



**KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans
and Ugu District Municipality's development agenda**

by

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DECLARATION

I, **Nonhlanhla Aurellia Zamisa**, declare that:

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NA Zamisa

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DEDICATION

It is an honour as I dedicate this study to my late father, Mr Mbekeni Elias Zamisa who demised in 2019 after a short illness. My father did not have the opportunity to go to school at his childhood stage. He used to tell us that in their days, in the community where he grew up; boys were deported to the farms as labourers where they will start by looking after calves and graduate to more hard labour as they grew up. Working hard on a farm at his age inspired him to want his children to get educated even though he didn't earn sufficient to take care of the needs of his family while taking care of the education-related costs. He was, however, persuaded by wanting a brighter future for his children so that they do not endure the hardships that he went through. It became a culture of the family where everyone had to go to school against all odds.

I salute you my father for having been the father you were, rest well; you shall forever be missed.

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GLOSSARY OF ACRONYMS

AGSA	Auditor-General of South Africa
APP	Annual Performance Plan
CoGTA	Cooperative Governance and Traditional Affairs
DBSA	Development Bank of Southern Africa
DDM	District Development Model
DCoG	Department of Cooperative Governance
DCoGTA	Department of Cooperative Governance and Traditional Affairs
DIF	District Intergovernmental Forum
DPLG	Department of Provincial and Local Government
DPME	Department of Planning, Monitoring and Evaluation
EA	Executive Authority
EC	Ethical Clearance
GCIS	Government Communication and Information Systems
HoD	Head of Department
IDP	Integrated Development Plan
IGR	Intergovernmental Relations
IGRFA	Intergovernmental Relations Framework Act
ILGM	Institute for Local Government Managers
KZN	KwaZulu-Natal
KZNCoGTA	KwaZulu-Natal Department of Cooperative Governance and Traditional Affairs
LGTAS	Local Government Turn-Around Strategy
MDB	Municipal Demarcation Board
MEC	Member of the Executive Council
MIG	Municipal Infrastructure Grant
MinMEC	Minister & Members of the Executive Councils
MSIP	Municipal Support and Intervention Plan
MTAS	Municipal Turn-Around Strategy
MTEF	Medium Term Expenditure Framework
MTSF	Medium-Term Strategic Framework
NCoP	National Council of Provinces
NPC	National Planning Commission

NCU	National Coordinating Unit
NT	National Treasury
OSS	Operation Sukuma Sakhe
PCS	Parliamentary Communication Services
PCC	President's Coordinating Council
PCF	Premier's Coordinating Forum
PL	Provincial Legislature
PEC	Provincial Executive Council
PSR	Public Service Regulations
RDP	Reconstruction and Development Programme
SALGA	South African Local Government Association
SAPS	South African Police Service
SDBIP	Service Delivery Budget Implementation Plan
SPLUMA	Spatial Planning and Land Use Management Act.
STATS SA	Statistics South Africa
TSF	Technical Support Forum
UDM	Ugu District Municipality
UIFW	Unauthorised, Irregular, Fruitless and Wasteful
WSDP	Water Services Development Plan

ABSTRACT

South African municipalities are part of a system of government entrusted to fulfil fundamental human rights and developmental vision for enhanced municipal service delivery through coherent planning. Significant with this system of government, is that provincial and national spheres have a constitutional obligation to support the local sphere. In Ugu District, despite water being a human right and 27 years having lapsed since the ushering of a developmental state; many communities still have no access to potable water whilst others have intermittent supply. This situation depicts whether the KwaZulu-Natal Department of Cooperative Governance and Traditional Affairs lives up to its mandate to nurture Ugu District Municipality, which is responsible for provisioning potable water supply systems within the developmental focus. This study thus focused on understanding the status of sector plans expressing planned service delivery to determine responsiveness to Ugu District Municipality's development agenda. The study theorised the Systems Theory to understand complex natural and social systems focusing on cooperative governance and coherent planning as tools to harmonise systems and accountable service delivery. Located within the interpretivism paradigm, the research was designed qualitatively using a case study strategy. The approach was to establish an in-depth knowledge of challenges besetting Ugu District Municipality; assess the coherence of performance indicators and targets and solicit suggestions to strengthen the relevance of sector plans. Primary data from interviews and secondary data analysed through textual or content analysis revealed that sector plans are partially coherent because indicators and targets are not specific and explicit. The research revealed no platforms available for the Municipality to input on relevant measures, and they do not know what is contained in such sector plans. The study, therefore, recommends that processes be improved to allow UDM to participate in setting indicators, including monitoring and reporting on implementation, making them more direct and explicit.

Key Words: Sector plans, development agenda, water supply systems, support, monitoring and reporting.

TABLE OF CONTENTS

DECLARATION	ii
DEDICATION	iii
ACKNOWLEDGEMENTS.....	iv
GLOSSARY OF ACRONYMS	v
ABSTRACT	vii
TABLE OF CONTENTS	viii
LIST OF APPENDICES	xvi
LIST OF FIGURES.....	xvii
LIST OF MAPS	xviii
LIST OF MATRICES	xix
LIST OF TABLES	xx
CHAPTER 1 OVERVIEW AND CONTEXT OF THE STUDY	1
1.1 INTRODUCTION AND BACKGROUND	1
1.2 ORIENTATION TO THE STUDY	2
1.3 CONSTITUTIONAL IMPERATIVES	2
1.4 RESEARCH PROBLEM STATEMENT	5
1.5 RESEARCH QUESTIONS.....	7
1.6 RESEARCH OBJECTIVES	7
1.7 SIGNIFICANCE OF THE STUDY.....	8
1.8 PRELIMINARY LITERATURE REVIEW	8
1.8.1 Government pursuit of the developmental agenda	8
1.8.2 Government framing, and powers and functions.....	9
1.8.3 Provincial government inter-jurisdiction in municipal matters	10
1.8.4 Deception of provincial government statutory powers on municipal matters	11
1.8.5 Provincial government municipal support and monitoring obligations	13
1.8.6 Service delivery challenges at Ugu District Municipality	14

1.9	RESEARCH DESIGN AND METHODOLOGY	17
1.9.1	Research design	17
1.9.2	Research strategy	18
1.9.3	Study site	18
1.9.4	Participants and target population	18
1.9.5	Sample size	19
1.9.6	Sampling strategy	20
1.9.7	Data collection methods	20
1.9.8	Data quality control	21
1.9.8.1	Credibility	21
1.9.8.2	Transferability	22
1.9.8.3	Dependability	22
1.9.8.4	Confirmability	22
1.9.9	Data reduction and analysis	23
1.9.9.1	Data analysis	23
1.9.10	Ethical consideration	23
1.10	LIMITATIONS OF THE STUDY	24
1.11	KEY TERMS AND DEFINITIONS	24
1.12	CHAPTER INVENTORY	25
1.13	CHAPTER SUMMARY	26
	CHAPTER 2 CONCEPTUAL AND THEORETICAL FRAMEWORK OF PROVINCIAL AND LOCAL GOVERNMENT DEVELOPMENT AGENDA	28
2.1	INTRODUCTION	28
2.2	ROLE OF THEORY IN RESEARCH	28
2.3	SYSTEMS THEORY AND ITS TRADITIONAL CHARACTERISTICS	29
2.3.1	Genealogy of the Systems Theory	29
2.3.2	System dimension in the Systems Theory	30
2.3.3	Holism as fundamental philosophy of the Systems Theory	32
2.3.4	Cooperation and complexity in systems	33

2.3.5	Basic concepts of the system.....	34
2.4	SYSTEMS THEORY AND THE SOUTH AFRICAN SYSTEM OF GOVERNMENT.....	35
2.4.1	Subsystems and hierarchy	35
2.4.2	Notion of open or closed system and system boundary	37
2.4.3	Complexity in provincial government and municipalities.....	39
2.4.4	Input-transformation-output model and feedback loop	40
2.4.5	Collaborative and co-operative governance	41
2.5	THEORETICAL MODEL: HOLISM AND SOUTH AFRICAN COOPERATIVE GOVERNMENT SYSTEM	42
2.5.1	Holism and South African cooperative government system	43
2.5.2	Recognizing systemic complexity and mending relations	44
2.5.3	Institutional arrangements for intergovernmental relations.....	47
2.5.4	Collaborative process required for a responsive sector plan	47
2.6	CHAPTER SUMMARY	51
	CHAPTER 3 NATIONAL-PROVINCIAL-MUNICIPAL GOVERNANCE, RELATIONS AND SECTOR PLANS.....	52
3.1	INTRODUCTION	52
3.2	Government inter-jurisdictional powers.....	53
3.2.1	Constitutional imperatives.....	54
3.2.1.1	Jurisdiction of government	54
3.2.1.2	Notion of developmental state underpinning government powers and functions	55
3.2.1.3	Designed government and developmental agenda	56
3.2.1.4	The government inter-jurisdictional powers.....	58
3.2.1.5	Securing and affirming constitutional democracy.....	62
3.2.1.6	Public administration and national fiscal powers	63
3.2.2	Local Government: Municipal Structures Act.....	64
3.2.2.1	Responsibility to establish municipalities	64
3.2.2.2	Divisions of powers and functions	65
3.2.3	Local Government: Municipal Systems Act.....	66

3.2.3.1	Unpacking the developmental mandate in legislation.....	67
3.2.3.2	Institutionalised performance management.....	68
3.2.3.3	Provincial government monitoring and support	68
3.2.4	Intergovernmental Relations Framework Act.....	70
3.2.5	The Public Service Act	71
3.2.6	Public Finance Management Act.....	72
3.3	MUNICIPAL SUPPORT AND MONITORING.....	72
3.3.1	Setting of mechanisms, processes, and procedures	73
3.3.2	The MEC's duty to act	74
3.3.3	Historic support and monitoring measures.....	77
3.3.4	District Development Model	80
3.3.5	Municipal support and intervention plans	82
3.4	DECEPTION OF PROVINCIAL AND NATIONAL GOVERNMENT STATUTORY POWERS	83
3.5	SECTOR PLANS AND DEVELOPMENTAL AGENDA INTERFACE	86
3.5.1	Coherence in government.....	86
3.5.2	Repositories for developmental agenda.....	88
3.5.3	Municipal planning environment influence on sector plans.....	90
3.6	VOICES ALLUDING TO GOVERNMENT INCAPACITY	92
3.6.1	Faltering local government.....	92
3.6.2	Local government elusive development capacity.....	95
3.6.3	Service delivery challenges affecting Ugu District Municipality.....	98
3.7	CHAPTER SUMMARY	103
	CHAPTER 4 RESEARCH DESIGN AND METHODOLOGY	104
4.1	INTRODUCTION	104
4.2	CONCEPTUALISING RESEARCH.....	104
4.3	PHILOSOPHICAL FOUNDATIONS INFORMING RESEARCH	106
4.4	RESEARCH PARADIGMS.....	106
4.4.1	Genesis and conception of research traditions	106

4.4.2	Positivism	108
4.4.3	Interpretivism	108
4.4.4	Critical realism	109
4.4.5	Epistemological influence on research.....	110
4.4.6	Ontological perspective.....	111
4.4.7	Axiological perspective.....	113
4.5	RESEARCH DESIGN	114
4.5.1	Scope and categories of research.....	114
4.5.2	Objectives of research perspective	115
4.5.3	Selected category and type of study	116
4.5.4	Research approaches and the suitability of the selected research approach.....	117
4.5.5	Qualitative research approach	118
4.5.6	Research design justification.....	119
4.6	RESEARCH STRATEGY	120
4.6.1	Case study research strategy.....	120
4.6.2	Study site	121
4.7	DATA COLLECTION	123
4.7.1	Interviews	125
4.7.2	Documentary evidence	126
4.8	SAMPLING PROCESS	127
4.8.1	Target population.....	128
4.8.2	Sample size.....	129
4.9	DATA QUALITY CONTROL	130
4.10	DATA ANALYSIS	131
4.10.1	Qualitative content analysis.....	131
4.10.2	Transcription and accessing documents	132
4.10.3	Coding data.....	132
4.10.4	Matrix analysis	133
4.10.5	Constant comparison analysis	134

4.11	ETHICAL CONSIDERATIONS.....	134
4.12	CHAPTER SUMMARY	136
CHAPTER 5 DATA PRESENTATION AND INTERPRETATION.....		137
5.1	INTRODUCTION	137
5.2	QUESTIONS FOR THE RESEARCH STUDY	137
5.3	DATA PRESENTATION AND ANALYSIS	138
5.3.1	Data from interviews	138
5.3.1.1	Participants' biographical information	138
5.3.1.2	Cooperative governance and intergovernmental relations	139
5.3.1.3	Developmental mandate and service delivery obligation.....	142
5.3.1.4	Coherence in public service delivery planning.....	144
5.3.1.5	Institutional capacity and public accountability	148
5.3.1.6	Municipal support and monitoring	152
5.3.2	Data from documents	154
5.3.2.1	Planned indicators	154
5.3.2.2	Ugu District Municipality decade development agenda.....	155
5.3.2.3	Reflection of development agenda in 2019-2022 annual execution plans	157
5.3.2.4	Development agenda reflection on the 2016/17 execution plan.....	159
5.3.2.5	The UDM development agenda comparison to KZNCoGTA Strategic Plan	161
5.3.2.6	Clarification on KZNCoGTA output indicators	165
5.3.2.7	Linkage of development agenda and KZNCoGTA Annual Performance Plans	167
5.3.2.8	Direct and indirect beneficiation of UDM outputs.....	171
5.4	INTERPRETATION OF FINDINGS.....	174
5.4.1	Research question one	174
5.4.2	Research question two.....	175
5.4.3	Research question three.....	176
5.4.4	Research question four	177
5.5	CHAPTER SUMMARY	178

CHAPTER 6 CONCLUSION AND RECOMMENDATIONS	179
6.1 INTRODUCTION	179
6.2 SYNTHESIS OF CHAPTERS.....	179
6.3 CONCLUSION	181
6.3.1 Development challenges besetting Ugu District Municipality.....	181
6.3.2 UDM development agenda and KZNCoGTA sector plans.....	183
6.3.3 Constraints in KZNCoGTA sector plans to advance UDM development agenda.....	184
6.3.4 Strengthening KZNCOGTA sector plans to advance UDM's development agenda	185
6.4 RECOMMENDATIONS	186
6.4.1 Development challenges besetting Ugu District Municipality.....	186
6.4.1.1 Strengthening cooperative governance and intergovernmental relations.....	186
6.4.1.2 Improved planning and alternative services delivery mechanisms	187
6.4.1.3 Intergovernmental collaboration and UDM debt collection.....	188
6.4.1.4 Intergovernmental war against illegal connections at Ugu District.....	189
6.4.1.5 Social compacts and stakeholder relations	189
6.4.2 UDM development agenda by KZNCoGTA sector plans	189
6.4.2.1 Context of sector plans	189
6.4.2.2 Content on sector plans	190
6.4.2.3 Process of developing and popularizing sector plans.....	190
6.4.3 Constraints for the KZNCoGTA sector plans.....	191
6.4.3.1 Service delivery planning and implementation processes.....	191
6.4.3.2 Benefits of compliance monitoring	192
6.4.3.3 Implementation of IDP programmes and projects.....	192
6.4.4 Strengthening KZNCOGTA sector plans	192
6.4.4.1 Streamlining development and implementation of sector plans.....	192
6.4.4.2 The impact of top-down approach.....	193
6.5 CHAPTER SUMMARY	194
6.6 FINAL REMARKS AND AREAS FOR FUTURE RESEARCH	194
6.6.1 Main finding.....	194

6.6.2	Suggestions for future research	194
6.6.3	Evaluation of research	195
6.6.3.1	Contribution at the theoretical level	195
6.6.3.2	Contribution at the empirical level	195
6.6.3.3	Contribution at the practical level	195
6.7	LIMITATIONS TO THE STUDY.....	196
REFERENCES.....		197
ANNEXURES.....		217
Appendix A: Ethical Clearance		217
Appendix B: Re-certification Ethical Clearance		218
Appendix C: Informed Consent		219
Appendix D: Interview Guide		221
Appendix E: Gatekeeper’s Letter		224
Appendix F: Language Editor Certificate		226

LIST OF APPENDICES

- Appendix A: Ethical Clearance
- Appendix B: Re-certification Ethical Clearance
- Appendix C: Informed Consent
- Appendix D: Interview Guide
- Appendix E: Gatekeeper's Letter
- Appendix F: Language Editor Certificate

LIST OF FIGURES

Figure 2.1: Collaborative model.....	51
Figure 4.1: Research Process	106

LIST OF MAPS

Map 4.1: Nine Provinces	122
Map 4.2: Ugu District Locality Map	123

LIST OF MATRICES

Matrix 5.1: UDM decade development agenda	155
Matrix 5.2: Responsiveness of SDBIPs to decade development agenda	157
Matrix 5.3: Responsiveness of 2016-17 SDBIP to 2026-17 development agenda	160
Matrix 5.4: Connection of UDM development to KZNCoGTA Strategic Plans.....	162
Matrix 5.5: Linkage of UDM development agenda and KZNCoGTA APP.....	168

LIST OF TABLES

Table 1.1: Key terms and definitions	24
Table 4.1: Types of research and associated aims	116
Table 4.2: Measurement scales and characteristics	125
Table 5.1: Research questions and objectives	136
Table 5.2: Participants' Biographical information	139
Table 5.3: Summary of participant demographics	139
Table 5.4: KZNCogTA Output Indicators	164

CHAPTER 1

OVERVIEW AND CONTEXT OF THE STUDY

1.1 INTRODUCTION AND BACKGROUND

The Constitution of the Republic of South Africa, 1996, (herein referred to as the RSA Constitution, 1996) prescribes powers and functions for the three spheres of government in Schedules 4 and 5 (De Visser, 2019:6). Local government is posited as the point of servicing the communities as contemplated in Sections 152 and 153 of the RSA Constitution, 1996. Section 153 directs municipalities to provide basic services and promote socio-economic development (Tapscott; 2006:3; Ndevu & Muller, 2017:14). Drawing on Reddy, Nzimakwe and Ramlucken (2012:11), municipalities represent the state's image and in the eyes of the public generally, are responsible for redressing the imbalances of the past. As contemplated in Section 84 of the Local Government: Municipal Structures Act, 1998; UDM as a district municipality renders basic services such as purified water supply systems, supply of bulk electricity, sewage disposal systems and regional roads provisioning. However, some empirical studies such as Mwelase and Dzwauro (2021), Gumbi (2017), and Dlamini-Tshazi (2021) reveal serious water supply challenges within the district. The Authors suggest that UDM is far from reaching full coverage of basic service provision within the set norms due to a plethora of reasons including governance deficiencies. The constitutional system of government never envisaged municipalities to address service delivery on their own due to the role the RSA Constitution, 1996, and secondary statutes assign to provincial and national government. Under the circumstances, the provincial government's role in service delivery is critical due to the scope which includes the duty to establish, regulate, monitor, capacitate, support, and intervene in municipalities (Kanyane, 2016:95; Reynecke, 2012:3, Murray & Simeon, 2011:238, Van Niekerk & Dalton-Brits, 2016:119). Local government legislations specifically assign the constitutional obligations for nurturing municipalities to an executive authority responsible for local government (Khaile, 2018:46 - 47). The Author avers that an MEC "Member of the Executive Council" for the local jurisdictional government is seized with powers towards ensuring that municipalities fulfil their obligations. Sector plans present an opportunity to understand the extent to which the KZNCoGTA sector plans contribute towards the realisation of the UDM's development agenda. The selected strategic plans and annual performance plans and UDM Integrated Development Plans (IDPs) together with relevant Service Delivery and

Implementation Plans (SDBIPs) together with in-depth knowledge derived from one-on-one interviews played a significant role to identify the gaps and make recommendations of the study.

In this chapter, a general introduction and overview of the thesis is provided in its logical sequence. The chapter included the research background, research problem, research questions, research objectives, the significance of the study, preliminary literature review and the theoretical approach. This chapter also summarises the research design and methodology outlined in the research paradigms, the philosophical worldview adopted and the research site. The target population, sampling method and strategy, data collection, data quality-control techniques, data analysis, ethical considerations and limitations of the study are also discussed. In concluding this chapter, the forthcoming chapters of the dissertation are outlined.

1.2 ORIENTATION TO THE STUDY

This study is designed following a qualitative research method using a case study research strategy with reference to UDM. It probes the extent to which the KwaZulu-Natal Department of Cooperative Governance and Traditional Affairs (KZNCoGTA) advances the UDM development agenda. The study set out to answer four key research questions and objectives. The thesis is structured into six chapters made up of the Overview and context of the study found in Chapter 1, the Conceptual and theoretical framework of provincial and local government development agenda presented in Chapter 2, the Legislative framework and strengthening the municipal domain located in Chapter 3, the Research design and methodology presented in Chapter Four, Data presentation and interpretation outlined in Chapter 5; and Conclusion and recommendations put forward in the last chapter.

1.3 CONSTITUTIONAL IMPERATIVES

The Constitution of the Republic of South Africa, 1996 (herein referred to as RSA Constitution, 1996) through its supremacy, is symbolic of the post-apartheid era in South Africa (Ndevu, 2017:8), setting the basis for any conduct and promulgation of laws. The fundamental values of human dignity, parity and the rights and freedoms for all people as contemplated in the RSA Constitution, 1996, that ought to be realised is emphasised herein. The RSA Constitution, 1996, contemplates that the obligations it prescribes must be fulfilled. Provided in Chapter 2 are the details of the rights that must be progressively fulfilled. According to Davis (2012: 2); Qwabe

(2013:27), and Fuo (2014:125) amongst others; the state is responsible for ensuring that the rights listed in the Bill of Rights are respected, protected, promoted, and fulfilled.

Section 153 of the RSA Constitution, 1996, directs municipalities to provide basic services and promote socio-economic development (Ndevu & Muller, 2017:14; Tapscott; 2006:3). Citizens inherently experience government through municipalities due to the proximity and the institutional interface through councillors who are assigned the necessary ward-level responsibilities. Drawing on Reddy, Nzimakwe and Ramlucken (2012:11), municipalities represent the state's image and in the eyes of the public generally, they are responsible for redressing the imbalances of the past. The RSA Constitution, 1996, and statutory provisions from its subordinate legislations posit all spheres of governments as being charged with the obligation of fulfilling the imperative for a developmental state considering powers and functions vested in each sphere on an exclusive or concurrent basis (Munzhedzi, 2014:699).

