with a theory, which was called the General Theory of Implementation.

2.17.3 The General Theory

The General Theory provides links between different constructs, which have been drawn from other theories (May, 2013). The integration presents a comprehensive description and explanation of elements of the implementation processes. May (2013:3) states, “These constructs are anchored to a central theoretical claim, which is that social and cognitive processes of all kinds involve social ‘mechanisms’ that are contextualized within social systems and from which spring expressions of agency”.

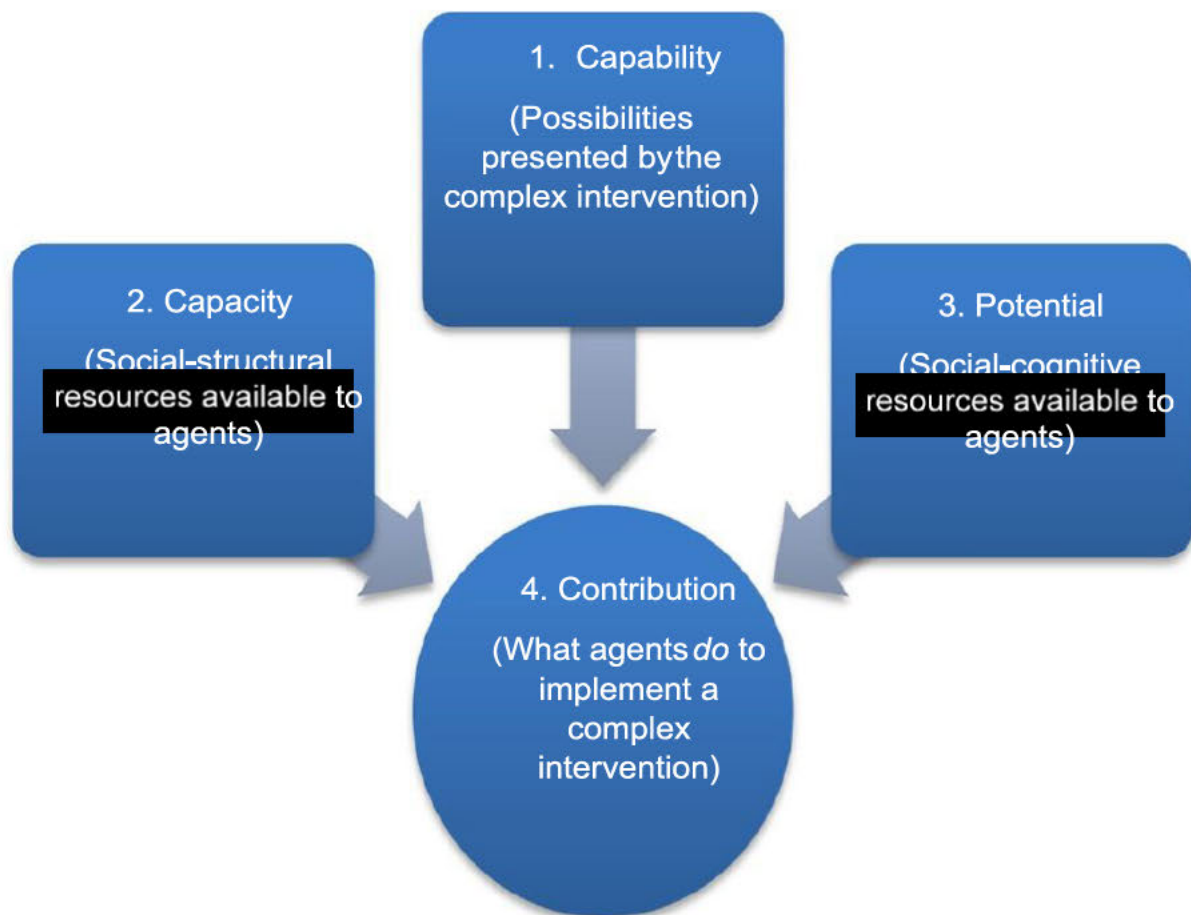


Figure 2.4: Resources and possibilities for different agents' contributions to implementation processes (May, 2013)

According to May (2013), often the policy being implemented within government institutions is more complex, which could be labelled as a complex intervention. This complex intervention brings together cognitive and behavioural aspects that involve different material and cognitive practices, relations and interactions. The individuals who are responsible for the implementation and interaction with complex interventions engage with multiple objects of practice. These objects of practice could include classifications, artefacts, techniques, and different technologies or organisational systems. This complex intervention could include all of these, and this is an area of significant interest in the social sciences. The attributes of the components of complex intervention have been noted to influence the intervention strategies during the implementation process. These attributes include their virtual or physical character, the assumptions about those who are expected to implement and those who are receiving the benefits from the implementation, their complexities in practice and in the social relations that

they engender, and their expected value. The elements come together to constitute a more unified structure that shapes the relations between individual employees (May, 2013).

In order to provide clarity on the General Theory, May (2013) discusses capability, capacity, potential and contribution as the major concepts (see Figure 2.4).

2.17.3.1 Capability

May (2013) asserts that the qualities of complex interventions mainly focus on whether they could be integrated into practice, as they are as important elements of implementation processes as capability. May (2013) presented capability as having two aspects – workability and integration. Workability could be described as “...the social practices that agents perform when they operationalize a complex intervention within a social system, and characterizes interactions between users and components of a complex intervention” (May, 2013:5). Further describing capability, May (*ibid.*) states that workability can be divided into two parts. The first part is the actual material practices that individuals utilise when putting into practice complex interventions, which could also be described as “interactional workability”. The second part is the ways in which different practices are linked to the process and shared through the division of labour by all employees, which could also be described as “skill set workability”.

According to May (2013:5), integration can be defined as follows: “The linkages that agents make between the social practices of a complex intervention and elements of the social system in which it is located, and characterises interactions between the context of use and components of a complex intervention”. Again, integration can be divided into two parts, namely contextual integration and relational integration. May (2013) describes contextual integration as the performance of individuals within a specific practice, which is related to the means of final achievement and the necessary resources required. Relational integration is described as the performance of individuals in practice, which is related to how they make themselves and those working with them accountable to the performance to reach the organisational goals (*ibid.*).

This demonstrates the relationship between the possibilities presented by complex intervention and the two aspects, which are workability and integration. Based on this concept of implementation, the process could be seen as a new way of thinking about workability and

integration, which is organising action (policy implementation). Policy implementation could require specific cognitive and behavioural practices for its success or failure.

Therefore, the capability of employees who are responsible for the implementation process and the operationalisation of a complex intervention depends on workability and integration within the organisational structure. Hence, the lack of sustainable workability and integration could influence the implementation process and result in its success or failure.

2.17.3.2 Capacity

The capacity of a social system, which includes organisations to undertake an implementation process, is related to the extent to which an organisation itself offers a set of social-structural resources to all individuals who are expected to play a role in the implementation process. May (2013) defined the important dynamic elements of capability within the context of policy implementation; thus, bringing complex intervention to form part of a social system depends on individuals' capacity to cooperate and coordinate their actions:

- Social norms: May (2013:6) described social norms as “institutionally sanctioned rules that give structure to meanings and relations within a social system, and that govern agents' membership, behaviour and rewards within it. They frame rules of membership and participation in a complex intervention.” These organisational rules and structures provide meaning to the organisation's general internal operations and provide the capacity to implement.
- Social roles: The social roles are seen as “socially patterned identities that are assumed by agents within a social system, and that frame interactions and modes of behaviour. They define expectations of participants in a complex intervention” (May, 2013:6). Here May (*ibid.*) presents personal social identities, which play a specific role in the process of policy implementation and how they see themselves fitting in the process of policy implementation.
- Material resources: The material resources aspect in a complex integration have been described as “symbolic and actual currencies, artefacts, physical systems,

environments that reside within in a social system, and that are institutionally sanctioned, distributed and allocated to agents. They frame participants' access to those material resources needed to operationalize the complex intervention" (May, 2013:6).

- Cognitive resources: These resources are "personal and interpersonal sensations and knowledge, information and evidence, real and virtual objects that reside in a social system, and that are institutionally sanctioned, distributed and allocated to agents. They frame participants' access to knowledge and the information needed to operationalise the complex intervention" (May, 2013:6). The implementation of policies does not only need employees, but engages at personal and interpersonal levels utilising the knowledge, information and evidence about the specific policy and its concepts.

The implementation of a complex intervention could be successful if the individuals involved deliberately attempted to engage with activities of alignment within the organisation. Where necessary, they would work towards initiating the process of modifying the operation of the system and change it before it achieves its outcomes. Based on this, an individual executes a complex intervention to normalise certain functions into practice within the setting in which it operates. The working conditions in which the policy implementation is expected to take place should provide both normative and relational capacity. Providing this capacity is achieved by ensuring the availability of specific resources to individuals and establishing the environment and capacity for them to work together to achieve set organisational goals.

2.12.3.3 *Potential*

Generally, the translation of employees' capacity into collective action depends on their potential to enact the policy implementation process. This implies that organisational readiness to effectively implement policies "is a shared psychological state in which organisational members feel committed to implementing organisational change and are confident in their collective abilities to do so" (May, 2013:8).

Potential in policy implementation is a valuable process, which has important features of context, "such as organisational culture and operational environment, which are expressed

through change valence and change usefulness” (May, 2013:7). Social-cognitive resources are highly interactive in the sense that they emphasise the accomplishments, shared values and commitment of groups. No matter how much individual potential and commitment are valued socially, implementation processes are largely collective and collaborative in their form and direction. Two translational mechanisms are at work here, and they form the key dimensions of the construct:

- Individual intentions are expressed as employees’ “readiness to translate individual beliefs and attitudes into behaviours that are congruent, or not congruent, with system norms and roles” (May, 2013:7). The employees present their personal motivation to participate in the process of policy implementation.
- Shared commitments relate to employees’ readiness to translate different “beliefs and attitudes into behaviours that are congruent, or not congruent, with system norms and roles. They frame shared commitment of participation in the process of policy implementation” (May, 2013:7).

Employees’ capability to operationalise a process of policy implementation and convert it into action to achieve their goals depends on the social-cognitive resources available to them. These resources could be observed in an individual employee’s attitude and intentions, and shared values and commitment to ensuring the successful implementation of the policy. The implication of this is that a complex intervention is disposed to normalisation into practice if agents both individually intend and collectively share a commitment to operationalising it in practice. If potential cannot be sustained, then the embeddedness of the policy implementation will be threatened as employees’ commitments are withdrawn.

2.17.3.4 Contribution

The success or failure of integrated implementation depends on the social systems that are formed (May, 2013). These social systems within an organisation are formed when employees take up their social roles and norms within the organisation. As these roles and norms are adopted by individuals or by a group, and employees interact with each other, it provides a flow of information and support mechanisms required for successful implementation. These

individuals or groups intentionally contribute to the actions required as individuals or as a group for the achievement of the set organisational goals.

This shows that playing a part within the policy implementation process requires that through their own actions individually, and as a group, employees make things happen. These individuals have their own legacies, beliefs, self-regulatory capabilities and distributed structures, which play an important function in policy implementation. The success or failure of any policy implementation within an organisation depends on employees' continuous contributions that carry forward in time and space (May, 2013:9).

Employee actions, as collective, coordinated and cooperative actions, are important in the process of policy implementation. According to May *et al.* (2003), the employees' contributions in collective actions could lead to the achievement of the organisational goals. These authors (2003) further assert that employees' operations are shaped by organising structures and social norms. These specify the rules and roles that frame their actions, and the group processes and interactional conventions through which certain actions are accomplished.

The employees' actions in the process of implementing a complex integration of policies are characterised by four set of dimensions, which are the following:

- ✓ Coherence or Sense-making, which May (2013:8) describes as the meaning that employees bring to a complex intervention and how they make sense of possibilities within a specific area. Coherence and sense-making provide an understanding on how employees make sense of their involvement in a complex intervention.
- ✓ Cognitive Participation is explained as a process in which employees “legitimize and enrol themselves and others into a complex intervention. They frame how participants become members of a specific community of practice” (May, 2013:8).
- ✓ Collective Action is described as a process in which employees “mobilize skills and resources and enact a complex intervention. They frame how participants realize and perform the intervention in practice” (May, 2013:8).

- ✓ Reflexive Monitoring has been described as the level at which employees “assemble and appraise information about the effects of a complex intervention within their field of agency, and utilize that knowledge to reconfigure social relations and action. They frame how participants collect and utilize information about the effects of the intervention” (May, 2013:8).

When employees work towards the implementation of a policy, they collectively express their intent to work towards the achievement of the goals. Through these, they contribute in dynamic reflexivity, continuously making and acting upon their sense of the form and application of a complex intervention, and at the same time appraising its effects. Equally, they invest in directed action, continuously building and acting upon the relational features, and performing the material practices needed to implement and embed the complex intervention in practice.

This aspect demonstrates that a complex intervention is inclined to be adopted and normalised into practice only if those responsible (individual employees) put effort in working towards proper practical implementation. The participation towards ensuring that the specific policy is implemented should be sustained in order to have this complex intervention continue to reach the set goals.

2.18 POLITICS, MANAGEMENT AND LEADERSHIP ON STRATEGIC POLICY AND DECISION IMPLEMENTATION

2.18.1 Policy implementation

Policy implementation is complicated. Various contextual factors can derail otherwise ideal implementation practice, and given the nature of the field, controlled experiments are not likely representations of real world implementation scenarios. Attempts to understand policy implementation better by isolating specific variables have not been characterised by success. According to deLeon and deLeon (2002), “Meier and McFarlane (1995) tested the Mazmanian and Sabatier model through a series of ingenious measures and found that many of the posited relationships were statistically significant”. However, they were forced to conclude that the “operationalization of several of the variables was independently problematic. Admittedly, some of our own measures are crude, and there is a reasonable distance between the measures selected and the broad concepts embodied in the statutory variables” (*ibid.*)

Pressman and Wildavsky (1973) pioneered several concepts in implementation research, focusing on the generation of theories developed from case studies, such as their famous explanation of the failure of a unemployment reduction programme for ethnic minority groups in Oakland. Pressman and Wildavsky (1973) viewed the “complexity of joint action” in conjunction with the many points of decision and veto as presenting a strong barrier to successful implementation (Winter, 2011:9). For example, they postulated that the greater the number of decision points – or places where individuals must reach agreement – the more difficult implementation would be (Pressman and Wildavsky 1973:xvi). Their research, along with that of Bardach (1977), who advocated for greater control to remedy unpredictability, set the stage for the models that would be developed in the coming years.

The work of Pressman and Wildavsky (1973) inquired into the discrepancies between the articulated policy goals set in Washington and the little relation of this goal to what was on the ground in Oakland (Colebatch, 1998). The problem highlighted in implementation was that of outcomes being different to stated objectives and goals. Pressman and Wildavsky (1973) explained this phenomenon as relating to the multiplicity of participants and perspectives. They argued that between the enactment of policy and its implementation, there were numerous decision points between public and private decision-making bodies (John, 1998). These decision points, in turn, reduced the likelihood of the policy-maker's objective being carried out. According to John (1998), Pressman and Wildavsky's assumption amounts to a probabilistic theory, where the more the decision points are, the more likely the policy is to fail and vice versa.

Multiplicity is also viewed as a top-down approach to policy research (Lazin, 1998), which sees policy implementation in an inter-organisational context with a hierarchical arrangement, where the central elite controls lower bureaucrats. That is to say, the top-down approach to policy implementation also sees the discretion and autonomy of local actors as adding to the likelihood of failure in policy implementation.

Pressman and Wildavsky (1973) stated that the multiplicity of participants and perspectives combined to produce a formidable obstacle course for the programmes, which were designed to reduce unemployment and build the cities. The legacy of the past, as in South Africa, was so dynamic that addressing it at face value would always suggest a number of problems and

stakeholders to be involved. It needed a good planning mechanism, which was not reactive, but rather looked beyond the problem as experienced at that point in time. In many instances, policy implementers are forced to change the intention of the goal for the simple reason that they have their own interpretation. Lindblom (1980) states that multiple conflicting criteria are universal phenomena in policy implementation, appearing also in areas far removed from ordinary policy implementation in democracies. As indicated above, this is a human error, as people do not have the same level of understanding of the issues as presented. Again, the policy implementers should be sympathetic to the goals of the policy, have adequate resources, as well as trained people to implement the policy. When implementing policy, there are several tollgates to observe. Moreover, the progress should be analysed to determine whether a particular programme should be reviewed, or be started over again. There is also a degree of bureaucracy involved where certain actions need to be approved before they can be implemented. Some stakeholders, even when the objective of the policy is clearly stipulated, tend to join with their own agendas. Another critical component of policy implementation is the decentralisation of power where, for instance, the provincial governments are given the power to initiate programmes and develop policies of their own, which would not be antagonistic to the national policies. It has been found that in some provinces in South Africa, problems are experienced when policies are implemented, particularly in areas where the ruling party has minority support. Even when a policy can produce a positive impact, it is not accepted, and consequently the community suffers.

2.18.2 Top-down policy implementation

These models (Sabatier, 1986; Mazmanian and Sabatier, 1989) use the decision of an authority as a starting point, identifying the tractability of the problem and the ability to structure implementation, as well as the non-statutory variables affecting implementation. Most top-down models advise governments to have clear and consistent goals, to limit the extent of change necessary, and to place the responsibility for implementation with an agency sympathetic with the policy's goals. These models regularly neglect prior context and political aspects, as if implementation was only a matter of administration, depending only on the availability of resources. Moreover, these models tend to focus on the entity designing the policy, rather than those affected by it (Cerna, 2013:18), and ignore the role of policy opponents, who make demands in the policy process (Moe, 1989:277). Bowen (1982) adopted

the same notion of implementation success as Pressman and Wildavsky, but “points at persistence, packaging of clearances, engineering bandwagons and policy reduction, as tactics actually employed in implementation” (Hupe, 2011:70). Bowen (1982) described the aforementioned tactics as follows:

Persistence is the likelihood that repeated efforts to gain each needed clearance – although at the expense of delay – may enhance implementation. Packaging implies that one negotiation entails a number of clearances needed for several programme elements. Bandwagons refer to the situation in which each clearance obtained increases the probability of the next one. An agreement as a result of one negotiation enhances other clearances. Policy reduction entails the differentiation of a policy programme into several parts to be treated separately (Hupe, 2011:70).

Top-down policy implementation models have largely fallen out of favour. In essence, top-down models assume that policymakers can master control of the policy implementation environment (Elmore, 1979). According to Head and Alford (2013), “Rational technical approaches assume that efficient and effective achievement of objectives can follow from adequate information, carefully specified goals and targets, and choice of appropriate methods”. These models have been subject to critique, particularly by Rittel and Webbers (1973), who stated, “The days of solving major problems through an ‘engineering’ approach have ended. Modern society was now seen as pluralistic rather than homogeneous, and not amenable to top-down general solutions. Social groups increasingly exhibit important differences in aspirations, values, and perspectives that confound the possibility of clear and agreed solutions” (Head and Alford, 2013).

2.18.3 Bottom-up policy implementation

Certain models (Moody et al., 1990; Hjern and Hull, 1982; Elmore, 1979; Lipsky, 1980) viewed policy from the perspective of target population and service deliverers. In his theory of street-level bureaucrats, Lipsky (1980) wrote that the discretion of those who were relied upon to implement policy in the field was a key factor in successful implementation. Rather than implementing policies with fidelity, each street-level bureaucrat was forced to adapt a policy mandate aiming as far as possible to circumnavigate varying resource constraints. Bottom-up

theorists tended to believe that centralised decision-making was poorly adapted to local conditions and flexibility was important to reach goals. They were usually criticised as overemphasising local autonomy and favouring administrative accountability over democratic accountability and the ability of policy leaders to structure local behaviours. For example, Hjern, Hanf, and Porter (1977) and Hjern and Hull (1982) started at the bottom, identifying the goals of the actors involved in the intervention delivery process. By tracing the network of stakeholders involved in the policy delivery process, they concluded that those responsible for implementation (e.g., the front-line service deliverers) were more important to success than centralisation or top-down administration.

One difference between the top-down and bottom-up approaches is the metrics that are selected for evaluation. Top-down models typically see legislative objectives as the metric that should determine success or failure. Top-down models, for example Mazmanian and Sabatier (1983), saw evaluation as a determinant for goals achievement (Sabatier, 1986). Bottom-up approaches also used legislative objectives to assess policy success or failure, but asserted that the gap between legislative (top-down) objectives and resources changed the nature of implementation. Moreover, the bottom-up evaluation component has been criticised as overly vague, but conversely, the focus on the top may overemphasise government (Sabatier, 1986). Some authors who write on the bottom-up approach reject the legislative objective as a standard for evaluation and typically develop their own set of standards, which they carefully justify (Winter, 2012).

2.18.4 Synthesis of top-down and bottom-up approach

Scholars began to recognise the value of the top-down and bottom-up approaches and made a major attempt to combine them into a comprehensive explanatory approach. For example, Sabatier and Mazmanian (1979) established a list of criteria that enabled successful implementation. According to Cerna (2013:22), the list included the following:

1. The programme is based on a sound theory related to changes in target group behaviour.

2. Policy decisions have to contain unambiguous policy directives and structure the implementation process in a way that increases the chances of good performance of target groups.
3. The leaders and implementing agencies require significant managerial and political skills and commitment to the goals.
4. The programme also needs to be supported by organised constituency groups and a few key legislators throughout the process.
5. The priority of objectives is not undermined over time by conflicting public policies or changes in socio-economic conditions (Cerna, 2013:22).

Matland's (1995) ambiguity-conflict model is a synthesis of the top-down and bottom-up schools of implementation. According to Matland (1995), "Policy implementation occurs on two levels. At the macro-implementation level, centrally located actors devise a government programme; at the micro-implementation level, local organisations react to the macrolevel plans, develop their own programmes, and implement them".

Broadly speaking, two primary factors help to explain the success or failure of implementing various policies. These factors are the degree of policy ambiguity and the degree of policy conflict. These factors are best conceptualised as interrelated axes, where the domestic context of each country determines the placement of specific policies within an implementation matrix. The degree of policy conflict is based on an understanding of human beings as rational and self-interested actors, which, as interests regularly diverge, provoke a state of conflict. The policy ambiguity evolves when goals or means to a related policy are unclear. When the levels of conflict and ambiguity are low, the implementation is administrative, and it will be successful if resources are available. When the levels of both conflict and ambiguity are high, the implementation is symbolic, and its success will depend on the strength of the coalition. When conflict is high and ambiguity low, the implementation is political, and power is the prime determinant of a successful implementation. Lastly, when conflict is low and ambiguity high, the implementation is experimental and it will depend on contextual conditions. The central tenets of Matland's model continue to be re-interpreted by modern scholars. Head and Alford (2013) suggest a new taxonomy for the implementation discussion, suggesting that we are attempting to address "wicked problems". For Head and Alford (2013), implementations can be divided into three types. Type 1 or "tame" problems consist of circumstances where

“both the definition of the problem and the likely solution are clear to the decision maker (e.g., the manager or policy expert). These situations require technical work on the part of decision makers and those subject to their decisions” (Head and Alford, 2013). Effectively, this is similar to a low-conflict low-ambiguity implementation, described by Matland (1995). Head and Alford (2013) state, “...tame problems are those currently regarded as capable of standard or routine solutions. They have low levels of complexity and disputation and thus low perceived levels of uncertainty.”