In KwaZulu-Natal (KZN), as contemplated in KZN Provincial Treasury (2017:6); KZNCoGTA was established as a department responsible for local government matters. Therefore, KZNCoGTA is a department strategically located to influence the development agenda in the local sphere and is duty-bound as an intermediary between the local and provincial jurisdictional governments to enhance the capacity of UDM, which is one of the 54 municipalities in the greater KZN region. Regarding the research, UDM is reflected as one of those district municipalities facing several service delivery and governance challenges which includes water provision that continues to be compromised. Mwelase and Dzwauro (2021), Hlongwane (2017), and Gumbi (2017), similarly to Dlamini-Tshazi (2021), reveal serious water supply challenges within the district, and state that UDM is far from satisfying its developmental mandate. There are also governance deficiencies which are manifested in UDM's consistently poor audit outcomes. Most often, municipalities are directly criticised for unprecedented situations. Sekgala (2016), Mathonsi and Sithole (2015), and Tsheola (2014) for instance are among a plethora of studies lamenting the failures of municipalities. The clear constitutional obligations that are entrusted upon both the national and provincial jurisdictional governments to support the local sphere are often forgotten when the failures of municipalities are exposed and deliberated upon. What becomes a fundamental issue in situations like what is currently prevalent at UDM, is the effectiveness of the constitutional system of government. This is a system which guarantees that the local sphere has at its disposal both the national and the provincial jurisdictional governments to rely upon to fulfil its obligations. The researcher argues that municipalities were never designed to stand on their own. If all answers are

to be probed for the failing municipalities, provincial and national governments should be equally accountable. From this context, this study seeks to shift focus from UDM as the sole arbiter on its development agenda and direct attention to the powers entrusted upon KZNCoGTA as an intermediary between UDM and KZN provincial government.

The KZNCoGTA's sector plans present an opportunity to understand the way UDM's development agenda is enhanced. This reorientation considers the fact that UDM sets its development agenda following integrated development planning (IDP) processes which result in the adoption of its five-year IDP (Asha & Makalela, 2020:2) implemented incrementally through an annual plan known as the Service Delivery and Development Plan (SDBIP) (Madumo, 2015:162). The mindset that went into this study is that KZNCoGTA's APP contains the information that is needed to ascertain the extent to which support is provided to UDM to address service delivery issues as set in its IDP. The question is whether anyone can by simply looking at the KZNCoGTA sector plan point to indicators that support the UDM indicators and whether KZNCoGTA is accountable or can be held accountable for the failing state of UDM.

This study is unique in the sense that it does not focus on the alignment of the sector plans. The locus and focus are rooted in establishing which indicators contained in the KZNCoGTA sector plans for the past years within the relevant Medium-Term Expenditure Framework (MTEF) period are shaped similarly to those of UDM. This study traverses at the central tenant of the system of government with its ability to tease out the prospects towards the ultimately transformed living environment where all people meet their material needs within the jurisdictional area of UDM. In this regard, KZNCoGTA sector plans are identified to be the hub from where one gets to understand the extent to which the UDM is supported to address service delivery issues identified through the IDP process and accommodated in the IDP. Sector plans falling within the period of the Medium-Term Strategic Framework (MTSF) 2019-2024 were targeted. This study offers recommendations to address the identified gaps.

A cooperative system of government is established for the national, provincial, and local jurisdictions; and required to cooperate (Sekgala, 2016:113; Mathenjwa, 2014:4) and pursue the developmental agenda guided by coherent planning. Maxegwana (2012:42) asserts that coherent planning is embedded in the development of the Five-Year Strategic Plans and Annual Performance Plans (APP) for each financial year. Sector plans, according to Fourie (2012:136), are instruments for organisations to determine in advance what they intend to achieve and upon

which their successes are based and reported. Local government legislation alludes to fundamental human rights for all citizens in the country as a safe and healthy environment, property, sufficient housing; health care, food, water, and social security; and education as priority matters for which collaboration should be pursued to reach the people.

1.4 RESEARCH PROBLEM STATEMENT

A centre that should ideally connect municipalities and the provincial jurisdictional government to fulfil the constitutional obligations towards the ability of municipalities to execute their functions is an MEC assigned local jurisdictional government responsibility (Khaile, 2018:47). Key local government legislation entrusts the responsibility upon the executive authority to establish, regulate, support, capacitate and monitor municipalities or even to recommend the Provincial Executive's intervention in terms of Section 139 of the RSA Constitution, 1996, when it becomes necessary.

Despite the system of government providing for provincial and national government obligations to municipalities, UDM faces several challenges rendering it ineffective in its developmental role. Surprisingly, Greffrath and Van der Walt (2016:160) revealed that a section 139 Constitutional intervention was invoked at UDM in 2013. The effectiveness of such intervention remains questionable as the Auditor-General of South Africa (2018:14) reports that UDM regressed in its 2016/17 audit outcomes (Dlamini-Tshazi, 2021:148). Moreover, the KwaZulu-Natal Water Master Plan (2021:10) reveals that more than 47% of its people do not have access to potable water. Such a situation is a serious indictment on the people of Ugu District considering that water was constitutionally declared 27 years ago as a human right and potable water supply systems are further listed under the competencies of municipalities, as contemplated in Schedule 4 Part B of the Constitution (De Visser, 2019:6).

According to Mwelase and Dzwauro (2021:137), water borne sanitation systems for UDM are dilapidated and not maintained which results in *Escherichia coli* counts on water sources, deemed a serious threat to the lives of the local communities and the environment. Mwelase and Dzwauro (2021), Nkabane (2019), Gumbi (2017), and Hlongwane (2017), similarly to Dlamini-Tshazi, 2021, point to several issues compromising the supply of water and sanitation services to the communities. Cele (2012:59) and Gumbi (2017:53 & 60) point to dry taps and the municipality not meeting the basic level service of access within 200 meters. Authors also states that some

community members must use natural water sources, which are unsafe for human consumption. Drawing from Todaro and Smith (2006; cited in Gumbi, 2017:7); lack of water can be destructive not only to the lives, but the economy and development including the environment which can be severely compromised. Section 1 of the Local Government: Municipal Systems Act of 1998 (herein referred to as the Systems Act) defines a basic municipal service as “a municipal service that is necessary to ensure an acceptable and reasonable quality of life and, if not provided, would endanger public health or safety or the environment”. It is not surprising that the state of development in UDM is in such a crisis considering what the Auditor-General of South Africa (AGSA, 2017:6) is asserting about the effects of poor audit outcomes on the developmental mandate. According to AGSA(2017:6), poor audit outcomes signal a problem for service delivery.

Sekgala (2016:113) notes that the provincial government fails to fulfil its obligations towards municipalities and tacitly concurs with Murray and Simeon (2011:238) who are also of the view that the provincial government has adequate powers to mitigate challenges in municipalities. The situation at UDM triggers interest to understand how the provincial government’s role is catered for from the strategic planning point of view. Proponents of strategic planning, like Fourie (2012:136); Bordean, Raileanu and Turtureanu (2009:144); and Bryson et al. (2018:2), aver that strategic planning is a process whereby institutions define the status quo and shape what needs to be done based on what needs to be achieved. Fourie (2012:136) and Nzimakwe (2012:146) state that a strategic plan contains what must be done captured as performance indicators and targets. However, no study has focused on this dimension, yet it is so crucial on the premise that a sector plan is the basis for judging performance.

The persistence of challenges rendering UDM to fail to optimise its development agenda may not only adversely compromise the citizens for which government exist to satisfy its needs and fulfil its rights, but it puts the entire system of government on the radar and risk of law suits and rejection by unhappy citizens who may ultimately become rebellious. The impact is likely to be felt throughout KZN and the country at large due to UDM’s strategic location on the coastline linking the Eastern Cape and Durban which makes the transport infrastructure network and other social and economic key points vulnerable. This study generally sought to refocus attention towards KZNCoGTA’s statutory role which is expected to be significant in its sector plans.

The approach adopted in this study is to interrogate the selected sector plans to determine how far KZNCoGTA operationalises the cooperative system of government to advance the development

agenda at UDM, which is expressed in its IDP and progressively fulfilled on an annual basis through the implementation of the SDBIP. The study generally sought to offer recommendations that are relevant to improve KZNCoGTA's ability to engage in planning that is informed by the UDM developmental agenda in this case.

1.5 RESEARCH QUESTIONS

The study probed the following key questions:

- What service delivery challenges are besetting Ugu District Municipality?
- To what extent do the KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans advance Ugu District Municipality's development agenda?
- What constrains the KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans to advance Ugu District Municipality's development agenda?
- Which measures can be suggested to strengthen the KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans to advance Ugu District Municipality's development agenda?

1.6 RESEARCH OBJECTIVES

The following were deemed appropriate research objectives for the study:

- To elicit service delivery challenges besetting Ugu District Municipality.
- To ascertain the extent to which the KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans advance Ugu District Municipality's development agenda.
- To identify constraints for the KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans to advance Ugu District Municipality's development agenda.
- To suggest measures to strengthen the KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans to advance Ugu District Municipality's development agenda.

1.7 SIGNIFICANCE OF THE STUDY

This study sought to influence attention to the role of KZNCoGTA, particularly its planned support and monitoring measures expressed in its sector plans, as an intermediary between municipalities and the Provincial Executive Council (PEC). This focus is predominantly elusive, yet a sector plan should provide a hint on the relevance and adequacy of initiatives to curb the collapse of UDM. This pertains to the provincial government's role of strengthening the functionality of municipalities to achieve optimum service delivery. It draws attention to collaborative strategic planning processes and customised measures that translate to common outcomes (Fuo, 2013:231). If provincial government thrives, municipalities should thrive too (Sekgala, 2016:116). KZNCoGTA's sector plans are expected to impact positively at UDM's development agenda through customised measures and initiatives. In that way, the ideal conceptualised in the RSA Constitution, 1996, of a local government that can rely upon provincial and national government can be realised.

1.8 PRELIMINARY LITERATURE REVIEW

The preliminary literature review focused on important aspects relating to the study.

1.8.1 Government pursuit of the developmental agenda

Chapter 3 of the RSA Constitution, 1996, prescribes the democratic system of government. It indicates that the government in the Republic of South Africa (RSA) is organised into three spheres which are the national, the provincial, and the local jurisdictions that are distinct, interrelated, and interdependent. The RSA Constitution, 1996, maps out the basis for the government's programme of action. It contemplates redressing the injustices of the past (Reddy, 2012:44) and it specifies social justice and human rights that must be fulfilled (Fuo, 2013:221). According to Munzhedzi (2014:699) and De Visser (2019:6.), spheres of government are each assigned specific powers and functions on an exclusive or concurrent basis; and are required to cooperate (Sekgala, 2016:113). Based on those inherent powers and functions, spheres of government can respond to the state's developmental vision through coherent planning and collaboration in the implementation of programmes and projects.

1.8.2 Government framing, and powers and functions

The constitutional system of collaborative government in RSA is contemplated in Chapter 3 of the RSA Constitution, 1996, and arranged as spheres. The concept of ‘spheres’ denotes jurisdiction (Reynecke, 2012:8; Tapscott, 2008:4; Van Wyk, 2012:288). The other aspect of the framing of government is national, provincial, and local, which are contextualised as jurisdiction or geographic territory. Given that the current system is not organised in levels but in geographic jurisdiction form and authority, it, therefore, means that the relationship is horizontal rather than vertical. A resounding element in the distinctiveness of the three spheres of government is the extent of the jurisdiction covered in the scope of operation and geographical coverage. There is an overlap of geographic coverage by the national division to both the provincial and local divisions and from the provincial division to the local division. Although there is an overlap of jurisdiction, the powers and functions are divided for each of the three divisions (De Visser, 2019:3). Such division of powers and functions clarifies what functions are to be performed by which sphere. Chapter 7 of the RSA Constitution, 1996, bestows an obligation to the national and provincial jurisdictional governments to ensure that the local jurisdictional government fulfils its mandate (Van Niekerk & Dalton-Brits, 2016:119).

The encroachment of the constitutional mandate for the national and provincial jurisdictional governments to the domain of the local government jurisdictional government for the intent and purpose of this study is conceptualised as inter-jurisdictional powers. The concept of inter-jurisdiction may be understood in different contexts. Others may understand it to refer to a cross-border territory like in the case of Creamer, Keaveney and Blair (2011) who used the term concerning the cross-border planning affecting the Republic of Ireland and Northern Ireland. Durante and Gutierrez (2013) used the term to refer to the jurisdictions of the same administrative level while McMillan in Leuprecht and Young (2006) used the term in connection with provincial-municipal relations. Others may refer to it as inter-municipal relations. Flynn-Guglietti, Forristal and Sutton (2017:2 - 3) referred to the term ‘inter-jurisdiction’ when they provided a brief overview of the principles used in Canada to address conflicting legislation between provincial and federal legislation and municipal bylaws. It was stated that inter-jurisdictional immunity is one of the doctrines which applies as there is bound to be the interaction of exclusive powers of the levels of the federal government.

The use of the inter-jurisdiction concept in this study relates to the powers entrusted to the government which is operating nationally and provincially on the authority of the local

jurisdictional government. In the main, the concept of ‘inter-jurisdictional powers’ is used in the context of the statutory instruments empowering the provincial sphere of government to exercise authority in the municipal domain encapsulated as the duty to establish, regulate, monitor, capacitate, support, and intervene in municipalities (Kanyane, 2016:95; Reynecke, 2012:3).

1.8.3 Provincial government inter-jurisdiction in municipal matters

Succinctly contemplated in the RSA Constitution, 1996, are the provincial government’s inter-jurisdictional powers in the municipal domain intended to strengthen the functionality of municipalities. The system of government is provisioned as national, provincial, and local jurisdictional governments with municipalities constituting local government. Whilst the terminology used is ‘spheres of government’, it is clearly about the operational jurisdiction which comes together with the powers and functions.

As De Visser (2019:6) states, the local jurisdictional government is empowered with executive powers to administer powers and functions contemplated in Part B of Schedules 4 and 5. With such powers, they may promulgate bylaws that are necessary to effectively fulfil their executive obligations (De Visser, 2019:7). Chapter 5 and Section 84 of the Local Government: Municipal Structures Act (herein referred to as the Structures Act) specifically divides powers and functions between local and district municipalities (De Visser, 2019:10). Fuo (2017:325) contends that municipalities serve as a platform to fulfil the democratic and developmental state’s agenda through their enhanced status and mandate. However, as De Visser (2005:207) posits, powers are never unregulated hence the significance of the national and provincial governments’ jurisdiction in the municipal domain. Although municipalities are a distinct sphere, the regulatory environment compels them to function following the prescriptions of the national and provincial statutes and to ensure that their bylaws including policies and practice are consistent with the promulgated laws.

However, inter-jurisdictional powers are often mistaken for cooperative governance. Reynecke (2012:9) notes that there is a difference between cooperation and supervision. Reynecke (2012:10-11) refers to ‘cooperation’ as a process of collaboration whilst ‘supervision’ is about actual activities or measures, which the national or provincial sphere embarks upon in compliance with its mandate on the functionality of local government. Similarly, Malan (2005) distinguished intergovernmental relations from cooperative governance. Malan (2005:229-230) posits that cooperation is synonymous with partnership, and it is a prescribed standard whilst

intergovernmental relations serve as an instrument to give effect to cooperation. Cooperation and intergovernmental relations affect all organs of the state equally. All aspects of relations and obligations impact the provincial government's role in the functionality of municipalities. Though Reynecke (2012:10-11) used supervision, the essence of the clarity he provides is that there is a specific obligation for the national and provincial governments on local government matters which supersedes the issue of collaboration.

Mathenjwa (2014:201) argues that the provincial government does not understand the boundaries of their powers. The author here asserts that municipalities that are supposed to benefit from provincial government initiatives undertaken in their domain are compromised instead. If the provincial government fails to comprehend its powers and role in the municipal domain, its initiatives are unlikely to add value to municipalities even if they are depicted on their sector plans. It is, therefore, worth stating that the RSA Constitution, 1996, provides for the division of the state's power between the legislative, executive and judiciary arms of government (Munzhedzi, 2017:81). These powers relate to law-making, execution of law and enforcement of law, respectively (O'Regan, 2005:134; cited in Munzhedzi, 2017:88). It, therefore, can be argued that there exists an environment for the Rule of Law to prevail in circumstances where the inter-jurisdictional powers are abused to tramp on the autonomy of the local sphere and compromising the exercising of the relevant authority.

1.8.4 Deception of provincial government statutory powers on municipal matters

The constructs which individuals and institutions make of the statutory provisions influence the environment upon which the national and provincial governments perform their inter-jurisdictional powers on the functionality of municipalities. These constructs are largely responsible for the re-emergence of superiority conceptions which were compatible with the past regime's tier system of government. They are predominantly used to refer to the national and provincial government's inter-jurisdictional relationship with the local sphere.

According to Van Wyk (2012:288), the present system of government differs from the previous regime's system which provided for a hierarchical order with the lower level of government subjected to the superior level of government. Contrary to this, the new system of government, by its design and form, is anti-hierarchical (Van Wyk, 2012:289). The concept of spheres introduced with the new system of government deliberately avoided the tiers concept which was used with a

system that reduced local government as a subordinate of the central government as it would have endorsed a hierarchical relationship (Tapscott, 2008:4). Reddy, Nzimakwe and Ramlucken (2012:13) also state that the concept of level connotes a subordinate relationship and for the same reason, it was found inappropriate for the current constitutional system of government. Kanyane (2016) notes a possibility that this shift is not recognised which may result in its association with the apartheid era's hierarchical and subordination system.

A stereotype is detected in the persistent use of 'supervision' when referring to the provincial government's powers in the municipal domain despite the concept having been repealed in 2003 when the Constitution was amended (Mathenjwa, 2014:181). For example, Sekgala (2016), Reynecke (2012) and Fuo (2017) among many refer to 'supervision of municipalities' in this instance. Even Mathenjwa (2014) who writes about an amendment effected to replace 'supervision' with 'intervention' still uses 'supervision' when referring to the inter-jurisdictional statutory obligations.

However, the continued use of the concept of 'supervision' also denotes a desire for a mutual word for the wide range of provincial inter-jurisdictional powers in the municipal domain. Drawing on Peach and Horner (2007:413), the concept of 'supervision' has its roots in classical management theory where it is used for management and staff relations. For this reason, the use of the 'supervision' concept may unintentionally infer subordination resulting in adverse consequences on these inter-jurisdictional powers. Other concepts that are predominantly used in connection with inter-jurisdictional powers may also provoke resentment from the local sphere. For instance, Reynecke (2012:11) uses 'vertical relationship' and 'higher authority' similarly to Mathenjwa (2014:179) who uses 'upper and lower spheres' when referring to the national and provincial government powers in the municipal domain.

Concepts used in both instances infer a hierarchical relationship, yet the government is organised as jurisdiction rather than levels. In other words, the government should be seen to be organised based on geographical coverage with the executive and legislative authority for each guided by the powers and functions contemplated in Schedules 4 and 5 of the RSA Constitution, 1996 (Mathenjwa, 2014:2). Moreover, the system of government is premised on cooperation rather than superiority as depicted in the use of 'spheres' concept denoting geographic jurisdiction rather than 'tiers' concept connoting subordination (Reynecke, 2012:8; Tapscott, 2008:4; Van Wyk, 2012:288). Steytler (2005:184) opines that the use of 'spheres' when referring to governments is

a deliberate approach of the present dispensation to avoid hierarchical connotation and to vest powers and the relationship based on statutory provisions. This relates to Reddy et al. (2012:13) who avers that RSA is neither a unitary nor a federal state and the choice of branding it as a constitutional system because it is guided by the prescripts of the Constitution.

Therefore, the predominantly used concept of ‘supervision of municipalities’ seems inappropriate for this study. This study adopted that the tenet of the relationship between the provincial governments and municipalities is customer-focused with the local sphere serving as a point of delivery. In this relationship, national and provincial governments are postulated as pillars upon which the functionality of municipalities should be strengthened. Should municipalities be appropriately regulated, capacitated, monitored, and supported; and finally, interventions effected before it is too late where there is no commitment to comply with statutory provisions; the developmental vision will be a reality and citizens will ultimately enjoy a better life which is a constitutional obligation to the state.

1.8.5 Provincial government municipal support and monitoring obligations

The provincial government’s municipal support and monitoring responsibilities are posited as fundamental aspects of the provincial municipal inter-jurisdictional powers. For instance, the Department of Cooperative Governance (DCoG, 2014:22) posits that ‘support, monitoring and intervention’ inter-jurisdictional functions work synergistically with one another. Similarly, Reynecke (2012:12) and Mathenjwa (2014:181) advocate that ‘monitoring’ allows for the generation of informed initiatives or measures towards municipal support programmes. This assertion supports De Visser (2005:207) who avers that the monitoring inter-jurisdictional powers leverage proactive detection of challenges which may require attention and appropriate remedial measures. Fookes (1996:20; cited in Gopane & Ballard, 2015:164) also describes monitoring as a process to continuously check the progress made against what is required and planned for; the intention being to detect underperformance or deviation resulting in the crafting and implementation of corrective measures.

In the case of this study, KZNCoGTA is legally the custodian of support and monitoring of municipalities so that there is comfort and confidence that services are being delivered and that the people’s socio-economic development is being advanced in local communities. This relationship is necessary to empower the system of jurisdictional government to act as envisaged

from its developmental role. That is why KZNCoGTA is critical with its stewardship role on the KZN's share of 54 municipalities. It is worth indicating that, the role is not about the provincial jurisdictional government doing what is prescribed for the local jurisdictional government. In other words, KZNCoGTA is not necessarily required to provide water for instance, but its role is to support and monitor UDM to ensure that communities are provided with potable water, and decent sanitation and that there is a conducive environment for economic development to thrive.