Anderson (2003) writes that public policy may be viewed as a political system’s response to demands arising from its environment. The political system, as Easton (1957) defined it, comprises those identifiable and interrelated institutions and activities (what we usually think of as governmental institutions and political processes) in a society that make authoritative allocations of values (decisions) that are binding on society. The environment consists of all phenomena – the social system, the economic system and the biological setting, which is external to the boundaries of the political system.

Analytically, a researcher can separate the political system from all the other components of a society. Input into the political system from the environment consists of demands and supports; demands are the claims for action that individuals and groups make to satisfy their interests and values; and support is rendered when groups and individuals abide by election results, pay taxes, obey laws, and otherwise accept the decisions and actions undertaken by the political system in response to demands.

The amount of support for a political system indicates the extent to which it is regarded as legitimate, or as authoritative and binding on its citizens. Outputs of the political system include laws, rules and judicial decisions. Regarded as the authoritative allocations of values, they constitute public policy. The concept of feedback indicates that public policies (or outputs) made at a given time may subsequently alter the environment and the demands arising therefrom, as well as the character of the political system itself. Policy outputs may produce new demands, which lead to further outputs, and so on in a never-ending flow of public policy.

The usefulness of the systems theory in studying public policy is limited by its highly general and abstract nature. It does not say much about the procedures and processes by which

decisions are made and policy is developed within the "black box" called the political system. Systems theory depicts government as simply responding to demands made upon it, and its results are sometimes characterised as input-output studies. This approach can be helpful in organising inquiry into policy formation.

2.18.5 Leadership roles in local government

Leach and Wilson (2000) argue that leadership behaviour is not displayed in a vacuum, but rather is typically oriented towards a limited number of roles, associated with the short-term and long-term well-being of the organisation. In the particular case of elected local municipalities, a distinction has to be made between the political and managerial concepts of well-being. What is the nature of these roles? Selznick's (1957) conceptualisation of the four functions of institutional leadership provides a useful starting point: the definition of institutional mission and role; the institutional embodiment of purpose; the defence of institutional integrity; and the ordering of internal conflict. However, this categorisation was aimed at leadership in any organisation, and requires modification for the specific situation of a political organisation like a local authority. One of the most influential studies of local political leadership in America identifies three key roles: agenda setting, task accomplishment, and network building and maintenance (Kotter and Lawrence, 1974). The third process is divided into its internal and external elements, which produces a classification of leadership roles:

- Providing a clear strategic policy direction;
- Ensuring good performance; that is, that the authority's substantive goals are achieved, and policies effectively implemented;
- Ensuring a stable and supportive decision-making environment; and
- Using external networks to further the authority's agenda.

The first two roles are about ensuring that the authority has a clear distinctive vision, and that the vision is achieved. The second two roles are about ensuring that the conditions necessary to carry out the first two roles have been established.

Stable decision making in local government involves the following elements:

- Consensus – all parties work together for the good of the area (and leading officers and members likewise);
- Continuity – a long-term commitment on the part of one or more parties to provide political leadership for the authority;
- Non-confrontation between the parties, particularly in relation to overview and scrutiny (and between political and managerial leaders); and
- Predisposition to challenge in an evidence-based sense (particularly in relation to overview and scrutiny).

The distinction between management and leadership frees us to ask questions, such as whether or not organisations are over-managed and under-led, and whether or not the same person holds the roles of leadership and management. Management and leadership represent an important boundary for leaders – how they see the boundary is wrapped up in their self-identity, affecting the style with which they exercise the roles. Do they see their role primarily as working with the new, radical and risky, with uncertainty, encouraging creativity, looking outside current constraints – thus, requiring leadership? Or, do they see their role as acquiring resources, increasing efficiency, reducing costs, and solving today’s rather than tomorrow’s problems – hence, requiring management? The answers to these questions can exert considerable influence on the culture and functioning of a municipality.

In relation to leadership, power and politics, Bovaird and Loffer (2009, in Broussine, 2000) state, “We have to understand power and organizational politics if we are to approach an understanding about how leadership works, or does not”. Furthermore, there is always a political dimension to leadership: organisational members will always seek to mobilise support for or against policies, rules, goals or other decisions in which the outcome will have some effect on them. According to Robbins (1987), politics is an exercise of power. The formal authority that goes with a leader’s role is an important, usually hierarchically based, source of power (note that formal authority may be an attribute of a team, board or committee, not just a person). Formal authority is just one power base for organisational leadership. Burnes (2000) lists four other kinds:

Coercive power	The threat of negative consequence should compliance not be forthcoming
Remunerative power	The promise of material rewards and inducements as inducement to cooperate
Normative power	The allocation and manipulation of symbolic rewards, such as status symbols, as inducement to obey
Knowledge-based power	The control of unique information that is needed to make decisions

Table 2.9: Kinds of organisational leadership (Burnes, 2000)

According to Fakir (2009, in Gallup, 2005), 2005 data, from a time when the world economy and the South Africa economy were buoyant, suggest that 65% of people did not believe that their countries were run by the will of the people. The lack of more recent worldwide data notwithstanding, if data from 2005 suggests a trend of declining levels of trust in political leaders and institutions, the reasonable expectation is that by now lack of confidence in leadership would have declined further. Using 2005 worldwide data, a combined 80% of people would rather give more power to religious leaders, academics, intellectuals and journalists than business leaders and politicians. Religious leaders are the most trusted group and politicians the least trusted, with just 13% of people around the world expressing trust and confidence in politicians. Religious leaders are the most trusted group in Africa, trusted by 74%, against 33% globally. There is low level of trust in all types of leaders throughout Europe. Moreover, almost a third of people did not trust military, religious, business or political leaders (Gallup, 2005).

This apparent anachronism has led to a greater degree of uncertainty than was hitherto the case, with the uncertainty serving as a fertile base for possible instability – should the terms of the political debate and contestation not remain responsibly discursive. Already the ANC has had to face a series of serious incidences of violence at party meetings and congresses. Perceptions of governance and stability are never immunised from these broader political currents, as there is an inextricable link between politics and governance.

Public governance is both a product and function of politics. The first task of political leaders, in this period, is to display responsibility and care in the nature of the political discourse and rhetoric. The second is to ensure that the political contestation does not spill over into the

governance and administration of society. The third is to endeavour to understand the nature, character, cultures and practices of the society that it seeks to govern – which requires a presence and penetration in society, which is dependent on legitimacy and credibility (Fakir, 2009). A policy platform and political programme that seems to accord with the values, wishes and aspirations of a large middle ground in society are key to promoting certainty and stability – and these are ultimately dependent on policy being instrumentalised through the state. Thus, state capacity matters. Undergirding of all of these is the question of trust – trust in institutions of government, trust in other people, and trust in political leaders (Fakir, 2009).

2.18.6 Allocating responsibility

It is necessary to decide who takes responsibility for what actions. In the case of the organisational scorecard, responsibility would be allocated to a state department. Concerning departmental and other lower echelon scorecards, a name must be placed alongside each action described above. This is also a way of cascading the responsibility from the strategic level down to the operational level, and from the organisational goals right down to individual employee performance. The allocation of responsibility should be consistent with the employee's duties and functions, as identified on the incumbent's job description or profile. In this way, individual employees can also see exactly what their roles are in achieving the strategic objectives (PMS, 2014/2015).

2.18.7 Policies and decisions

A distinction needs to be drawn between a policy and a decision. Several times these words are used interchangeably, but that is not correct. Individuals, organisations or governments are constantly taking decisions. However, not all the decisions that are taken can be described as matters of policy. The essential core of decision-making is to create a choice from the alternatives available in order to take an action. If there is only one course of action available, then there is nothing one can choose from, and so, no decision can be taken. A decision can be taken only when there is more than one alternative accessible.

The science of decision-making has been developed in order to analyse the circumstances that can improve this activity and how a decision-maker can improve his/her choice through

expanding the number of alternatives available to him/her. There are two types of decisions, programmed and non-programmed. Programmed decisions are repetitive and do not require a fresh consideration every time they are taken. These decisions are routine in nature and for these, definite procedures can be worked out. Each decision need not be dealt with separately. In programmed decisions, habits, skills and knowledge in relation to the problem are significant. Non-programmed decisions are new and unstructured. No well laid-out methods are accessible for such decisions; each issue or question is to be dealt with separately. Such decisions are required in situations of unprecedented nature; for instance, the outbreak of an pandemic. Training in skills, needed for such decisions, and innovative skills become relevant in this regard. Both programmed and non-programmed decisions have to be taken in a broad framework or course of action.

Public policy is the broad direction or perspective that the government lays down in order to take decisions. Each organisation/individual is enjoined to take a decision within a policy framework. Decision can be a one-time action. Policy consists of many decisions that are taken to fulfil its aims. A policy consists of a series of decisions tied jointly into a coherent whole.

There are some parallels in the processes involved in decision making and policy-making. Both are concerned with choice in the middle of alternatives and for both similar processes can be followed in generating alternatives. However, we should always keep in mind that policy is a more comprehensive term, as it encompasses a series of decisions and has a comparatively longer time perspective (NIILM University, n.d.). Roux (2002) writes, “Decision-making is a neutral activity, which is undertaken time and again in carrying out management and administration. Decision-making indeed implies an intellectual activity, choosing between two or more sets of facts or options.” The processes that constitute decision-making differ fundamentally from those that constitute policy-making or policy-formulation. Policy-making encompasses a series of actions extending over time and include many decisions, some routine and some not so routine’ (Anderson, 1997; Cloete, 1981).

2.18.8 Community leadership

Community leadership is an integral part of leadership and management in local government policy implementation. Public leadership is as much about the relationships with external stakeholder and communities, as it is about the mobilisation of internal organisational

capacities. Public leaders at any level in an organisation need to be able to operate at the boundaries between the organisation and its environment. It is the responsibility of public leadership to establish links with various professions and stakeholders, and work with the most affected, including agencies that serve the community directly. Public leadership is about not only leaders and followers, but it is about everyone who collaborates and cooperates.

Public responsibility	Political responsibility
Government in all three spheres consists of representatives who represent the public in the legislatures/councils. As such, government is responsible for good governance in the country as a whole, or for smaller geographical area within the country over which a provincial or local government has jurisdiction. These responsibilities pertain to the following: • Responsible government • Responsible political office bearers • Responsible public officials • The chain of responsibility	It is the consequence of a government's actions that will indicate to what extent it is politically responsible – in other words, whether the consequences are good or bad. If one looks at the consequences of apartheid, at least for the majority of South Africa's inhabitants, one can only deduce that the pre-1994 National Party government was irresponsible in a way it governed the country (Botha, in Hanekom <i>et al.</i>, 1986).

Table 2.10: Collaboration of public and political responsibility (Hanekom *et al.*, 1986)

It is important to state that participative community is needed in the currently dispensation, day and time. According to Coleman (2017), citizens are sceptical of mainstream and populist politicians – those who claim to speak “on the people’s behalf”. Citizens want to speak for themselves; citizens also feel undervalued by the division between those who can speak, who set the political agenda, and those relegated to be “passive bystanders” (*ibid.*). The public play an active role in social media, and when participating in politics, citizens want a voice (not just to listen or choose from topics previously selected by the government). In this sense, Coleman (2017) discusses whether the Internet offers space for citizens to “flex their democratic muscles” and give politics a new configuration in order to create a more participatory and committed democracy. For a long time, it was accepted that the unheard would simply fade into silence; now there are platforms where these voices emerge. People from social segments who have never had a voice can now produce political content, instead of just receiving it top-

down. The rules of the game have changed, and that still shocks political agents. New ways of talking about politics are emerging, challenging the codes of technocratic administration. This phenomenon poses the challenge of creating participatory channels that are open to listening to citizens' demands, allowing people to set the political agenda, particularly the stigmatised part of the population who has always been distant from democratic processes and from the discussion of public policies.

A description of the state of local government in South Africa is fallacious in the manner in which it tends to ignore the underlying causes and contributory factors of the generally unpalatable state of affairs. Monare (*Cape Argus*, 6 January 2010) summarises the causes of this malaise when he describes local government as follows: "...insufficient human and financial capacity to deliver, municipalities failing to manage their powers and functions and related responsibilities and weak oversight, supervision, support and intervention mechanisms from other spheres, contestation between the political and administrative – between councillors and managers"; which leads "to dysfunctionality and instability; too many opportunities for fraud and corruption" and "a breakdown of local democracy, irregular and unprocedural suspensions, dismissals and disciplinary procedures within municipalities". Empirical evidence has demonstrated that bigger municipalities tend to attract better skilled employers, who are necessary for successful service delivery. Even political parties tend to deploy their most skilled people to bigger municipalities. The net effect is that remote rural communities end up enduring inefficient and ineffective service delivery. There are a number of instances where in one district the district municipality has a credible IDP, implements a performance management system and receives unqualified audit opinions, whereas the opposite is true regarding its local municipalities.

2.18.10 Accountability of officials to superiors – an internal arrangement

Officials within government institutions must be accountable for their work – at all times. In a government set-up, accountability begins with the actions of individual employees, from the bottom, upwards; hence, all political office bearers must be accountable. This explanation of accountability also means that one official must account to another official, who is higher in terms of the hierarchy or organisational structure (i.e. the organogram).

Du Toit and Van der Walddt (1977) assert that every individual official, who is part of a government institution, must give account. Cloete (1996) states that officials can be called upon to answer for what was done, or not done. Collectively, all public officials constitute the executive functional departments of governments – the bureaucracy. Every employee is responsible for what he/she is supposed to achieve. The implication is that every government employee must, because of his/her responsibility, account to his/her immediate superior for what he/she is responsible for. Accountability from the bottom of the institution to the top of the institution enables the chief executive and administrative officials to account to political office bearers within the institution – thus, the Cabinet, legislatures and municipal councils.

2.18.11 Who reports to whom? (Municipal space)

According to the Kopanong Local Municipality's Performance Management System (2014/2015), the reporting process follows the lines of accountability, as detailed in the performance, monitoring, measurement and review phases. Reports will be submitted to the different stakeholders, using the internal processes, and through the different political and community stakeholders, as required by the Municipal Systems Act, the Municipal Finance Management Act and the Performance Regulations. Reports will be submitted to the following stakeholders during the timelines outlined in the Municipality's performance process plan, as indicated in the Performance (Cycle) Management process section:

- KLM Council reporting to Communities;
- KLM Council reporting to Ward Committees;
- Mayor reporting to Council;
- Municipal Manager reporting to the Mayor and the Mayoral Committee;
- Heads of Departments reporting to the Municipal Manager, through the Executive Management Team, and to Portfolio Committees;
- Section Managers reporting to Heads of Departments; and
- Employees reporting to their section managers and supervisors.

Rules, modes and orders of behaviour are adhered to, even if they prove to be misguided. The technical specialisation required for efficiency and effectiveness can foster an outlook on society, which is narrow and inflexible in shifting contexts. In an influential study conducted

as far back as 1964, Crozier demonstrated that bureaucracies embody decreasing levels of efficiency and effectiveness in which groups of people maximise their own freedom by displaying behaviour that pays lip service to rules and orders guiding the functioning of organisations, ignoring the spirit behind them, and bending them when possible (Crozier, 1964). They are in positions of power that allow them to distort and withhold critical information and when higher authorities realise this, they respond to the situation by devising and imposing even more rules to regulate functional aspects of the organisation, which in turn rigidifies the organisation but fails to curb errant behaviour. Often governments, through their bureaucracies, are required to respond to unpredictable social, economic and political phenomena for which standardised rules may prove inadequate and inappropriate. Thus, leadership, which aims to be democratic and developmental, inclusive and equitable, requires different types and forms of leadership, bifurcated in two streams, the one as management, the other as leadership, each delivering different outcomes as demonstrated in the table below. Underpinning this, however, is the fact that political leadership must conduct a politics of ideas as “Policy choices are ultimately driven by leaders not simply as gate-keepers, but as active crafters of policy” (Shubane, 2005).

The following table shows the outcome of management and leadership, which is needed in South Africa’s current dispensation:

Management	Leadership
Detailed planning and allocation of resources	Establishing direction Developing a vision and strategies
Organising structure, staffing, policies and procedures	Aligning people Communicating
Controlling and problem solving Monitoring and evaluating results, identifying deviations from the plan Organising to solve problems	Motivating and inspiring Energising people to overcome barriers
Supervision and oversight Maintain internal supervision and oversight for internal coherence and reporting to leadership	Oversight and accountability Maintain oversight over the organisation as a whole, and is accountable to democratic institutions and society as a whole
Produces predictability and order	Produces transformation and change
Social and political impact Credibility and confidence	Social and political impact Legitimacy and trust

Table 2.11: The outcomes of management and leadership

The researcher is of the view that, if government and society want to fix the administration, the above must be applied without any fear or favour. In this regard, Plaatjies et al. (2016) write,

The complicated task of municipal rationalization after 2000 was a distraction from the transformation endeavour because it put the focus on internal operations. It took years to consolidate the separate administrations, regulations, by-laws, zoning schemes, personnel structures and operational procedures that metros inherited. The ruling party placed many of its own supporters in senior positions in order to limit internal resistance to change. The phenomenon of cadre deployment affected many municipal officials as well as politicians. Those appointed owed their allegiance more to the party than to the electorate or the administration, which did not assist local accountability nor encourage the emergence of strong leaders with clear local mandate. According to the Presidency, poor recruitment practices and political interference in appointments have complicated matters at municipal level.

According to Van Donk et al. (2008), “The political-administrative dichotomy is an attempt to draw a dividing line between politics and administration”. It arises from two concerns:

- The relationship between politics and administration – in particular, the desire to ensure that partisan political concerns do not compromise the management of the administration (i.e. to ensure that councillors do not exert pressure on officials to act in the interest of particular constituencies); and
- The relationship between policy and administration – in particular, the desire to ensure that policy formulation is controlled by elected councillors (who are mandated by local constituencies to represent their interests) (Woodridge et al., 2003).

The political-administrative dichotomy is underpinned by the idea that political parties articulate the wishes of their constituencies as policy, which is implemented by a technically skilled neutral and professional administration. The process of making policy is seen as political and value-laden (requiring politicians to make choices among competing interests), while the administration is seen as a value-free implementer of politically determined policies. The dichotomy is an idea that haunts public administration. It continues to be the topic of numerous journal articles and scholarly writings, although almost all of the recent literature on

the topic seems to be focused on dispelling the idea that such a dichotomy exists (Graham, 2006; Stone, 2003). The dichotomy has been challenged on both a theoretical and empirical level. Theoretically, it is well established that managers influence policy in various ways, from directly giving policy advice to councillors, to prioritising reports and preparing agendas. Further, there is inevitably a level of administrative discretion with respect to how policy is interpreted and turned into programmes. This implies that senior administrators operate in a value-laden discretionary space, as opposed to one that is purely technical and value-free.

According to Ndadula (2013), administrators ensure that policies are executed and implemented, as designed by politicians. Even though the political/administrative interface is a small component in the wheel of a functioning system, it is nevertheless an important one (Memoire, 2014). Politics and administration co-exist in that they demonstrate a complementary role, which is underpinned by the fostering of cohesion and mutual respect. Memoire (2014) holds that political and administrative relations remain one of the most difficult issues to address in public administration reforms in Africa and elsewhere. The relationship between politicians and bureaucratic leaders has been a subject of great interest for scholars and researchers who have submitted theories to characterise public administration (Memoire, 2014). Even if their typologies differ because of their distinct focus, there are interfaces between them. Memoire (2014) adds that bureaucratic leaders give up their right to blame or express opposition to the ruling regime in public, but they gain a place in the administration with responsibilities and rewards – tangible and/ or intangible.

Henry (2013) states that every local government has two groups of executive institutions, namely, political executive institutions and administrative executive institutions. According to Thornhill (2012) and Henry (2013), in political executive institutions, every municipal council elects from among its members a mayor or an executive committee, depending on the type provided for in the relevant legislation. In administrative executive institutions, departments and/or divisions usually undertake the administrative activities of municipalities, and the functions allocated to those departments and divisions are based on specifications. Memoire (2014) holds that it is obvious that political/administrative relations take place at different levels, including local government. It is, therefore, important to understand that decentralisation inevitably changes the location of power and jobs, thereby creating tension between local autonomy and national standards. In terms of political appointments, the current system allows for these appointments, to the post of Municipal Manager – in terms of Section

82 of the Municipal Structures Act – and to the post of Managers reporting directly to the Municipal Manager (in terms of Section 56 of the Municipal Systems Act).

The apartheid-era municipal administrations were highly politicised, and the practice of formal political involvement in the recruitment and appointment of senior staff was new to most municipalities. Before 1990, few municipalities had routinised processes to manage this type of recruitment and appointment process. The absence of appropriate regulations (addressing skills requirement, remuneration and bonuses, the process of appointment, and the legal drafting of employment contracts) created a space where municipalities were given a “blank cheque” (Benjamin, 2006). In the previous era, many municipalities employed unskilled managers and/or cadres, whose contracts could only be dissolved by paying out the remaining period for which their contracts were valid.

Marume et al. (2016) write that with the emergence of the integrationist model, there was a move away from the diverging trend of the classical model into the direction of a converging of interests between policy making and policy implementation, as the two major sides of public policy. The major elements of this model are as follows:

- The fine distinction between policy-making and policy implementation often disappears entirely; for instance, legislation may have ambiguities or even contradictions and public officials must, in the process of interpreting, clarifying, advising, recommending, and programming the legislative intent, make some explicit choices about policy content.
- Implementation is just as important as the decision itself as during the implementation stage contending views of various actors, including public officials, are worked out. Subjects of dispute, which could have been postponed during the initial stages of policy making, must now be resolved methodologically and practically.
- There is increasing emphasis on the qualities of the implementers as key actors in the public policy process; for example, the psychological and human factors that can influence the implementer’s behaviour; a reciprocal process of mutual adaptation between policy makers and policy implementers; the roles that

implementers can play to impede, frustrate and subvert policies; and political intrigue that can surround attempts to implement specific policies.