As Maxegwana (2012:42) states, relative mandates inform initiatives that are contained in sector plans. The concepts of support and monitoring are expected to dominate KZNCoGTA's APP as a planning tool to implement commitments made in the strategic plan incrementally over the MTSF and MTEF periods.

1.8.6 Service delivery challenges at Ugu District Municipality

Municipalities have been since the dawn of democracy, confronted with sustainability challenges rendering them ineffective to meet their mandates. Drawing from Todaro and Smith (2006; cited in Gumbi, 2017:7), lack of water can be destructive not only to the lives of local community but also to the economy and development including the environment which can be severely compromised.

Service delivery challenges at UDM appear to be cutting across all its functional areas. To explain this assertion, Dlamini (2017:64) found that Umzumbe Local Municipality in its 2015/2016 IDP recorded an estimate of 69% of households with a below-RDP standard sanitation service. According to Dlamini (2017:64), about 84% of households also do not have access to solid waste disposal systems. Backlogs, poor quality of work, ageing infrastructure, poor financial health, and reactive maintenance of water supply systems appear to be the triggers for the intermittent water supply by UDM. In most instances when communities stage a protest action within the district; it is due to a water outage. Drawing from Mgwili Zimasa (2019), when the UDM gives reasons for the state of supply to the protestors, they attribute the challenge to the infrastructure breakdown.

Over and above backlogs, existing infrastructure is failing to cope with the supply demand due to design capacity constraints (Mwelase & Dzwauro, 2021: 4). Mwelase and Dzwauro (2021: 4 - 5) also point to ageing infrastructure as another trigger for the water leakages which occur because of pipe bursts resulting in water supply interruptions. In another assessment, SALGA (2008:33;

cited in Hlongwane, 2017:141), R1.8 billion was estimated as the amount required to eradicate water provision-related backlogs in Ugu district. Hlongwane (2017:130) also found that bad topographical conditions contribute to the challenges in providing this service as it becomes expensive. This might also be a factor in the unexpectedly high amount required to offset backlogs and address ageing infrastructure challenges which may go beyond major maintenance to replacements.

Dlamini (2017:64) found that the existing infrastructure is fragile given the reports mainly from Councillors about burst water pipes. It would seem as if water supply infrastructure and mechanical equipment are not proactively and adequately serviced, which leads to the same problem occurring time and again. There is also a possibility that the Municipality takes a longer than acceptable time to sort out the breakdown in the supply system resulting in delays in the restoration of the water supply. Findings by Hlongwane (2017:130) are that infrastructure and equipment are poorly maintained, and there are also illegal yard connections. Likewise, Dlamini (2017:76) found that water pipes exposed by soil erosion were lying uncovered even though they were so visible adjacent to the road. The exposure of the pipes may also imply poor quality of construction. The question then is, what is UDM doing about those exposed water pipes as they are vulnerable to damage? Furthermore, Dlamini (2017:64) revealed that most people would not have reported water provision-related challenges given that they did not know the reporting protocols. By implication, water-related challenges are likely underreported although Dlamini (2017) shows an already shocking state.

On governance matters, UDM also shows some deficiencies. It has received qualified audit outcomes for three consecutive years which makes the prudence in the use of resources doubtful. According to AGSA (2017:10, 2018:6); there is a track record of increasing irregular expenditure and regression in audit outcomes. Moreover, Greffrath and Van der Waldt (2016:160) reveal that a Section 139 Constitutional intervention was invoked at UDM in 2013. Despite the 2013 Section 139 Constitutional intervention; the impact appears to be insignificant given that the Municipality is one of the 13 KZN municipalities which AGSA (2018:13) points for regression in audit outcomes. Again, AGSA (2021:67) lists UDM as one of the four district municipalities in KZN whose audit outcome is qualified. According to AGSA (2018:6), the inability of municipalities to meet their developmental mandate is related to poor audit outcomes. For AGSA (2017:6), poor audit outcomes have serious consequences on the developmental mandate and the state at UDM affirms the relationship.

Communities across Ugu district jurisdictional area are already expressing their anger which is manifesting in sporadic protest actions. For instance, Arrive Alive reported that MEC Kaunda had to address protestors in Ward 5 of Umuziwabantu Local Municipality. Mgwili Zimasa, on 19 July 2019 reported on another community protest which erupted following weeks of dry taps in the Nyandezulu and Betania areas, which is said to be the result of a pump breakdown at the Bhobhoyi pump station. Surprisingly, the report reveals that the protest action was also staged three months before the 19 July 2019 one when the community was confronted with the same problem. Whether this pump had been repaired before 19 July 2019 remains unclear.

In 2010, the Auditor-General of South Africa (AGSA) blamed the regression in audit outcomes on the national and provincial government's poor monitoring and oversight systems (AGSA, 2010:96; in Motingoe & Van der Waladt, 2013:5). These governance challenges affect growth in development and compromise service delivery. Under the circumstances, KZNCoGTA is equally implicated given its mandate to support and monitor municipalities; meaning that they cannot be exonerated from the situation. Though DCoG (2014:14) claims that several initiatives have been implemented towards the functionality of municipalities so that they become the key machinery for the developmental agenda, the prevailing situation at UDM implies that these measures or initiatives were insignificant. Among such initiatives are the Local Government Turn Around Strategy (LGTAS), Operation Clean Audit, Project Consolidate, Siyenza Manje and the latest Back-to-Basics Strategy (Tshishonga, 2016:196) before the introduction of the District Development Model. The belief that these initiatives were futile also finds expression in Powell (2012:18) who asserts that the impact of these measures is frail. These claims may be true given the regression state in municipalities as postulated in various studies including the DCoG (2014) showing only a third of functional municipalities. Development challenges besetting UDM principally relate to the provision of water presently and in the future. Drawing on Mwelase and Dzwauro (2021), Nkabane (2019), Gumbi (2017), and Hlongwane (2017), similarly to Dlamini-Tshazi, 2021, there are serious challenges to UDM's ability to fulfil its mandate. As Du Plessis (2012:16) puts it, the fiscal power of municipalities is a primary condition for them to respond effectively to service delivery and development demands. This does not seem to be the case with UDM given that it had an unfunded budget for the 2020/2021 financial year (Parliamentary Communication Services, 2020).

This situation is a stimulus for the reputation damage of the entire system of government and the betrayal of democracy. Unfortunately, this focus is often missed when the municipalities reach a high level of risk and their failure to comply with their developmental mandate and service delivery obligations is considered in isolation from the entire system. Interestingly, Murray and Simeon, (2011:238) affirm that the provincial government has substantial powers to prevent challenges in municipalities. It is therefore incumbent upon KZNCoGTA to utilise powers vested in them by the statutes to effectively complement UDM towards fulfilling its service delivery mandate. In this study, KZNCoGTA's way of crafting interventions contained in its sector plans defining its jurisdiction and actions to advance UDM's development agenda is probed.

The motivation for this study emanates from the elusive focus on KZNCoGTA when the performance of municipalities is at stake. KZNCoGTA and UDM are elements of a system which should work synergistically together to fulfil the developmental mandate, with KZNCoGTA being duty-bound to account for support and monitoring measures and initiatives directed to UDM. Given that both KZNCoGTA and UDM pronounce their measures and initiatives upfront through their sector plans, the contribution made by KZNCoGTA to advance UDM's development agenda should be understood from the perspective of these sector plans.

1.9 RESEARCH DESIGN AND METHODOLOGY

The research method used in this study is presented briefly in this chapter, as the detailed explanations follow in the methodology chapter, i.e. Chapter 4.

1.9.1 Research design

Creswell (2014:48) posits that interpretivism paradigm-based studies use a qualitative design. A qualitative design according to Creswell (2014:48) is suitable for a study that is intending to gain in-depth knowledge of a particular phenomenon. It allows for in-depth understanding, exploration, and description of the phenomenon due to the intimate relationship between the researcher and participant it allows, and it provides qualitative data which is words or text (Creswell, 2014:48). Qualitative data collection and processing methods are also flexible (Ritchie, Lewis, Nicholls & Ormston, 2003:29). This study was intended to probe into the contribution which KZNCoGTA's sector plans make to advance the predetermined development agenda at UDM, and such can be expressed through words. Therefore, qualitative research was chosen as the suitable design.

1.9.2 Research strategy

According to Biggam (2015:83), case studies, surveys, ethnography, and action research are among the tried and tested research strategies upon which preference can be made. A case study is associated with the place of occurrence, and it allows for the comprehension of a phenomenon within the context of the case itself (Strydom & Bezuidenhout, 2014:179). It is also suitable for complex problems (Zainal, 2007:1). According to Kumar (2011:123), a case study design is also suitable when one typical case can provide insights about other cases. A case is selected for its unique characteristics among many, and a case study approach is beneficial due to its ability to offer acumens into the happenings and circumstances prevalent from the group where the case is drawn (Kumar, 2011:123). It was for the afore-stated reasons that a case study approach was found suitable for this study and accordingly selected as the strategy to which to underpin this study.

1.9.3 Study site

According to Maree (2014:96), a study site refers to the location chosen by the researcher to conduct a study. This study used UDM as an institution and its Head Office which is based in Port Shepstone in the southern part of KZN as the study site. This is one of the 54 municipalities in KZN which fall within KZNCoGTA's inter-jurisdictional competence.

1.9.4 Participants and target population

According to Pascoe (2014:133), a target population resembles elements of what it is that qualify as informants of the study, its size, and its attributes. When the target population is huge to reach, the researcher defines a subset population that can be realistically reached, and this is what is referred to as an accessible population. This delineation upfront assists to obtain answers to the research questions.

For this study, UDM employees in middle management and above, that are directly and indirectly involved with the service delivery planning and implementation processes were targeted for interviews. These officials are normally process owners or champions from various components who have practical knowledge that was vital to answer the research questions.

Middle management and above UDM employees whose jobs do not include service delivery planning were excluded from the study. The study required managers who, in their line of duty, deal with the development, implementation and monitoring of the IDP and the SDBIP. The category of senior managers reporting directly to the municipal manager, as defined by Ngubane (2020:25), were regarded as those dealing with service delivery planning were targeted for this study. The study also focused on documentary sources from KZNCoGTA and UDM sector plans. The study focused on water provision as the primary function for UDM in terms of Section 84 of the Local Government Municipal Structures Act. From the KZNCoGTA sector plans, only the sections dealing with water and sanitation supply were targeted and all other sections in the Strategic Plans and the APPs were excluded. The basic service delivery key performance area was targeted in relation to the UDM IDPs and SDBIP. All other key performance areas were excluded from the study.

As Tracy (2013:158) indicates, permission for conducting a study is an important step in research including willing participants for interviews. Planning is considered essential for interviews. The researcher obtained details of the UDM department who fall within the category of management. The occupational titles were used to identify officials who were likely to deal with service delivery planning, implementation monitoring and reporting.

According to the author Tracy (2013: 159), scheduling and confirmation for interviews is paramount. In this study, planning dates, times and targeted UDM officials was considered. Individual emails were sent out to request interview sessions on specified dates and times. The message communicated also provided an estimated duration for the interviews. Through WhatsApp and direct telephone calls contact was secured with participants. The plan was adjusted based on responses received or reactions to the invitation for interview participation.

1.9.5 Sample size

A total number of informants included in a study constitute the sample size (Pascoe, 2014:137). However, Pascoe (2014:137) states when a study is a qualitative design using non-probability sampling; the size of the sample is not viewed as critical. Ritchie et al. (2003:83) support this claim by positing that purposive samples need not be large due to the depth nature that is involved with participants. A maximum of fifteen officials falling in the selected group were targeted as the sample. On documentary sources, the 2015 - 2020 and 2020 -2025 KZNCoGTA's Five Year

Strategic Plans, three APP documents for 2019/2020, 2020/2021 and 2021/2022 and UDM IDP 2012 – 2017 and 2017 - 2022 with corresponding three SDBIP documents for 2019/2020, 2020/2021 and 2021/2022 constitute the size of the sample for this study.

1.9.6 Sampling strategy

There are different sampling techniques. Walliman (2011:95) and Ritchie et al. (2003:77) state that these include probability and nonprobability sampling strategies which are predominantly used. A purposive sampling method of the non-probability sampling strategy was employed. This strategy allowed the researcher to determine relevant informants for the study (Pascoe, 2014:137). As a result, relevant sector plans were accessed, and relevant officials reached for interviews.

1.9.7 Data collection methods

Data is collected through various methods depending on the type of study. According to Du Plooy-Cilliers and Cronje (2014:148), quantitative studies predominantly use surveys, experiments, and content analysis. On one hand, Strydom and Bezuidenhout (2014:175-192) aver that data for qualitative studies can be collected through focus groups, historic research, observation, and in-depth interviews. Davis (2014:15) adds textual analysis as another qualitative study data collection tool.

According to Yin (2011:133), interviewing involves an interaction between an interviewer and the participant. Yin (2011:133) states that interviews can be either structured or qualitative. Moreover, Yin (2011:133) argues that a qualitative study cannot use purely structured interviews. A practice of combining structured interviews with unstructured interviewing methods would move the study from qualitative to mixed methods study (Yin, 2011:133). Ritchie et al. (2003:110) also state that there is a thin line between semi-structured interviews and unstructured interviews depending on the purpose of the study. However, Ritchie et al. (2003:111) state that semi-structured interviews allow the interviewer some extent of preparedness and they are flexible.

Consequently, for the part requiring interviews, semi-structured interviews were conducted using an interview schedule. For the documents review part, qualitative content analysis was used. Interviews were conducted through Microsoft Teams Video Conferencing and teleconferencing and face-to-face. Such interviews allowed for deep conversation and were immersed in the

engagement to derive the participant's knowledge and experiences on issues probed through the interview schedule. Documents were reviewed to obtain insights that are necessary to answer the research questions for this study.

1.9.8 Data quality control

Quality in data collection is of the essence because of the intimate relationship between data and the ultimate findings. According to Koonin (2014:252), instruments used through the several stages of the research project should be valid and reliable for the outcomes to be valid and reliable. This is concerned with confidence in the findings (Koonin, 2014:252). Terminology however in a qualitative study differs. This desired confidence according to (Koonin, 2014:258) is an outcome of the trustworthiness principles of "credibility, transferability, dependability and confirmability" to which this study conformed as outlined below.

1.9.8.1 Credibility

Measures implemented to ensure accuracy during data collection and interpretation are the foundation for trusting the findings as credible (Koonin, 2014:258). Credibility in this instance depicts the intimate relationship the researcher had with the data which is manifested in the connection between data and findings (Koonin, 2014:258). This study sampled existing documents such as the KZNCogTA and UDM sector plans available from the Internet. From the authenticity of the sector plan perspective, these are official statutory documents which must be available on municipal websites. As Morgan (2022:66) opines, these documents are stable and are free from any bias as the data is what it is on the documents. On the credibility of the process followed by the researcher to analyse documents, such documents are available for auditing in line with a solution offered in Morgan (2022). For document analysis, Microsoft Word was used to create matrices and tables used to fit and reflect on what data represents. Data were compared between the KZNCogTA documents and the UDM documents where indicators were analysed for similarities and variances. Sentences were enumerated and discussed. For interviews, the process itself assisted as the interview guide was used so that similar questions are posed to the participants. Transcripts were read and re-read to identify points relating to the codes. Codes were subsequently grouped to create categories which translated to themes used to present data and derive findings.

1.9.8.2 Transferability

Transferability relates to the ability to transfer the results of qualitative research to other similar studies (Korstjens & Moser, 2018:121). However, Koonin (2014) argues that it is not practical for qualitative research repeated in another environment and with different participants to produce similar results. He offers that transferability can be satisfied through a substantial explanation of the process followed in the research process to enable a user of the research to make a judgement about whether the study is transferable to his or her setting. This study is primarily about the interconnection of sector plans for KZNCoGTA and UDM. These are statutory documents which must be available for public access and were dully sourced from official websites, The analysis was performed using tables and matrices. For interviews, an ethically cleared interview schedule was used to ensure consistency in questions posed to the participants.

1.9.8.3 Dependability

Dependability relates to the synergy of data generation processes and the actual findings and recommendations (Korstjens & Moser, 2018:121). According to Tobin and Begley (2004; cited in Nowell, Norris, White & Moules 2017:3), the trick is in the logical process that needs to be followed to ensure that the findings and recommendations relate to the data that was collected through document analysis and one-on-one interviews.

1.9.8.4 Confirmability

Confirmability relates to the research process description that is aloof of ambiguity coupled with the interconnection between collected data and the findings (Koonin, 2014:259). According to Korstjens and Moser (2018:121), other researchers should be able to confirm the findings of the research and not what the researcher just wanted to put as findings. These are the principles guiding this study. Guba and Lincoln (1989; cited in Nowell et al., 2017:3) assert that confirmability is achieved if “credibility, transferability, and dependability” are achieved. The researcher followed a clear process to analyse data obtained through interviews and excerpted from existing documents. Findings and recommendations are reflective of the meaning reflected in the data.

1.9.9 Data reduction and analysis

This section is a crucial part of the research as it presents how data was analysed and presented. This analysis led to research findings upon which solutions to the research problem were based.

1.9.9.1 Data analysis

According to Bezuidenhout and Cronje (2014:228), semiotics analysis, multimodal conversation analysis, conversation analysis, discourse analysis and qualitative content analysis are the common methods for qualitative data analysis. The focus of discourse analysis is on language where the researcher's interest is on how people articulate issues and conversation analysis focuses on the interaction of talks between conversers (Bezuidenhout & Cronje, 2014:243-245). Multimodal conversation analysis on the other hand takes much interest in body language whilst semiotics analysis is a study of signage (Bezuidenhout & Cronje, 2014:246-247).

Qualitative content analysis, also known as textual analysis, is a method that can be used with focus groups, interviews, or any written text and visual images due to its orientation to analyse words or text to explore meaning (Bezuidenhout & Cronje, 2014:234-235). This method allows for a thematic coding approach using deductive coding where themes can be derived from literature review and theoretical framework whilst emerging patterns can be additionally coded inductively (Bezuidenhout & Cronje, 2014:241). A qualitative content analysis method was selected and used to analyse the transcripts of the interviews and KZNCoGTA and UDM sector plans.

1.9.10 Ethical consideration

According to Louw (2014:263), ethics in research has to do with an individual's integrity and compliance with the code of conduct necessary to characterise an individual as trustworthy. Louw (2014:263) maintains that ethics affect all stakeholders including participants. For this study, ethical conduct is recognized, and the researcher ensured the protection of all stakeholders. A credible and professional research process was observed throughout. The researcher complied with fundamental standards and the University's code of ethics. Data collection including document analysis was only commenced after the ethical clearance (EC), and the recertification of the protocol had been obtained. Research documents and data used in the study are safely stored and will only be disposed of after five years.

1.10 LIMITATIONS OF THE STUDY

This study focused on UDM whilst KZNCoGTA's inter-jurisdictional geographic space consists of 54 municipalities. There were insufficient published sources that are specific to UDM. Reliance was mostly placed on unpublished dissertations that were sourced from the internet. Room exists for further research which may use other methods such as focus groups, observation, and the use of questionnaires to collect data. There KZNCoGTA sector plans and UDM sector plans can be studied independently. Targeting more municipalities in a study may present an opportunity to cover a wide range of issues and related solutions.

1.11 KEY TERMS AND DEFINITIONS

Key terms and definitions used in the study are shown below in Table 1.1.

Table 1.1: Key terms and definitions

Key Terms	Definition
Annual Performance Plan	A strategic plan of a public service institution containing the organizations
capacitation	An action to strengthen capacity or ability.
cooperative governance	A system derived from Chapter Three of the RSA Constitution, 1996, requiring government and related organs from all territorial jurisdictions to work in collaboration with one another
intergovernmental relations	The form of partnerships and cohesion between organs of state
intervention	Relate to Section 139 of the RSA Constitution, 1996. An action by the provincial government to take over executive functions for which the municipality has failed to perform.
monitoring	An action of keeping an eye on something so that a determination can be made on whether it is on the right track or not.
municipality	A government division established for a jurisdiction demarcated by the MDB constituted by the political, administrative and community components.
provincial inter-jurisdictional powers	The authority is derived from the statutes for the provincial jurisdictional government on the local jurisdictional government.
Sector Plan	A long-term strategic plan or a plan containing all indicators and targets for a specific year.
Support	A measure to strengthen the ability of another to carry out what is expected.

1.12 CHAPTER INVENTORY

The format of the thesis is as follows:

Chapter 1: Overview and context of the study

The Chapter is introducing the study, the literature review is outlined in brief, legislative and theoretical frameworks are introduced in brief and an overview of the research methodology and study design is stated.

Chapter 2: Conceptual and theoretical framework of provincial and local government development agenda

The Chapter defines the Systems Theory concerning KZNCoGTA's prescribed competencies. Such authority informs the development of the sector plans. The focus is on the expected contribution that measures contained in the sector plans should have on the development agenda for UDM. Measures which KZNCoGTA expresses in its sector plans are based on the developmental mandate entrusted to the government in general as contemplated in the RSA Constitution, 1996. This mandate is coupled with the powers entrusted to the provincial jurisdictional government over municipal jurisdiction as a measure of assurance that service delivery and socio-economic development are optimized. The Chapter shows that citizens should enjoy the services and realize a better life for all as an outcome of planned and coordinated measures delivered collaboratively. This ideally makes the Systems Theory relevant for sector plans to conjoin for a common purpose.

Chapter 3: National-provincial-municipal governance, relations, and sector plans

This chapter navigates through the primary statutes which express the obligations of the state towards service delivery and socioeconomic rights for citizens. It extrapolates the statutory empowerment of the provincial sphere of government to exercise authority on the local sphere of government and stated otherwise, as the powers and functions of the provincial sphere of government. The Chapter presents and engages literature which ventures into the developmental obligations and the role of municipalities the government that shares the jurisdiction with the people.