In the implementation process, mutual communication, which leads to a decision and which, after the decision, interprets the results and incubates new decisions, the public administrator as an official has a place no less important and responsible than that of the elected political office-bearer and representative (Pollitt, Lewis, Nigro and Pattern, 1979). Furthermore, public officials are granted an increasing degree of discretionary authority; they are active not only in the traditional executive branch of government but also in the legislative and judicial institutions. The greater discretionary authority granted to public officials is regarded as important in Southern Africa.

Politicians mention different motives for the use of quasi-autonomous non-government organisations (quangos). Quangos are organisations which are charged with the implementation of one or more public policies and which are funded publicly but operate at arm's length of the government, without an immediate hierarchical relationship existing with a minister or a parent department. There seems to be a general lack of justification by politicians for the use of quangos (Boston, 1995). When they do mention a motive, politicians usually expect an increase in the efficiency and effectiveness of policy implementation, they hope to bring the government closer to the citizens by putting policy implementation at arm's length or by leaving matters to social groups (self-regulation), or they want to leave policy implementation to independent experts. Other motives are ascribed to politicians as well, such as the use of quangos to circumvent other levels of government (e.g. municipalities) or patronage, which means rewarding political friends by appointing them as quango board members. The efficient and effective implementation of policies offers politicians the opportunity to either implement more policies from the same budget or reduce taxes. Voters and increased electoral support will appreciate both options strongly. However, there does not seem to be a priority reason to assume that either bureaucracy or a quango is always the most economically inefficient executive agent. Both have characteristics that induce and impede efficiency or effectiveness. The political ideology is important. Ideology plays a major role in the process of policy design and policy adoption. Its role in decisions on the type of executive agent is assumed to be much less important though. The benefits of reduced ministerial

responsibility and patronage will appeal to all politicians, irrespective of their ideological preferences.

Hogwood and Gunn (1984) state that policies are centred on assumptions regarding “what governments can do and what the consequences of their actions will be”; otherwise, public policies would be the outcome of political activity – and will therefore have political ramifications (Hanekom, 1987; Peters, 2015). Hogwood and Gunn (1984) further state that the “assumptions” related to public policy as a theory or model are seldom explained sufficiently, or in the context where they must be understood or implemented. However, as is the case with any policy, a theory or model is always presumed (Hogwood and Gunn, 1984; Hanekom, 1987).

There are two sides to every coin, and the story of public policy seems to confirm this truism. Hanekom (1987) maintains that public policy has two stories, or rather, it can be described as “two-dimensional”. It is two-dimensional in the sense that it consists of politics on the one hand, and administration on the other. Knill and Tosum (2012) refer to this reality as the “larger number of related legislative and administrative activities”. By comparing the views of Hanekom (1987) and Knill and Tosum (2012), it becomes clear that public policy cannot operate in isolation from politics, nor the administrative side of things. Politics, administration and public policy must circulate within the same trajectory (Toleikiene and Meskyte, 2014), and should therefore support each other. The political side of the public policy process that Hanekom (1987) refers to is the role that government (legislators) plays with regard to how the country’s resources are going to be utilised, where and how, and which societal issues are going to be addressed in the said public policy. The administrative side of the public policy process, on the other hand, entails the participation of “executive governmental institutions” and the actions they take towards achieving the set goals, as determined by government (Hanekom, 1987; Peters, 2015). Goodwin *et al.* (2006) further state that it is the responsibility of the administrative side of the public process to ascertain that the policy that is implemented is sustainable in the long run. Policy-makers, administrators and bureaucrats must ensure that for the implementation to take place, they must persuade all the relevant stakeholders (politicians, interest groups, communities) that a particular policy is indeed necessary, and why (Goodwin, *et al.*, 2006; Peters, 2015).

In South Africa, the ruling party is the ANC. Peet (2002) explains that after the ANC came into power in 1994, it adopted the leftist side of the political spectrum. It also adopted the “basic needs oriented Reconstruction and Development Programme” (Peet, 2002). After barely two years, the ANC shifted towards the “neoliberal” side of the political spectrum (*ibid.*). This was evident when the ANC adopted the Growth, Employment and Redistribution policy (GEAR) (Peet, 2002). Hence, it can be said that the political ideology of the ANC has a bearing on the policies that are formulated and, to a certain extent, implemented in South Africa. In support of the statement that political ideology does influence political party policy, reference can be made to the ANC having adopted a policy at their National Conference titled *Ready to govern: ANC Policy Guidelines for a Democratic South Africa* (ANC, 2016). In this policy document, the ANC discusses the party’s vision for the future, which includes the following goals/objectives:

- To strive for the achievement of the rights of all South Africans, as a whole, to political and economic self-determination in a united South Africa;
- To overcome the legacy of inequality and injustice created by colonialism and apartheid, in a swift, progressive and principled way;
- To develop a sustainable economy and state infrastructure that will progressively improve the quality of life of all South Africans; and
- To encourage the flourishing of the feeling that South Africa belongs to all who live in it, to promote a common loyalty to and pride in the country, and to create a universal sense of freedom and security within its borders (ANC, 2016).

Below is the extract that speaks to the party-political ideology of the ANC:

This document does not present a rigid ANC blueprint for the future of South Africa, to which our supporters will be expected to rally and our opponents required to submit. The document represents a set of basic guidelines to policies we intend to pursue. These ideas will be developed through discussion within the ANC, and through consultation with the broadest spectrum of South African public opinion. The policies will be adapted according to these processes and on the basis of experience (ANC, 2016).

Cairney (2012) made a powerful argument when he stated, “The study of implementation is based on the simple point that decisions made by policymakers may not be carried out successfully”. This statement highlights the fact that not all approved policies can be as successful as envisioned by those who drafted the policies. This is because “policies can succeed or fail in a number of ways”; or have new and unanticipated problems that emerge during the public policy implementation stage (Hanekom, 1987; Howlett, 2009; Bain, 1992). It is crucial to note that public policy is complex; this is evident in the implementation phase of the public policy-making process. The implementation stage of public policy reveals the gaps and holes in a policy. This stage is vitally important in the public-policy making process. The central concern here is “non-implementation”, which indicates policy failure (or no adaptation in the project plan or in deliverer behaviour), due to hurdles that policy implementers were not able to overcome (Berman, 1978), and that of “unsuccessful implementation”, which is about analysing the failure of meeting the intended policy outcomes. According to Knill and Tosum (2012), “unsuccessful implementation” does not imply that a policy was not implemented. It rather shows that indeed a policy was implemented, but that the intended public policy has failed in yielding the intended results as classified in the policy objectives of the policy document (Parsons, 1995; Knill and Tosum, 2012).

The first, second and third generation of Integrated Development Planning in local government in South Africa falls within the same category. In other words, technocrats in municipalities must ensure synergy during the implementation of a policy. The development of budgets in a municipality should adopt the same approach, and so the OPMS. This process will assist and allow a single window of coordination regarding the implementation of policies within this sphere of government, which is the closest to the people.

According to the National Capacity Building Framework (NCBF) for local government, capacity is regarded as the potential for something to happen. A three-pronged definition of capacity is provided in the Framework, touching on individual, institutional and environmental capacity factors. Individual capacity is the potential and competency, or lack thereof, found within a person, normally reflected through his/her specific technical and generic skills, knowledge, attitudes and behaviour accumulated through forms of education, training, experience, networks and values. Institutional capacity is the potential and competency, or lack thereof, found within organisations. It includes human resources, strategic leadership, organisational purpose, institutional memory, internal confidence, partnerships,

intergovernmental relations and functions, infrastructure and financial capability. Environmental capacity is the potential and competency, or lack thereof, found outside of municipalities' formal structures. These include socio-economic composition (e.g. tax base) and demographic composition, the political, legislative and social capital within communities, and the natural and mineral resources available (NCBF, 2004/2008).

The Report on the State of Local Government in South Africa, published in 2009 by CoGTA, provides an intriguing comparison in relation to the varying capacities of municipalities and notes that some municipal administrations are relatively stable and well resourced, whilst others face huge infrastructure backlogs, the negative impact of demographic change, and prevailing apartheid-based socio-economic legacies. From the foregoing, and broadly viewed, capacity is multi-faceted and dimensional in nature. It is within this context that the state of local government performance should encapsulate the dimensionality of capacity of individual municipalities with a view to understand holistically their proper functioning as per legislative prescripts and policy aspects. Kanyane (2006) states that weak leadership in strategic management, including corporate governance; a shortage of skills to implement financial management; legislation; the misplacement of skills within municipalities; and political considerations in the appointments of senior managers without the required qualifications, had weakened the performance of municipalities. Some municipalities also have inadequate financial management capacity.

Municipal leaders should have a clear vision of what they envisage for their cities, towns or localities. Effective and strategic leadership is needed to take bold and decisive actions against poor performance and a lack of accountability. The political and administrative components of a municipality should have skills, competencies and knowledge that befit the imperatives of a developmental system of local government (Maserumule, 2008). Skills and knowledge acquisition should top the agenda of municipalities to achieve their strategic vision and objectives through policy implementation, which are the IDP, the budget and the OPMS. An improvement in the performance of municipalities requires the national government to assume a significant role to ensure that adequate financial and non-financial resources, the differentiation of capacity levels of municipalities, and targeted interventions are both channelled and considered in order to effectively and progressively assist the local sphere of government to achieve its constitutional imperatives. It is heartening to note that many policy

and capacity building measures and programmes have been progressively instituted with a view to assist municipalities fulfil their constitutional mandate. However, a sense of urgency exists regarding the deployment of additional resources and the intensification of the current programmes and strategies related to local government. This suggests that the success of the IDP, the budget and the OPMS will be appreciated by the majority of South Africans, in general, and blacks, in particular.

As part of policy implementation within the Kopanong Local Municipality, the Performance Management System (2014/2015) must form part of a broader system of strategic management. This strategic management process must ensure that the Municipality is managed and directed through successful Integrated Development Planning, budgeting and Performance Management processes. At a strategic level, the five-year IDP of a municipality forms the basis for performance management, whilst at operational level the annual SDBIP forms the basis. The IDP is a long-term plan and by its nature, the performance measures associated with it will have a long-term focus, measuring whether a municipality is achieving its IDP objectives. The SDBIP (both for the municipality as a whole and that of a department) is more short-term in nature and the measures set in terms of the SDBIP review the progress made with implementing the current budget and achieving annual service delivery targets. The Municipality's PMS should be dynamic and evolving. It is premised on the principles of a continuous need for improvement. In ensuring continuous improvement to the Municipality's PMS, a number of initiatives should be undertaken to nurture and harness the system's capability at all three levels:

- Cascading of performance management to individuals within the Municipality is the cornerstone of the system. The PMS at the individual level is aimed at clearly identifying what it takes to achieve the strategic agenda and political priorities;
- Ensuring that management and staff understand what they are responsible for in achieving the Municipality's goals. The following initiatives should be undertaken to ensure that accountability for performance is constantly assigned and well understood:
- Managers and strategic support officials (once an appropriate and user-friendly system is adopted) need to be capacitated on the operationalisation and utilisation of the appropriate system to simplify performance management and performance reporting;

- Performance agreements of all Section 56/7 employees must be concluded within one month after the beginning of the municipal financial year; and
- New scorecards (2013/2014) must outline both the annual as well as quarterly targets to accommodate the performance tracking system, as will be developed by the Municipality.

Local government has to comply with strict legal demands to ensure the execution of its duties and responsibilities, and sufficient capacity is required to ensure municipal compliance with constitutional and legislative obligations. Cloete (1993:153) explains that even with the most appropriate educational qualifications, employees still need to be capacitated in their work environments. Municipalities are continuously experiencing different challenges and it is only through purposeful capacity building that it will be possible for local government employees to adjust to change in the most advantageous manner. According to Bekink (2006:493), capacity building is regarded as an essential instrument available to municipalities to ensure service provision and the overall accomplishment of municipal duties and responsibilities.

Cloete and Wissink (2005:265) state that it is assumed that policy analysts, in a local government environment, are equipped with a certain level of knowledge and skills, which supports and determines the effectiveness of their performance. The acknowledgement of the existence of local government personnel who formulate municipal policies is by no means an assurance of the efficiency of policymaking process. Policy-making is an activity that needs special consideration, just as staffing, budgeting and control need attention owing to the pressures of operating within time constraints and deadlines.

The need for a basic set of common policy skills and knowledge is unavoidable. House (1982, in Cloete, 2005:268) identifies the following skills, which are necessary in the policy-making process:

- Communication skills: Local government employees have to be able to communicate their findings and recommendations to the policy stakeholders in the relevant municipality. This will necessitate knowledge of how to write clearly and precisely, and of oral skills for briefings and hearings in which the person involved

has to present and motivate proposals. Such skills usually are not found in policy programmes; this has to be addressed by relevant training and language courses.

- **Management skills:** Municipal employees often find themselves in situations where they have to do tasks suited more to a manager than a technician. Here they need skills to write and evaluate proposals, to address personnel matters, and to prepare and control budgets.
- **Problem-solving skills:** Municipal personnel should not only be able to analyse the problems in their environment, but they should also be able to comprehend and comment on the work of their subordinates and those stakeholders who are adversaries of the policy proposals they make. Information, insights and opinions that have a bearing on the policy problem should be thoroughly pursued. Novelty and creativity are two of the most desirable or preferred characteristics in policy-making, and could be instilled or developed through the training of the people in question.
- **Political understanding:** Political sensitivity is about accepting the realities of the limitations on policy-making resulting from political rationality, as there are always constraints due to limits, confines of place, and lack of information and other resources. It is required from policy-makers to be sensitive to political dynamics when performing their tasks.
- **Implementation skills:** The practical realities of implementing policy options demand skilful actions. There is also always the possibility that the policy proposals could be rejected in the beginning of the policy-making process, without even reaching the political arena.
- **Team building and operational skills:** The persons involved in policy making have to master the art of team building and must be effective in arranging meetings and work and information sessions, preparing outlines, and setting crucial goals and dates. Many of the issues in local government are complex and problem solving requires a cooperative team effort, rather than just individual cooperation.
- **Assessment and evaluation skills:** The capacities municipal employees are expected to have are not only reserved for problem solving, but it also requires the ability to assess and evaluate the existing and continuous government programmes. The basic analytical and cognitive processes of problem solving is important but special skills are further required for monitoring and evaluating appropriate research information.

For this purpose, the people in question should be proficient in utilising the tools and instruments for proper measurements.

It is evident that different levels of knowledge and skills are required to ensure effective policy-making, which includes relevant academic and practical capabilities (Cloete and Wissink, 2005:265). Local government is constrained by a range of capacity constraints, especially as far as policy-making is concerned. These constraints can only be addressed effectively if municipalities establish the necessary capacity-building mechanisms and approaches.

2.19 CHAPTER SUMMARY

This chapter is the most critical chapter of the study, as it focuses on the theory and literature that guides the research in its entirety. The magnitude of the research was discussed in relation to the local government context in South Africa. Moreover, the approaches to service delivery, through the IDP, the budget and the OPMS, were investigated in depth.

CHAPTER 3

RESEARCH DESIGN AND METHODOLOGY

3.1 INTRODUCTION TO THE CHAPTER

Chapter 2 discussed the literature on the IDP, the OPMS and the budget. The chapter further discussed the alignment of the three aspects and the challenges faced by municipalities in their endeavours to align them. Chapter 2 also presented the processes that the researcher utilised to collect the data necessary to answer the research questions and achieve the objectives of the study.

This chapter will firstly discuss the research design, the different research methodologies, and the participants who the researcher utilised in this study. Furthermore, it presents an understanding of methodology and the specific methodology adopted during data collection. It also explains how these methodological procedures would generate the data necessary to answer the specific questions of this study.

3.2 RESEARCH PROBLEM AND RESEARCH QUESTIONS

In order for us to understand the methodological process adopted in this study, it is necessary to go back and review the problem that the study focuses on and the set research question that the data has to answer. During IDP assessments in some Free State municipalities, challenges regarding the alignment of the IDPs, the OPMS and the budget were noted. Hence, the focus of this study is on:

- What type of linkages are needed between the IDP, the OPMS and the budget?
- Why is coherence in the IDP, the OPMS and the budget needed in an organisation?
- What are the perceptions of the employees of the Kopanong Local Municipality on the current status of the IDP, the OPMS and the budget?
- How is coherence and alignment of the IDP, the OPMS and the budget achieved within the Kopanong Local Municipality?
- What does the Kopanong Local Municipality perceive as a practical method of aligning the IDP, the OPMS and the budget?

- What is the practical model of ensuring coherence and alignment of the IDP, the OPMS and the budget in the Kopanong Local Municipality?

The following set of procedures is intended to provide data to answer these questions.

3.3 RESEARCH DESIGN AND METHODOLOGY

In order to provide the basis and necessary understanding of research design and methodology, this section discusses the research paradigm adopted in this study. Further, it examines ontology, epistemology and methodology. Lastly, it presents qualitative research design.

3.3.1 Research paradigms

Research design has been presented as an ambiguous concept (Fouché, Delport and De Vos, 2011). This ambiguity is created by a lack of understanding and a lack of the ability to differentiate between research design, research tools and research methods (Leedy and Ormrod, 2013). Babbie (2010) describes research design as the research process chosen by the researcher to solicit information, which will provide the data needed to answer specific research questions. Research design can also be defined as the specific systematic plan that the researcher intends to follow (Fouché *et al.*, 2011). According to these authors (2011), research design can be regarded as either qualitative, quantitative, or mixed method (i.e., both qualitative and quantitative).

Denzin and Lincoln (2005) have described qualitative research as made up of different interpretative methods, which are aimed at exploring, explaining and acquiring an understanding of utilising non-numerical data. McCusker and Gunaydin (2015) state that this non-numerical data within the qualitative research methodology is collected through one or both processes of interviewing and observing people who have been identified as relevant to the topic of the study. In other situations, data could be obtained from the analysis of documents or other artefacts that provide texts. Therefore, qualitative research is conducted based on its aim, which intends to provide an understanding of a specific aspect of life (McCusker and Gunaydin, 2015). According to McCusker and Gunaydin (2015), qualitative research methods are often utilised to answer specific questions on the ‘what’, ‘how’ or ‘why’ of a phenomenon and not ‘how many’ or ‘how much’, which are answered mostly by quantitative methods. In

this study, the aim was to understand the linkage and alignment of the IDP, the OPMS and the budget by interviewing certain individuals in the Kopanong Local Municipality. As mentioned, the methodology chosen is qualitative research, which will inform the types of methods to be used. Therefore, based on the process to be used to collect data, this study will utilise a qualitative research design as it intends to critically establish the participants' views with regard to the alignment of the IDP, the OPMS and the budget.

Within qualitative research design, the researcher has to decide on which paradigm is to be used. Maree (2007) describes a paradigm as assumptions related to the fundamental aspects of the reality, which gives rise to the particular world in which the data has been collected. A research paradigm could also be taken as the set of beliefs and assumptions relating to features of reality, which establishes a base for an individual to view the world in a particular way (*ibid.*). A research paradigm can also be defined as patterns or models utilised as acceptable strategies in the process of collecting data. In addition, a paradigm has been described as “a way of looking at or researching phenomena, a world view” (Cohen, Manion & Morrison, 2011). Blanche and Durrheim (2012) outlined three research paradigms, namely positivism, interpretivism and constructivism.

Kuhn (1962) is considered as one of the first researchers to define the term ‘paradigm’ as the researcher’s beliefs, which are used to decide the issues to be studied and the process of attaining the information. Wahyuni (2012:69), in turn, stated that a research paradigm is “a set of fundamental assumptions and beliefs as to how the world is perceived which then serves as a thinking framework that guides the behavior of the researcher”. Collins and Hussey (2009) described a research paradigm as the philosophical framework chosen by the researcher to provide guidance during the research progress based on the researcher’s assumptions about the world and the nature of knowledge. Similarly, Khan (2014:224) presents the following definition of a research paradigm:

A framework or a set of assumptions that explain how the world is perceived where the paradigm of science includes its basic assumptions, the important questions to be answered or puzzles to be solved, the research techniques to be used, and examples of what scientific research looks like.

Turning to the three research paradigms, Blanche and Durrheim (2012) defined positivism as a way of focusing on the observable features, and accepting that reality is objective. Mathison (2005) described constructivism as a philosophical standpoint, which asserts that knowledge is mediated by cognition and each individual's construct of meaning is based on his/her experiences and situations. Hurworth (2005) defined interpretivism as a philosophical standpoint relying on natural settings and the related qualitative approaches. For the purposes of this study, interpretivism will be adopted as the research paradigm as the study intends to establish the lived experiences of people within the Kopanong Local Municipality, which they constitute as their knowledge of the world.

3.3.1.1 Positivism

According to Cray (2014), positivism was the paradigm used mostly in social science research from the 1930s to the 1960s. Cray (2014) further stated that in positivism the emphasis was on the fact that an external social world existed, apart from the researcher. Mukherji and Albon (2010) asserted that the positivist paradigm views the world as being based on unchanging, universal laws, and that everything that occurs around us can be explained by knowledge of these universal laws. Positivists view reality as being made up of what is available to the senses. On the other hand, positivism presents social science as an area that has organised methods for combining deductive logic with precise empirical observations of individual behaviour in order to discover and confirm a set of probabilistic causal laws that can be used to predict general patterns of human activity (Tuli, 2010). This means anything that an individual can smell touch, taste or hear. Within the positivist view, inquiry is based on scientific observation. Furthermore, the natural and human sciences within positivism share processes and principles that guide us on how to deal with facts, and not with values.

According to De Villiers (2005), positivist research is designed with the main objective of producing an accurate, value free and unbiased representation of a specific phenomenon that is being researched. Positivist research and researchers depend fully on quantitative research methods, where data collection is in the form of numbers; hence, the analysis is done utilising statistical methods (*ibid.*).

Based on this, it is clear that positivism is an important paradigm in studies focusing on natural sciences; hence, the reason why it has limited use in social science research. According to Kura (2012:6), positivism tends to oversimplify the real world by dividing it into experimental cases. Kura (2012) further argues that people and their social context cannot be separated. Capturing complex phenomena through one controlled quantifiable variable could be highly misleading; thus, producing certain results on the one hand, while on the other hand neglecting important findings.

Some researchers, including Collis and Hussey (2009), have criticised the positivist paradigm. These authors (2009) consider it as based on a research design that is highly structured; this constraints the produced results. Therefore, based on these shortcomings of the positivist paradigm some researchers sought an alternative, the interpretivist paradigm.

3.3.1.2 Interpretivism

Interpretivism focuses on the world an individual constructs, interprets and experiences during his/her interactions with others and as he/she interacts with the wider social systems (Tuli, 2010). This paradigm acknowledges that there is no direct, one-to-one relationship between an individual, considered as a subject, and the world. Gray (2013) states that the world can be interpreted through different schemas of mind.

Interpretivists agree that individuals experience social and physical reality differently. Based on this, instead of generalising through laws, they presents a rich and complex description of how people think, react and feel under certain contextually specific situations (Cavana, Delahaye and Sekaran, 2001). According to Veal (2005), “Interpretivists reject the idea that human behavior can be studied in the same way as non-human phenomena”. Veal (2005) further asserts that the social world is socially constructed and subjective. Knowledge creation, in an interpretivist view, is predicated on the argument that there can be no understanding of the social world without human interpretation (Leitch *et al.*, 2010).

According to Leitch *et al.* (2010), the purpose of interpretivist research is not to confirm or disconfirm prior theories, but to develop bottom-up interpretive theories that are inextricably grounded in the lived world. Interpretivist research entails capturing and describing carefully

and thoroughly how people experience some phenomena; that is, how they perceive, describe, feel, remember, make sense and talk about this phenomena with others.

Scotland (2012) states that these philosophical perspectives of research paradigms can be divided into three categories. They are ontology, epistemology and methodology (Khan, 2014).

3.3.2 Ontology

According to Antwi and Hamza (2015), a description and definition of ontology should start by looking at the origin of the word. These authors (2015) indicate that in Greek the term ontology is made up of two words, *onto* and *logia*. *Onto* means being, while *logia* means the science, study or theory. Hence, Maree (2007) presents ontology as the study of reality as it occurs in the natural setting. Cohen *et al.* (2011) describe ontology as the strategy of studying the socially constructed meanings, understanding, values and beliefs as developed by participants within the natural setting. Ontology presents the specific form and nature of reality and the information that could be known about it. According to Antwi and Hamza (2015), there are two broad ontological positions that contrast: objectivism and constructionism. Objectivism accepts the existence of an independent reality, while constructionism asserts that reality is a product of social processes (Neuman, 2003).

Morcol (2001:107) indicates that the ontological assumption of positivism views reality as existing independently from the knowing subject; thus, reality is deterministic in nature. This deterministic worldview is composed of three layers of assumptions (*ibid.*). The first layer assumes that reality is composed of discrete entities and events, which can be aggregated hierarchically. The second layer assumes that entities and events are causally connected, while the third layer assumes that the universe is completely determined and totally predictable. According to Krauss (2005:760), “Science is seen as the way to get at truth, to understand the world well enough so that it might be predicted and controlled. The world and the universe are deterministic; they operate by laws of cause and effect that are discernible if we apply the unique approach of scientific method.”

Similarly, interpretivist ontology assumes that the world has multiple realities. According to Krauss (2005:760), interpretivist ontology does not assume that there is a single unitary reality

apart from our perceptions. Krauss (2005) states that different people experience the world from their own point of view and each of them experience it differently; thus, the issue of multiple realities exists.

Interpretivist ontology asserts, “The social world is not ‘given’, rather the world is ‘produced and reinforced’ by humans through action and interaction” (Goldkuhl, 2012:4). Goldkuhl (2012) further states that interpretivist ontology focuses on understanding how individuals within a social group, through their participation in social processes, enact their particular realities and endow them with meaning, to show how these meanings, beliefs and intentions of the members help to constitute their actions.

In general, qualitative research is based on a relativistic, constructivist ontology that posits that there is no objective reality. Rather, there are multiple realities constructed by human beings who experience a phenomenon of interest. People impose order on the world in an effort to construct meaning; meaning lies in cognition, not in elements external to us; information impinging on our cognitive systems is screened, translated, altered, perhaps rejected by the knowledge that exists in that system; and the resulting knowledge is idiosyncratic and purposefully constructed (Lythcott and Duschl, 1990).

Hence, this study will adopt interpretivist ontology, as it recognises the fact that municipal workers’ knowledge, beliefs and values are socially constructed within their different work settings as they interact with the IDP, the OPMS and the budget.

3.3.3 Epistemology

Hirschheim, Klein and Lyytinen (1995:20) described epistemology as “the nature of human knowledge and understanding that can possibly be acquired through different types of inquiry and alternative methods of investigation”. According to Antwi and Hamza (2015:219), “Epistemology asks questions such as: What is the relationship between the knower and what is known? How do we know what we know? What counts as knowledge?”.

Epistemology can also be described as how things come to be known (Maree, 2007). Cohen *et al.* (2011) define epistemology as how the reality of multiple realities comes to be known by

individuals. Moreover, epistemology relates to how facts tend to be known or how the truth about facts or any physical laws exist (Maree, 2007). In this study, the information that will be obtained from the municipal employees represents their understanding of the process utilised within their working environment in regards to aligning the IDP, the OPMS and the budget. The researcher will not influence this information.

Bryman (2004) describes epistemology as a theory of knowledge, which is concerned with what is considered to be acceptable knowledge in a specific discipline. Oppong (2014:245), in turn, presented epistemology as a “focus on what constitutes valid knowledge and how such knowledge can be obtained”.

According to Leitch *et al.* (2010:72), the positivist approach “relies on a commitment to the objective discovery of the truth underlying the relations among variables, by means of research that is characterized by the traditional criteria of validity, reliability, and generalizability”. Hence, positivist epistemology would therefore construct knowledge as something that exists independently from the subject, and as it was attained through the application of scientific methods, it is considered to be value-free. Hence, positivist epistemology focuses on predicting, describing, explaining and controlling phenomena with the main objective to produce generalised findings.

For positivist epistemology, there is the assumption that objective knowledge is possible (Morcol, 2001). Morcol (2001) further asserts that positivist epistemology tries to separate facts from the values of knowing the subject, establishing the link between knowledge and the corresponding reality.

Locating self within epistemology, interpretivism and constructivism are seen as closely related. Interpretivists believe reality is a construct of the perceptions of individuals and specific social actors (Wahyuni, 2012). From the view of interpretivists, the nature of inquiry is seen as interpretive with the main purpose of inquiry being to understand phenomenon, but not to provide generalisation of the population used (Tuli, 2010). Interpretivists recognise that individuals from different backgrounds, assumptions and experiences are able to contribute effectively towards the process of constructing reality in the broader social context through social interaction. According to Cavana *et al.* (2001), the interpretivist paradigm emphasises

inductive reasoning and is usually associated with qualitative methods such as interviews, focus group discussion and observations.

Antwi and Hamza (2015) assert that for interpretive researchers, individuals make up a reality of the subjective experiences of the external world, which means that reality is constructed socially. Thus, it is seen as a human construct. Interpretive researchers strongly emphasise improved understanding of the world, as presented by those who experience it first-hand (Tuli, 2010). According to Tuli (2010), this is done by reporting truthfully and providing insiders' perspectives through quotations of actual conversations. Antwi and Hamza (2015) state that interpretivists assume that knowledge and meaning are both acts of interpretation, which justifies that there is no objective knowledge, which is acquired by humans that is independent of thinking and reasoning. Therefore, interpretivist ontology is subjective in nature and constructed meaning occurs socially.

3.3.4 Methodology

Methodology is described as a researcher's chosen processes of data collection for a specific research project, which includes the particular tools to be used (Leedy and Ormrod, 2013). Antwi and Hamza (2015) described methodology as how a researcher intends to go about finding out whatever the participants in the population know. According to Blanche and Durrheim (2012), methodology is a practical and accurate process followed to obtain the information to be presented as data. The research methodology focuses on the why, what, from where, when and how of the data collection. Crotty (1998) summarises methodology as the researcher's plan of action, which was specifically chosen. Within the methodology section, the researcher asks the questions relating to how the objectives will enable the collecting of the findings (Guba and Lincoln, 1994). Sarantakos (2005) presented methodology as a research strategy that researchers utilise to translate both ontological and epistemological principles into guidelines that demonstrate the research process by listing the procedures and practices that direct the research.

Anderson (2006) states that methodology can either be qualitative, quantitative or both (mixed method), as chosen by the researcher. As noted before, qualitative research was the approach chosen for this study whereby the researcher collected, analysed and interpreted data from

interviews with the participants (Anderson, 2006). According to Crotty (1998), within the description of the plan the researcher has to present the methods to be used, which are based on the approach chosen. These methods are described as the techniques and tools utilised to gather the necessary data to be analysed.

Positivism has its roots in science (Babbie, 2011), with specific focus on atomism, quantification and operationalisation (Kura, 2012). Kura (2012) states that atomism considers a phenomenon as an entity that exists separately from the whole world. Hence, researchers who locate themselves within positivism regularly explain observation in quantitative terms utilising variables, shape and cause outcomes. The philosophy of positivism is that there is a world that is knowable, using quantitative methodologies to discover it; these research findings mainly are communicated quantitatively, which is by using numbers (Khakpour, 2012). Then, when bringing together positivism and methodology, Kura (2012) presents positivism methodology, pointing out that quantification refers to the variables that can be expressed in terms of numbers and frequencies, using mathematical tools to reveal significance for drawing conclusions.

The positivist methodological process that natural science utilises could also fit into social science research, which adopts methodologies like experiments, longitudinal studies and surveys (Kura, 2012). Kura (2012) further states that researchers who wish to produce specific and precise data should think of what positivist methodology produces. This is because positivism provides links between reality and knowledge, obtained from the links, with independent assumptions underpinning it, and the methods used to obtain them. In positivist methodology, researchers view the world through a one-way mirror as they assume that data production and analyses are value-free and data cannot change under any situation, even when participants are being observed.

Mostly the positivist research paradigm is underpinned by quantitative methodology. Positivist methodology provides certain data collection techniques, which focus on gathering data in the form of numbers to enable quantitative evidence to be presented (Antwi and Hamza, 2015). Antwi and Hamza (2015) further point out that within positivist inquiry, truth is achieved by verification of the noted and observed findings, by the manipulation of certain identified variables, and the effective use of statistical analysis. Hence, within the positivist view,

quantitative methodology focuses on the measures and the process of quantifying in order to establish the extent of a phenomenon (Mukherji and Albon, 2010).

According to Levy (2006:374), reality is “objectively given and can be described by measurable properties which are independent of the observer and his or her own instruments”. Hence, from the positivist perspective, both the natural and social worlds operate within a strict set of rules, which science has to discover through empirical inquiry. Levy (2006) presented the following characteristics relating to positivism philosophy:

- The positivist or natural sciences school relates to facts or causes of social phenomena and attempts to explain causal relationships by means of objective facts;
- Positivist research focuses on general explanation and description;
- Theories and hypotheses control thoughts;
- A research topic is identified through the discovery of an external object of research, rather than by creating the actual object of study;
- Remaining detached from the research could be maintained by allowing distance between the researcher and the objects of research;
- Researchers try to be emotionally neutral and make a clear distinction between reason and feeling, science and personal experience;
- From the positivists’ perspective, there is a need to maintain a clear distinction between facts and value judgements;
- Positivists search for objectivity and strive to use a consistently rational, verbal and logical approach to their object of research;
- Statistical and mathematical techniques for the quantitative processing of data are central to the research methods adopted; and
- Mostly formalised techniques are utilised by positivists to discover and measure independent facts that are related to a specific reality, which they assume to exist, and believe is driven by natural laws and mechanisms (Carson *et al.*, 2001 in Levy, 2006:374-375).

The interpretivist research paradigm utilises qualitative methodology. Antwi and Hamza (2015) recognise that the interpretivist methodology assumes that meaning is embedded in the experiences of each participant; this meaning can be captured through the facilitation of the

researcher. Researchers who adopt a qualitative methodology sometime observe participants' interactions or how they participate in activities, interview them, or take notes on their life histories. Some researchers construct case studies or analyse existing documents or cultural artefacts. This study will use interviews as the qualitative approach to be adopted. Those who participate will be interviewed using a structured interview schedule.

Based on the discussion presented above, positivism and interpretivism differ relating to ontology, epistemology, methodology, methods, issues of validity, and reliability. These differences are summarised in the table below.

Table 3.1: The characteristics of positivism and interpretivism

Feature	Positivism	Interpretivism
Ontology	The researcher and the reality are separate – thus, objectivist.	The researcher and the reality are inseparable.
Epistemology	Objective reality exists beyond the human mind.	A person's lived experiences constitute the knowledge of the world.
Methodology	It is underpinned by quantitative methodology.	It is underpinned by qualitative methodology.
Methods	Observation (close-ended), intervention, and surveys are used.	Interviews, focus group discussions and naturalistic observation are used.
Validity	Certainty - data truly measures reality.	Credibility - measures what is actually intended.
Reliability	Consistency - the extent to which results are consistent and replicable over time.	Dependability - the processes within the study are reported in detail to allow for a thorough understanding of the methods used and their effectiveness.

3.4 POPULATION AND SAMPLING

The term population is utilised to set the research boundaries for studies (Strydom, 2011). Gay, Millis and Airasian (2011) clarified the definition of population by describing it as a group from which the researcher chooses participants for a study. In this study, the population will be all the employees of the Kopanong Local Municipality. From this group of employees of the Kopanong Local Municipality, who constitute the population of the study, a small number will be chosen to form the sample.

Fraenkel and Wallen (2010) have described a sample as the few individuals chosen by the researcher from the bigger group (population). Strydom (2011), in turn, describes a sample as comprising a small number of participants drawn from a population to provide the information necessary for a study. There are two ways of establishing a sample from the population, namely probability and non-probability sampling (Fraenkel and Wallen, 2010). Strydom (2011) explains that probability sampling is done through randomisation, and non-probability sampling is done without randomisation.

Probability sampling has been described as a method in which the researcher randomly identifies the participants from a bigger sample of participants to represent others (Creswell, 2012). Probability sampling can be done utilising simple random sampling, stratified random sampling, systematic sampling, or cluster sampling (Leedy and Ormrod, 2013).

Strydom (2011) described non-probability sampling as using individual participants who are not known to the research. Therefore, in non-probability sampling, not all participants have an equal opportunity to be chosen for inclusion. Non-probability sampling can be achieved through accidental, purposive, quota, dimensional, target, snowball, sequential, spatial and key informant sampling (Strydom, 2011). Strydom (2011) describes non-probability sampling as follows:

- Accidental sampling: This is also called convenience sampling. In this sampling method, participants are those individuals who are readily available to take part.
- Purposive sampling: In purposive sampling, it is individuals from the population group with similar characteristics who are available and have demonstrated a willingness to participate.
- Quota sampling: In this sampling method, the researcher selects a sample that is highly similar to the population.
- Snowball sampling: This is when a researcher chooses a few participants from the population who meet the set characteristics and offers them the opportunity to be part of the study. The researcher approaches each participant to collect information to determine his/her similarity with others.
- Sequential sampling: This is similar to purposive sampling, but in this method the researcher seeks more and more participants until no more participants are available.

- Spatial sampling: This method is used mostly in situations where the population is made up of temporary members, such as individuals attending a sports event.
- Key informant sampling: This method utilises individuals who have been chosen by others to represent them in the study. Their choice by others could be based on their knowledge of the focus of the study. Hence, those who participate are doing so based on other members of the population, and is not based on the researcher's desire or choice (Strydom, 2011).

This study will adopt non-probability sampling, as the researcher cannot guarantee that all the individuals selected from the population will be available. Within non-probability sampling, the researcher will utilise the purposive sampling method. Patton (2002) states that qualitative research often utilises purposeful sampling as a technique, which identifies and selects cases that have the potential of providing rich information within the limited resources. Purposeful sampling has been described by Creswell and Plano Clark (2011) as a sampling method used to identify and select individuals or groups of individuals within the population who have a certain degree of knowledge on or experience about the phenomenon of interest.

The researcher strategically chose 30 participants from the Kopanong Local Municipality who would be able to discuss issues concerning the alignment of the IDP, the OPMS and the budget. These individuals were chosen by the researcher based on his knowledge of the functions and operations of individuals within the Municipality. Appointments were made with the participants and they were allowed to choose the place where the interview would take place and the time. Of the 30 participants, scheduled for face-to-face interviews, 27 face-to-face interviews were conducted successfully.

3.5 DATA COLLECTION

The interview guidelines that were prepared helped the researcher to collect the information, as required. These guidelines were answered in face-to-face interviews with all the managers and directors in the Kopanong Local Municipality (as a case study, in this instance), and those who support municipalities at the provincial and national government levels.

The objective of the study was to examine the issues causing a lack of coherence and alignment of the strategic documents in local government, which are:

- The Integrated Development Plan,
- The Organisational Performance Management System, and
- The budget.

Appointments were set with all the participants who were to take part in the research and additional information was provided to them in relation to what the research was about. The participants were required to sign a consent form. It was difficult for the researcher to get hold of all the participants, according to an agreement reached with them. Some were not available for the interviews, others said that they had not received their e-mails, and others indicated that they would get back to the researcher shortly. Hence, it took a long time before the researcher could get hold of all the participants, as planned, and continue with the research.

A signed consent form was placed in a separate file, to ensure that it was safe, to act as proof that the participant had agreed to partake voluntarily, and that the interview had been conducted. The researcher used a tape recorder, and took notes, to accurately capture the information provided by the participants.

During the process of recording the face-to-face interviews, asking questions and taking notes, the researcher observed that the participants were well prepared. Face-to-face were conducted as the participants opined that this was the correct method of conducting the interviews. Most of the participants mentioned that when they dealt with a questionnaire, and the researcher was not present, they tended to lose focus and did not answer the questionnaire adequately. They preferred to provide answers with the researcher present.

Different stages are involved in conducting interviews. According to Flick *et al.* (2004:212-213), “There should be stage directions to conduct interviews”. The following aspects should be considered when directing the process:

- Explain the framework to your subject in good time. In the “briefing”, the following points have to be made clear:

- What is the issue (what they will be talking about and why, what the information will be used for, what is behind it);
- How will it be done (who will conduct the interview, who should or can be present during the interview, where it will take place, how long it will last);
- Create a pleasant atmosphere for the interview;
- Be relaxed (or at least give that impression), and radiate this feeling, when you switch on the recorder; and
- Try to understand the “message” of your counterpart: he/she is communicating more than pure “information”.

Give the participant room to open up:

- Do not attempt to explain your own position, and especially not your agreement with your participant (“I’m like that too!”). You should retain an “independent” interest, whatever the participant says.
- Give your subject the possibility of displaying a range of personality traits (the hero should be able to express his/her helplessness, and the philanthropist his/her capacity for hatred).
- Do not protect your subject from something that could be embarrassing, but show, through your own attitude, that you are capable of getting at the truth.

Give the “drama” an opportunity to develop:

- Ask short and easily intelligible questions that may stimulate your respondent to give more details.
- Research questions are not the same as interview questions: do not ask for theoretical categories (“What kind of motivation influenced your choice of study”, but ask for concrete facts from your respondent’s life-world).
- Speak your own language, and do not imitate the language of the environment. Nevertheless, use the concrete names and terms that your respondent uses.

During the interview, the researcher should not attempt to discover theoretical ideas but the life-world of the respondent:

- Be naïve. Let the subject explain concepts, procedures, and situations. Do not feel guilty if you ask about things that seem obvious: “What is street-work? What happened?”.

- Try, through the interview, to understand the respondent's life-world so well that you could write a film script for scenes from his/her world and could direct a production. Keep the questions going until it is clear to you what happens or happened.

According to Robson (2002), a data collection process ensures that the data gathered is both defined and accurate, and that subsequent decisions based on arguments embodied in the findings are valid. Maykut and Morehouse (1994:46) state, "The data of qualitative inquiry is most often people's words and actions, and thus requires methods that allow the researcher to capture language and behaviour. The most useful ways of gathering these forms are participants' observation, in-depth interviews which are later transcribed for use in data analysis". Below is a summary of the research questions, the source of data, and the methods utilised in this study.

Research questions	Source of data	Methods used
1. What is the type of linkage needed between the IDP, the budget and the OPMS?	Literature	Document analysis (Published articles and legal documents on the IDP, the OPMS and the budget)
2. Why is it necessary for an organisation to have coherence in the IDP, the OPMS and the budget?	Literature	Document analysis (Published articles and legal documents on the IDP, the OPMS and the budget)
3. What is the perception of Kopanong Local Municipality employees on the current status of the IDP, the OPMS and the budget?	Kopanong Local Municipality employees	Focus group and one-on-one interviews
4. How is coherence and alignment of the IDP, the OPMS and the budget achieved within the Kopanong Local Municipality?	Kopanong Local Municipality employees	Focus group and one-on-one interviews
5. What do Kopanong Local Municipality employees perceive as practical methods of aligning the IDP, the OPMS and the budget?	Kopanong Local Municipality employees	Focus group and one-on-one interviews
6. What practical models ensure coherence and alignment of the IDP, the OPMS and the budget in the Municipality?		Analysis of all the data collected from the above

Table 3.2: Summary of research questions and source of data

3.6 DATA ANALYSIS AND REPORTING

According to Schurink *et al.* (2011), data analysis consists of a process of transforming data to make meaning. These authors (2011) state that in data analysis, the bulk of raw data is used to look for meaning and patterns to reach a conclusion on what is being revealed by the data.

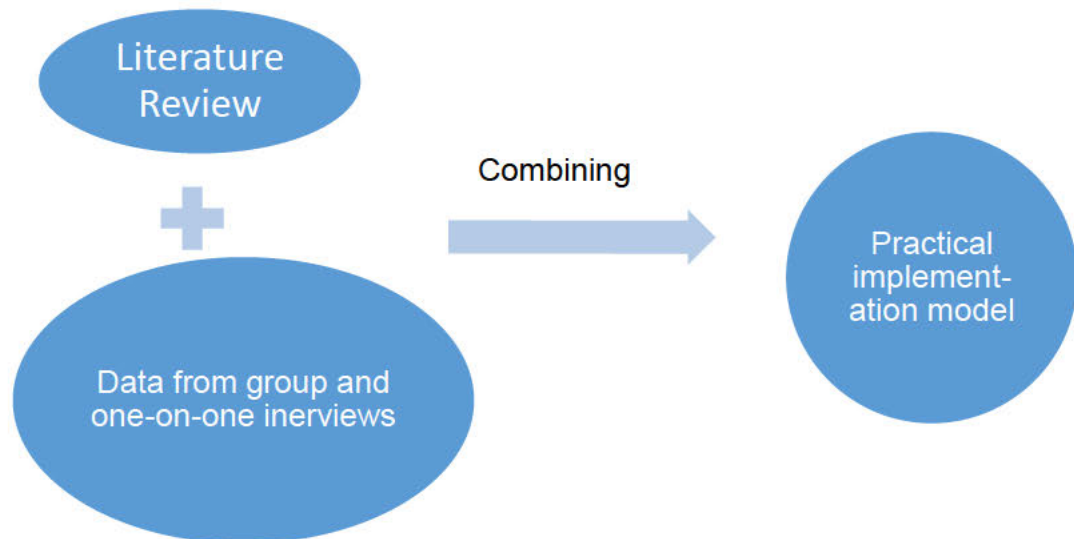


Figure 3.1: Data analysis process and generating a practical model

Figure 3.1 shows the strategy utilised by the researcher to bring together the two different data sources of the study. Firstly, the literature on the IDP, the OPMS and the budget was presented (Chapter 2), followed by the data from the interviews with the participants. Then, legal documents utilised by the Municipality were analysed to determine if they present an indication of the linkages. These were then brought together to draw conclusions on the alignment of the IDP, the OPMS and the budget within the Kopanong Local Municipality. Based on the conclusions, a model on achieving the alignment of these three aspects was produced.