Dedicated to the constitutional basis of the relationship between municipalities and KZNCoGTA as KZN Provincial Government's intermediary arm in the context of inter-jurisdictional powers in the municipal domain is granted. This focus is based on the context of coherent planning and implementation posited as assurance that the capacity and functionality of municipalities are strengthened towards the attainment of the developmental objectives. Consideration is given to the strategic planning processes that produce sector plans. Such sector plans are posited as ideal instruments for the jurisdictional government occupying the provincial and national geographic jurisdictions to reinforce the functionality and ability of municipalities in general and particularly, UDM. In this regard, the focus and locus are on the contribution that can be made to advance development at UDM based on measures expressed on KZNCoGTA sector plans and their relevance thereof.

Chapter 4: Research design and methodology

The Chapter outlines the art employed to conduct this study. It builds from the details contained in Chapter 1 and reflects on the detailed methodology and design employed for this study.

Chapter 5: Data presentation and interpretation

The Chapter deals with the essence of the study showing how data collected from participants and existing statutory documents were analysed. In this Chapter, the meaning embedded in the collected data is discussed and articulated. This Chapter interlinks to the research questions through the answers obtained, which underpin the findings of the study.

Chapter 6: Conclusion and recommendations

The Chapter concludes the study. It presents recommendations to address identified gaps which are compromising the ability of the KZNCoGTA's sector plans to advance UDM's development agenda and wraps up the research project.

1.13 CHAPTER SUMMARY

The Chapter presented the entire introduction of the study and the synopsis of the procedural plan followed to undertake the study. A sequence of sections consists of the introductory section, the background, the details of the questions probed and the related objectives; showed the direction of the literature review, introduced the theoretical framework, outlined a concise research

methodology and design, related the significance and the rationale for the study, stated the limitations of the study.

CHAPTER 2

CONCEPTUAL AND THEORETICAL FRAMEWORK

OF PROVINCIAL AND LOCAL GOVERNMENT DEVELOPMENT AGENDA

2.1 INTRODUCTION

This chapter defines the relevance of the Systems Theory on KZNCoGTA's role in the local sphere of government. This local government role is embedded in its sector plans. In this instance, the focus is on the statutory and expected contribution to the UDM development agenda encapsulated in the KZNCoGTA sector plans to deliver enhanced municipal services to the local communities. Furthermore, the role which KZNCoGTA should express in its sector plans is based on the constitutional developmental mandate entrusted upon the government in general. This mandate includes powers bestowed upon the provincial government on municipal jurisdictional terrain to ensure that socioeconomic development is optimized. The role of the Systems Theory in UDM's developmental agenda pursued with the support of KZNCoGTA as part of the system of government is put into perspective in this Chapter. Ultimately, a model that is appropriate to assess the complementary and reciprocal aspects of KZNCoGTA sector plans and UDM development agenda is proposed, and it is outlined.

2.2 ROLE OF THEORY IN RESEARCH

According to Bezuidenhout (2014:36), theory is an important component of every research project. Mullins (1973; cited in Van der Waldt, 2010:2) states that the concept of 'theory' has its roots in the Greek language based on the Greek word 'theoria' denoting 'contemplation' or 'speculation'. Bezuidenhout (2014:36) acknowledges that there are negative perceptions about the notion of underpinning every research project in theory. However, Bezuidenhout (2014:36) demystifies anxiety and fear by simplifying theory and stating that it often relates to what is known, experienced and practised in everyday life in as much as it may not be possible to notice. Bezuidenhout (2014:37) states that theory describes concepts, constructs and relational basis for specific processes or phenomena in each discipline.

Bezuidenhout (2014:37) further asserts that theory guides the researcher towards answering research questions and proposing solutions. Moreover, theory contributes towards enhancing the understanding of the problem (Bezuidenhout, 2014:37). Fox and Meyer (1995:128; cited in Van der Waldt, 2010:2) view theory as something which explains the reality and enables a guess on the issues at hand. Babbie (2011:32), distinguishing paradigms from theory, states that the role of theory is to explain whilst paradigms set a frame of mind which breeds theory. According to Babbie (2011:60), understanding how a society function is necessary if a change is required. William White (1997; cited in Babbie, 2011:60) argues that “Theory helps create questions, shapes our research designs, helps us anticipate outcomes, helps us design interventions.”

This study, despite it dealing with organs of the state which are elements of a system of government; focuses on the contribution KZNCogTA makes through measures accommodated in their sector plans. It goes further and relates KZNCogTA’s documented interventions to its constitutional support and monitoring obligations to municipalities in general which aids a case of argument for UDM. Fundamentally, the study is guided through the statutory provisions dictating the functionality environment for organs of the state through reinforcing one another. Based on the statutory provisions prescribing a system of government functionality and capability to meet the citizenry's expectations, the best-suited theory for this study is the Systems Theory. The System Theory enabled the objectives of this study to be met where questions were answered and solutions proposed.

2.3 SYSTEMS THEORY AND ITS TRADITIONAL CHARACTERISTICS

2.3.1 Genealogy of the Systems Theory

The genealogy of the Systems Theory is traced to the General Systems Theory which was developed in 1936 (Godfrey and Oelofse, 2008:2). According to Wolfgang, (2005:1), Von Bertalanffy is recognised as the forebear of the General Systems Theory. Von Bertalanffy’s central point and the main idea was that real-life problems cannot be solved in the same way as in science (Wolfgang, 2005:1). As Wolfgang (2005:1) states, the principal idea was dynamism where general organizational rules can be applied to diverse situations within their contexts. In this diversification, von Bertalanffy revived the epistemological foundation which reasons with a diagnostic approach focusing on a problem in a unique manner. This approach rejects generalising

that the system is defective and instead prefers tracking the problem to a specific point to address the part causing the system to fail its function. This approach includes avoiding the assumption that a solution which worked to address another problem would work similarly to another problem.

This approach can be equated to a diagnostic process where problems are not taken at face value, but they are identified through a diagnostic process that seeks to dig deeper to understand the root causes of the problem. This process assists in understanding the problem better other than assuming that the problem is with the part that exposes the dysfunctionality. As Wolfgang (2005:1) states, whilst Bertalanffy had regard for the value of scientific research, his ontological paradigm disapproved regarding general rules as abstract schemes for subordinate problems in favour of opinions and facts. In essence, Bertalanffy's position suggests that there is no one fits all approach to dealing with problems and that rationality and considering all aspects that may have contributed to the problem is essential. This approach suggests that a problem might not necessarily reside where it is displayed. Such a situation warrants a diagnostic process to find the problem and device solutions.

Kast and Rosenzweig (1972:448) refute the claim that the 'Systems' as an approach to studying organisations has its foundations only in the General Systems Approach. Kast and Rosenzweig (1972:448) point out that the Systems Theory can be traced centuries back including to Hegel (1770 -1831), a German Philosopher. Kast and Rosenzweig (1972:448) warn that when choosing to use the systems theory in studying organisations, due recognition must be made since its roots go centuries back with a lot that has happened since then in terms of its evolution and developments. Mele et al., (2010:127) concur with the sentiments as they point out that theories have evolved to an extent that they co-exist. Within the systems theory, are several theoretical concepts like open system, socio-technical, viable system model, and viable system approach (Mele et al., 2010:127 - 128). As Bezuidenhout (2014:37) states, concepts, constructs and relational basis embedded in this study and discussed in the next section affirm the Systems Theory as the appropriate theory upon which the study is underpinned within the public administration discourse.

2.3.2 System dimension in the Systems Theory

According to Montuori (2011:415), the 'system concept' underpins the Systems Theory. Montuori (2011:415) defines the "System" element in the Systems Theory as "a set of elements that are

dependent on one another and work together stably as a total and whole unit or entity.” Further, Montuori (2011:415) states that this definition focuses on the subsystem’s relationships and interdependence both internally and externally. Concurring with this view is Myers and Myers (1982:47; cited in Van der Waldt, 2010:13) who state that the Systems Theory considers wholeness based on the interdependence and the relatedness of parts; and the impact of the environment on the system.

This theory is based on the understanding that the whole is composed of various elements or components functioning interdependently on one another to perform a specific function. Mele et al. (2010:127) aver that systems can relate to nature, science, society, economy, and information. According to Bezuidenhout (2014:52), the Systems Theory applies to a variety of disciplines. According to Godfrey and Oelofse (2008:2), Systems Theory developed as an alternative to the General Systems Theory as it evolved over the past decades. Godfrey and Oelofse (2008:2) aver that the Systems Theory is based on the study of complex natural and social systems focusing on the whole.

The Systems Theory, as Godfrey and Oelofse (2008:2) assert, emphasises the holistic view when dealing with problems based on its concept suggesting that the System itself is not the whole. This view suggests that the whole is attained in the functionality of the subcomponents working synergistically with one another to achieve a specific purpose. Similarly, Mele et al. (2010:127) define a systems theory from the whole dimension rather than subcomponents when analysing a phenomenon. To derive a better understanding of the phenomenon, the analysis is focused on the interactions and relationships of subcomponents (Mele et al., 2010: 127). Defining the system, Mele et al. (2010:129) see it as a group of things connected through their interaction or interdependence. Tien and Berg (2003:23-24; cited in Mele et al., 2010:129) characterize a system as closed or open or static or dynamic and either natural or built or physical or conceptual. Tien and Berg (2003:23-24; cited in Mele et al., 2010:129), when referring to a built nature of a system, make government an example. In other words, the whole can be an object made of sub-components and this object relies on the functioning of all its subcomponents, which must be able to function synergistically with one another based on the respective purposes or functions in the system. If one of the subcomponents fails to serve its function, the object cannot function properly thus rendering the entire system defective.

2.3.3 Holism as fundamental philosophy of the Systems Theory

Dusek (1999:16) and Beukes (1991:115; cited in Visser, 2017:34) state that Jan Smuts (1926:98) founded the concept of holism from the Greek term ‘holos’ which means the whole. This holism is based on a conceptual viewpoint suggesting that the system as an item or something is not whole because the whole includes its elements working synergistically with one another to achieve the purpose of the system (Montuori, 2011:415). This assertion finds expression from Capra (2010:131; cited in Visser, 2017:33), who states that holism is an Eastern philosophy regarding interconnection, interrelation, and interdependence of subcomponents of a system set cohesively and working together in synergy.

According to Visser (2017:34), Smuts (1926:103) maintained that, despite the whole comprising of components, “it is more than the sum of its parts.” In other words, whilst all components assembled produce a system, in this case as a Unit, such a system is not yet the whole because the whole is embedded in interconnectedness and interrelatedness including functionality (Smuts, 1926:103; cited in Visser, 2017:34). Essentially, what is more than the object or something emanates from the interaction of its subcomponents which exhibits new features, aspects, properties or qualities, and put differently, the actual functioning of the system and what it portrays.

Van der Waldt (2010:13) states that the use of a Systems Theory idea is attributed to Von Bertalanffy (1968) who opined that interdependence of the subcomponents of a system supersedes the whole, meaning that a complete unit in this instance is not the focus but rather its ability to meet its purpose is what is key. Though this source may be dated, it places significance on the rationale of the Systems Theory concerning contextualising the role of KZNCoGTA and UDM. Smuts (1926:103; cited in Visser, 2017:34) argues that the whole unit cannot function without the functionality of its subcomponents. Van der Waldt (2010:13) maintains that cooperation and coordination are of the essence because one component cannot render the function for which the Unit is designed. Van der Waldt (2010:13) asserts that subcomponents cannot function independently, meaning that for each component to be able to perform its function, it depends on the other subcomponents being able to perform their respective functions as well. The system, in this case, the entire unit; depends on every subcomponent for it to serve the purpose it is designed for. The UDM is dependent on and relies on KZNCoGTA to ensure that the necessary support is provided so that the municipality can fulfil the developmental mandate of the local government.

Based on Capra (2010:131; in Visser, 2017:33), a solid connection between the Holism concept associated with the Systems Approach and the system of government availed by the RSA Constitution, 1996, is embedded in the concepts of interconnection, interrelation, and interdependence as well as cohesion and working together in synergy. The three concepts of interconnection, interrelation and interdependence are the fundamental characteristics defining the system of government in South Africa as depicted in Section 40 of Chapter 3 of the RSA Constitution, 1996, which refers to intergovernmental relations. It is argued that a unit or object that can be described as a system in terms of the Systems Theory is like the system of Government founded in the Constitutional focus.

2.3.4 Cooperation and complexity in systems

Kast and Rosenzweig (1972:448) reveal that cooperation as a concept dates centuries back as per Chester Barnard's definition of a basic system. Kast and Rosenzweig (1972:448) state that Vilfredo Pareto and Talcott Parsons's basic systems view influenced Chester Barnard's definition. This definition as Kast and Rosenzweig (1972:448) captured elevated the 'system' concept as follows:

A cooperative system is a complex of physical, biological, personal, and social components which are in a specific systematic relationship because of the cooperation of two or more persons for at least one definite end. Such a system is a subordinate unit of larger systems from one point of view; and itself embraces subsidiary systems—physical, biological, etc.—from another point of view. One of the systems comprised within a cooperative system, the one which is implicit in the phrase "cooperation of two or more persons", is called an "organization".

From Chester Barnard (cited in Kast & Rosenzweig, 1972:448), it can be deduced that a system is more than its components and subsystems, interrelatedness and interdependence and it includes the functionality and meeting its requirements. Chester Barnard (cited in Kast & Rosenzweig, 1972:448) asserts that complexity is given in a cooperative system. The extent to which components function synergistically with one another impacts the overall goal for which such a system is designed. South Africa's government is founded as a cooperative system with the provincial sphere enjoying jurisdiction over the local sphere. However, the focus for such a jurisdiction is on the ultimate developmental goal. The dilemma is the extent of understanding on the part of the provincial government and the determination of boundaries for such leeway. On the other hand, the local sphere needs to reason with the jurisdiction of the provincial sphere on its

domain. In essence, the local sphere is equally responsible for allowing the provincial sphere of government to exercise its mandate on local government. When the local sphere performs as expected; with the provincial sphere monitoring and intervening through monitoring and support, the developmental vision would become a reality. This emphasises the significant relationship of the provincial government on local government matters.

2.3.5 Basic concepts of the system

The influence of the General Systems Theory is embedded in the use of concepts in the Systems Theory. For instance, Kast and Rosenzweig (1972:450) provide a summary of the principles of systems:

- Subsystems or Components;
- Holism, Synergism, Organicism, and Gestalt;
- Open Systems View;
- Input-Transformation-Output Model;
- System Boundaries;
- Negative Entropy;
- Steady State, Dynamic Equilibrium, and Homeostasis;
- Feedback;
- Hierarchy;
- Internal Elaboration; and
- Multiple Goal-Seeking.

Bezuidenhout (2014:53) also states that the Systems Theory is described as well in terms of “input, output, process, feedback loops, boundaries and the environment”. These characteristics resemble those which Kast and Rosenzweig (1972:450) refer to as listed above. These concepts and characteristics are discussed in the context of the system of government. This system of government accords provincial government jurisdiction in the local sphere whilst making all spheres of government accountable for service delivery. This trajectory of the sequencing of the various phases of the systems theory calls for accountable municipal service delivery and the need for oversight measures to ensure that there ought to be accountable governance.

2.4 SYSTEMS THEORY AND THE SOUTH AFRICAN SYSTEM OF GOVERNMENT

Whilst all basic concepts which Kast and Rosenzweig (1972:450) provide are relevant to this study, only fundamental principles concerning this study are discussed. They were clustered into three main focus areas according to their relationship and relevance to the study as follows: Subsystems or Components and hierarchy, open or closed systems and system boundaries; complexity and Input-Transformation-Output Model and feedback loop.

2.4.1 Subsystems and hierarchy

Deducing from the notion of the entirety underpinning a system and the business of municipalities within the context of a system of government, the government is viewed as the whole while spheres of government are considered as elements of the system. These elements of the system are known in the systems approach terminology as subsystems. The holism approach, as Kuhn (1974; cited in Singh, 2016:91) states, desists from considering a subsystem as an individual and looks at the entirety of the system. In other words, the approach seeks to find the problem within the system rather than focusing on a subsystem in isolation taking into cognisance that subsystems impact one another. In this regard, Weissenberger-Eibl, Almeida and Seus (2019: 2) aver that properties of subsystems are shared with the system through the interaction of the system and its subsystems. In this way, it makes it easier to identify the impact made by another subsystem on the subsystem bearing a dysfunction affecting the entire system. Kuhn (1974; cited in Singh, 2016:90) offered that “holism, reductionists and functionalist approaches” are the three main subsystem evaluation approaches.

The reductionist approach as Kuhn (1974; cited in Singh, 2016:91) argues, assumes that the problem of the system is downward. This could imply that there is no fault with the statutes of the country and the problem is with the subsystems that must apply legislation, in this case, KZNCoGTA and municipalities. It could also imply that the way spheres of government are designed and assigned powers is perfect and when there are challenges, only the subsystems have all to blame. This equates to the reductionist approach. The functionalist’s approach as Kuhn (1974; cited in Singh, 2016:91-92) asserts; considers problems from the bottom upward. In this approach, the local sphere of government should function properly and in line with a broader

vision. This approach sees no potential for the entire system to collapse should the bottom subsystem fail to perform. It does not anticipate that there could be resistance to comply with the statutes, and there can be unwillingness to institute consequence management when there are wrongdoings by either councillors or officials for various reasons. It assumes that the provincial government will stay on its lane and the municipality would cooperate. In other words, its approach is limited to the interdependence of systems. This could imply a focus on the bottom system and neglecting the top part which must be functional as well to reinforce the bottom part of the system.

A holistic approach, as Kuhn (1974; cited in Singh, 2016:91-92) asserts, recognises that all subsystems are interdependent and interrelated and a diagnostic measure is necessary to identify and deal with a problem from all angles. A distinction from a hierarchical arrangement of a system to a jurisdictionally arranged system is however necessary in this context. The three spheres of government are defined in terms of jurisdiction as the local, provincial and national spheres. Kanyane (2016:92) warns about a potential risk of interpreting the three spheres of government as a hierarchy although they are assumed as a hierarchy. All people served by the three spheres of government, if an ordinary residence is to be considered, are located within a local sphere of government. The spheres of government are each vested with legislative and executive authority to perform the powers and functions conferred on them (Greffrath, 2015:79).

The way the RSA Constitution, 1996, divides powers and functions among the three spheres of government compels a collaborative approach to deliver a total package of services to the community (Edwards, 2008:69; Reddy et al., 2012:15). The local sphere of government categorises residents in terms of wards which are officially demarcated by an Independent Board (Reddy et al., 2012:92; Stanton, 2010:88; Subban & Wissink, 2015:39). When service delivery fails to meet the needs of the people, municipalities from where the dissatisfied people belong become the focus even for services that fall outside the municipal competencies and this is evident in the prevalent protest actions (Subban & Wissink, 2015:34).

Additionally, the allocation of powers and functions is another element which compels the three spheres of government to work together as a whole. For example, Schedule 4 Part A of the Constitution allocates health services to the national and provincial spheres whilst Schedule 4 Part B of the Constitution allocates municipal health services to the local sphere of government. This becomes an issue of content and context since the differentiation between health services and municipal health services is not an obvious issue. Though these functions are not defined, there is

mutual interdependence between the two spheres concerning health services. Assuming that a hospital is categorised as a Schedule 4 Part A function and a clinic being a Schedule 4 Part B function, both institutions impact one another and cannot function independently from one another. A clinic for instance needs to know the rules of the hospital when referring patients whilst the hospital cannot pass the mistake of the clinic to the patient. This aptly means that these institutions end up having to work in unison with one another. The other element is that a patient needs government to provide the service irrespective of the service conduit being the clinic or the hospital.

In the case of this study, KZNCoGTA and UDM are regarded as subcomponents of the system of government which need to function synergistically with one another for UDM's development agenda to be fulfilled. In this system of government, the three distinct, interdependent, and interrelated spheres are guided by the principles of cooperative government enabled through intergovernmental relations as an intergovernmental approach. Ultimately, a successfully implemented UDM's development agenda is expected to contribute to the attainment of the state's development objectives.

2.4.2 Notion of open or closed system and system boundary

According to Montuori (2011:2), a System exists within an environment. Weissenberger-Eibl et al. (2019:1) aver that the environment within which systems exist is complex. On the other hand, Bezuidenhout (2014:53) states that systems are either open or closed. What distinguishes a system from either being closed or open is its interaction with the environment (Bezuidenhout, 2014:53). Bezuidenhout (2014:53) avers that the environment does not influence a closed system, whereas the open system is affected by the environment. Kast and Rosenzweig (1972:450) however argue that Systems cannot be completely closed or completely open. The authors contend that systems are either relatively closed or relatively open. On the other hand, Godfrey and Oelofse (2008:2) opine that complexity generally influences the conviction that a System is an open system.

According to Weissenberger-Eibl et al. (2019:4), the success of an organization depends on its interaction with the environment within which it exists. Weissenberger-Eibl et al. (2019:2) aver that the system boundary delineates the system from its environment although Kast and Rosenzweig (1972:450) indicate that such delineation is difficult for organizations. Moreover, Weissenberger-Eibl et al. (2019:2) in this regard posit that the mode of interaction between the

system and environment is the inputs and outputs. Pollination in the system can happen due to the interaction between subcomponents of a system (Weissenberger-Eibl et al. 2019:2).

Considering the extent of the interaction of the system of government with its environment, it fits within an open system. Government in South Africa depends on the electorate and it exists to serve the citizens (Mavee, 2015:137). Financial resources, as the author points out, are collected from citizens as taxes, which in turn are used to deliver services. As Matshabaphala (2014:1008) states, the theoretical basis for the new regime is its functionality underpinned by an open system. Public servants, on the other hand, need to understand the environment within which they exist and operate since this can assist them to adapt to circumstances. These circumstances could be socially, institutionally, politically, and economically based. Most often, the government environment is directly and indirectly influenced by civil society, labour, organised local government, economic factors and many other components that influence the functioning of government and the ultimate attainment of a better life for all.