3.7 ETHICAL CONSIDERATIONS

Ethical issues were taken into consideration by the researcher. McMillan (2012) states that ethical issues should be considered to ensure that participants in a study are not at risk. In this study, permission was requested from the University of KwaZulu-Natal and from the Kopanong Local Municipality. Furthermore, the researcher ensured that during the interview, the participant's identity was not disclosed, and confidentiality of any personal information of the participants was ensured.

3.8 VALIDITY, RELIABILITY AND TRUSTWORTHINESS

The success of the research instrument to be used lies in its ability to measure the concept that the researcher has intended to study in a way that is perceived to be consistent, while achieving validity and reliability. Koch and Harrington (1998) presented the debate on which term is suitable to be used in qualitative research. There has been much debate on the most appropriate terms (rigour, validity, reliability, trustworthiness) for assessing qualitative research validity. However, researchers agree that reliability and validity are both required in quantitative and qualitative studies, mainly to provide credibility for the project (Emden and Sandelowski, 1999; Ryan-Nicholls and Will, 2009).

Validity has been described as the ability of an instrument to measure the specific content that it has been designed to measure (Coughian, 2007). Coughian (2007) further describes reliability as the ability of a specific instrument to measure consistently and accurately the concept under study. According to Bazeley (2004), the validity of the instrument comes from the appropriateness, thoroughness and effectiveness of the research methods that the researcher adopted.

Lincoln and Guba (1985) discussed the criteria of evaluating qualitative content and they suggested the use of trustworthiness. The purpose of looking for trustworthiness within qualitative inquiry is to provide an argument that the presented findings are worth paying attention to. Different researchers present ways of establishing trustworthiness within qualitative studies (Polit and Beck, 2012; Schreier, 2012). According to Guba (1981), there are four aspects of trustworthiness employed by interpretivists, namely credibility, transferability, dependability and confirmability. Therefore, to attain trustworthiness within qualitative research data collection, researchers have to emphasise these four aspects.

Credibility can be established by focusing on an individual's views of reality. This can be achieved by ensuring that the researcher has not influenced the data (Coll and Kalnins, 2009). Shenton (2004:64) states that credibility in interpretivist research deals with the question, "How congruent are the findings with reality?". According to INTREC (2009), credibility is concerned with truth-value; it also asks, "Have we measured what we set out to measure?". Credibility establishes if the research findings represent reasonable information that could be drawn from the original data, as given by the participants, and that this interpretation of the

original views of the participants is correct (Graneheim and Lundman, 2004; Lincoln and Guba, 1985). Credibility can be improved by a prolonged time of engagement. According to Anney (2014), qualitative researchers attain rigour in their inquiry by adopting credibility strategies, such as prolonged and varied field experience, triangulation, time sampling, interview techniques, reflexivity, member checking, establishing the authority of the researcher, peer examination and structural coherence. Thus, in this study, the data that was collected and transcribed was given to the participants to check. The interpretation and analysis that was made was also shared with the participants.

Dependability's main concern is on the stability of the data over time and under different conditions (Coll and Kalnins, 2009). According to INTREC (2009), dependability is concerned with consistency and could ask, "Would our findings be repeated if our research were replicated in the same context with the same subject?". Dependability, being one of the aspects of trustworthiness, is related to credibility, as credibility ensures dependability. In order to address dependability, the processes within the study should be reported in detail, thereby enabling other researchers to repeat the work. What is critical is that the changes and shifts in thinking should be clearly identified and fully described; thus, they should be tracked and trackable (Coll and Kalnins, 2009). In this study, the descriptions of the interviews, which indicated the participants' opinions on the alignment of the IDP, the OPMS and the budget, were recorded. These recordings have been kept in a safe place.

Confirmability in interpretivist research helps to ensure that the findings are the results of the experiences and ideas of the participants, rather than the characteristics and preferences of the researcher. Confirmability refers to objectivity; that is, the potential for congruence between two or more independent people on the data's accuracy, relevance, or meaning. According to INTREC (2009), confirmability is described as focusing on neutrality by asking, "To what extent are our findings affected by the personal interests and biases?". Coll and Kalnins (2009) assert that confirmability seeks to ensure that the results of an inquiry have not been subject to influence by the investigator. With qualitative data, the confirmability of the data rests on the data itself, as the raw data and the process used to reduce it or code it are made available to the reader as it is. Coll and Kalnins (2009) further state that in this process of confirmability the researcher describes how the interviews were conducted, provides the actual questions asked, and provides substantial portions of interview transcriptions to show how the interviews were

conducted. In this study, the description of the data collected during the interviews and the analysis was written up using the participants' own words; the questions asked were also included.

Coll and Kalnins (2009) have described transferability as a strategy that is embedded intentionally in the sampling, which suggests that the nature of interpretive inquiry is such that the researcher describes the context of the inquiry and provides detailed descriptions of methodology and interpretation. According to INTREC (2009), transferability is described as focusing on the applicability by asking the question, "How applicable are our results to other subjects and other contexts?". Transferability also refers to the potential for extrapolation. It relies on the reasoning that findings can be generalised or transferred to other settings or groups.

The last criterion, authenticity, refers to the extent to which researchers, fairly and faithfully, show a range of realities (Lincoln and Guba, 1985; Polit and Beck, 2012). Purposive sampling was utilised in this study and the researcher presented a detailed account of how the data for this study was collected and how it was analysed.

Table 3.3: Trustworthiness – a summary of the definitions (Lincoln and Guba, 1985)

Trustworthiness Aspects	Description
Credibility	The confidence that can be placed in the truth of the research findings. Credibility establishes whether the research findings represent plausible information drawn from the participants' original data and is a correct interpretation of the participants' original views.
Transferability	The degree to which the results of qualitative research can be transferred to other contexts or settings with other respondents. The researcher facilitates the transferability judgement by a potential user through thick description.
Dependability	The stability of findings over time. Dependability involves the participants' evaluation of the findings, the interpretation and the recommendations of the study; such that all are supported by the data as received from the participants in the study.
Confirmability	The degree to which the findings of the study could be confirmed by other researchers. Confirmability is concerned with establishing that data and the interpretations of the findings are not figments of the inquirer's imagination, but clearly derived from the data.
Reflexivity	The process of critical self-reflection about oneself as a researcher (own biases, preferences, preconceptions), and the research relationship (relationship to the respondents, and how the relationship affects participants' answers to questions).

This study worked towards attaining trustworthiness through utilising some of the aspects mentioned in the table above.

3.9 LIMITATIONS OF THE STUDY/RESEARCH CONSTRAINTS

During data collection, some of the participants showed no interest at all in the collection of information in relation to the research. Others avoided the face-to-face interviews by providing reasons for not being available for the process, citing being too busy in their official work. The researcher decided not to accept the information that they sent on the topic. This decision was taken because it would have not been easy to interact with the participants in the form of follow-up questions to their answers. As much as the researcher had planned to do face-to-face interviews with the participants, the option of accepting the written submissions would not have aligned with the scheduled questions for data collection; hence, rendering such submissions not usable. Therefore, data collection was restricted to the planned research process of attaining information through face-to-face interviews.

Furthermore, the study intended to obtain information from national employees who monitored municipalities in the process of the implementation of key policy documents. Many participants within the national departments kept postponing their appointments, to such an extent that the researcher took a decision not to continue pursuing staff from the national departments. Hence, the study was limited to employees of the Kopanong Local Municipality, who were responsible for the implementation and monitoring of the IDP, the OPMS and the budget.

3.10 CONCLUSION

This chapter presented the research methodology, with a focus on the qualitative research methodology paradigm utilised. It also presented a detailed explanation of the process of in-depth interviewing, participation in the activity being investigated and field work, which allowed the researcher to obtain first-hand knowledge on the empirical social world in question.

The chapter concluded by examining the issues relating to research methods, in particular the usage of qualitative research and its principles. Qualitative research methods were utilised in order to conceptualise and incorporate the researcher's thoughts on the alignment of the IDP, the OPMS and the budget, to outline what the legal prescripts state in this regard. Alignment

has been a problematic issue for all IDP, Budget and OPMS Managers in municipalities in the Free State.

CHAPTER 4

DATA PRESENTATION AND DISCUSSION

4.1 INTRODUCTION

This chapter presents the data obtained from the interviews conducted by the researcher. The information was audio recorded and transcribed (see Appendix 2). Then, the data was thematically analysed when the different themes arose.

4.2 RESEARCH FOCUS

This study was designed to answer the following questions:

- What type of linkage is necessary between the IDP, the budget and the OPMS?
- Why is it necessary for an organisation to have coherence in the IDP, the OPMS and the budget?
- What is the perception of Kopanong Local Municipality employees on the status of the IDP, the OPMS and the budget?
- How is coherence and alignment of the IDP, the OPMS and the budget achieved within the Kopanong Local Municipality?
- What do the employees of the Kopanong Local Municipality perceive as a practical method of aligning the IDP, the OPMS and the budget?

Data was collected to facilitate the process of answering the aforementioned questions. The researcher conducted a face-to-face interview after the respondent's presence was requested through email, a telephone call or an informal one-on-one meeting. The request consisted of a brief explanation of what the interview would deal with and the time it would take. The target was to interview 30 participants, but eventually only 19 participants were interviewed. All those who were interviewed were available at a scheduled time for a single interview.

An interview schedule, attached in Appendix 2, was utilised for the purpose of the interviews. Some extended and/or follow-up questions were asked in order to dig deeper into the respondents' answers. All the interviews were recorded on a digital tape recorder as part of ensuring that the information was safe and reliable, and they were later transcribed for analysis.

To ensure that this study was sound, there was a need to provide a detailed presentation of the data as this would assist in answering the research questions. Hence, this chapter presents the research data, based on the interviews conducted.

4.3 DATA PRESENTATION

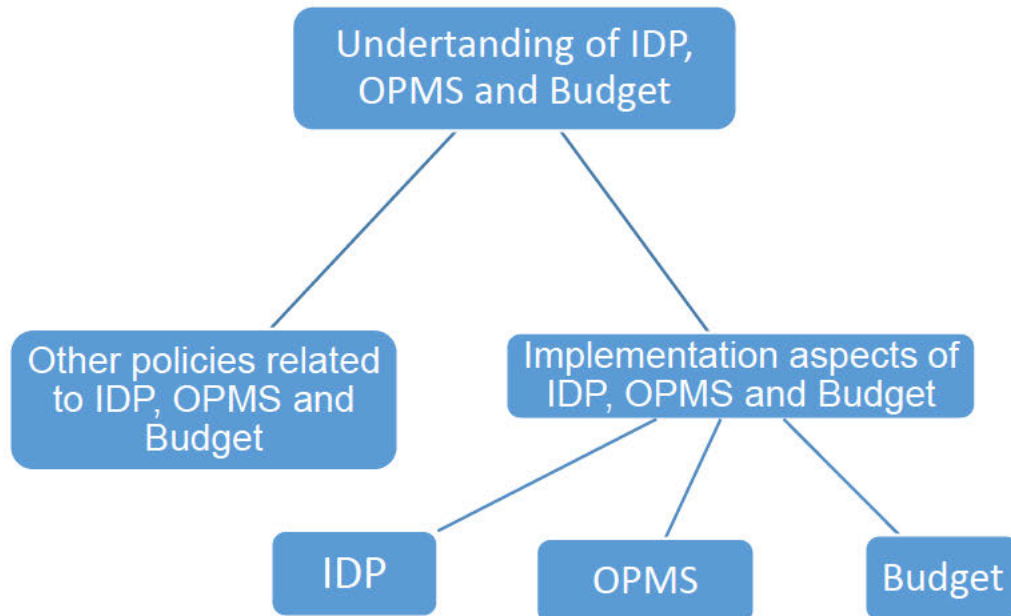
In the process of collecting data to answer the research questions, the participants were interviewed. Each participant was given a number in brackets (e.g. P1), which was used to ensure the confidentiality, which the participants were assured of. Similarly, the positions of the participants will not be mentioned. The interviews were tape-recorded, but the presentation here concentrates only on the answers that were deemed relevant to the study, while the full transcriptions are available (and are in safekeeping). These transcriptions can be provided on request.

The participants, when asked about the alignment and coherence of the three strategic documents (the IDP, the OPMS and the budget) used the two terms interchangeably. This means they were not able to differentiate between the alignment and the coherence of the policies. Most of them, when asked about coherence, referred to alignment. However, some of the participants were able to present their understanding of the IDP, the OPMS and the budget far more clearly.

4.4 UNDERSTANDING OF THE IDP, THE OPMS AND THE BUDGET

The participants presented their understanding of the IDP, the OPMS and the budget. Their understanding of these three strategic documents within the Kopanong Local Municipality is presented first by utilising their general knowledge of each policy, followed by the relationship of these policies with other municipal policies.

Figure 4.1: A summary of the understanding of the IDP, the OPMS and the budget within the Kopanong Local Municipality



P6 had the following to say about his/her understanding of the three strategic documents:

P6: *The IDP, the Budget and the Performance Management System loosely illustrated, I will use an analogy of a bridge. The IDP, being the intended destination defined, vision, development objective, strategy to get there and definition of roles and players that need to get inside the bus and go there. The budget is the bus that must drive across the bridge. The performance management is the driver, the passenger in the bus, the people looking at the bus – the monitoring. Now, the link between these is a link that is... that demands a strategic thought process to the players (sic). The driver of the bus – the Executive Mayor of a Municipality, the Accounting Officers in a municipality – at the helm the Municipal Manager, the governance structures in a municipality, the community relations between council and its communities, those processes, they are activities that require a deep strategic assessment of what we have at hand in each locality.*

P6 presented this analogy to illustrate the relationship between the three strategic documents (the IDP, the OPMS and the budget). This analogy further demonstrates the role of the Mayor in the implementation and monitoring. The participant recognises that the relationship between

the IDP, the OPMS and the budget constitutes a bridge, with a bus crossing the bridge. In this analogy, the IDP is seen as the intended destination of those crossing the bridge, which is defined through the municipal vision and development objective. This would include the different strategies utilised to reach the desired destination, the identification of the required role players, and the description of their different roles. The bus is the budget, which is used to take the trip across the bridge. The participant recognises the OPMS as the driver of the bus, who has to take care of all the passengers, to ensure that each is executing his/her duties during the trip across the bridge. The driver of the bus within the municipal setting is identified as the Executive Mayor of the Municipality and the passengers as all the Accounting Officers in the Municipality, such as the Municipal Manager, and the different structures governing the Municipality.

P 7 offered this perspective on the question posed by the researcher:

P7 *From my personal perspective, if you have a plan it must be carried forward by a budget, because without a budget, how are you going to implement that – I mean without the resources per se, let us put it in general (sic) – even the budget is part of the resources. So, without the resources you cannot implement a particular plan. In simple layman's term it would be difficult... because at the end, even the plan itself needs to identify what type of resources are needed to implement that particular plan. So with alignment of those two – the finance and plan itself... In other words, even if you have the resources, but if you do not have a plan to use those resources to implement, it will become a fruitless exercise....*

P7 presented an understanding of both the IDP and the budget, but did not bring the OPMS into the discussion. The participant further recognises the IDP as presenting the plan, which has to be achieved, and this can only be successful through budgeting. The participant also indicates that the budget distributes the financial resources required for the activities that need to be carried out. In this participant's view, the plan has to include the required resources, which are necessary to ensure the alignment between the IDP and the OPMS.

Thus, it can be said that an understanding is displayed by some of the participants of the IDP, the OPMS and the budget within the Kopanong Local Municipality. This understanding relates

to the plans within the IDP, which are guided by the Municipality's vision, mission, core values, and the necessary development objectives and targets. This demonstrates that the participants within the Kopanong Local Municipality understand that the IDP constitutes the foundation of the Municipality. Hence, all the employees and other municipal committees also need to understand this and strategically work together to achieve the mission, vision and goals through the IDP. This further demonstrates the participants' understanding that if the general municipal administration is familiar with the processes of the IDP, budgeting and planning, they will be able to cascade it down to the lowest levels within the Municipality, and subsequently to the communities they serve.

4.4.1 Policies that support the IDP, OPMS and budget within Kopanong Local Municipality

The participants noted the importance of using the Medium Term Expenditure Framework (MTEF) as part of the alignment and integration of budgeting and planning within the Kopanong Local Municipality. They also referred to the role played by the South African Local Government Association (SALGA) (and the related policies) as one of the stakeholders that continues to advocate for development and good governance in local municipalities in South Africa.

P3 had the following to say on the alignment of the policies:

P3 *MIG, RBIG, ASAP, the one of Water and Sanitation and all those grants are aligned within the IDP and budget. And also, we went out to do the consultation in all nine towns to the community for budget and IDP (sic), specifically on the alignment of the budget. And also, informing the community how the budget is going to be the next financial year (sic).*

The municipal officials in this sample demonstrated knowledge and understanding of the different policies that support the IDP, the OPMS and budgeting, such as the Municipal Infrastructure Grant (MIG), the Regional Bulk Infrastructure Grant (RBIG), the Spatial Planning and Land Use Management Act (SPLUMA), and the Spatial Development Framework (SDF). P18, P25 and P27, who are in senior management, were able to present how different policies play an important role in the implementation of the IDP, OPMS and budget.

These policies support and assist in planning, in accordance with the funds that each municipality receives. This means that IDP and Budget Managers should work together to produce quality IDP and budget documents.

The participants noted the importance of the SDF, which was developed in 2012 as one of the policies needed in the alignment of the IDP, the OPMS and the budget in a municipality. However, it is only since recently that the Department of Rural Development and Land Reform assists in reviewing the SDF and ensuring that it is in line with the IDP and SPLUMA. Previously there were challenges regarding the SDF; when developments within the Kopanong Local Municipality were reviewed, they were not included in the SDF. Another challenge experienced in the Kopanong Local Municipality is that it does not have Town Planners. In some instances, implementation needs the expertise of a Town Planner. If a facilitator sees to it that the planning is coordinated by the Municipality, he/she still lacks the skill of planning – that is why certain challenges arise in the SDF. Regarding the Housing Sector Plan, it was last reviewed in 2009; thus, there are loopholes in it.

4.4.2 Different aspects of the IDP, OPMS and budget

Regarding their understanding of the IDP, the OPMS and the budget and their roles within the different processes of the Municipality, some participants noted that the three documents have a factor in common. This view was shared by P1, P4, P19, P22, P25 and P24. They further opined that the three documents were encapsulated in the vision of the Kopanong Local Municipality.

Herewith two participants' views:

P8 *The three documents deal with the primary factor that is a common denominator; there is prioritisation. Because the first document, the IDP, shares a vision, normatively, it is also a misnomer in the sense that in five years you cannot have development vision (sic) – that will turn around the situation; council has a five-year vision because it's a five year term. And, this vision keeps changing every year, you are allowed to keep changing the goal posts all the time; you review every year (sic).*

P12: *The role of IDP as it is, meaning Integrated Development Planning... nothing else. Therefore, it requires that you have all the legs that talk directly to IDP, you have your sector, community, national – all the CBOs and NGOs, and everybody must be part of it (sic).*

P8 *Now, budgets – a budget is like a quantity surveyor to an architect's mind – it's a sense of reality; it brings you back, you can dream.*

Hence, it can be said that there are different roles ascribed to each policy, but all of them focus on the vision, and they have a different set role that they play in the process of service delivery.

4.5 COHERENCE AND ALIGNMENT OF THE IDP, OPMS AND BUDGET

The data indicates that when considering the IDP, the OPMS and the budget, some of the participants recognised that there is alignment, while others observed that there is no alignment. The following section focuses on different experiences, which made the participants believe that there is alignment, or not:

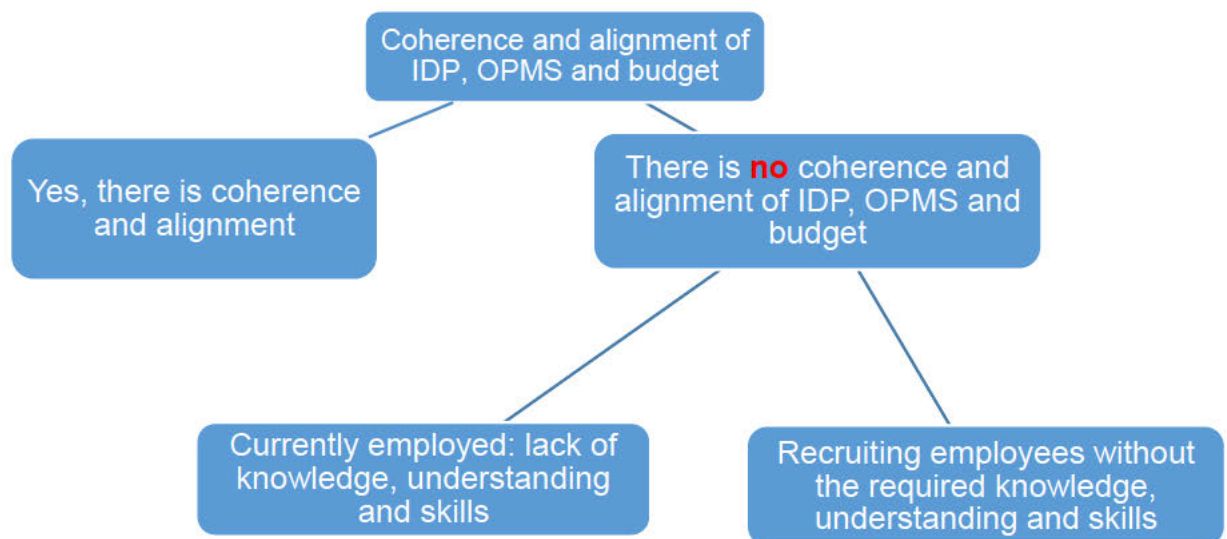
4.5.1 Coherence and alignment of the IDP, OPMS and budget

Ten of the participants, including P10, P20, P21 and P24, agreed that there was coherence and alignment between the three apparatus. Herewith, P3's answer:

P3: *Our IDP is aligned to the SDBIP because we have done the processes that are necessary to be done in order to ensure the alignment of the IDP. One of us as a municipality to push the element of alignment (sic), it was a query that was raised by the Auditor-General, the previous financial year – they found that there was no alignment on our targets and indicators. So, we had to ensure that this financial year, 2015/2016, we make sure that the issue of alignment is practiced (sic).*

Based on the processes of the IDP, the participant opined that the three aspects are aligned. Furthermore, the participant said that the efforts of moving towards alignment arose from the reports from the Auditor-General in previous financial years.

Figure 4.2: Reflections on coherence and alignment of the IDP, OPMS and budget in Kopanong Local Municipality



Some of the participants had the following to say:

P1: *So if we can align the financial years, our performance objectives should be aligned, from national, province to municipalities; to say this is what we want to achieve.*

The issue of alignment of the three policies is something that is seen to originate from the national government and it filters down to the local municipalities. P1 stated that alignment, if done by the Municipality, could have an impact across different levels.

P2: *There is an alignment; it is only the issue of cash flow versus the targets.*

According to P2, the alignment of the IDP, the OPMS and the budget is based on the relationship between cash flow and targets. This did not include the OPMS, which was mentioned by some of the other participants.

P17: *I might say somehow there is a lack of, not really alignment per se... (sic).*

Some responses were short and to the point, with not much explanation provided. These participants said the same thing:

P3: *They are aligned.*

P5: *They are aligned.*

These participants demonstrated that they considered alignment and coherence as one concept in policy implementation and municipal administration. Based on their evaluation, they opined that alignment exists in the Municipality.

4.5.2 Uncertain about coherence and alignment of the IDP, OPMS and budget

When asked about the perceived alignment within the Kopanong Local Municipality, the participants presented multiple views. Ten participants indicated that there is alignment, while four participants were not sure if there is alignment:

P17: *The inconsistency will be in the alignment of the three; you will find that be it IDP document (sic)...*

According to this participant, the three policies are not in alignment. This participant also refers to the documentation. By referring to the documentation, the participant opines that the policies themselves, when they are drawn up, are not aligned.

P4: *You know I do not want to say it is 100%, that linkage... but we are striving for a proper linkage – remember we have a problem on the issue of alignment. It has been a challenge for the Municipality.*

This participant recognises that there is some degree of alignment, even though it is not full alignment. Furthermore, the participant recognises that the Municipality is working towards achieving full alignment, as required.

P9: *...the challenge comes into the alignment between your KPAs, KPIs and translating that into your budget. How do you align those three elements in order for you to be able to report on what you have been able to do as a municipality?*

P9 stated that the major reasons for a lack of alignment are the KPAs and KPIs, which are presented in the OPMS, and demonstrate an individual's performance. An individual's performance within the Kopanong Local Municipality is governed by the availability of funds (i.e. the budget).

P5 *I can yes, yes, but there are still some challenges at which we think that in future those challenges will be sorted somehow (sic), because there are IDP projects which are driven from the IDP straight to the budget and SDBIP, and those are aligned. But you got your non-IDP projects – your operations projects, which are not actually in the IDP itself. Because municipalities are under a number of reforms – now we are getting under a new reform next year (sic). If you look at this reform... wants everything to be a project (sic), at which we did not have everything as a project initially. Things like your operating costs, were not projects, so they were actually in the budget and not in the IDP because the IDP has the projects which aligned to the budget (sic).*

This response was classified under “Not sure” because the participant stated that there is alignment, even though there are challenges. This could mean partial alignment. The participant also expressed the hope that the new reforms will bring change that will support the alignment of the IDP, the OPMS and the budget.

4.5.3 No coherence and alignment of the IDP, OPMS and budget

According to ten participants, they do not see any alignment between the IDP, the OPMS and the budget within the Kopanong Local Municipality.

P3 *In terms of practice, it is not done. But we know that that is something that must happen.*

P3 indicated that in practice, there is no alignment between the IDP, OPMS and budget. This might mean that in documentation, there is alignment, but when the Municipality's staff implements the policies, there is no alignment.

P3: *We are not, that is why I'm saying it has been a challenge and every time we get queried on that level (sic). Because as you know, I think it is last year, AG started auditing non-financial performance as well (sic).*

P16 *I will say no. Why? Because I will take one example of infrastructure – we are saying the IDP and the budget, including the SDBIP, must talk to each other. Now let us take infrastructure, for instance roads; where did you identify the need in the IDP? Now when we come to the SDBIP, where we have to record performance and link it to the budget – we somewhat, instead of placing it under the key performance indicators, the five key performance indicators that we have talked about, you will find that we have misplaced it (sic). So, we missed the link, firstly between the IDP and coming to the SDBIP; what more when we come to the budget?(sic)*

P16 presented the issues that surround the performance indicators as another way of demonstrating the lack of alignment. Project monitoring and supervision is not included in an individual's performance indicators.

P3 *I think is the lack of training and postponement or not seeing the urgency in things or the importance... Postponing other things and only focusing on others and regarding others as less important. I think it is a general feeling. I think the other thing is the misplacement of employees (sic) and the functions because OPMS belongs to the Corporate Services, but in our Municipality is in the Office of the Municipal Manager. It is under the IDP unit, in other words, IDP shadows OPMS. Because if it was in Corporate Services enough attention (sic) would have been given to it.*

Some participants stated that their reason for indicating that there is no alignment is based on the lack of work linkages between the policies. The participants recognise the continuous challenge within the Kopanong Local Municipality, where some officials lack knowledge on what needs to be done, and what has not been implemented in practice. Therefore, it is clear

that the knowledge and understanding of staff play an important role in the alignment of the three policies.

4.6 STRATEGIES OF ATTAINING ALIGNMENT OF THE IDP, OPMS AND BUDGET

4.6.1 Lack of training and skills development lead to non-alignment

The number of appointed administrators in municipalities has increased markedly because of service delivery protests, which were experienced in 2009, especially in Mpumalanga. However, in the long run, municipalities should be fully capacitated in various areas, including but not limited to the ability to appoint skilled and qualified (management positions) individuals; the establishment of effective municipal policies, systems and controls as required by law; and the implementation of continuous management reform and performance management. The ability of municipalities to put in place and enforce anti-corruption and good governance mechanisms, including financial viability and adequate financial management systems, is an important prerequisite for effective municipal service delivery reform and performance.

The participants had the following to say about the lack of skills and training:

P3: *We had the budget meeting departmentally where we have aligned our IDP and budget... I think it is the lack of training and postponement, or not seeing the urgency in things or the importance... a system is there, but we just only need training (sic).*

P3 above lists factors related to employees: a lack of skills and not seeing the urgency in a situation, which impact on the alignment of the policies.

P1: *...the sector departments, they do not normally attend our IDP forums, so sometimes after you have completed your IDP – it is then that they will come and say that we are having this as a sector department (sic). So, there is no proper alignment.*

P1 refers to the collaboration between the different departments, who are expected to implement or take part in the implementation process of the three policies. The next participant,

when referring to the skills of employees that are required to align the policies, also mentions this:

P4: *The problem of lack of skills in the Municipality regarding issues of alignment...*

P3: *Because ourselves as well, as directors, we need training to say when we appraise the performance of our managers and officers going down there (sic), what is it that we need, so we still need to learn about the scorecards, scoring and all those things (sic). So, we have outstanding training – but to be honest for now there is no real alignment.*

According to the participants above, and those who are still to be employed by the Kopanong Local Municipality, they mostly do not have the skills to bring together the policies to ensure alignment, which is required for successful implementation.

P16 elaborates on certain issues, including so-called “deployees”, and a lack of skills:

P16: *There is also an issue about the “deployees” or deployments where people are deployed - if there are people who were taken out from the position where they were idling – then those apparently they take priority (sic). They are the ones who are considered to (sic) certain positions. There are also a number of issues that are looked at, like the gender issue, if they also have to balance gender – because it is provincial priority. Treasury has no say in terms of appointments. There are things/issues that CoGTA put forward in terms of the requirements, the basic pre-requirements that a person should have to occupy certain positions. Treasury does not have a say on governance issues. The governance issues stay with CoGTA. They are the ones who have a bigger say in terms of saying who goes where. I think it has to do with the kind of skills that we have there. Many of these people that actually work with the budget have the necessary skills – I do not think they have the necessary skills – I do not think they have the necessary qualifications to actually know what is that they are doing (sic). Many of the budgets are compiled by junior staff – I am sorry, but it’s a fact – who have no clue of what exactly it is expected of them (sic).*

The participant above recognises what is happening within municipalities – the instances of individuals who are brought in by political leaders to fill specific positions (this is called “deployment”). This is seen as contributing to low skills levels among those who are expected to drive the processes of alignment between the three policies.

P12 *The first one is a question of employee knowledge management, which is a movement that we cannot control. You find that this person is good in terms of managing the processes and coordinating them, but when that moves to another municipality, there is nothing that we can do (sic).*

P13 *And the solution for those two is just to have a CFO who is well rounded, a CFO who is confident, a CFO that is understanding (sic).*

The observation by the participants above is that the OPMS used by the Municipality has provided the necessary solutions. However, there is a lack of training and expertise to execute the task. On the other hand, the participants indicated that there are good employees in Kopanong Local Municipality; unfortunately, when they resign the Municipality can do nothing to retain them. This means that the Municipality is unable to provide career growth, competitive salaries, financial assistance for further studies, or any other internal allowance to ensure that quality employees are retained.

The lack of training and skills leads to legislation and policies not being properly implemented by those who must implement them, including managers. The participants also related this lack of skills and trained staff to the fact that there are people who are deployed to municipalities, who do not have proper knowledge of the municipal environment. These deployments have unwanted implications as some of the deployees are not able to do the work; hence, the affected municipality falls into a trap of non-alignment of the IDP, the OPMS and the budget. It is important that even if the ruling party wants to deploy people in municipalities, it should be people with the relevant qualifications, skills, knowledge, ability, experience, and a desire to do the work.

4.6.2 Recruiting relevant individuals to drive coherence and alignment

Some of the participants recognised the role played by skilled individuals in the process of ensuring the coherence and alignment of policies within the Kopanong Local Municipality. P3 elaborates on this issue below:

P3 *Yeah, that is a challenge – they are normally not. Let me just take HR, for instance, they are not, if I'm to be brutally honest. HR is another element, which is misunderstood, especially in a municipal environment, because people look at HR as just hiring and firing. We fail to acknowledge the fact that HR is actually the backbone and an engine of the Municipality.*

The HR Department is a vitally important section in a municipality as it deals with training/development, employment, payroll, and so on. The HR Department must recruit qualified and skilled personnel. However, the politics in municipalities (in particular, the Kopanong Local Municipality) makes the HR Department unable to execute its work, as required. Furthermore, the issue of deployment comes into play because of the petty politics surrounding this environment. Instead of HR employing suitably trained individuals, as per legislation, certain politicians instruct them to employ a particular person, without the right procedures being followed, for instance, conducting interviews. If the Manager or the HR Director does not do as he/she is told, that person will lose his/her job (or will be victimised politically until he/she resigns).

4.6.3 Collaboration between offices

Policy implementation is more than just the alignment of one policy with other policies; it involves collaboration between different offices, such as HR and other municipal offices. Participants had the following to say in this regard:

P16 *Also you must bear in mind that certain positions, for instance, CFO, Municipal Manager – those positions are also influenced by our political heads, be it the Premier or MECs – but mostly the Premier (sic).*

P1 *Alignment? Not really. I think that you can attest to that, that the sector departments, they do not normally attend our IDP forums, so sometimes after you have completed your IDP – it is then that they will come and say that we are having this as a sector department (sic). So, there is no proper alignment.*

According to the participants below, there is no alignment because of the issue surrounding “financial years”. However, they did recognise the collaboration between individuals and groups in the process of successful alignment within the Kopanong Local Municipality.

P1 *So if we can align the financial years, and if there is an HOD at the department, and I am the Municipal Manager in a municipality – our performance objectives should be aligned, from national, province to municipalities, to say this is what we want to achieve (sic).*

P16 *Not my opinion, but I will give you a view and I will tell you why. As auditors we do not express opinions on performance information... I just want to emphasise every time to say that which measures are we (sic), from an audit perspective, we agreed from an auditing perspective where we refer to the audit directive – we have an audit directive that we publish and everybody will know about that (sic). But over and above that, the Auditor-General has a specific audit methodology.*

The Auditor-General has his/her own methodology, which is required for presenting reports and assessing financial distribution. This is something that all the contributors to the coherence and alignment process need to know.

P1 *I think the first one would be the different financial years, because if you recall the provincial and national – theirs end on the 31st of March, whereas the municipalities end off the 30th of June – and it starts on the 1st of July, so ... if we could plan at the same financial year we will be able to measure the same outputs (sic). So, sometimes you find the situation where the sector departments are left with a lot of money and they start giving out that money to the municipalities without following proper plans and procedures and municipalities will be faced with the situation where they will be underspending, things like that (sic). It has happened in my municipality where a*

particular department allocated money to us which we did not request and when it comes to the end of the financial year and we still did not underspend as a municipality (sic).

P4 *The reason being we will do alignment this way this financial year, but come audit processes, the Auditor-General will come with a different scope that they have developed on issues of alignment (sic).*

To clarify, two different financial years are utilised by the national financial office and municipal financial offices. The national government requires all funds allocated to be used between 1 April and 31 March of every year. The funds from the national office should be accounted for on an annual basis, while municipalities' financial year starts on 1 July and ends on 30 June annually. This could be considered in a positive light at the beginning of the financial year, as the municipality waits until the funds from the national office have been received, but on the other hand, it has to provide evidence on its expenditure months before its financial year ends.

P9 below speaks about the issue of employees working in silos:

P9 *Normally you'd hear the municipality working in silos. Remember the MM is the glue for all units; however, they still do not understand budget office together with your IDP and OPMS (sic). They work together even from IDP processes because you cannot develop your KPIs and KPAs and objectives without knowing what budget you have and currently that the challenge we have in municipalities (sic).*

Firstly, it is necessary to explain what KPA and KPI means. KPI stands for "Key Process Indicators", while KPA stands for "Key Process Area". KPIs are based on an agreed measurement, while KPAs are used to determine where the organisation's performance stands. This clearly shows that the budget has an influence on KPIs and KPAs. Therefore, lack of linkage and alignment could be a serious problem.

P7 ... unfortunately we have not been afforded an opportunity to sort of constructively and critical look at the IDPs in terms of how are they aligning their budgets and projects that have been identified (sic).

According to the participants, there is a lack of consultation; moreover, space is not provided for individuals or groups to contribute towards the process of aligning the three policies.

P9 And you will find that most OPMS officers will indicate to you that as a municipality the budget officer has leeway in terms of budget expenditure they take from, without consulting the Senior Managers to say perhaps there were certain priorities that were set (sic). You will find budget officers taking from whatever priorities that municipality or the mayor had set and then you will find that the municipality is not even able to perform on those because the money was then paid in to perform some other aspects (sic). In as much as we try to indicate to them, more especially with regard to basic services that they need to ring-fence their budget and so forth, we still haven't made headway to ensure that all those three work streams work together and understand how the other impact on the other (sic).

The participant above emphasised the lack of cooperation between individuals or groups in realising the alignment of the three policies; this is sorely needed in the process of effective service delivery.

P12 ... the uncoordinated functioning of internal departments in an institution, for example, you find an IDP Manager working in isolation from all other departments because the interpretation is that IDP is the baby of that person, whereas we know that he/she is supposed to facilitate and coordinate that (sic). If the budget office cannot talk directly to the planning office (which is the IDP Manager), the likelihood is that we will have lack of coherence in terms of OPMS, budget and IDP... One HOD could not take a lead in terms of seeing to it that the documents are signed off; the interpretation is that he/she is not sure whether these are going to be implemented (sic).

This participant emphasised the lack of collaboration between individuals or groups. The participant also focused on the specific offices, which are expected to work together, but appear to be working in isolation.

The participants quoted below refer to CoGTA and the Treasury, and also to inadequate public participation:

- P15** *Specifically in Kopanong, we have different platforms (like I indicated) on which we talk... We have standing engagements with CoGTA, SALGA, Treasury – we have standing engagements on that (sic).*
- P12** *Poor and inadequate public participation affects the coherence of the IDP, OPMS and the budget because we do not allow our people to set standards for us. People just mention issues and they do not know the implication of the budget (sic).*
- P13** *...that is performance management where the performance agreements between the Municipality and officials are submitted to CoGTA, and it does not come to us. It becomes a difficult thing to begin to say to a person – you did not do your job; especially when you are seated in Treasury (sic).*

Effective implementation of the three policies is seen to be affected in a negative way by the lack of collaboration at different levels. Individuals who work in specific offices and groups are expected to work together to ensure that the policies are implemented so that the Municipality as an organisation achieves its set goals.

4.6.4 Realistic presentations

For effective alignment to take place, different groups and individuals are expected to participate and present realistic aims and objectives. The lack of realistic presentations is presented below as impacting on the alignment of the three policies:

P1: *...we must be realistic; we do not just report for the sake of reporting, we report on things that needs to be done. And we address issues that are raised by the people. I think that will address the challenge again (sic).*

P15 *We do check that, but like now you will be coming from the budget perspective – you will not be coming from the original point of view. When I am looking at the IDP, for example, for Kopanong – I will be coming from a point of view that says, the money that is there – this is how much money the Municipality can be able to collect because the person from the IDP did not look at that (sic). To start with, he/she should have looked at that, to say how much money is there – what can I do (sic). What is the possible money that we can get in the next financial year? Take all this information in the budget and then we can, and then we have a comprehensive budget that has the projects that are going to take place (sic). But now, it does not happen like that, you have the person doing the IDP, with the list of things that are over and above the things we can afford (sic).*

There is a lack of realistic programme planning, which should be followed by implementation and reporting. However, some of these activities are done for the sake of meeting the requirements. This aspect presented by the participants is seen as similar to the issue of “financial years”, which are not in line with the national financial year. Hence, certain reports are drawn up for the sake of producing them, which also relates to the OPMS.

P2: *The lack is the issue of the timeframe; you will find that some of the items are not achieved according to the targeted dates because of the cash flow problem by then (sic). Let me make a typical example, in the last quarter of January to March, in terms of my indicator and IDP objective with that target, is that by the end of March, I should have graded all the gravel roads (sic). But I could not ... this was because of the capital or the cash flow by then which affected – and of which is a very serious problem (sic).*

According to P2 above, problems such as cash flow affect the achievement of certain projects; this mostly affects the IDP and the OPMS. The success of these projects requires systems that deal with the cash flow.

P3: *OPMS, it's only implemented on Senior Managers (sic) – like the MM and Section 56 Managers. It is only now that the Municipality is trying to cascade it down to other employees. So we thought of taking it in phases (sic). The Municipality has already procured a system...*

P13 *In most cases there is misalignment, where you find that the budget has been prepared and the IDP comes afterwards.*

According to the aforementioned participants, in the process of achieving the successful implementation of policies, mainly in activities that require funds, it is difficult for management to complete the set projects. Thus, they are referring to the fact that the three policies are meant to go hand-in-hand in terms of planning and implementation.

4.7 IMPACT OF LACK OF COHERENCE AND ALIGNMENT

When the participants were asked about the impact of the lack of coherence on the IDP, the budget and the OPMS they presented different issues. The lack of project implementation and of service delivery were mentioned as the main municipal roles that were affected. According to some of the participants, there is a lack of alignment, while others stated that there is alignment. Both groups presented their viewpoints on which they based their stance. They also state the different aspects they foresee or that they experience due to the lack of alignment:

P3 *It has got a huge impact actually because it also costs the municipality from another angle or element of discipline (sic). You are unable to discipline people, especially for poor performance, because how do you motivate that, how do you say this employee has underperformed when you do not have a tool in place to measure or to say this is the level at which I am expected to perform and I have not reached, what is it that is informing the municipality, should the municipality say we are dismissing you due to lack of or poor performance (sic).*

According to P3, in situations where specific individuals are not performing as expected, it is difficult for those who are supposed to hold them responsible to do so. This, on its own, impacts on the efforts towards ensuring coherence and alignment in the implementation of the three policies.

P3 *I think that is where we are missing it, that is an area where we need to improve before we even talk of coherence or the linkage, is to say does the person sweeping or making tea out there understand what the mission and vision of the Municipality is – the value system, what we stand for, do they understand budget, what role are they playing within the budget of the Municipality. Because as a local municipality we depend on revenue. You take a person like a field worker, do they understand that the work they are doing out there – what does its impact to the Municipality do (sic), do they know that when they go out to read water meters it actually escalates to their salaries at the end of the day (sic). So we need to start there before we talk of coherence.*

P3 further indicates that the issue of coherence and alignment in policy implementation is a united effort, and not only the responsibility of a select group. The participant also provides an example of office-based workers, such as cleaners, making it clear that all employees should be aware of the mission and vision of the Municipality in order for it to achieve its operational goals.

P3 *It is important because you cannot plan without a budget, at the same time you cannot budget without a plan. Because before you even budget, you need to have a plan in place. Those are for me the importance of linkage. And the performance actually plays the role because for the IDP person to know what is expected from them they need to be checked and measured as well (sic).*

P3 further recognises the need for planning and budgeting, which is the result of an individual or a group who are able to play their role at a certain level, which will ensure the achievement of goals. Hence, lack of planning and budgeting could be the result of unskilled individuals, or individuals who are not able to execute their tasks in a competent manner.

P17 *It will be difficult to implement some of the projects if you do not have that alignment of the IDP and budget, including the SDBIP. And, some of the Directors, they might not reach their targets due to the non-alignment of SDBIP, budget and IDP (sic). As a result, it will affect the service delivery towards the community, the people who*

should have services. So, it is imperative that we align our budget, IDP, as well as SDBIP (sic).

P 17 states that the major impact of the lack of coherence and alignment of these policies is that the Municipality is not able to achieve its main operational goal of providing the citizens with the necessary services:

P17 *I might say somehow there is a lack of not really alignment per se, but I will say some of the Directors within the Municipality, you may find that they might not reach their targets due to the fact that maybe we do not have enough revenue to implement some of the projects (sic). But this one under operation, because of the Municipality is struggling in terms of revenue collection (sic). Some of the projects goals or the objectives that we want to achieve under operational budget, we might not achieve all of them... So, that thing it might also have a negative impact in terms of the alignment or the implementation of some of the projects, even the monitoring part of it, if they are not implemented fully in the first financial year (sic). I might as well say that the lack of alignment in the three documents, it will be that the vision and mission of the Municipality would not be achieved as planned if those documents are not aligned (sic).*

Firstly, P17 refers to the fact that the Municipality battles with revenue collection, and this feeds into the budget. The budget is drawn up, based on the IDP, with the anticipation of certain collections being made, and in the end, such collections are not done. Not being able to make such collections impacts on the implementation of the projects in the IDP, and those individuals who are expected to report back are not always able to provide the necessary reports. This is also seen as an aspect that negatively affects the alignment or coherence of the policies.