Significantly, all three spheres of government serve the same community which makes it necessary for them to coordinate their interventions together. To explain this dilemma further, the jurisdictional area for the provincial sphere is the same jurisdictional area of all municipalities constituting the local sphere within a specific province whilst the jurisdictional area for the national sphere is all jurisdictional areas for all provinces. Singh (2016:93) opines that organisations are dynamic, and they operate consistently with the prevailing circumstances. The implication is that when public servants fail to identify with the environment surrounding them, they are likely to make mistakes and find it difficult to function properly. Such an environment is much prevalent in South Africa given the constitutional rights conferred to the citizens and the related system set to advance democracy.

In the case of a sector plan, interventions which do not meet the conditions in municipalities could be crafted and implemented. However, the impact can be a challenge due to redundant or insignificant interventions which fail to respond to the immediate priorities. Such a practice has a huge potential of compromising the entire KZNCoGTA's mandate and beneficiary municipalities (Singh, 2016:94). Similarly, senior government officials who fail to observe consultative processes during the development of sector plan may seriously compromise the Department's ability to execute its mandate as they would have failed to observe a two-way process required when developing strategic plans (Nel, Raga, & Mbanga, 2014:48). The implication is likely to be the

non-cooperation of a beneficiary municipality if they regard those interventions irrelevant for their immediate challenges. A ripple effect could be strained relations with long-term implications for service delivery. As Mavee (2015:137) avers, the environment upon which spheres of government are given the electoral mandate provided by the voters coupled with human rights puts the service beneficiaries at the centre. All spheres of government are compelled to ensure that their interventions respond to the needs of the communities. This becomes the common point of departure for all spheres of government and organs of state.

2.4.3 Complexity in provincial government and municipalities

Montuori (2011:2) defines a System as a group of interrelated elements that make up a complex whole. According to Godfrey and Oelofse (2008:2), the extent of complexity in the system is manifested in the characteristics of their subsystems. Senge (2006:69; cited in Porter, 2014:11) asserts complexity appears to influence everyone, which makes a case for systems thinking to address challenges. According to Singh (2016:88), complex systems are characterised by various sub-systems each with its boundaries, inputs, processes and outputs and formed in hierarchical order. Whilst each subsystem has a specific function, it contributes to the goal of the system (Singh, 2016:88).

Consequently, Singh (2016:89) contends that cooperative governance should be regarded as a complex system. In his assertion, Singh (2016:89) considers the legislative role of national government whilst all spheres of government together with other organs of the state are bound to comply with the nationally prescribed rules. In this regard, legislation controls what needs to be done across the board. This relationship between the passing of rules and compliance or execution following prescribed rules finds the reasoning in Singh's (2016:89) assertion that cooperative governance is a complex system.

Another context of complexity with the system of government is brought up in Kanyane (2016:92) who points out that complexity originates even from the constitutional definition of the three spheres of government as it purports a hierarchy thus necessitating caution against such a conception. Both Malan (2005:98) and Edwards (2008:68), although in different contexts, share Kanyane's (2016:92) view that the system of government in South Africa is complex in terms of the definition, mandate and those principles of distinctiveness, interrelatedness and interdependence guiding their functioning.

How the system of government is defined in the Constitution (Kanyane, 2016:92; Malan, 2005:98; Edwards, 2008:68); the requirement for the spheres of government and organs of state to cooperate and the shared legislative role and jurisdictions including the unilateral subjection to national statutes (Singh, 2016:89), fundamentally makes the system of government complex. The complexity of the system is another element which warrants that the spheres and organs of government use IGR processes to cope when dealing with issues and settle for consensus through appropriately recognized forums.

2.4.4 Input-transformation-output model and feedback loop

Kast and Rosenzweig (1972:450) associate a transformation model with an open system which interacts with its environment. According to authors, the system receives inputs through a relationship it shares with its environment and transforms these inputs to produce outputs. Similarly, defining the open system, Singh (2016:92) states that it takes inputs from the environment and transforms them into outputs which revert to the environment. Singh (2016:92) defines input as the information obtained from the environment into the system while output is the feedback the system gives back to the environment. Singh (2016:92) states that both input to, and output from, the system involves crossing the system boundaries.

According to Weissenberger-Eibl et al. (2019:2), the functionality of a system can be associated with variables of input and output. In other words, the completeness of the system is on the final product. The crux of the matter is that a dysfunctional part of the system puts the entire system in jeopardy. This linkage is important for the system of government within a developmental state which exists to serve the interest of its citizens (Qwabe, 2013:25). This transformation model depicts the core of a system of government in South Africa.

In the context of this study, the first element of the interdependence of units is the fact that the KZNCoGTA sector plans do cross the boundary in dealing with UDM's development agenda. The inputs in this regard should be all developmental issues derived through the IDP process. This IDP process allows for interaction and engagement which, through due processes breed indicators designed to address development issues. If those indicators are implemented, outputs are produced, and they are the end products which communities can use or depend on.

The government has taken this thinking a step further by focusing on outcomes (Qwabe, 2013:23), including requiring the conclusion of performance agreements for political heads (Nel et al., 2014:50) to ensure accountability. This developmental process requires interaction between KZNCoGTA and municipalities and other organs of state within the national, provincial, and local sphere of government in general. This collaboration is necessary for the government to provide integrated service delivery and development to the citizens. Similarly, KZNCoGTA would devise its interventions to advance UDM's development agenda based on the IDP feedback which should ideally shape all interventions.

Singh (2016:92) also warns that poor analysis based on poor coordination, and disjointed action whilst the environmental aspect is neglected has the potential to misdirect the purpose. In the KZNCoGTA and UDM relationship, UDM as reinforced by KZNCoGTA should be able to respond to the development agenda shaped by the IDP processes. The view depicted in Singh (2016:92) emphasises that the transformation of inputs to outputs, in this case, analysis of challenges confronting municipalities to derive indicators requires both KZNCoGTA and municipalities to interact and consider what citizens put forward as their challenges if the interventions are to be responsive to their real needs and expectations.

2.4.5 Collaborative and co-operative governance

A notion of collaborative governance is implied in the input-transformation and output model (Ansell & Gash, 2008:543). The authors state that collaborative governance is the new form of governance that has developed over the past decades. This form of governance replaced the antagonistic policy production and implements management formats with a participative friendly mode allowing the government, public, and private sector interface to avail a fertile ground for collective decision making. This model of governance as Ansell and Gash (2008:543) state is named collaborative governance and it is related to Systems Theory.

Ansell and Gash (2008:543) state that they conducted a study to determine whether collaborative governance can result in successful synergies. The authors further state that several factors within a collaboration process, which "include face-to-face dialogue, trust building, and the development of commitment and shared understanding" were identified. Their study also revealed that a concerted effort of the collaboration structure to focus on the low-hanging fruits or quick wins for deepening trust, commitment and the common understanding is inclined to develop the required

collaborative mood. This collaborative mood is necessary for KZNCoGTA to leverage an environment conducive to the development and implementation of responsive sector plans instead of it being viewed as an intruder or dictator.

According to Sesele (2013:18), collaboration is a synonym for cooperating. In this sense, collaborative governance is a synonym of cooperative governance, and cooperative governance in South Africa is facilitated through IGR. Opeskin (1998:11; cited in Ile, 2010:53) asserts that intergovernmental relations as a term are commonly used to refer to the relationships between central, regional and local governments which facilitate attaining common goals through cooperation. According to Ile (2010:53), government achieves the desired goals through executive, coordination, cooperative protocols, judiciary, and legislative mechanisms as elements of the system of the intergovernmental relations which facilitate government's coherent delivery.

The essence of this model is the effect which the system has on its environment. Through the IDP processes, a range of issues are depicted, which can be regarded as inputs to the IDP, and which inform the KZNCoGTA sector plans. The identified issues are processed, and they translate to interventions, which can be associated with the transformation element of the model. Finally, actual interventions get back to the communities as outputs. These outputs, if they serve the purpose result in outcomes, which is the desired developmental state.

In the system of government, the key external environment is the citizenry which is entitled to services which must be provided through municipalities. Whilst a municipality is a complete entity on its own, it is unable to deliver the total package of services to the community due to the concurrence of functions with other spheres of government. These institutions operate in a regulated environment and their actions are largely dependent on the statutory provisions. A municipality is also bound by the prescripts of the RSA Constitution, 1996 (Mathenjwa, 2014:180); meaning that it must respect and cooperate with the other spheres of government. This includes municipalities being legally obligated to respect provincial inter-jurisdictional powers of the national and provincial governments in their domain.

2.5 THEORETICAL MODEL: HOLISM AND SOUTH AFRICAN COOPERATIVE GOVERNMENT SYSTEM

2.5.1 Holism and South African cooperative government system

South Africa is a constitutional democracy which is governed by a transformative constitution and a plethora of subordinate laws and policies. The RSA Constitution, 1996, establishes a cooperative government that is underpinned by three non-negotiable imperatives of distinctiveness, interdependence, and interrelatedness. This system of government is also ordered to operate within the set principles which define parameters upon which the legislative and executive powers conferred upon each sphere primarily in terms of the constitutional imperatives. This constitutional boundary prescribes how legislation is passed, and how executive functions are performed including how the judiciary together with other institutions established to advance democracy protect the democratic system.

The understanding and institutionalisation of the systems theory within the new paradigm of a cooperative government system are important to advance service delivery. Various public administration and management studies show that the overall objective of the government is service delivery to the community (Matshabaphala, 2014:1008). It is against this backdrop that dysfunctional elements of any sub-system could have a negative influence on the functionality of other subsystems. The dysfunctionality of subsystems that originates within a system could also affect the functionality of a system. Matshabaphala (2014:1008) argues that South Africa, through its way of conducting business, seems to have practically reverted to the old closed system dispensation although, in theory, it is an open system. This observation points to a system that is deviating from its cause, which may also be a signal for a potential failure.

The KZNCoGTA is a department responsible for local government in the province (KwaZulu-Natal Provincial Treasury, 2017). The Department's mandate is premised on the obligations and responsibilities entrusted upon the MEC. For instance, Section 105 of the Systems Act vests the responsibility for the establishment of mechanisms, processes, and procedures for monitoring municipalities in the province precisely on the MEC. Similarly, Section 106 of the Systems Act requires the MEC to monitor municipalities in fulfilling their statutory obligations or guard against maladministration, fraud, corruption or any other serious malpractice in this regard (Reynecke, 2012:23). When the MEC does so, he or she must be mindful that municipalities are an autonomous sphere of government and her or his involvement must not be construed as an impediment to the municipality concerned.

The other dilemma confronting an MEC is that Section 105 of the Systems Act references the assigned responsibility to Section 155 (6) of the RSA Constitution, 1996. This connection tacitly indicates that the task is constitutionally a provincial government responsibility. The line of command for an MEC is the Premier who makes the appointment of MECs from the members of the PL as contemplated in Section 132 of the RSA Constitution, 1996. These appointees perform functions as assigned by the Premier as contemplated in Section 133 of the RSA Constitution, 1996. Another dimension is that Section 133(2) of the RSA Constitution, 1996, opens a direct line of accountability of MECs for the exercise of their powers and the performance of their functions to the provincial legislature on a collective and individual basis.

An MEC is further obligated in terms of Section 25(1) of the Public Service Regulations, 2016 (PSR) to prepare a department's five-year Strategic Plan and the APP as a fiscal year plan required to define the activities of that department to be achieved in that fiscal year. These statutory provisions indicate the rationale for the guiding constitutional principles of interrelatedness and interdependence. In one way or the other, each sphere or each organ of the state impacts each other and could have a positive or negative effect.

2.5.2 Recognizing systemic complexity and mending relations

An MEC for local government is located within a provincial sphere of government and actually appointed by the Premier (Reynecke, 2012:22) and inherently reports to the Premier. It can be argued that the powers of an MEC are subject to the specified reporting lines between him or her and the Premier. The Premier, on the other hand, shares executive powers with other members of the Provincial Executive (PEC). The PEC is also accountable to the Provincial Legislature (PL). The Constitutional mandate to support the local government is vested in both national and provincial government in this regard, which implies that neither a MEC nor the Premier has exclusive powers over local government. These powers are derived from the collective statutory provision. This should guide the conscious and to an extent help reduce the possibilities of crossing the boundary or even failing to account for actions.

A municipality as an entity has various structures. The collective is a municipal council which is vested with legislative and executive powers subject to national legislation. The chairperson of a municipal council is the Speaker (de Visser, 2009:17), who is also responsible for the Code of Conduct (Disoloane, 2012:171). The Code of Conduct has limited scope in the proceedings of the

municipal council as council meetings are run through the Rules and Orders (de Visser, 2010:90). A speaker, in essence, is responsible for the discipline of members of the municipal council irrespective of positions, implying that he or she is also responsible for the mayor's discipline as a councillor.

According to de Visser (2010:92), speakers are faced with a challenge in putting the provisions of the Code of Conduct into practice, particularly for executives. The reality is that executive leaders in a way do not subject themselves to the speaker. Moreover, there is always interference with investigations (de Visser, 2010:93). On one hand, a mayor has a responsibility to oversee the IDP process, which is also participatory as well as perform oversight responsibilities on the council budget (Mbanga, 2012:144). A municipality which fails to adopt a budget is responsible as an entity (Mathenjwa, 2014:183). As noted by de Visser (2010:93), there is no clear line of command between the Mayor and the Speaker, which makes the system to be more complex.

According to de Visser (2010:89), executive and legislative powers are vested in the municipal council whose Chairperson is the Speaker (de Visser, 2009:17). This implies that the highest decision-making body is the collective of a municipal council. In other words, the municipal council has powers over the speaker. This setup calls for councillors that can use these powers effectively to the benefit of the citizens. A municipal council which a speaker chairs must approve both these primary strategic documents. A mayor relies on the Executive Committee to prepare these strategic documents and present them to the council. Additionally, de Visser (2009:17) noted that controversy emerges when a mayor has to interface with the public on issues of service delivery and budget whilst public participation is a speaker's terrain. The complexity is that it would serve no purpose to have a fully functional executive committee and the mayor if a municipal council is dysfunctional as it is the ultimate structure to approve strategic documents.

On the other hand, an MEC cannot be distanced from an IDP that does not respond to the challenges of the municipality due to the inherent duty to assess and issue a letter on the status of such an IDP (Subban & Theron, 2016). Similarly, a copy of the Budget is provided to an MEC and therefore able to ascertain its consistency with an adopted IDP. Although an MEC has powers to request information or to institute an investigation in terms of Section 106 (1) of the Systems Act, he or she is compelled to put forward a report to the NCOP within 14 days of her action and he or she must motivate his grounds for either requesting information or instituting an investigation (Reynecke, 2012:38). Further, same must be forwarded to the Ministers for local government and

finance (Reynecke, 2012:38). The NCOP has a responsibility to table the report received from an MEC to the Select Committee on Cooperative Governance and Traditional Affairs (Reynecke, 2012:39).

Moreover, a Minister for local government may request an MEC for local government to investigate a maladministration matter in a municipality following Section 106(4) of the Systems Act (Reynecke, 2012:42). Interestingly, an MEC is by application of law given three months to investigate and conclude the matter, which he or she must report on to the PL whilst also sending a copy of the report on findings to the Ministers of local government and finance and the NCOP (Reynecke, 2012:43). The Minister is further empowered in terms of Section 106(5) of the Systems Act, to conduct the investigation, should a MEC having been requested to conduct such an investigation, fails to do so within the stipulated time frame (Reynecke, 2012:44).

However, a Minister who has investigated maladministration in a municipality sends a report to the President. In terms of Section 107 of the Systems Act, a Minister may request a municipality to furnish information to any organ of the state although it needs to be done through publication of a Gazette. Whilst it is noted that a Premier in a Province and his or her Executive Council or even the PL are not mentioned in the MEC's obligation to motivate for his or her Section 106 of the Municipal Systems Act actions; through the representation to the NCOP, a Premier who according to Edwards (2008:71) leads the 10 members provincial delegation to the NCOP will eventually get to know about this report, surprisingly at the same time as other members if no report was issued at the provincial level. The primary responsibility for local government performance is entrusted to a MEC for local government in the sense that the request for information by a Minister is not necessarily concerning a suspicion or opinion that a statutory obligation cannot or is not performed. The alluded Minister's request for information in terms of section 107 of the Systems Act is purely directed to maladministration or for purposes of information required by another organ of the state.

It can be deduced from this point of view that the successes and failures of municipalities in a Province are mostly and or entirely in the hands of an MEC through his or her department. At the same time, the environment upon which an MEC directs municipalities is highly complex with various accountability obligations. In this regard, Department's interventions need to be relevant to local government challenges and importantly be embraced as such by the recipient municipalities. This condition forces a participatory process where interventions are coined

together with municipalities from the onset. In this way, KZNCoGTA Sector plans would serve as a re-enforcement of UDM's development agenda. This is what this study sought to establish based on the conviction that sector plans can show alignment from the planning point of view. The approach is holistic from the processes in the development of the sector plans, and the content to UDM development issues including processes followed during the implementation of the plans.

2.5.3 Institutional arrangements for intergovernmental relations

The RSA Constitution, 1996, contemplates that the IGR arrangements would be based on the law that will provide for mechanisms, processes, and procedures to give effect to the cooperative governance. The law was promulgated as the *Intergovernmental Relations Framework Act, Act No. 13 of 2005*. This Act provides for the formation of Intergovernmental Relations (IGR) structures across the three jurisdictional governments. It provides for the establishment of the *Presidential Coordinating Council (PCC)*, which the President chairs (De Visser, 2021:36). The PCC, according to De Visser (2021:36), serves as a national consultative platform where Premiers represents respective provinces. A similar arrangement exists for provincial government where a *Premier's Coordinating Forum (PCF)* chaired by the Premier is representative of all districts through the mayors of the respective District Municipalities (De Visser, 2021:36). This is a structure for engagement and coordination of government business within a Province. These structures are supported by technical structures. The President, during his 2019 Budget Speech, announced the District Development Model (DDM) as a new mechanism for government collaboration (Reddy & Wissink, 2021:326). The new model was taken through a series of engagements at the MinMEC and PCC levels and it was finally approved by Cabinet in August 2019. According to Khambule (2021:508; citing Department of Planning, Monitoring and Evaluation, 2019), the DDM was conceived by the government as an instrument to address disintegration amongst the spheres of government and organs of state to improve coherence in development planning and implementation.

2.5.4 Collaborative process required for a responsive sector plan

The major challenge that compromises the optimum success of the public sector like in most institutions is the inability to synchronize strategies (Nel et al., 2014:42). However, the system of government in South Africa is harmonised through the principles of cooperative governance as provisioned for in the RSA Constitution, 1996 (Edwards, 2008; Kanyane, 2016; Mbecke &

Mokoena, 2016). According to Edwards (2008:66), the ultimate aim of the IGR is the satisfaction of the community needs which is achieved through effectiveness and efficiency within the system premised by cooperative governance. Cooperative governance as a prescribed concern enables cooperation, consultation, communication, and collaborative decision-making.

It appears that most organisations are becoming conscious that the nexus between formulated strategies and consistent execution is the fundamental thrust to their success (Nel et al., 2014:42). Execution happens at lower levels of the institution whilst executive managers have the responsibility to oversee the process. However, as Nel et al. (2014:42) opine, structure, culture and systems are the main capacity elements necessary to drive the organisation to its competitive advantage. The systems element also finds expression in the assertion by Boar (1994:2; cited in Nel et al., 2014:43) that the common objective becomes the driver, as it compels everyone in the institution to collaborate and when alignment can be achieved. Additionally, alignment happens when common vision and goals determine the processes and related systems and structures. As Gunn (1973:3; cited in Nel et al., 2014:43) asserts, no strategy exists in a vacuum because they share resources and work cohesively to achieve the overall organisational goals which make them interdependent and interrelated. Accordingly, Nel et al. (2014:43) emphasize that strategic planning aligns operational issues with vision and goals.

Given the context of planning underpinning actions during execution, it raises a need to conceptualise collaborative implementation processes at the sector plan design stage as they should be based on the plan rather than being an individual's will and innovative process. Such a planning and implementation model should postulate alignment as an ongoing change management process rather than it being concerned with the planning phase concern (Nel et al., 2014:45). Advancing this argument, Nel et al. (2014:45) assert that many issues emerge post the development of a strategy even before implementation commences and this compels immediate and that appropriate decisions are made including reviews of policies if necessary.

To an extent, challenges arising during strategy implementation may necessitate reconsideration of plans or even prompt managers and decision-makers to take proactive steps to devise alternatives towards the attainment of intended outcomes. Such assertions imply that decision-making does not end at the adoption of a strategic plan. In this regard, management needs to be intimately involved to receive feedback from the operational level regularly. In other words, collaboration is required during strategy development to leverage support for the decided

interventions; and collaboration is necessary during the execution of the strategy to ensure that interventions do not deviate from agreed ones without concurrence at the management level. Experiences from strategy execution inform further planning either for corrective purposes or to refer to good practice and innovation to improve the plans and make them responsive and realistic.

According to Fiegener and Coakley (2002:18, cited in Nel et al., 2014:46), there are three alignment mechanisms which are context, content and process. As Venkatraman, Henderson and Oldach (1993:144; cited in Nel et al., 2014:46) opine, alignment mechanisms can assist executive managers to be in the loop regarding gaps from choices made at strategy formulation against administrative and operational processes. In this regard, the management involvement would better equip them to share the understanding of the external environmental factors and how these influence the activities of the organisation for them to take decisions that improve the systems, programmes and activities of the institution.

Bryson (1988:74) also avers in a similar context in stating that reasonable structured processes are necessary to enable key decision-makers to identify and resolve the most important issues confronting their organisations. A contextual environment is set through the IGRFA which provides for the establishment of IGR Forums within the three spheres of government (Mbecke & Mokoena, 2016:99; Edwards, 2008:68). It is upon KZNCoGTA and UDM as organs of state to utilize the statutory tools prevailing mechanisms to enforce cooperation and coordination of actions (Malan, 2005:230; Kanyane, 2016:92). In this system, both KZNCoGTA and UDM are compelled to prepare cohesive plans which address the needs of the people coherently.