P4 *The impact that we have experienced due to a lack of coherence is that we received a very serious query in the last financial year from the Auditor-General. It is a paragraph from the audit opinion. Another challenge was that previously we were not involving the internal audit during the setting of the targets and objectives because inputs of the internal audit play a critical role as well as their inputs during middle of the financial year when they audit the*

scorecards (sic). Previously we did not consider the comments of the internal audit in consideration (sic).

According to P4, the Kopanong Local Municipality has to present reports on its internal audit; often these audit reports are not acceptable due to the lack of alignment and coherence.

P6 *It is an area that is a challenge, in local government generally. It is a challenge in a sense that it is a planning technique requirement and the quality of planning techniques differ, from one space, from one municipality to another (sic). From one person who's holding a position to another, from one person who is directing a grand strategy or vision to another. From one leader to another, from one community expectation to another.*

P1: *If there is lack, it means that you would not be implementing projects as expected by your communities. Therefore, there should be synergy or an alliance amongst the three, because if done the community will realise that the Municipality is listening to them. In terms of performance management, there is a need for development of a clear type of work plans (sic), and those work plans they should talk through to what are the plans for the entire Municipality for a particular individual to be able to execute it. Without clear work plans and that have clear budgets and clear timeframes that it will be very difficult for the Municipality to implement whatever objectives and plans that they have developed for the Municipality (sic). So, to me it's one crucial area and because of employee skills you have identified a specific skill, that would implement that particular plan, then you would have closed the gap between non-coherence on performance management and budgeting, including planning itself (sic).*

According to P1, the lack of coherence and alignment has produced work plans, which are not clear without the budget, and, most importantly, the work plans lack timeframes. These types of plans are difficult for municipal employees to implement. This is linked to employee skills, the need for the preparation of plans, budgeting, and the implementation of the plans.

P9 *Performance in the three is affected by lack of knowledge and understanding. Mainly the municipalities do not understand the importance of performance management; they also do not understand that it is one monitoring tool that you use to monitor your IDP (sic). They then neglect to ensure that they have systems in place. Policies can be developed and go to Council, even though sometimes when you look into these policies they are not credible. Secondly, some municipalities might have a framework and system in place; however, Municipal Managers still do not understand that it's one of their duties, in as much as the Mayor is the custodian of performance management system, but Municipal Manager is the driver of performance management system (sic). You will find that even management meetings do not deal with issues of performance. Remember that performance management system, ideally, you want to understand where you are and if you did not manage to achieve your targets, you then want to come up with remedial actions towards addressing those gaps (sic). So for them they leave it as an ad hoc compliance issue, malicious sometimes, because they just as and when provincial and national department insist on getting information (sic), that's only when they then try to scramble and try to get information. Therefore, they do not do it as a tool that they can use to ensure the IDP is a living document in order for them to be able to monitor progress as per the IDP (sic).*

P9 above states that employees within municipalities demonstrate a lack of understanding of their roles in the process of ensuring coherence and alignment, and the importance of performance management, and how it could be used as a monitoring tool. This was the result of a lack of understanding of personal responsibility within implementation, monitoring and reporting.

P13 *...it is no longer the issue of balancing this bigger picture of the Municipality or the existence of the Municipality, the IDP (sic). We find ourselves moving away from the core or the founding responsibility of delivering services and we are at a point of managing on how are we going to see tomorrow – where is my salary going to come from (sic).*

According to this participant, the lack of alignment is derailing the Municipality from its core and founding responsibility, which is delivering services to its communities.

4.8 CHAPTER SUMMARY

The purpose of chapter was to present the different themes and outcomes from the data collected, using the face-to-face interviews that were conducted with the participants who were selected for the research process. This section assisted in delving deeper into the alignment of all the strategic apparatus in local government. It also presented the different themes, and discussed them as they related to the coherence, alignment and implementation of the IDP, the OPMS and the budget in the Kopanong Local Municipality.

The next chapter will discuss the themes and use these themes to provide answers to the research questions. Furthermore, it will utilise the results to present the model that the Kopanong Local Municipality could utilise to ensure coherence and alignment in the implementation of the IDP, the OPMS and the budget.

CHAPTER 5

DISCUSSION AND CONCLUSION

5.1 INTRODUCTION

Every problem interacts with other problems and is therefore part of a system of interrelated problems (Ackoff, 1974). The solution to a dilemma within an organisation can seldom be found by solving each of the problems independently or individually (*ibid.*). Hence, efforts to deal with each challenge separately accelerate the general derailing of an organisation away from its process of achieving its vision and mission.

The aim of this chapter is to discuss the data collected from the participants on the alignment and coherence of the IDP, the OPMS and the budget in municipalities, with particular reference to the Kopanong Local Municipality in the Free State Province. The data collected in this study was used to answer the following questions:

- What is the type of linkage needed between the IDP, the budget and the OPMS?
- Why is it necessary for an organisation to have coherence in its IDPs, OPMS and budget?
- What is the perception of the employees of the Kopanong Local Municipality on the current status of the IDP, the OPMS and the budget?
- How is coherence and alignment of the IDP, the OPMS and the budget achieved within the Kopanong Local Municipality?
- What do the Kopanong Local Municipality employees perceive as a practical method of aligning the IDP, the OPMS and the budget?
- What is a practical model of ensuring the coherence and alignment of the IDP, the OPMS and the budget in the Kopanong Local Municipality?

The following section presents the information collected from different sources (including the literature review) to provide answers to the first two questions, while the answers to the other questions will be based entirely on the analysis of the interviews with the participants.

5.2 THE LINKAGE BETWEEN THE IDP, THE BUDGET AND THE OPMS

This section intends to answer the following research questions:

- What type of linkage is needed between the IDP, the budget and the OPMS?
- Why is it necessary for an organisation to have coherence in its IDPs, its OPMS and the budget?

Based on the literature review and policy documents, the study has established different ways in which the IDP, OPMS and budget link. Chapter 2 presented this information; hence, in this chapter the discussion and conclusion on the linkages will be provided.

There are different ways in which the South African Municipal Systems Act (2000:24) provides guidance in the preparation of the IDP and how it relates to other policies, such as the budget and the OPMS. The literature has shown that the Municipal Systems Act requires municipalities to prepare a single plan for the development of the communities they serve, which links, integrates and coordinates plans, and takes into account proposals for the development of municipalities. Furthermore, the literature presented that policy coherence and alignment are necessary to ensure that the resources and capacity of a municipality are utilised to achieve the service delivery goals. Moreover, the IDP is presented as a collective exercise documented to achieve a municipality's set developmental goals, which depend on the available and allocated funds through budgeting (Sebai, 2013).

The study found that these three policies overlap in design and documentation. The challenge originates from their implementation, as Van Donk (2008) observed. The study also indicated that municipal systems' legislation provides the necessary framework for the three policies. The OPMS provides the monitoring structures, with the budget being the necessary fuel for the IDP.

Based on the literature review and the documentation, it is observed that the IDP has to present the long-term development vision of a municipality, with a focus on transformational needs. Furthermore, it has to be seen as a framework for municipal development and presents the guidelines necessary for the attainment of the activities. Based on this data from the literature

it becomes evident that the achievement of the activities presented in the IDP requires different types of resources, such as financial and human resources.

The literature further indicated that the IDP is expected to focus on the public's needs, even though in some situations problems might be encountered. One of these problems is a lack of knowledge and skills in those expected to implement the IDP. It is proposed that an effective public budgeting approach should be democratic, not forgetting the values and principles preceding good governance, which are accountability, consistent consultations, capacity building, collaborative decision-making, openness and transformation, effectiveness and efficiency, and responsiveness (Matsiliza, 2012:451).

Furthermore, it emerged that an IDP presents specific projects that a municipality will implement in different areas; it has to be coherent and align with the budget and the OPMS. The participants in the study stated that it is imperative that the IDP, as the framework, has to clearly link to thesis two (the budget and OPMS). They cited situations where a project was included in the IDP, but not in the budget, noting that such projects would be difficult to implement successfully. This was presented as another way of indicating non-alignment. Some participants stated that if a project was found in both the IDP and the budget, but those who were expected to monitor and ensure the success of such a project were not able to work together, this would not facilitate the process of coherence and alignment. In simple terms, there should be synergy between these three policy documents. Hence, the plans in the IDP should also be included in the budget.

Another issue that should be addressed by the management of municipalities is work plans, or rather, the lack of work plans. Work plans indicate when and how municipal officials will complete their planned projects, as per the IDP and the budget. These timeframes must at least be linked to the SDBIP (in other words, they must be based on the quarters of the financial year).

The custodians of these documents (the IDP, the budget and the OPMS), which in this case are the Mayor and Municipal Manager, must be seen as being hands-on; in particular, where they are required to oversee the operation of the process. Indeed, some Mayors do not even know what an IDP document is. They have also not seen the budget of their own municipality because

they leave the work in the hands of officials. It is important that the Mayor, with the assistance of the Accounting Officer, must be seen to be hands-on at all times.

Data from the literature reviewed for this study demonstrated the need for coherence and alignment of the IDP and the budget. Johnston (2016) supports this statement by indicating that the OPMS provides for improved financial performance and the alignment of financial resources. Similarly, Van de Molen *et al.* (2001) presented the OPMS as a tool for policy design and to measure an individual's performance.

Lack of proper budgeting could be a source of policy implementation problems (Rodman, 1968). This was witnessed in the current study as the participants stated that a lack of skills, and knowledge and understanding of the budget, affected coherence and alignment. Budgeting has been presented as a complex process (Needles *et al.*, 1993), which involves different types of budgeting (Reddy *et al.*, 2003).

Municipalities in the Free State are severely challenged in the alignment of their IDPs, OPMS and budgets. This was found during IDP assessments, including that municipalities lack coherence. The tool that is used to conduct IDP assessments is called the Credible IDP Framework; all the questions are based on the Key Performance Indicators (KPAs) in local government. The KPAs are good governance and public participation, municipal financial viability and management, local economic development, institutional transformation, and basic service delivery. This process prompted the researcher to scrutinise the topic under study.

Harrison (2001) highlights the challenges facing the successful implementation of IDPs, including the use of IDPs to direct budgeting processes, as well as the continued lack of integration and linkages between the different spheres of government. Another challenge relates to the poor quality of analysis and reports, which are produced by ill-prepared planners whose focus is on spatial planning, and the poor participatory process. There is also institutional conflict around planning issues involving officials resistant to change. Other challenges involve newly elected, inexperienced councillors; poor linkages between planning processes at district and local level; and difficulties in linking planning and budgeting processes with varying timelines (Alebiosu, 2005:76).

The data from the study showed that despite the challenges noted by the participants, there is alignment and coherence within the implementation of the IDP, the OPMS and the budget policies, as presented in the documents. The study found that the challenges in regards to a lack of alignment, as listed by Alebiosu (2005), were not related to the policy documents, but were related more to operationalising the policy documents.

The next sections indicate that there is a group of individuals who do not see coherence and alignment in the implementation of the three apparatus in the Kopanong Local Municipality, as they focus on the practical part of the application.

5.3 PRACTICAL COHERENCE AND ALIGNMENT OF THE IDP, OPMS AND BUDGET

This section intends to answer the following questions:

- i) What is the perception of the employees of the Kopanong Local Municipality on the current status of the IDP, the OPMS and the budget?
- ii) How is coherence and alignment of the IDP, the OPMS and the budget achieved within the Kopanong Local Municipality?
- iii) What do the Kopanong Local Municipality' employees perceive as a practical method of aligning the IDP, the OPMS and the budget?

The participants noted the complexity of the practical achievement of the coherence and alignment of the apparatus, further stating that their successful implementation would require integration. The study presented two groups of participants, who were at opposite ends of a continuum, where on the one end they argued that there was no coherence and alignment, and on the other end, there was strong agreement on the presence of alignment.

5.4 A PRACTICAL METHOD OF ALIGNING THE IDP, OPMS AND BUDGET

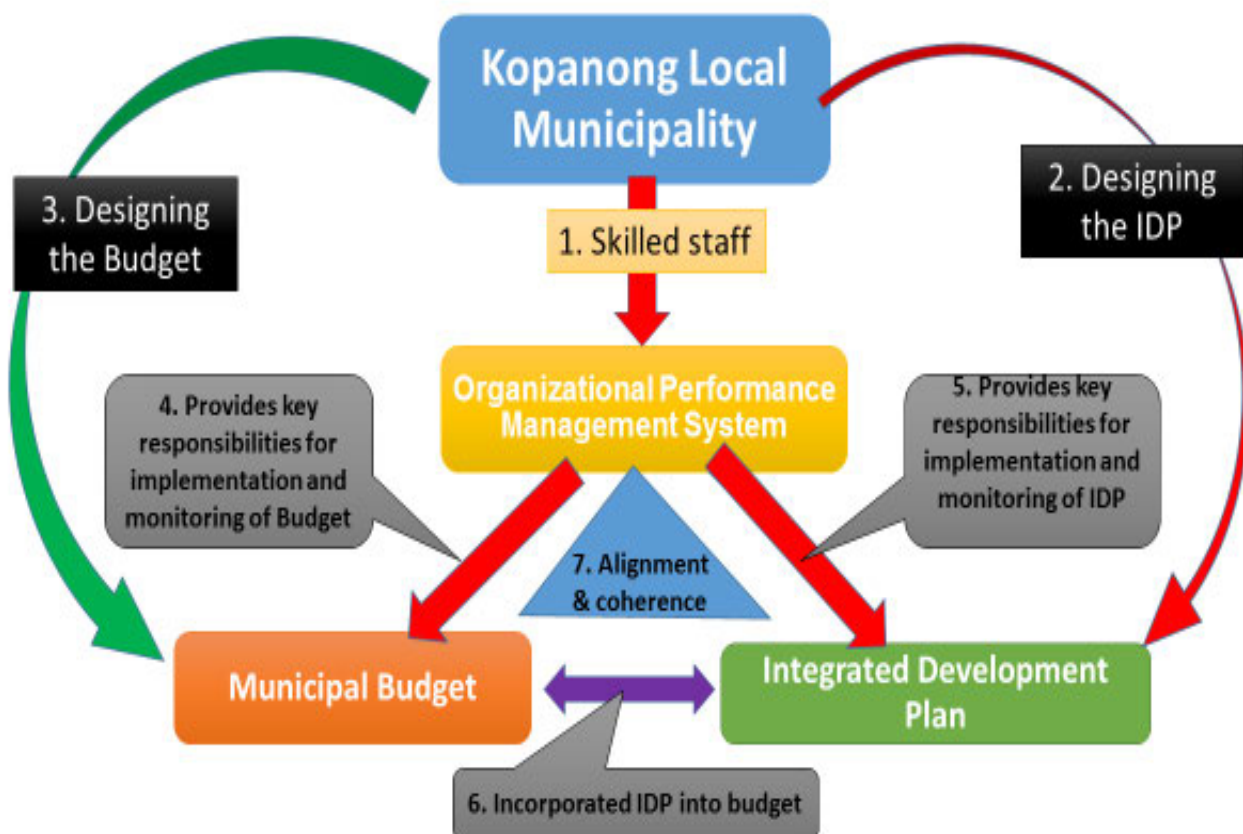
Based on the data analysis in Chapter 4, Figure 5.1 presents the conceptual model for aligning and linking the IDP, the OPMS and the budget. The discussion of Figure 5.1 will cover the following topics:

- Skilled staff;
- Designing an IDP based on the budget;

- The OPMS provides the key responsibilities of the implementation and monitoring of the budget and the IDP; and
- A summary of the linkage and the alignment between the IDP, the OPMS and the budget.

This model was derived from the interview data from the participants, which noted a lack of alignment within municipalities in the Free State. It includes information from the Auditor-General's Reports. The audit reports indicated that challenges relating to service delivery in local government could also be attributed to the lack of alignment and coherence between the three policy documents under study. Therefore, this model presents how municipalities can enhance their processes to address the lack of alignment and coherence between the IDP, the OPMS and the budget.

Figure 5.1: A conceptual model to align and link the IDP, the OPMS and the budget



5.4.1 Skilled staff

According to May (2013:5), the second part of the implementation theory links different practices to the process, and shares the division of labour among all employees, which could also be described as “skill set workability”. Research has shown that the successful achievement of coherence and alignment is based on the skills of the workforce. The workforce is expected to design the programmes, which would constitute the IDP, and provide the specific goals to be achieved. The data collected in the current study indicated a lack of skilled labour as one of the major factors contributing to a lack of coherence and alignment in the implementation of the three policies. May (2013) refers to this as capability. This study’s data further indicated that the process of utilising so-called “deployment” at certain levels of administration brought in unskilled labour. Political deployment brought in individuals who did not have the skills required for the achievement of the three policies’ goals.

May (2013) also referred to the execution of the social roles by individuals within a municipality. According to May (2013), individuals assume certain social roles within organisations based on their relations with the organisation. Hence, political deployees would perceive themselves in a certain way within the general municipal operational framework and have certain expectations. This influences the implementation of policies, and the monitoring and reporting of the progress of activities planned to ensure the achievement of the goals and objectives.

5.4.2 A summary of the linkage and alignment between the IDP, OPMS and budget

May (2013) referred to the cognitive resources within policy implementation. This factor was also observed in this study. Individuals’ knowledge, understanding and skills play an important role in the design of an IDP and a budget. Knowledge, understanding and skills constitute the cognitive resources (May, 2013).

According to May (2013), often the policy being implemented within government institutions is complex, which could be labelled as a complex intervention. This complex intervention brings together cognitive and behavioural aspects that involve different material and cognitive practices, relations and interactions. The individuals who are responsible for the implementation and interaction with complex interventions engage with multiple objects of

practice. These objects of practice could include classifications, artefacts, techniques, and different technologies or organisational systems. The complex intervention could include all of these, and this is an area of significant interest in the social sciences. The attributes of the components of complex intervention have been noted to impact on the intervention strategies during the implementation process. These attributes include their virtual or physical character, the assumptions about those who are expected to implement and those who are receiving the benefits from the implementation, their complexities in practice and in the social relations that they engender, and their expected value. The elements come together to constitute a more unified structure that shapes the relations between individual employees (May, 2013).

This demonstrates the relationship between the possibilities presented by a complex intervention and the two aspects, which are workability and integration. Based on this concept of implementation, the process could be seen as a new way of thinking about workability and integration, which organise action (policy implementation). The policy implementation requires specific cognitive and behavioural practices for its success or failure.

Therefore, the capability of employees responsible for the implementation process and the operationalisation of a complex intervention depend on its workability and integration within the organisational structure. Hence, a lack of sustainable workability and integration could affect the implementation process and result in its success or failure.

Generally, the translation of employees' capacity into collective action depends on their potential to enact the policy implementation process. This implies that organisational readiness to effectively implement policies "is a shared psychological state in which organisational members feel committed to implementing organisational change and are confident in their collective abilities to do so" (May, 2013:8).

Potential in policy implementation is a valuable process, which has important features of context, "such as organisational culture and operational environment, which are expressed through change valence and change usefulness" (May, 2013:7). Social-cognitive resources are highly interactive in the sense that they emphasise the accomplishments, shared values and commitments of groups. No matter how much individual potential and commitments are valued socially, implementation processes are largely collective and collaborative in their form and

direction. Two translational mechanisms are at work here, and they form the key dimensions of the construct:

- Individual intentions are expressed as employees' "readiness to translate individual beliefs and attitudes into behaviours that are congruent, or not congruent, with system norms and roles" (May, 2013:7). The employees present their personal motivation to participate in the process of policy implementation.
- Shared commitments relate to employees' readiness to translate different "beliefs and attitudes into behaviours that are congruent, or not congruent, with system norms and roles. They frame shared commitment of participation in the process of policy implementation" (May, 2013:7).

Employees' capability to operationalise a process of policy implementation and convert it into action to achieve their goals depends on the social-cognitive resources available to them. These resources can be observed in employees' attitudes and intentions, and shared values and commitment to ensuring the successful implementation of the policy. The implication of this is that a complex intervention is disposed to normalisation into practice if agents both individually intend and collectively share a commitment to operationalising it in practice. If the potential cannot be sustained, then the embeddedness of the policy implementation will be threatened as employees' commitments are withdrawn.

The success or failure of integrated implementation depends on the social systems that are formed (May, 2013). These social systems within an organisation are formed when employees take up their social roles and norms within the organisation. As these roles and norms are adopted by individuals or by a group, employees interact with each other providing a flow of information and support mechanisms required for successful implementation. These individuals or groups intentionally contribute to the actions required as individuals or as a group for the achievement of the set organisational goals.

This shows that playing a part within the policy implementation process requires that through their own actions individually and as a group, employees make things happen. These individuals have their own legacies, beliefs, self-regulatory capabilities and distributed structures, which play an important role in policy implementation. The success or failure of

any policy implementation within an organisation depends on employees' continuous contributions that carry forward in time and space (May, 2013:9).

Employee actions as collective, coordinated and cooperative are important in the process of policy implementation. According to May *et al.* (2003), employees' contributions in collective action could lead to the achievement or attainment of the organisational goals. These authors (2003) further assert that the employees' operation is shaped by organising structures and social norms. These specify the rules and roles that frame their actions, and the group processes and interactional conventions through which certain actions are accomplished.

The employees' actions in the process of implementing a complex integration of policies could be characterised by four dimensions, namely:

- Coherence or Sense-making, which May (2013:8) describes as the meaning that employees bring to a complex intervention and how they make sense of possibilities within a specific area. Coherence and sense-making provide an understanding on how employees make sense of their involvement in a complex intervention.
- Cognitive Participation is explained as a process in which employees "legitimize and enrol themselves and others into a complex intervention. They frame how participants become members of a specific community of practice" (May, 2013:8).
- Collective Action is described as a process in which employees "mobilize skills and resources and enact a complex intervention. They frame how participants realise and perform the intervention in practice" (May, 2013:8).
- Reflexive Monitoring has been described as the level at which employees "assemble and appraise information about the effects of a complex intervention within their field of agency, and utilize that knowledge to reconfigure social relations and action. They frame how participants collect and utilise information about the effects of the intervention" (May, 2013:8).

When employees work towards the implementation of a policy they collectively express their intent to work towards the achievement of the goals. Through these, they contribute in dynamic reflexivity, continuously making and acting upon their sense of the form and application of a complex intervention, and at the same time appraising its effects. Equally, they invest in directed action, continuously building and acting upon the relational features, and performing the material practices needed to implement and embed the complex intervention in practice. This aspect demonstrates that a complex intervention is inclined to be adopted and normalised into practice, only if those responsible (individual employees) put an effort in working towards proper practical implementation. The participation towards ensuring that the specific policy is implemented should be sustained in order to have this complex intervention continue to achieve the set goals.