Even though KZNCoGTA has jurisdiction in UDM's domain, the success of its interventions relies much on cooperation between KZNCoGTA and UDM as partners towards fulfilling UDM's developmental agenda. For UDM to cooperate appropriately; there should be a sense of oneness and collaboration. Significantly, KZNCoGTA initiatives should be appreciated as a value-adding to UDM's development agenda rather than to be viewed as a ticking-a-box compliance action on the part of KZNCoGTA. These are the realities of the relationship of the institutions that are interdependent and interrelated reinforced through the principles of cooperative government and IGR depicted in Malan (2005:227). These relationships avail platforms for ongoing engagement on issues affecting both institutions.

The system through Technical Support Forums (TSFs) support allows for technocrats to collectively advise the political component of the municipal administration. Moreover, the *Framework for Strategic Plans and Annual Performance Plans* imposes a stringent requirement for all spheres of government to align strategic plans. Ideally, there should be a relationship between the IDPs and the KZNCoGTA sector plans based on this alignment obligation. An alignment between KZNCoGTA's sector plans and the UDM's IDP and its ultimate SDBIP is unavoidable given that KZNCoGTA is constitutionally required to support and strengthen UDM's capacity.

The obligatory alignment of plans gives assurance that the content of KZNCoGTA sector plans concerning interventions directed towards the support and monitoring of UDM would be based on UDM's IDP projects and indicators. Based on IDP preparation processes, such projects and indicators should have been derived from the convergence of issues raised during public participation, audit outcomes and the review of the literature. On an annual basis, a KZNCoGTA APP anticipated is the one which reinforces UDM's SDBIP with ultimate outputs and outcomes contributing to the attainment of a vision for a better life for all UDM citizens.

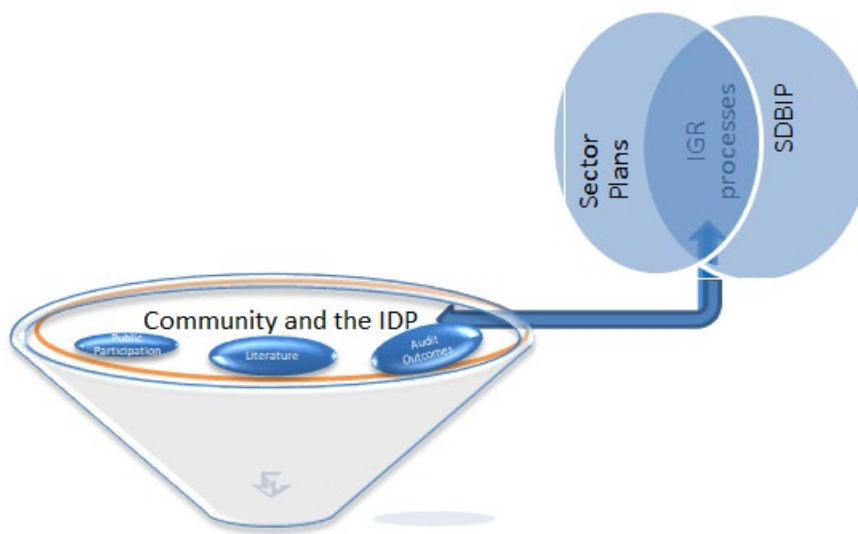
A process that should be followed in the preparation and implementation of sector plans is fundamental. The stages of the process including timeframes for organs of state to plan, prepare budgets and report on progress are prescribed (National Treasury, 2010: see Annexure A, Khawula, 2016:47, National Treasury, 2007:4). The IGR structures established in terms of the IGRFA would allow for the collaboration throughout the process, as illustrated in Figure 2.1 that follows.

Figure 2.1 indicates the relationship between the three spheres of government and the community. This relationship is jurisdictional rather than hierarchical. Every sphere is interfacing with the community depending on the length and breadth of the jurisdiction. The national sphere interfaces with the entire territorial jurisdiction whilst the provincial sphere's jurisdiction is area based. The local sphere of government is closer to the people. This local sphere is strategically positioned and empowered through the IDP preparation process to direct the interventions of the other two spheres. This process should rely on the IGR processes to input into the process.

In this regard, sector plans; particularly the APP, should interface with the SDBIP through IGR processes. The initiation process is embedded in the community from which all issues influencing

the IDP are derived mainly through public participation mechanisms. Other issues are derived from existing documents and reports from the AG. A budget should be informed by the IDP and implemented through the SDBIP. An APP comes in as a reinforcement mechanism between the budget and the SDBIP and it is informed by the issues discussed at IGR platforms and as extracted from the IDP. The progress of the sector plans and the SDBIP should get attention at the IGR Forums established to oversee the process. Outputs emanating from the sector plan and SDBIP implementation should result in outcomes which are channelled back and enjoyed by the community as recipients of service delivery and development.

Figure 2.1: Collaborative model



Adapted from Ansell and Gash (2008:550)

2.6 CHAPTER SUMMARY

This chapter dealt with the theoretical framework and contextual basis for KZNCoGTA sector plans as a reinforcement tool for UDM's development agenda. It introduced this chapter by outlining that it deals with the theoretical framework underpinning this study. The role of theory in research was unpacked and the systems theory as a suitable and chosen theory was captured. The historic origins of the systems theory were unpacked thus paving the way for the explanation of why it is relevant for this study. The Systems Theory as the relevant theory in this study was discussed and contextualised with the study where the system of government and related complexities were discussed. A theoretical model was discussed and further shown in a diagram, thus paving the way for the explanation of why it was deemed relevant for this study.

CHAPTER 3

NATIONAL-PROVINCIAL-MUNICIPAL GOVERNANCE, RELATIONS AND SECTOR PLANS

3.1 INTRODUCTION

This chapter covers a combination of the selected legislative framework underpinning this study and literature focusing on what scholars have written on the subject matter including other public documents contain on the provincial and national jurisdictional government, particularly KZNCoGTA's role on municipal matters as articulated in their sector plans including how those plans are executed. Emphasis is placed on provincial-local governance matters in this regard contextually.

In tracing the role of the provincial and national government, this chapter reveals the tacitly delegated provincial government statutory role to the member of the executive council (MEC) responsible for the local jurisdictional government in the province, hence KZNCoGTA is the focus department. Such a role is associated with the functionality of municipalities primarily concerning support and monitoring aspects, as depicted in the RSA Constitution, 1996, and other primary statutes. These are the mandates which underpin KZNCoGTA's measures and direct the allocation of its resources towards service delivery in the province.

The legislative statutes reviewed reflected on the establishment of the democratic developmental state in South Africa and its obligations to redress imbalances of the past. It explains the framing of the system of government which is entrusted with the legislative and executive powers; and the role of the judiciary system in responding to the constitutional democracy and the developmental mandate.

A range of subheadings reflects on the statutory provisions binding all government towards supporting and enhancing the capacity of the local sphere of government. A reflection is also made in respect of previous support measures implemented as well as the current arrangements aimed at focusing provincial and national governments on their obligation to enhance the capacity at the

local government level. The stigmatization of the role of provincial and national government using various constructs is also shown with the potential damage to the receptiveness of the local sphere.

A reflection is also made on the need for all government coherent planning and the importance of sector plans as repositories for measures and programmes aimed at advancing the developmental mandate. The chapter reflects on the views of various scholars and stakeholders on the government's capacity to fulfil the developmental mandate in the current dispensation of government. Focused attention on the challenges at UDM as a case of the study concludes this chapter before emphasizing the need for KZNCoGTA to commit to a turnaround strategy on the forms and shapes of monitoring and support measures to enhance the much-needed capacity at the local sphere of government.

3.2 GOVERNMENT INTER-JURISDICTIONAL POWERS

The statutes bestowing government inter-jurisdictional powers on municipal domain reflected upon in this study are as follows:

- Constitution of the Republic of South Africa, 1996.
- Local Government: Municipal Structures Act, Act No. 117 of 1998.
- Local Government: Municipal Systems Act, Act No. 32 of 2000.
- Intergovernmental Relations Framework Act, Act No. 13 of 2005.
- Public Service Act, 1994; and
- Public Finance Management Act, Act No.1 of 1999.

Specific sections of each of the identified statutes affecting the provincial geographic jurisdictional government and KZNCoGTA specifically concerning local geographic jurisdictional government functionality were navigated upon. A brief context of the key legislative framework is presented hereunder that specifically relate to the study.

3.2.1 Constitutional imperatives

3.2.1.1 Jurisdiction of government

In South Africa, the constitutional system of government is named spheres as specified in Chapter 3 of the RSA Constitution, 1996 (Reddy et al., 2021:4). The concept ‘spheres’ denotes jurisdiction (Reynecke, 2012:8; Tapscott, 2008:4; Van Wyk, 2012:288). The other aspect of the framing of government is national, provincial, and local, which connote jurisdiction or geographic territory also noting the jurisdiction term conceptualised by Diseko (2018:334). Reddy et al. (2021:3) also refer to the territory in their conceptualization of the type of government in the country.

Given that the current system is not organised in levels but in jurisdiction form, it, therefore, means that the relationship is horizontal rather than vertical. A resounding element in the distinctiveness of the three spheres of government is the extent of the jurisdiction covered in the scope of operation. There is an overlap of geographic coverage by the national division to both the provincial and local divisions and from the provincial division to the local division. Although there is an overlap of jurisdiction, the powers and functions are divided for each of the three divisions (De Visser, 2019:3). Such division of powers and functions clarifies what function is to be performed by which division. Chapter 7 of the RSA Constitution, 1996, bestows an obligation to the national and provincial jurisdictional governments to ensure that the local division fulfils its mandate (Van Niekerk & Dalton-Brits, 2016:119).

The encroachment of the constitutional mandate for the national and provincial jurisdictional governments to the domain of the local government division is conceptualised as inter-jurisdictional powers for the intent and purpose of this study. The concept of inter-jurisdiction may be understood in different contexts. Others may understand it to refer to a cross-border territory, as in the case of Creamer et al. (2011), who used the term concerning the cross-border planning affecting the Republic of Ireland and Northern Ireland. Durante and Gutierrez (2013) used the term to refer to the jurisdictions of the same administrative level, while McMillan (cited in Leuprecht & Young, 2006) used the term in connection with provincial-municipal relations. Others may refer to it as inter-municipal relations. Flynn-Guglietti, Forristal & Sutton (2017:2 - 3) referred to the term inter-jurisdiction as they provided a brief overview of the principles used in Canada to address conflicting legislation between provincial and federal legislation and municipal bylaws. He states

that inter-jurisdictional immunity is one of the doctrines which applies as there is bound to be the interaction of exclusive powers of the levels of the federal government.

The use of inter-jurisdiction terms in this study relates to the powers entrusted to the divisional government which is operating nationally and provincially on the authority of the divisional government operating at the local level. In the main, the concept of inter-jurisdictional powers is used in the context of the statutory instruments empowering the provincial sphere of government to exercise authority and oversight in municipal matters encapsulated as the duty to establish, regulate, monitor, capacitate, support, and intervene in municipalities. Sutcliffe and McGahey (2021: 5 & 175); Kanyane (2016:95); Reynecke (2012:3); Fuo (2017:326) and Reddy et al. (2021:2) harbour on the term constitutional system as the state is neither a federal nor a unitary system. Conduct in this country ought to conform to the constitutional provisions.

3.2.1.2 Notion of developmental state underpinning government powers and functions

The preamble in the RSA Constitution, 1996, sets the basis and the contextual description of the State of South Africa. It presupposes that the nation would move forward to a prosperous future based on what the past held for the country and its citizens. The historical context is crucial as it shapes a futuristic vision based on the demands to redress past imbalances. An expected programme of action is a clear reactive plan aimed at bridging the gap between the existing environment and the desired future characterized as a better one.

The preamble to the RSA Constitution, 1996, resembles the Freedom Charter preamble if looking at the contents encapsulated in Marcus (1985:19). In this regard, the preamble to the RSA Constitution, 1996, like the Freedom Charter, makes it explicitly clear that South Africa has a representative government. Moreover, the government expressed in the afore-stated preambles; is based on the wishes of the people. Such implies that citizens, through a democratic process, constitute the government. This government of the people is required to remain accountable to the citizens and to intervene in development through the provision of services that respond to the aspirations for a better life for all whilst fulfilling the constitutional rights in general for all citizens (Glaser, 2016:5, Fuo, 2013:221).

The people shall govern aspiration from the Freedom Charter is expressed in Chapter One of the RSA Constitution, 1996, where the democratic principles are spelt out (Glaser, 2016:5; Mavee,

2015:147). It is also in this chapter where the supremacy of the RSA Constitution, 1996, is spelt out (Fuo, 2013:221). The supremacy concept is crucial for this study as it sets the relationship between the type of state and the prevailing constitutional system of geographic jurisdictional government. Moreover, it prohibits conduct or legislation that is inconsistent with it; otherwise, deviant conduct is invalidated, and it is null and void. On this premise, the relationship between the government and its organs rests on statutory provisions binding on everyone.

Chapter 2 of the RSA Constitution, 1996, prescribes the rights of all citizens in the country. Moreover, it is crafted consistently with the democratic change demand of the Freedom Charter: All National Groups Shall have Equal Rights (Marcus, 1985:19-20). This chapter defines all the rights of citizens which government must take consideration and care of. Even before the government set-up is clarified, the fundamental developmental responsibilities are prescribed, and the principal call is for a government that is duty-bound to fulfil the developmental vision to be in place. All governments in their geographic jurisdictional form derive their mandate primarily from Chapter 2 of the RSA Constitution, 1996. The said chapter spells out the fundamental rights in Sections 24, 25, 26, 27 and 29. Such rights are the “environment; property; housing, health care, food, water, social security; and education” and these are clear directives for all government programme of action. It contemplates redressing past injustices (Reddy et al., 2012:44) and specifies social justice and human rights that must be fulfilled (Fuo, 2013:221).

3.2.1.3 Designed government and developmental agenda

Chapter 3 of the RSA Constitution, 1996, defines the democratic system of government. It indicates that the government in the Republic consists of three spheres, which are national, provincial, and local and are distinct, interrelated and interdependent (Diseko, 2018:324). According to Munzhedzi (2014:699) and (De Visser, 2019:6), spheres of government are each assigned specific powers and functions on an exclusive or concurrent basis and are required to cooperate (Sekgala & Tsheola, 2016:113). However, as Fuo (2017:327) and De Visser and November (2017:4) posit, powers are never unregulated hence the significance of national and provincial government jurisdiction in the municipal domain. Although municipalities are a distinct sphere, the regulatory environment compels them to function within the parameters of the statutory provisions prescribed nationally and provincially; and to ensure that their bylaws, including policies and practice, are consistent. Based on the inherent authority, the government can respond

to the state's developmental vision. According to these principles, the three geographic jurisdictional governments must cooperate.

According to Reddy et al. (2021:4), similarly to Van Wyk (2012:289) and Fuo (2017:326), the cooperative system of inter-jurisdictional government has moved away from the previous system that provided for a hierarchical order with the lower level subjected to the superior level of government. Contrary, the new system of government, by its design, is anti-hierarchical (Van Wyk, 2012:289). The concept of spheres introduced with the new system of government was deliberate to avoid the tiers concept used during the old order. The tiers concept reduces local government to a subordinate of the central government. Its sustenance during the current regime could have meant an endorsement of a hierarchical relationship (Tapscott, 2008:4). Reddy et al. (2012:13) also state that the level concept connotes a subordinate relationship. The authors aver that it was, for the same reasons, found inappropriate for the democratic dispensation.

Spheres of the current regime are synchronized through constitutional principles binding on all of them (Kanyane, 2016). Fundamentally, these principles emphasize that the three spheres of government have due regard for the status of one another and are to be shaped by mutuality as the relationship condition. As Reddy et al. (2012:13) point out, the Constitution provisioned for the autonomy of the spheres of government whilst setting up systems like functions, budgets, and policies cutting across all three spheres. Furthermore, functional areas are naturally exclusive and concurrent compelling these spheres of government to collaboratively coordinate their actions and legislation.

The prescribed system of government is required to use intergovernmental relations as a tool to actualize cooperative governance. Such is a crucial paradigm shift which needs to be understood. Kanyane (2016) notes a possibility that this shift is not recognised, which may result in its association with the apartheid era's hierarchical and subordination system. This confusion may result in severe challenges for KZNCoGTA in developing and implementing responsive sector plans. The afore-stated point emanates from the fact that different political parties may be leading governance in various municipalities. Therefore, it is governance that must rise above political preferences or interests. There can be difficulties realising that the KZNCoGTA sector plans dictate actions whose successful execution is dependent on the responsiveness of the local sphere whose domain is affected. For instance, if KZNCoGTA has a support measure requiring a council resolution, it means that Council is the dependency factor because the support measure in question

is unlikely to move anywhere if Council does not grace it. There exists a possibility that the relations become harmed for various reasons and thus making it difficult for KZNCoGTA to execute its mandate. Fundamentally, all municipalities and KZNCoGTA are required to respect the principles guiding cooperation for optimum development and service delivery.

3.2.1.4 The government inter-jurisdictional powers

The transformative RSA Constitution, 1996, is the basis for the role of the three geographic jurisdictional governments due to the obligations to redress past injustices (Reddy et al., 2012:44) and enable societal integrity and safeguard human rights (Fuo, 2013:221). Enshrined in Chapters 4 to 8 of the RSA Constitution, 1996, are issues relating to parliament, the president and the national executive, provinces, local government, and the judiciary as entrusted with the administration of justice. There is a clear division of the powers between the legislative, executive and judiciary arms of government (Munzhedzi, 2017:81) in respect of law-making, execution of law and enforcement of the law (O'Regan, 2005:134; cited in Munzhedzi, 2017:88). Related to the set developmental agenda for municipalities especially during the final phase of transformation is the support and monitoring role among many other constitutional duties assigned to the national and provincial government.

Chapter 7 of the RSA Constitution, 1996, contemplates the responsibilities and obligations of the provincial government on local government matters such as establishing, regulating, monitoring, supporting and strengthening the capacity of local government. Fuo (2017:325) contends that municipalities serve as a platform to fulfil the democratic and developmental agenda through the enhanced local government status and mandate. The inter-jurisdictional powers of the provincial government in the municipal domain defines the intention to strengthen the functionality of municipalities. The system of government consists of national, provincial, and local jurisdictional governments. Whilst the terminology used is spheres of government, it is clearly about the operational jurisdiction which comes before the powers and functions. The specific sections referred to are 154, 155 and 156. The favourable environment in respect of the inter-jurisdictional powers is the condition of municipal autonomy to comply with national and provincial legislation contemplated in Section 151(3) of the RSA Constitution, 1996. While observing this conditional autonomy, Section 153(b) of obliges municipalities to participate in national and provincial government programmes. The statutory requirements posit municipalities as components of the entire system of government required to foster a culture of cooperation among the state organs.

As contemplated in Section 154(1) of the RSA Constitution, 1996, national and provincial governments are required to support and strengthen the capacity of the local jurisdictional government. Moreover, the provincial jurisdictional government is responsible for establishing municipalities in terms of Section 155(6), provided for in national legislation. Additionally, the provincial jurisdictional government must make provisions for supporting and monitoring municipalities and promote the enhancement of the local jurisdictional government capacity for it to be able to meet its service delivery and developmental obligations.

The Premier and the Provincial Executive Council (PEC), as contemplated in Section 125 of the RSA Constitution, 1996, are critical factors for the provincial government to carry out constitutional responsibilities successfully. The stated clause specifies that the Premier is vested with the executive powers of the provincial jurisdictional government exercised with other PEC members. Within the broad mandate of a Premier and a PEC; is the responsibility to coordinate government business in a province as expressed in Section 125(2) of the RSA Constitution, 1996. Moreover, Section 139 empowers provincial jurisdictional government through the PEC to intervene in local government should conferred mandates and functions be compromised or when there is a failure to perform the executive obligations entrusted upon a municipality.

However, the powers vested in the provincial geographic jurisdictional government are also never unfettered based on the provision for the national geographic jurisdictional government to intervene in the provincial geographic jurisdictional government domain as spelt out in Section 100 of the RSA Constitution, 1996. Also, when the provincial jurisdictional government initiates a constitutional intervention, there is provision for the minister's role while the National Council of Provinces (NCOP) is a final arbiter. The national executive powers vested in the President and Cabinet also provide another level of assurance for service delivery. Specifically, the President and members of the Cabinet are responsible for the coordination of government business. Such a mandate authorizes a President and Cabinet leeway to direct government business at any stage. A case in point is the District Development Model (DDM). According to Khambule (2021:514), the DDM hails from a pronouncement by the President during his 2019 Budget Speech. The DDM is now an all-government strategy to enforce coherence in planning and collaborative implementation approach for various service delivery programmes and projects.

The constitutional provisions discussed hereto unambiguously channel responsibilities to the local jurisdictional government. Moreover, the support and monitoring responsibility prescribed for national and provincial jurisdictional governments towards local jurisdictional governments is peremptory (Diseko, 2018:327). Municipalities are required to provide basic needs and promote socio-economic development for communities as directed by Section 153 of the RSA Constitution, 1996. Section 154 of the RSA Constitution, 1996, captures the essence as it raises the ability of municipalities to do their business and place the provincial and national geographic jurisdictional government as medians.

As De Visser (2019:6) states, municipalities derive their authority and functionality mandate from Part B of Schedules 4 and 5 of the Constitution. With this authority, they may promulgate bylaws that are necessary to effectively satisfy executive obligations entrusted upon them (De Visser, 2019:7). Chapter 5 and specifically Section 84 of the Structures Act divides these local government powers and functions between the local and district municipalities (De Visser, 2019:10). Also, Section 156 of the RSA Constitution, 1996, sets powers and the functions for the municipalities. This clause determines that the municipalities have executive powers over the functions stipulated in Part B of Schedule 4 and Part B of Schedule 5 of the RSA Constitution, 1996. In essence, it is depicted from this Section that the legislative powers referred to in Section 151(2) of the RSA Constitution, 1996, refer to the power to make bylaws concerning its authorized functions. Such bylaws as Section 156 (3) provides, may not conflict with national and provincial legislation. Before even these functions are specified, Section 155(7) of the RSA Constitution, 1996, stipulates the support obligations by requiring the national and provincial governments to oversee the performance of these functions. In essence, the responsibility for local government functionality vests with all jurisdictional governments including municipalities. However, the role of the provincial jurisdictional government is critical as it is posited as an intermediary between the local geographic jurisdictional government and the national geographic jurisdictional government.