5.5 LIMITATIONS OF THE STUDY/RESEARCH CONSTRAINTS

During data collection, some of the participants showed no interest in the collection of information in relation to this research. Others avoided the face-to-face interviews by providing reasons for not being available for the process, citing being busy with their official work. Precisely because of their negative attitude, it took the researcher more time to attend to the other participants.

The researcher decided not to accept the information that was emailed to him by some of the participants, as it did not answer the schedule questions directly. The researcher was also aware that the emailed information, which was not based on the schedule and planned questions, had the potential of providing incorrect data for the research. Other participants who formed part of the interview plan kept postponing their appointments, to such an extent that the researcher took a decision not to go ahead with interviewing them, and finalised the study without their contribution. In other departments and sections, due to the unavailability of the people who were meant to be interviewed for the study, the researcher had to request those who were available to take part in the study and to be interviewed.

5.6 CONCLUDING THOUGHTS ON THE COHERENCE AND ALIGNMENT OF THE IDP, OPMS AND BUDGET WITHIN KOPANONG LOCAL MUNICIPALITY

The practical process of implementing the policies under study has to present how to use the three documents to achieve the set goals and meet the expectations of those receiving the services. This practical process requires individuals with specific skills, knowledge and understanding. The study found that the availability of skills, knowledge and understanding in municipal employees is inadequate to achieve the goals in an effective manner. Skills do not only cover the ability to act, but also the ability to complete the activities with the set financial resources, proper collaboration as individuals or as a group, and reporting or accounting for the processes.

Based on the data discussed, the study found that the three policies are coherent and aligned within the documents, but this is not the case with their practical implementation. Hence, the study provides the following conclusions:

- Coherence and alignment of the policies could be achieved if the Kopanong Local Municipality could provide a clear mandate on the monitoring/accountability (the OPMS) of the individuals who are expected to oversee the design and implementation of the activities (the IDP) of the Municipality, utilising the available financial resources (the budget).
- Coherence and alignment in policy implementation could be achieved if there was a skilled, knowledgeable and understanding workforce. These types of employees would follow the set processes to design the activities and goals (the IDP) within the limited financial resources (the budget) and provide the reporting (the OPMS) necessary.

This study endeavoured to provide information in relation to the development and improvements, including matters of compliance, which have taken place and are still taking place in municipalities. The study indicated that the implementation of the IDP, the OPMS and the budget within local government is closely related to the employees. Considering the key recommendations within this research, municipalities in general (in South Africa) should educate themselves on how to successfully deal with the coherence and alignment of the IDP, the OPMS and the budget in their own space. It is through consistent implementation of these strategic planning documents that municipalities, like the Kopanong Local Municipality and

many other municipalities, will progress. If they cooperate with the community, CoGTA, the Treasury, the Auditor-General and other institutions that they are accountable to, they can triumph in aligning these strategic documents. In this instance, all their KPAs, KPIs, targets, objectives, baselines, plans and service delivery issues will be achieved. On the other hand, this study outlined some of the challenges facing municipalities, which are associated with development and implementation in the local government sphere.

Turning to data collection, the face-to-face interviews and observation through visiting individual participants assisted the researcher in obtaining a clearer understanding of the views of the participants. The researcher further noted a passion among the participants for the real issues in municipalities and how these issues can be addressed.

The model developed in this study is a modest theoretical contribution, which places the focus on the following aspects of service delivery in municipalities:

- A clear alignment of all the strategic apparatus in the local government sphere;
- The creation or strengthening of a culture of performance budgeting excellence amongst employees;
- Leadership qualities that lead to service delivery excellence;
- The contribution of internal systems (including policies, procedures, the budget, the IDP and the OPMS) to intergovernmental relations and infrastructure development;
- Legislation that stipulates local government's responsibility and accountability in terms of service delivery; and
- The importance of human capital, good governance, environmental stability and economic growth for achieving realistic and perfected service delivery goals; and
- The need for continuous monitoring, maintenance and enhancement of the quality of service delivery at the coalface of local municipalities.

Thus, the model should enable local municipalities to address management and leadership performance matters; but, it must also adhere to and incorporate national and provincial legislation, as required in the alignment processes. This process will assist in the following ways:

- It will help utilise and meet all the legislative requirements that drive external and internal service delivery systems;
- It will set clear, realistic goals to meet the service delivery needs of communities;
- It will link, integrate and co-ordinate all programmes;
- It will take into account proposals for the development of a municipality from various stakeholders and as stipulated in the Municipal Systems Act (2000);
- It will align the resources and capacity of the municipality with the implementation of the IDP, the OPMS and the budget;
- It will form the policy framework and general foundation on which annual budgets must be based;
- It will make provision for continuous monitoring of achievements;
- It will comply with national and provincial development plans and planning requirements;
- It will establish a performance management system that will set appropriate key performance indicators and measurable performance targets with regard to each of the development priorities and objectives;
- It will evaluate progress against the key performance indicators;
- It will review its performance and take steps to improve performance with regard to those development priorities and objectives that were not met;
- It will establish a process of regular reporting to the Council, other political structures and political office bearers, the staff of the municipality, the public and appropriate organs of state; and
- It will monitor the management of the local municipality's administration in accordance with the directions of the Council.

This study ensured that it achieved its goal of articulating a model for the alignment of the IDP, the budget and the OPMS in local municipalities. This study also provided useful information and facts to municipal leadership, municipal management, and specifically managers who are appointed to deal with these strategic matters in municipalities, and to other policy implementing institutions that seek to provide better services to citizens in general.

The study found that document coherence and alignment is achieved by clearly presenting the process of preparing the activities, and executing the policies and the different responsibilities

of individuals in this process of coherence. The coherence and alignment within the policies also involves a reporting process and the required use of financial resources. Therefore, the study suggests that the coherence and alignment of policies is part of policy implementation, which has two levels. The first level involves incorporating coherence and alignment within the policy documents themselves, and the second is the practical alignment of the policies.

5.7 SUGGESTIONS FOR FURTHER RESEARCH

Enhancing service delivery issues in South Africa revolves around the alignment and implementation of the IDP, the budget and the OPMS. However, the study of local government is broad in the sense that much can still be uncovered in the delivery of services, including the management of local municipalities in general.

From this study, the key issue that emerged was the alignment of strategic apparatus in municipalities. The research examined policy documents and their implementation to assist and balance them with the IDP, the budget and the OPMS in municipalities. The theory on policy implementation provided the lens to examine coherence and alignment in the process of the sustained delivery of services, which is dependent solely on practical activities. Therefore, there is a need to critically examine the strategies utilised to ensure that the practical alignment is achieved through the training and support of all those responsible for this process.

5.8 CHAPTER SUMMARY

This chapter provided clarity on the issues, which the participants presented in their interviews, and in the analysis of their interviews by the researcher. This analysis will enable the Kopanong Local Municipality to address problematic areas in the implementation of the IDP, the OPMS and the budget in its environment. The chapter also provided suggestions for further research.

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APPENDIX 1

INFORMED CONSENT DOCUMENT

Dear Participant,

My name is Begizizwe Ephraim Mdhluli (*student nr: 214537859*). I am a PhD candidate studying at the University of KwaZulu-Natal, Howard College, Durban Campus. The title of my research is: *The alignment of the Integrated Development Plan (IDP), Organisational Performance Management (OPM) and budget: A case study of Kopanong Local Municipality in the Free State Province, South Africa.* The aim of the study is to (The specific aims and objectives will include the following: To investigate issues of alignment among practitioners of the IDP, OPMs and the budget in local municipalities. To investigate factors affecting alignment and coherence of the IDP, OPMs and the budget (as tools used to provide services to the municipal residents). To assess the alignment that the guidelines from the Department of Cooperative Governance and National Treasury provide to municipalities as part of the alignment of these critical tools in local councils).I am interested in interviewing you so as to share your experiences and observations on the subject matter.

Please note that:

- The information that you provide will be used for scholarly research only.
- Your participation is entirely voluntary. You have a choice to participate, not to participate or stop participating in the research. You will not be penalized for taking such an action.
- Your views in this interview will be presented anonymously. Neither your name nor identity will be disclosed in any form in the study.
- The interview will take about 1 hour and 30 minutes.
- The recording as well as other items associated with the interview will be held in a password-protected file accessible only to myself and my supervisors. After a period of 5 years, in line with the rules of the university, it will be disposed by shredding and burning.
- If you agree to participate please sign the declaration attached to this statement (a separate sheet will be provided for signatures)

I can be contacted at: School of Social Sciences, University of KwaZulu-Natal, Howard College Campus, Durban. E-mail: [REDACTED] / b [REDACTED];
Cell: [REDACTED].

My supervisor is SLB Nadvu who is located at the School of Social Sciences, Howard College Campus, Durban of the University of KwaZulu-Natal. Contact details: email, nadvis@ukzn.ac.za Phone number: 0 [REDACTED].

The Humanities and Social Sciences Research Ethics Committee contact details are as follows: Ms Phumelele Ximba, University of KwaZulu-Natal, Research Office, Email: ximbap@ukzn.ac.za, Phone number +27312603587.

Thank you for your contribution to this research.

APPENDIX 2

INTERVIEW SCHEDULE

The purpose of this interview schedule is to test the opinion of the participant (through face-to-face interviews) regarding issues that relate to the coherence and alignment of the IDP, OPM and budget. There will be more focus on the matters that they perceive to be negative/positive. The information will be treated with confidentiality at all times. The researcher will accept inputs that will contribute to the maximum improvement of the research.

For more information and confirmation regarding the research and the researcher, participants can be in contact with **Dr. SLB Nadvi at 031 260 7336**, during office hours.

Introduction and the purpose of the research will be:

- a) To ensure coherence of the IDP, OPMS and budget in local municipalities
- b) To investigate whether there is alignment of the IDP, OPMS and budget in Kopanong Local Municipality, and
- c) To ensure that the new model for alignment of the IDP, OPMS and budget is put in place.

Kopanong Local Municipality	Key questions/(Transcripts):
Participants	1. Is there a proper mechanism that is applied optimally during the implementation of the IDP, the budget and Performance Management? (i.e. community input or comments from public consultations, Provincial IDP Assessments, Provincial Budget bilateral). 2. Are the legislation and/or regulations regarding the three municipal apparatus implemented as required? 3. Are the officials who are assigned these tasks working according to what is required from them? 4. Is there a programme that encourages cooperation between the IDP Manager, the Budget Manager and the OPMS Manager to avoid them from working separately? 5. Whether a municipality is conscious of its Constitutional and Policy Mandate for developmental local government? 6. Whether a municipality is aware of its role and place in the regional, provincial and national context and economy? 7. Whether an IDP provides a comprehensive description of the area, in terms of its environmental and spatial characteristics?
✓ Mayor	
✓ Speaker	
✓ Municipal Manager	
✓ Chief Finance Officer	
✓ Director Corporate Services	

✓ Director Community Services	8. Whether an IDP has a clear strategy, which is based on developmental needs? 9. Whether an IDP contains key deliverable for the next five years? 10. Whether there is a monitoring system for the Organisational Performance Management System?
✓ Director Technical Services	11. Are the right people given the right jobs? 12. What future exists in their careers? 13. Why there is a need for linkages between the IDP, the budget and Performance Management?
✓ IDP Manager	14. What is the impact of lack of coherence in IDPs, the budget and OPMS? 15. What are the consequences of these tools not cohering?
✓ OPMS Manager	16. Who are the officials dealing with these documents; are they working together? 17. What informs the IDP when there is no budget; what informs the budget if there are no projects?
✓ Budget Manager	18. Why are IDPs not aligned to Sector Plans? 19. Why IDPs are not aligned to the budget?
✓ Internal Audit Manager	20. Why IDPs are not aligned to Organisational Performance Management? 21. Why IDPs are not aligned to Service Delivery and Budget Implementation Plan? 22. What needs to be done to ensure that there is alignment on all the tools mentioned? 23. What is the impact of not having a coherent IDP, budget and OPMS? 24. What in your opinion is the lack of coherence in the IDP, OPM and budget in municipalities?

South African Local Government Association (SALGA)	
Participants (This should be Managers who are responsible for supporting Local Municipalities).	Key Questions/Transcripts
Chief Executive Officer (National Office)	1. What is the role of SALGA in assisting KLM in ensuring that they comply with MFMA and other regulations? 2. How far is the process of ensuring that SALGA has trained municipalities on agreements signed with Municipal Workers Unions? 3. What are the challenges facing local municipalities in relation to the IDP, budget and OPM? 4. What are the mechanisms your department are putting in place in order to assist local municipalities, in particular Kopanong LM? 5. What in your opinion is the lack of coherence of the IDP, OPM and budget in municipalities?
IDP/OPMS Manager	1. What is the programme of SALGA in relation to training local municipalities, both officials and politicians on the IDP and Performance Management?

	2. What are the necessary skills that Councillors should acquire in order to administer local municipalities according to the laws? 3. How did your department ensure that local municipalities assisted people with skills and that are qualified? 4. What in your opinion is the lack of coherence in IDP, OPM and budget in municipalities?
Budget Manager	1. What is the programme of SALGA in relation to training local municipalities, both officials and politicians on the IDP, budget and Performance Management? 2. What are the mechanisms your department are putting in place in order to assist local municipalities? 3. Have you ensured that your staff assist municipalities in full wherever they lack assistance? 4. What are the budget methods that your department is putting in place in order to ensure compliance and what is required by the law/acts? 5. Have you trained municipalities on circulars, as developed by National Treasury? 6. How are they important in the lives of SALGA and that of municipalities? 7. What in your opinion is the lack of coherence in the IDP, OPM and budget in municipalities?
Chief Executive Officer (Provincial Office, Free State)	1. What is the role of SALGA in assisting KLM in ensuring that they comply with MFMA and other regulations? 2. What are the issues/challenges facing local municipalities in the Free State and how are you deciding to resolve them? 3. What are the trainings that you have provided to the municipalities in the Free State? 4. Manager(s) of the IDP, Budget and OPMS are struggling to align these strategic apparatus/documents within local municipalities; how are you preparing to support them? 5. What in your opinion is the lack of coherence in the IDP, OPM and budget in municipalities?
IDP/OPMS Manager	1. Whether an IDP contains clear and measurable budgets information with implementation plans aligned to the Service Delivery, Budget and Implementation Plan? 2. What is the importance of circulars as developed by National Treasury? Is there any impact? 3. When will your department ensure that municipalities are supported with enough staff who is qualified and skilled? 4. What qualification do you need in order to ensure that qualified individuals in municipalities execute the IDP and OPMS? 5. What in your opinion is the lack of coherence in the IDP, OPM and budget in municipalities?
Budget Manager	1. Is it correct to decrease equitable share because the population in municipalities has dropped, according to the IDP demographics? 2. What is the role of the Budget Manager in assisting local municipalities in relation to the alignment of the IDP, budget and performance processes? 3. When municipalities are developing their budget timelines, is your department ensuring they are compliant? 4. What are the basics that need to be implemented and/or followed by municipal staff that will make them successful in implementing the budget in municipalities?

	5. What in your opinion is the lack of coherence in the IDP, OPM and budget in municipalities?
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National Treasury	
Participants (This should be Managers who are responsible for supporting Local Municipalities).	Key questions/Transcripts
Budget Manager	1. Whether an IDP contains clear and measurable budget information with implementation plans aligned to the Service Delivery, Budget and Implementation Plan? 2. Has the Department provided any training regarding budget processes within the Municipality? 3. What are the mechanisms that your department is putting into place regarding budgeting and IDP process in the Municipality? 4. During the Budget Bilateral, has the municipality shown any improvement, and what was the view of the department regarding that? 5. Has the department provided any training regarding the budget, IDP and performance management in the Municipality? 6. How many times does the department visit the Municipality for monitoring and support purposes? 7. What in your opinion is the lack of coherence in the IDP, OPM and budget in municipalities?
Grants Manager	1. What is your department doing in ensuring what Section 53(1)(c)(ii) states: a detailed plan approved by the Mayor of a municipality on delivery of services and the execution of annual budget and which must include (as part of the top layer) the following: • Projections of each month of Revenue to be collected • Operational and capital expenditure, by vote • Service delivery targets and performance indicators for each quarter? 2. How important is the SDBIP in the lives of the Municipality and does it bring any difference in the planning, performance and grants cycle of the Municipality? 3. What is the status and performance of grants in municipalities? 4. What results in the equitable share and budget in municipalities being decreased? 5. How does your department intend to assist municipalities that depend on grants in our country? 6. What in your opinion is the lack of coherence in the IDP, OPM and budget in municipalities?
MFMA Manager	1. Are the circulars developed by your department bringing any change to the lives of people in local municipalities? 2. What is the impact brought about in the lives of local municipalities by Circular no 11, and does it continue to promote accountability by all stakeholders?

	3. What is the requirement of the MFMA (Sec 17(3)) in relation to the application of performance management that starts with the budgeting process in municipalities? 4. What is the role of your department in ensuring that Section 152 of the Constitution is upheld by local municipalities? 5. How is your department making sure that it assists local municipalities in setting Key Performance Indicators that are relevant to the environment, and that are effective? 6. What in your opinion is the lack of coherence IDP, OPM and budget in municipalities?
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Provincial Treasury	
Participants (This should be Managers who are responsible for supporting Local Municipalities).	Key Questions/Transcripts
Budget Manager	1. What are the relevant documents that your department needs when compiling budget within municipalities? 2. Are municipalities compiling budget as required by the Act? 3. What are methods that your department has put in place in order to ensure that municipalities are complying with relevant legislation in compiling the Annual Budget? 4. What are the minimum qualifications of the people employed in municipalities that deal with the budget? 5. What is the effectiveness of budget interns in Municipalities and in your opinion are we capacitating them accordingly? 6. What in your opinion is the lack of coherence in the IDP, OPM and budget in municipalities?
Grants Manager	1. What grants do your department assist municipalities with? 2. The level of right utilisation of these grants by municipalities, is it satisfactory? 3. What are the implications of deviating from a certain grant and using it for another reason that what it was meant for? 4. What are the mechanisms that your department has put into place in ensuring that communities know about these grants as part of public participation? 5. What in your opinion is the lack of coherence in the IDP, OPM and budget in municipalities?
MFMA Manager	1. MFMA Circular no 11 has been developed to provide guidance on the preparation of the Annual Report and is issued in consultation with COGTA. What is the progress in this regard? 2. MFMA reinforces the provision of municipal performance management as set out in the Systems Act by introducing a performance element into budgeting and financial reporting. How is this helping municipalities? 3. MFMA circular no 13 provides guidance and assistance to municipalities in the preparation of the SDBIP. What is the impact of this circular? Is it being implemented? 4. What is the impact of municipalities involving the public on matters of performance?

	5. What in your opinion is the lack of coherence in the IDP, OPM and budget in municipalities?
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National Office Cooperative Governance and Traditional Affairs	
Participants (This should be Managers who are responsible for supporting Local Municipalities)	Key Questions/Transcripts
Director: IDP	1. CoGTA has been visiting Local Municipalities in the Free State for support and guidance. How is that being maintained by your department? 2. Has there ever been any training that you provide to ensure municipalities are on par with the developments in the country? 3. Has the department attempted to minimise the number of templates regarding the IDP, budget and OPM? 4. Has the third generation of IDP made any positive change in the lives of our people and is there any improvement? 5. Does the department ensure that what is brought to the municipalities is implemented accordingly, and how? 6. Has the department considered deploying staff permanently in the Municipality(s) who can provide progress reports on what is required in terms of the IDP, budget and OPMS? 7. Do relevant and/or qualified people do the IDP assessments? 8. What in your opinion is the lack of coherence in the IDP, OPM and budget in municipalities?
Director: OPMS	1. What is the relevant legislation utilised to ensure compliance in municipalities for the implementation of the IDP, budget and OPMS? 2. What is the process followed to provide support to both municipalities and provincial staff on performance management? 3. What is the progress in what White Paper on Local Government (on p. 32) says that national performance management is required to assess the overall state of local government, and monitor the effectiveness of development and delivery? 4. What is your department doing in ensuring that municipalities are compiling the Annual Report with what is required by the law? 5. What in your opinion is the lack of coherence in the IDP, OPM and budget in municipalities?
Director: Monitoring and Evaluation	1. What are the methods that your departments use in monitoring performance in municipalities; are there any systems in place? 2. How do you ensure that Municipalities are reporting according to Section 46 of the Municipal Systems Act? 3. Which objectives and targets of the IDP are best implemented in terms of monitoring and evaluation? 4. What is the impact of Outcome 9 in relation to the alignment of the IDP, budget and OPMS? 5. What has your department done to ensure intensive support to municipalities?

	6. What are the roles and responsibilities of the different stakeholders in terms of planning, monitoring, assessment, and evaluation according to relevant legislation? 7. What in your opinion is the lack of coherence in the IDP, OPM and budget in municipalities?
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Office of the Auditor General (Provincial Office)	
Participant(s) (This should be Managers who are responsible for supporting Local Municipalities).	Key Questions/Transcripts
Audit Manager	1. What is the plan of the AG's office regarding assisting KLM to receive a clean audit? 2. How do you plan to improve the performance information of KLM? 3. Which measures are you planning to put in place in order to ensure alignment and coherence of the predetermined objectives? 4. Is there any communication between COGTA, SALGA and Treasury regarding support to Municipalities, in particular KLM, to improve alignment and coherence of the IDP, OPM and Budget? 5. Any support regarding training to KLM regarding the approach to the clean management of finances? 6. What in your opinion is the lack of coherence IDP, OPM and budget in municipalities? 7. The Office of the AG at National has viewed performance of the Municipality as not really promising. What is your view on that and what is the way forward?

Adapted from Maree *et al.* (2007:95-97).

End of interview schedule.

Thank you for your participation in this process.

Mr. B.E. Mdhluli (PhD Student, University of Kwazulu-Natal, Supervisor: Dr SLB Nadvi)

APPENDIX 4

THE PERMISSION LETTER FROM THE KOPANONG LOCAL MUNICIPALITY

Address all correspondence to:
The Municipal Manager
Kopanong Local Municipality
Private Bag X23
TROMPSBURG
9913
E-Mail: [REDACTED]



Tel: 051-7139200
Fax: 051-7130335

OFFICE OF THE MUNICIPAL MANAGER

05th July 2016

[REDACTED]
DEWETSDORP
9940

Attention: B.E Mdhuli

Dear Sir

PERMISSION TO UNDERTAKE RESEARCH FOR A PHD IN POLITICAL SCIENCE

You are hereby informed that Kopanong Municipality grants you permission to undertake research as part of the PhD in Political Science as requested.

We further wish you all the best in your academic endeavors and hope you achieve all you anticipate.

Kindly inform the Office of the Municipal Manager timeously before the commencement of your project for further assistance.

I hope you will find the above in order.

Kind regards,

[REDACTED]

LYMOLETSANE (Me)
MUNICIPAL MANAGER