Fuo (2017:325) contends that municipalities serve as a platform to fulfil the democratic and developmental state agenda through their enhanced status and mandate. Sometimes, these powers are read in isolation from the rest of the other statutory provisions resulting in misunderstanding and incorrect application. Henceforth, De Visser (2005:207) posits that powers are never unregulated hence the significance of the national government's regulatory role and existing regulatory frameworks. According to Greffrath (2015:280), the system is federally structured but unitary functional. Reddy et al. (2021:2) define the system as quasi-federal, with a definition

stating that “it is a unitary state with federal inclinations and well-defined governance arrangements grounded in a structure of co-operative governance that has been constitutionalised.” In other words, whilst municipalities are a sphere on their own and are vested with executive and legislative powers with clearly demarcated functions; they should be grounded in the national and provincial legislative prescripts. In fact, all spheres of government and organs of state are required to respect and tolerate the legislative prescripts as they are binding on them. It is also clear that laws are challengeable in courts of law vested in the judiciary arm of government that is responsible for the interpretation and enforcement of the law. Although there may be a court process, law remains binding and has an effect until set aside. In other words, no matter what the feeling may be about the statutes, they exist out there and are binding to all who live in the territory of the country.

Essentially, the exercising of the provincial inter-jurisdictional powers in the municipal domain should recognize that the developmental mandate is entrusted to the state and discharged through various arms of government that are to work cooperatively with each other. This implies that there is no exclusive terrain and territory to one sphere of government. In this regard, the national and the provincial governments are bestowed with a range of constitutional powers in the municipal domain such as establishing, regulating, supporting, monitoring, capacitating, municipalities; and intervening when every corrective measure implemented fails to remedy what may have gone wrong (Kanyane, 2016:95; Reynecke, 2012:3, Murray & Simeon, 2011:238, Van Niekerk & Dalton-Brits, 2016:119). Such powers indicate that the national and provincial governments have substantial powers to ensure the functionality of municipalities. These powers are directly linked to municipal functions contemplated in Section 155(7) of the RSA Constitution, 1996. When a function is allocated to a municipality, the capacity for executing such a function is a matter of concern and there should be an assessment.

This study uses the concept of inter-jurisdictional powers in the context of statutory authority bestowed to the national or provincial government on the municipal domain, but also taking the cooperative governance principles into account. In this regard, Reynecke (2012:9) notes a difference between cooperation and supervision. Reynecke (2012:10-11) refers to ‘cooperation’ as a process of collaboration while ‘supervision’ refers to actual activities or measures developed and implemented in line with the mandate to oversee the functionality of local government. Similarly, Malan (2005:229-230) distinguished intergovernmental relations from cooperative governance. Malan (2005:229-230) posits that cooperation is synonymous with partnership and

that it is a prescribed standard binding on all spheres of government and its organs. On one hand, intergovernmental relations serve as an instrument to give effect to cooperation (Malan, 2005:229-230).

All these aspects of relations and obligations impacting on the provincial geographical jurisdictional government's role concerning the functionality of municipalities and their ability to undertake their developmental role. The fundamental basis for support and monitoring should be to enable municipalities to perform their functions and contribute to the attainment of the developmental vision as envisaged.

3.2.1.5 Securing and affirming constitutional democracy

Various state institutions are established by Chapter 9 of the Constitution to ensure that citizens properly benefit and enjoy the era of this constitutional democracy (Van der Walddt, 2021:206). Diseko (2018:334) asserts that these institutions are responsible for promoting an ethical and anticorruption state. These institutions as contemplated in Section 181(1) of the Constitution are:

- Public Protector,
- The South African Human Rights Commission,
- The Commission for the Promotion and Protection of the Rights of Cultural, Religious and Linguistic Communities,
- The Commission for Gender Equality,
- The Auditor-General, and
- The Electoral Commission.

The AGSA established by Section 188 of the RSA Constitution, 1996, is a crucial institution for this study. This is due to its inherent authority of auditing and reporting on the use of public resources and the actual compliance with prescribed functions, norms, and standards. Moreover, capturing from the essence of Mnguni and Subban (2022:144), the AGSA performs its tasks to determine whether or not value for money is taken into account when public resources are used as well as to expose deviant expenditure. Mathiba (2020:48) asserts that the AGSA plays a critical role towards promoting good governance and strengthening accountability. Krishnan and Subban (2022:146) establish a linkage between the entitlement to services by the communities and

financial accountability by the council and its structures. The AGSA is empowered to require remedial action to redress identified negative outcomes. The AGSA plays a critical role even in performance audits and has made several recommendations for municipalities to improve performance as articulated in Mnguni and Subban (2022:166-167). In this instance, the AGSA audits KZNCoGTA's performance and for municipalities, including UDM.

3.2.1.6 Public administration and national fiscal powers

The public administration principles prescribed in Section 195 of the Constitution are binding on municipalities (Greffrath & Van der Waldt, 2016:142). Mnguni and Subban (2022:160 -161). These principles demand that municipalities must be prudent in the use of resources, be transparent and be accountable whilst being responsive to the needs of the people. As Oosthuizen and Thornhill (2017:12) state, municipal fiscal power determines the extent of the capability to comply with service delivery and development obligations. Although municipalities can charge for property tax and services rendered; rural municipalities like the UDM may face challenges when households cannot afford to pay or rather do not pay for services. The challenge faced by municipalities on the collection of revenues can be regarded as a national crisis considering the average collection rate that is at 68% whilst about 60% of municipalities are in financial distress (Oosthuizen & Thornhill, 2017:12). Khambule (2020:171; citing National Treasury, 2019 & Presidency, 2015) found that municipalities are only able to collect about 50% to 75% of their revenue due to the low rates base and many the indigent households. In that way, such municipalities rely heavily on nationally raised revenue.

Section 227 of the Constitution affirms the local government's entitlement to the equitable share of nationally raised revenue (Oosthuizen & Thornhill, 2017:4). This revenue in terms of Section 213 of the RSA Constitution, 1996, is held in a national revenue fund and gets divided equitably between the spheres of government in terms of Section 214 of the RSA Constitution, 1996 (Oosthuizen & Thornhill, 2017:6). However, Oosthuizen and Thornhill (2017:8) found that only 4% goes to municipalities. Khambule (2020:171) reported that municipalities get the smallest share of the revenue at about 9%. It is evident from the two percentages that the share directed to municipalities is less than 10% of the national fiscus. Many arguments can be made about this share. One argument is that even the 90% which remains at provincial and national fiscus should be felt at the local level through the various grants that are available to municipalities. This is one

of the areas that need to be relooked into. It is becoming a problem for municipalities to provide the services, if they cannot recover the costs.

The National Treasury is authorized by Section 215 (2) of the RSA Constitution, 1996, to regulate municipal budgeting processes. In that way, the National Treasury can control the funds as spelt out in Section 216 of the RSA Constitution, 1996. This power includes the development of norms and standards which ensure that there is prudence and accountability in the use of financial resources. The National Treasury is further empowered to enforce measures developed in this regard and therefore, can include the stoppage of any transfer of funds if an organ of state fails to comply with the set standards. This fiscal power serves as a strong instrument for national and provincial jurisdictional governments to execute their obligations in the municipal domain and ensure that there is prudent, transparent actions and accountability in the use of financial resources.

3.2.2 Local Government: Municipal Structures Act

The Municipal Structures Act, Act No. 117 of 1998 (Structures Act) fulfils the constitutional requirements as contemplated in Sections 155, 156 and 157 of the RSA Constitution, 1996, respectively, for the promulgation of national and provincial legislation catering for the establishment of municipalities, prescription of local government powers and functions as well as clarifying how municipal councils should be composed and elected. The Structures Act also ventures on the salient issue of the division of the Constitution's Part B of Schedule 4 and Part B of Schedule 5 local government powers and functions between the district and local municipalities as envisaged in Section 155(3)(c) of the RSA Constitution, 1996 (De Visser, 2019:10). Moreover, it reiterates on the duty of municipal councils to provide basic services and other related socio-economic rights.

3.2.2.1 Responsibility to establish municipalities

The inter-jurisdictional power concerning the establishment of municipalities is stipulated in Section 12 of the Structures Act. This function is vested in the MEC responsible for local government in the province (Kaywood, 2021:53, Madumo & Koma, 2019:583; citing Pycroft, 1998:188-189). Kaywood (2021:53) refers to a MEC taking an informed decision on the type of municipality which must be established within each demarcated jurisdiction. The MEC's mandate

goes beyond establishing a municipality as Section 14 of the Structures Act contemplates the empowerment to deal with the effects of establishing municipalities within existing municipalities.

By implication, municipalities already established under Section 12 of the Structures Act are not fixed permanently because there can be changes whenever needed. Madumo and Koma (2019:583) opine that a province can make decisions based on the circumstances of the municipalities. Should a need arise for the re-adjustment of the established municipalities; Section 16 of the Structures Act is available for a MEC to make such adjustments. Such adjustments must ideally be justifiable and intended to strengthen local government as stipulated by the same provision.

The inter-jurisdictional powers vested on a MEC for local government in a province based on Sections 12, 14 and 16 of the Structures Act are crucial as they allow for the establishment of a municipality with the capacity to carry out the service delivery and socio-economic development mandate.

3.2.2.2 Divisions of powers and functions

Whilst Section 84 of the Structures Act allocates functions to a district municipality, an MEC and a Minister for local government, and the Municipal Demarcation Board (MDB) are assigned a central role in the assignment of functions. A troika of a MEC, the Minister and the MDB plays a significant role based on Section 87 of the Structures Act to prevent the collapse of service delivery and development. The capacity issues and consultation on the process specified in Section 85 of the Structures Act guide their decisions to move functions from one municipality to another. In this regard, powers are assigned to a MEC by Section 87(1) of the Structures Act to relocate a function from one municipality to another should capacity constraints render the other municipality unfit to deliver the basic service (Madumo & Koma, 2019). In other words, provisions for continued service delivery beyond the capacity constraints of one municipality exist, and it all depends on the vigilance and boldness of a MEC to make the correct decisions.

The Presidency (2015; cited in Khambule, 2020:170) established that about 80% of municipalities do not perform all 12 functions as prescribed and that over 50% perform less than half of the functions. The reported situation of more than 80% of municipalities not fulfilling their obligations adequately shows another challenge for the provincial government. Khambule (2020:171) associates the status as reported with the allocation of financial resources, and he also states that

municipalities share the smallest budget allocation, which is equivalent to 9%. On the other hand, Kaywood (2021:57) referred to the 2018 Municipal Capacity Assessment of the MDB and noted that it revealed that one of the capacity constraints is the high vacancy rate inclusive of even municipal managers who are the accounting officers in municipalities. This report alludes to capacity constraints which include personnel.

Though there can be reasons for the non-performance of some of the prescribed functions, irrespective, such a situation remains a challenge. Under such circumstances, a responsible MEC should consider moving those functions to be performed temporarily by another municipality as statutory provisions allow for such an arrangement. What is noted is that the clause also encapsulates grievance avenues. In this regard, an aggrieved party may use Section 87(2) of the Structures Act to challenge a MEC through a Minister on a decision implemented under Section 87(1). A Minister also relies on the MDB to confirm capacity circumstances before deciding to concede or disagree with the movement of a function.

Based on Section 87(3) of the Structures Act, it is also a MEC's responsibility to revert the function to a municipality once there is the necessary capacity. The law envisages that the intention of relocating functions is to allow time for the responsible party to regain its strength and be ready to take it over again. A MEC is also assigned a mediation role whenever conflicts over functional areas arise. In this regard, it is incumbent upon a MEC to clarify the function through a notice after the consultation process between the conflicting municipalities.

The powers vested in a MEC by Section 85 to adjust the allocation of powers and functions considered together with Section 87(1) and (3), which allow for the temporal movement of the functions when there are incapacity issues and to revert them as the capacity has strengthened are central to the role of provincial government's monitoring and support obligations. The statutory provisions provide for the protection of the communities for continued municipal service provision.

3.2.3 Local Government: Municipal Systems Act

A discussion of the developmental mandate as per the Local Government Municipal Systems Act, Act No. 32 of 2000 (Systems Act) is presented in the discussion that follows.

3.2.3.1 Unpacking the developmental mandate in legislation

Primarily, the Systems Act provides for core principles, mechanisms and processes that guide municipalities towards sound administration and governance. As a matter of importance, Section 3 of the Systems Act reiterates the obligation for the local sphere to function within the constitutional principles of cooperative government. It contains in its Chapter 5, a clear direction on the preparation and adoption of an Integrated Development Plan (IDP) as a principal plan to guide service delivery and development in the municipality (Asha & Makalela, 2020:3). This IDP must inform municipal businesses as contemplated in Section 36 of the Systems Act. Section 37 of the Systems Act allows a Minister to issue regulations that guide the IDP formulation processes.

The IDP as a service delivery tool follows a participatory process (Munzhedzi, 2020:92) involving public, private and community stakeholders. This process, as De Visser (2021:40) states, is a practical tool for organs of state to collaborate efforts in dealing with service delivery planning and implementation. In this process, the role of a department responsible for local government is the power to assess and comment on the IDP bestowed on the MEC (Subban & Theron, 2016:51).

The IDP assessment powers are a privilege to KZNCoGTA from the information about all issues affecting service delivery and governance in municipalities. This access to various municipal reflection details affords KZNCoGTA an opportunity for reorientation when determining initiatives and measures to advance the development agenda. In essence, KZNCoGTA sector plans should respond to local circumstances. Ideally, its sector plans should seek to reinforce the IDP interventions in line with the quest to align scarce resources (Dlamini & Reddy, 2018:2). Munzhedzi (2020:93) asserts the importance of all stakeholders in the implementation, review and evaluation of the interventions. Also, municipalities should be aware of the KZNCoGTA interventions since the IDP process seeks to integrate programmes and projects for all organs of state operating within the municipal domain (Asha & Makalela, 2020:5). Diseko (2018:334) asserts that the three spheres of government are required to work as a single system. Dlamini and Reddy (2018: 8-10) outline the development phases of preparing an IDP. The bigger picture is whether the measures and interventions encapsulated in the sector plans to reinforce interventions proposed to advance the development agenda of UDM.

3.2.3.2 Institutionalised performance management

Chapter 6 of the Systems Act delves into performance management obligations for municipalities. In this regard, as prescribed in Section 38, a performance management system with essential elements defined in Section 41 of the Act is required. Such a performance management system guides the processes for performance planning, execution, monitoring, reporting and review. Significantly, Section 43 empowers a Minister to prescribe general key performance indicators. The Minister follows a consultation process with MECs responsible for local government in various provinces and the organized local government when developing the indicators contemplated in Section 43(1) of the Systems Act. It shows that provincial and local governments have substantial jurisdiction to influence the nature of indicators prescribed for municipalities.

According to Section 45(b) of the Systems Act, AGSA must audit performance information (Mathiba, 2020:24). Moreover, municipalities must prepare Annual Performance Reports per Section 46 of the Systems Act, and according to Ngqobe, Fourie and Tshiyoyo (2021:120), it is one of the measures for accountability. Section 47 of the Systems Act requires a MEC to prepare reports on the performance of municipalities in the province (Ngqobe et al., 2021:118).

The Section 47 report is another tool for the provincial government to understand the real issues in the local sphere. By implication, municipalities submit their Annual Performance Reports to a MEC for Section 47 purposes, and the quality of the report depends on submitted performance information. These reporting requirements also provide opportunities for national and provincial governments to have clues on the municipal environment at a given time. These prescripts enable self-reporting by municipalities. Such self-reporting enriches self-understanding at the municipal level even before submission to a MEC. By implication, even before a MEC reverts with feedback and pronouncements, a municipality would already be self-correcting or having appealed for support where necessary.

3.2.3.3 Provincial government monitoring and support

The inherent mandates for departments responsible for local government must be clearly understood and contextualized if support and monitoring interventions are to be both relevant and legitimate. The Department of Cooperative Governance (DCoG) posits that support, monitoring and intervention functions work synergistically. Reynecke (2012:12) and Mathenjwa (2014:181) also advocate that monitoring assists in basing initiatives towards municipal support programmes

on the actual gaps. An assertion such as this supports De Visser (2005:207) in suggesting that the monitoring powers leverage proactive detection of challenges which may require attention and appropriate remedial measures. According to Fookes (1996:20) cited in Gopane & Ballard, (2015:164), monitoring is a process to continuously check the progress made against what is required and planned for; the intention being to detect underperformance or deviation resulting in the crafting and implementation of corrective measures.

According to the Department of Cooperative Governance and Traditional Affairs (2014b:22), provincial government municipal support and monitoring responsibilities are fundamental to their role in the local sphere. As Diseko (2018:333) asserts, the provincial government must provide for the monitoring and support of the local government in the province; and promote the capacitation of municipalities such that they can execute their powers and functions in line with the mandate specified in Section 155 (6) of the Constitution. Van der Waldt (2021:207) takes this further and refers to the provisions of Section 155 of the Constitution as the ruling for the provincial government to support and monitor municipalities. De Visser and November (2017:5) refer to the same provision directed to the broader jurisdictional spheres of government as an instruction to monitor and support the local sphere of government.

Reddy et al. (2021:5) list “developmental, intergovernmental, regulatory, fiscal, monitoring and interventionist, as well as promoting institutional development and capacity building” as specific roles for the provincial government. Reddy et al. (2021:5) state that the monitoring and support role makes them a critical factor for governance and development in the local sphere of government. The mandate aligns with the context of a cooperative government system of distinct, interdependent, and interrelated spheres of government. In KZN, the Premier established KZNCoGTA as one of the fifteen departments (KZN Provincial Treasury, 2017:6). Therefore, KZNCoGTA over and above its general mandate for cooperative governance binding on all organs of state; is expected to champion the duty to support and monitor municipalities assigned to the Provincial Executive.

Section 105 of the Systems Act specifically entrusts a MEC for local government with a responsibility to put in place mechanisms, processes and procedures guiding the execution of the constitutional obligations (Mathiba, 2020:38). As contemplated in Section 105 of the Systems Act, the mandate affects the MEC responsible for KZNCoGTA. So, KZNCoGTA is legally the custodian and champion of municipal support and monitoring constitutional powers.

According to KZNCoGTA (2017), in KZN, the local sphere of government consists of 54 municipalities comprising 10 district municipalities, one metropolitan municipality and 43 local municipalities. Those are the municipalities for whom KZNCoGTA must play its stewardship role to support and monitor such that there is comfort and confidence that communities get services; and that socio-economic development is advanced in local communities. The progress made towards meeting the community needs is assurance that the government is committed to fulfilling its developmental mandate and should inspire public confidence.

3.2.4 Intergovernmental Relations Framework Act

The primary purpose of the Intergovernmental Relations Framework Act, Act No. 13 of 2005, is to guide intergovernmental relations necessary to promote cooperation among the three spheres of government as provisioned in Chapter three of the RSA Constitution, 1996. The Act provides for the formation of Intergovernmental Relations (IGR) structures across the three jurisdictional governments. For the national jurisdiction, the Act provides for the *Presidential Coordinating Council* (PCC), which the President chairs (De Visser, 2021:36). The PCC serves as a national consultative platform where Premiers represent respective provinces. A similar arrangement exists for provincial government where a *Premier's Coordinating Forum* (PCF) chaired by the Premier is representative of all districts through the mayors of the respective district municipalities (De Visser, 2021:36). This is a structure for engagement and coordination of government business within a Province.

In a local sphere of government, a *District Intergovernmental Forum* (DIF) is an arrangement for all municipalities represented by Mayors within a District family to have a formal structure to engage. A mayor of a district municipality is the DIF chairperson. The DIF serves as a service delivery consultative and coordination structure. The Act allows for the establishment of other IGR structures as they may be necessary, including inter-municipal forums. Provisioned also is the constitution of technical support forums to support IGR structures composed of officials from the departments and organs of the state participating in the concerned IGR structure. The Act further makes provisions for dispute management and resolution among and between the spheres of government and organs of state. The IGR structures are crucial to coordinate service delivery because the obligation to provide coherent government is mandatory for all organs.

3.2.5 The Public Service Act

The *Public Service Act of 1994* is significant in this constitutional dispensation and particularly to this study through its Section 41. This specific Section authorises the publication of regulations which enabled *Public Service Regulations, 2001* (PSR, 2001). The PSR of 2001 went through various amendments before being repealed and replaced with the *Public Service Regulations of 2016* (PSR, 2016). The repealed PSR, 2001 contents are significant in PSR, 2016. In this instance, Sections B (1) and B (3) of Part III in Chapter 1 of the PSR of 2001 version place the responsibility for preparing a Strategic Plan respectively on an Executive Authority (EA) and its implementation on a Head of Department (HoD) and still the case with PSR, 2016.

Section 25 (1) of the PSR, 2016 requires an EA to prepare a departmental strategic plan with fundamental objectives guided by its mandate contemplated in the Constitution and other statutes. A strategic plan envisaged by the PSR of 2016 must contain specific and proper interventions with clearly defined targets. Moreover, a strategic plan must define clear measures to attain the set objectives and related targets. Stipulated also is that a strategic plan must provide for implementation monitoring and progress reporting. What is also required, is that reporting obligations as contemplated in various legislative prescripts that are complied with. The required strategic plan must align with the MTSF and MTEF. Moreover, Section 25(2) of the PSR of 2016 requires that the envisaged strategic plan must, in turn, guide an EA on the departmental organogram.

The organogram must align with the human resource demands necessary to achieve the objectives and targets set in the strategic plan as contemplated in Section 25 (2) of the PSR of 2016. It is also mandatory for an EA to consult appropriately with the relevant Premier, the Minister and the relevant provincial treasury when dealing with a staff establishment. An accounting officer derives substantial responsibilities from Section 25(3) of the PSR of 2016 to implement the strategic plan and ensure that resources are used efficiently, economically, and effectively during implementation.

Related to the responsibility to compile a strategic plan and the responsibility vested in the National Treasury by Section 216 of the Constitution to issue norms and standards, National Treasury introduced various measures guiding strategic planning, budgeting, and reporting within the South African public sector. These measures include the *Framework for Managing Programme Performance Information of May 2007* and the *Framework for Strategic Plans and Annual*

Performance Plans published in August 2010, and the latter requires the preparation and adoption of a five-year strategic plan and an APP. An APP should contain targets for the relevant financial year (National Treasury, 2010:2). It also requires an APP to align with the MTEF. It must indicate target projections for the two outer years as well. National Treasury, 2010 requires all sector plans, IDPs, budgets, and annual reports for all state organs in all three spheres of government must be aligned.

Whilst a MEC has specific IDP preparation obligations alluded to earlier, the National Treasury control enhances the MEC's inter-jurisdictional powers in the municipal domain. If a municipality is notorious for failing to comply with a lawful request for compliance, it will not risk its share of the nationally raised revenue. This control measure leverages an environment conducive to integrative and collaborative planning.

3.2.6 Public Finance Management Act

The *Public Finance Management Act, Act No.1 of 1999*, draws from the Constitution and prescribes measures to enable sound financial management and prudent use of resources. One significant matter is the preparation and adoption of annual budgets required by Section 27 of this Act. What is required in section 36 is the appointment of accounting officers by each department or public entity.

According to Section 27(4) of this Act, accounting officers must submit measurable objectives for coordination and consolidation by the treasury department when preparing for tabling its budget to the relevant legislative authority provincially or nationally. This obligation intertwines with the other concerning strategic plans and APPs contemplated in Section 25(1) of the PSR of 2016. In this instance, an accounting officer must match budgeting with strategic planning. This alignment is one of the key reform measures within the context of public financial management.

3.3 MUNICIPAL SUPPORT AND MONITORING

This section covers the salient aspects in terms of processes, functions, and measures.

3.3.1 Setting of mechanisms, processes, and procedures

Section 105 of the Systems Act requires mechanisms, processes, and procedures to monitor the execution of the constitutional mandate vested upon municipalities. It further calls on the capacitation of those municipalities based on diagnosed support needed to enhance their performance (Mathiba, 2020:38). The assumption is that this clause implies a need for a framework to guide the interventions. Section 105 of the Systems Act is general as it does not necessarily specify whose mechanisms, processes, and procedures are those that a MEC must develop. It appears that it is on the support framework where roles can be clarified and assigned. In this way, all implicated organs of state within national and provincial governments will do their bit following the diagnostic outcomes. For this reason, an opportunity is leveraged for a MEC to determine the appropriate measures required and organs responsible for contributing to building a capable and thriving local government.

As stated, these measures may commit other organs concerning their specific obligations to the local government. The envisaged MEC's support and monitoring framework may define both proactive and reactive support measures given that there are predetermined expectations spelt out from the Constitution, whilst circumstances may present challenges requiring attention. Noticeable, Section 105 of the Systems Act is silent on the approval of the required mechanisms, processes and procedures or put otherwise, the role of a PEC in this regard is vague given that from the constitutional point of view, the PEC is responsible for provincial government measures (Mathiba, 2020:40). This ambiguity may present a challenge especially when intended beneficiaries or even when support and monitoring framework users contest the support measures contained in the envisaged framework. Though a PEC's role is vague concerning mechanisms, processes and procedures alluded to in section 105 of the Systems Act, it remains imperative to take cognizance that a MEC is accountable to a Premier. Moreover, a MEC accounts to a Provincial Legislature (PL) per Sections 132(2) and 133 of the RSA Constitution, 1996. Based on the reporting line and obligations, an MEC should adopt a consultative approach when formulating a monitoring and support framework capturing the mechanisms, processes, and procedures for the provincial government to enhance capacity in the local sphere. Such an approach includes observing the executive authority of the province vested in the PEC per Section 125 of the RSA Constitution, 1996.

Similarly, there exists an obligation to a PL as part of the reporting obligations of the members of a PEC per Section 133(3)(b) of the Constitution, which must also be satisfied. Also, in line with

Section 3(2) of the Systems Act, national and provincial governments are cautioned and compelled to observe the principles of cooperative government when exercising their functions. Therefore, consultation with municipalities is essential. In this regard, it is prudent that measures envisaged in Section 105 of the Systems Act are put through a consultation process to facilitate buy-in from all relevant parties.

3.3.2 The MEC's duty to act

Another crucial dimension for provincial monitoring responsibility is expressed in terms of Section 106 of the Systems Act (Mathiba, 2020:40). It devolves the responsibility for the monitoring of municipalities to an MEC. In this regard, an MEC is specifically required to play an oversight role as well as to act when it is appropriate to do so. An MEC is empowered to request information from municipalities when there is suspicion that something happening deviates from the prescribed norms and standards. Moreover, an investigation may be commissioned if necessary and especially where the suspicion is that maladministration, fraud, corruption, or any other serious malpractice is occurring. A MEC may opt to invoke Section 106(1)(b) of the Act which allows for the commissioning of an investigation right away (Gopane, 2012:8, Reynecke, 2012:27). Whilst an MEC may not unilaterally intervene in a municipality, there is also no excuse to leave municipalities flouting procedures which could consequently collapse them.

Favourable powers are encapsulated in the words 'reason to believe' which according to Reynecke (2012:23) does not put stringent procedures, whilst there should be justification for the action taken. An MEC is also not required to issue a Notice in a Provincial Gazette in this case since Section 106(1)(a) of the Act refers to a written Notice, which must be used to request information from a municipality. When an MEC has a reason to believe that performance in a municipality deviates from the expectation, such a belief justifies an action to request such a municipality to provide information which could assist an MEC to navigate into the issues and get insight into the circumstances. Such an exercise may prevail as an opportunity to provide advice and guidance to the affected municipality before much damage can occur.

Along with MEC powers, a Minister also has jurisdiction in the municipal domain through his role provided for in Sections 107 and 108 of the Systems Act. According to Sections 107 and 108 of the Systems Act, a Minister can respectively request information directly from municipalities as well as publish standards to regulate and rationalize service delivery or other matters in the local

jurisdictional government. In essence, the Systems Act contains fundamental prescriptions that indicate the relationship between municipalities and the provincial sphere of government. The fact that a department responsible for local government is entrusted with a statutory responsibility to champion provincial government support to municipalities does not mean that a PEC is absolved from its responsibility as contemplated in terms of Section 154(1) of the RSA Constitution, 1996.

Inherently, according to De Visser and November (2017:5); it is a PEC which is assigned a responsibility to intervene in municipalities as contemplated in Section 139 of the RSA Constitution, 1996. Consequently, a PEC has a vested interest in the activities and actions of a MEC responsible for the local government regarding the monitoring, support, and enhancement of capacity at the municipal level. Simply put, when an intervention is motivated as De Visser and November (2017:14) assert, the reasons for the failure of a municipality to fulfil its executive obligations must be proven. When doing so, the PEC needs to prove that all capacitation, monitoring, and support measures have been implemented to no avail. As De Visser and November (2017:5) assert, it will be after all attempts to support a municipality have failed to yield positive results that an intervention is invoked.

Whilst Section 105 of the Systems Act requires mechanisms, processes, and procedures to be put in place, Section 106 of the Systems Act is action-oriented and directs prompt actions based on a reason to believe that something untoward is occurring or has occurred at a municipality. Therefore, an MEC should ideally specify in the Section 105 framework what processes should be followed concerning Section 106 to avoid overwhelming municipalities or even inconsistencies in the way powers are executed.

In essence, the measures put in place should inform generic support initiatives that are customized based on the specific circumstances in each municipality that are supported. According to De Visser and November (2017:5); struggling municipalities need more national and provincial government focus and support measures. This supposition can be related to De Visser (2021:29) who advocates for a differentiated system which takes into account the varied capacity levels in municipalities. The author made a controversial argument provoking the AG to consider differentiated levels of the intensity of audit suggesting that more focus should be on those municipalities that have shown elements of flouting legislation. This notion can be argued otherwise but it is correct that municipalities need to be supported on the elements found to be at

risk while other areas are monitored to prevent regression or to be caught by surprise when a regression is discovered.

Similarly, municipalities are on their account accountable for the execution of their obligations Fuo (2017:330). Whilst municipalities are vested with a developmental role, they exercise their mandates and perform their functions within the constitutional cushion obligating national and provincial governments to monitor municipalities and provide the necessary support (De Visser, 2009:13). The monitoring obligation in so far as it relates to the performance of legislative and executive authority, and combating maladministration, entrusted upon a department responsible for local government implies that there must be strong cooperative and intergovernmental relations to leverage an environment conducive for these statutory obligations to be executed.

However, De Visser and November (2017:6) assert that Section 139 of the RSA Constitution, 1996, by design is an intrusion of the local sphere's autonomy. What though is not elevated is that a constitutional intervention is a necessity triggered by a municipality's failure to execute constitutional obligations. There can be no constitutional intervention where municipalities are doing well. History speaks for itself when looking at the track record drawing from Ledger and Rampedi (2019:8) who analysed the interventions from 1998 up to 2019 countrywide. They found that there were only 15 of the 140 interventions that were set aside. Ngqobe et al. (2021:123) looked at the KZN scenario and found that only two of the forty interventions were set aside. This indicates that interventions are not invoked for the sake of an intervention although there may have been technicalities with the two other interventions that were set aside in relation to the KZN Province.

Van Wyk (2012:288) notes a conflict based on powers conferred upon the different spheres of government, which in his view complicates cooperative governance and intergovernmental relations. Related to Van Wyk's (2012:288) assertion, is the realisation that the mandate prescribed for an MEC for local government in terms of Sections 105 and 106 of the Systems Act is tacitly a delegation of a provincial government's obligation. Furthermore, the role of a department responsible for local government is in the public domain, meaning that all organs of state including service recipients are aware of it.

Under such circumstances, KZNCoGTA's sector plan would ideally relate to all 54 municipalities with varying initiatives. KZNCoGTA is not necessarily required to provide water for instance, but

its role is to support and monitor UDM to ensure that communities are provided with potable water, and decent sanitation and that there is a conducive environment for economic development (Chigwata, 2014, 378; cited in Mathiba, 2020:4, Fuo, 2017:330). As Fuo (2017:330) asserts; the provincial government and national government are barred from compromising any municipality's ability to execute its constitutional mandate. Similarly, Maxegwana (2012:42) states that relative mandates inform initiatives that are contained in sector plans. The concepts of support, capacitation and monitoring are expected to dominate KZNCoGTA's APP as a planning tool to implement commitments made in the Strategic Plan incrementally over the MTSF and MTEF periods.

3.3.3 Historic support and monitoring measures

The national and provincial governments have been instrumental in monitoring local government and crafting measures and interventions that are aimed to strengthen local government capacity per their constitutional obligation. Van der Waldt (2021:207-210) provides a comprehensive list of measures conceived and implemented towards supporting and enhancing the capacity of the local sphere of government. According to Sutcliffe and McGahey (2021:188-189); the national and provincial governments initiated and implemented 24 measures from way back in 1995 including the latest DDM conceived in 2019. Included in Sutcliffe and McGahey (2021:188) is Project Liquidity which was conceived in 1995 as part of the pre-interim and interim phase measures.

Four initiatives; are Project Consolidate implemented between 2004 and 2006; Siyenza Manje Programme, which commenced in 2006; Local Government Turnaround Strategy (LGTAS) implemented between 2009 and 2014, which according to Van Niekerk (2012:55) culminated in the development of Municipal Turn Around Strategies (MTAS) and Back to Basics conceived in 2014 amongst many stand out due to their popularity and attention by various scholars (Van der Waldt, 2021, Kanyane, 2013, Bogopa, 2013, Nzimakwe, 2012b, Tshishonga, 2016, Van Niekerk, 2012, Tshishonga, 2021) to name a few.

It is clear from Tshishonga (2021:42) that measures were triggered by the challenges that were besetting municipalities. Project Consolidate in 2004 was directed at struggling municipalities. It was designed on a government and private sector partnership concept basis which deployed experts to assist with capacity whilst transferring the required skills and improving on the detected

financial management weaknesses and fragmentation that was detected (Tshishonga, 2016). The tenure of Project Consolidate ended with the introduction of Siyenza Manje which was initiated to assist financially struggling municipalities identified during the Project Consolidate tenure (Tshishonga, 2016).

The Development Bank of Southern Africa (DBSA) in partnership with the National Treasury managed Siyenza Manje. Kaufman (2008; in Tshishonga, 2016:198) states that Siyenza Manje's finance consisted of seventy percent National Treasury contribution and thirty percent DBSA contribution. Moreover, the number of beneficiaries increased to 160 municipalities assisted by 485 professionals in possession of apprenticed skills and expertise in various fields, 51 of which were accessed through a partnership with various colleges and universities. These professionals also assisted municipalities with the Municipal Infrastructure Grant (MIG) processes and other mechanisms to address service delivery constraints and related sustainability issues (Letsholo 2007; in Tshishonga, 2016:198). Kanyane (2013:96), also states that the Siyenza Manje intervention was introduced to redress the defective skills base like Project Consolidate which was designed to deploy experts in various fields to the identified municipalities.

According to Tshishonga (2016:197), the number of Siyenza Manje beneficiaries was initially 136 struggling municipalities in total. According to Kanyane (2013:96), 50 percent of these municipalities experienced financial problems and could not undertake their service delivery obligations, which implies that they could not attract the right skills or even outsource service delivery. Powell (2012:18; in Kanyane, 2013:96), explains that the Project Consolidate beneficiary municipalities were generally rural-based municipalities which are economically unviable whilst confronted with the highest basic services backlogs.

According to Meyer and Venter (2014:84), the national government re-assessed the state of local government in 2009 and produced a diagnostic report which shaped the new intervention, LGTAS, 2009. Departing from the perspective of an ideal municipality which is based on the constitutional imperatives for local government and prescribed minimum municipal service delivery standards, According to Van Niekerk (2012:59), LGTAS took the route of best practice riding on the characteristics that resembled successful and best-performing municipalities. According to Van Niekerk (2012:55), LGTAS is premised on a differentiated approach. In other words, it acknowledges that a one size fits all approach would not assist in addressing municipal-specific challenges. In this regard, LGTAS introduced a Framework which allows each municipality to

identify its specific challenges for which it must then design specific plans to address including specifying support required to optimize efficiency and effectiveness. These plans were branded as MTAS which had to be incorporated into the IDPs with an emphasis on the monitoring of the implementation (Van Niekerk, 2012:59).

As Van Niekerk (2012:59) states, LGTAS identified five strategic objectives which served as a guide to the interventions and related support framework focus on basic service delivery, sound governance and administration, human resource and performance management, regulatory environment and public participation. Implementation was pitched in two stages with the first one commencing immediately and before the 2011 local government elections and then post-2011 local government elections (Van Niekerk (2012:60). Institutional arrangements like the National Co-ordinating Unit (NCU) representative of all critical stakeholders were set up as an advisory and monitoring structure (Van Niekerk, 2012:60). Vika (2011:1-4; cited in Van Niekerk, 2012:60) also states that a working group was established for coordination purposes. Among the institutions represented were the national sector departments, the offices of provincial premiers, the South African Local Government Association (SALGA) and Cooperative Governance and Traditional Affairs (CoGTA) (Van Niekerk, 2012:12).

Nzimakwe (2012:144) asserts that LGTAS is one of the best interventions ever designed and implemented to improve local government. Nzimakwe (2012:144) indicates that LGTAS was designed as an all-encompassing intervention focusing on crucial elements such as building and strengthening the institution, and its administration, improving financial management, facilitating collaborative governance and intergovernmental coordination. This vision according to Nzimakwe (2012:144) relies on collaborative planning, budgeting, performance and streamlined public participation. It can be argued that the second decade of local government which commenced in 2011 emerged into an environment conducive to thriving based on the guidance LGTAS prevailed. The implementation of LGTAS took until 2014 when Back to Basics was introduced as another approach to local government support and monitoring.

The Back to Basics approach was conceived following a desktop assessment of the State of Local Government conducted in 2014 using functional factors of political stability, governance, service delivery, financial management, institutional management and community satisfaction (CoGTA, 2014). The outcome of the assessment revealed once again that varied levels of functionality among South Africa's then 278 municipalities existed (CoGTA, 2014:4). The assessment revealed

that there were three categories of municipalities, for instance, those which are functional, partially functional and a significant number of dysfunctional municipalities (CoGTA, 2014:4).

The state which the assessment revealed resulted in, yet another interventionist programme initiated under the premise of doing things differently. According to (CoGTA, 2014:6), the approach was designed to focus on the primary mandate of local government with a strengthened national and provincial government monitoring role. Obligatory and constant reporting by municipalities on the indicators set for each of the five-service delivery functional factors was also introduced (CoGTA, 2014:6). This approach pointed municipalities to their core mandates and sort of compelled municipalities to periodic reporting to show how they were ferrying on what is expected of them and what were the challenges if any. Tshishonga (2016:200) states that Back to Basics in essence is designed to ensure that basic municipal services are rendered in every municipality in line with the prescribed powers and functions and associated with the functionality factors. Stone and Magubane (2014; in Tshishonga, 2016:200) highlighted that the new plan was expected to refocus municipalities in attending to basic things like repairing streetlights, fixing water leaks and collecting and managing garbage.

Before implementation, this strategy was presented at the Presidential Local Government Summit in August 2015 (Tshishonga, 2016:199). According to Greffrath and Van der Walddt (2016:145), the minister was very frank about the findings of the assessment and stated that about one-third of municipalities were found to be dysfunctional, hence the need for the strategy to re-orientate municipalities. According to Tshishonga (2021); Back to Basics remains the subsisting national government approach to monitoring and supporting municipalities. In essence, the intervention was pitched at the highest level of government which confirms the commitment towards making local government a state's machinery to improve the socio-economic environment.

3.3.4 District Development Model

The District Development Mode (DDM) according to Reddy and Wissink (2021:326) was conceived by the President during his 2019 Budget Speech and finally approved by Cabinet in August 2019 after a series of engagements at the MinMEC and PCC levels. According to Reddy and Wissink (2021:326), the President when he initiated the concept referred to the lack of collaboration in government which compromised coherence and consistency in planning including the overall execution, monitoring and oversight of public programmes. In the same context,

Khambule (2021:508; citing Department of Planning, Monitoring and Evaluation, 2019) also alludes to the fact that DDM was conceived by the government as an instrument to address disintegration amongst the spheres of government and organs of state to improve coherence in development planning and implementation. Khambule (2021:516) also brings up an important objective of the DDM is to bring on board civil society and the business sector. To achieve coherence in planning, all 44 Districts and the 8 Metropolitan municipalities were required to initiate and adopt One-Plans (Reddy and Wissink, 2021:326, De Visser, 2021:41).

The DDM is already receiving criticism on its ability to impact service delivery. According to De Visser (2021:23); the DDM cannot be seen to offer anything new not covered in the *White Paper on Local Government, 1998*. He avers that the lack of DDM policy casts doubts on its credibility to address the persisting disintegration in government (De Visser, 2021:41). De Visser (2021:41-42, citing Ntliziywana, 2019: 60 -63) further alludes to the fact that there have been similar initiatives in the past like “Project Consolidate”, the “Local Government Turnaround Strategy”, “Siyenza Manje”, “Back to Basics” which sought to improve local government. He further states that the IDP was already characterised as the means to ensure coordination, but this was not achieved. In a different context, Khambule (2021:518) expresses concern about the ability of provincial and national government capacity to support and guide the institutional arrangement because several district municipalities which are posited as key drivers of the DDM are under constitutional intervention due to their failure to execute their executive mandates.

For as long as the systemic issues underpinning local government failures are not reviewed, the likelihood of the DDM recording success is limited (De Visser, 2021:42). However, he finally conceded that the DDM inspires a change of attitude by various sector Departments that may through it begin to appreciate the need for them to consult municipalities that are affected by their programmes. Whilst DDM may be viewed to bring little to no contribution to the silo mentality, it is believed that the institutional arrangements put together to drive DDM are promising. The IDP institutional arrangements do not afford the same level of oversight where there are assigned political champions at both national and provincial spheres of government.

To show that government is geared towards testing the model and learning from experiences, OR Tambo District Municipality and eThekweni Metropolitan Municipality have been designated as pilot sites (Khambule, 2021:514). Government is very serious about making DDM a success which can be deduced from the R50 million investment towards the pilot phase (COGTA, 2020; cited in

Khambule, 2021:517). Fundamental to the DDM concept according to Khambule (2021:517; citing DPME, 2020) is that it builds from the existing institutional arrangements for intergovernmental collaboration.

3.3.5 Municipal support and intervention plans

After the introduction of the DDM, the Minister of Local Government was tasked to conduct a desktop assessment on the state of local government and present a report to Cabinet; which was eventually tabled on 30 June 2021 (DCoG, NT & SALGA, 2021:27). According to DCoG et al. (2021:27), on this day, Cabinet, after receiving the Report resolved that Municipal Support and Intervention Plans (MSIPs) must be prepared for all 257 municipalities in the country. The new term of municipal councils post the 2021 Local Government Elections is seen as an ideal opportunity to introduce and implement MSIPs.

The State of Local Government Report as presented by the Minister contained issues requiring attention per key performance area and per municipality (DCoG et al., 2021:27). In terms of DCoG et al. (2021:27), provincial departments responsible for local government were entrusted with a coordination responsibility to ensure participation of the Provincial Treasuries, sector Departments including traditional leaders in the MSIP implementation and reporting on progress. The DCoG et al. (2021:27) emphasised the role of municipal councils in monitoring the implementation of the MSIPs. Furthermore, the District and Metropolitan Municipalities were tasked to ensure reporting to the Technical and Political DDM Hubs and to hold sector departments responsible for implementing the support measures.

The MSIP takes the shape of the LGTAS and MTAS with its entrenchment on the findings of the assessment resulting in the development of support and intervention measures. The MSIP as it is obvious from its naming is designed for relevant sector departments to develop and implement support and intervention measures. It differs from the LGTAS and MTAS in that municipalities were required to develop their Turn Around Plans guided by the overarching LGTAS. In the case of the MSIP, support and intervention measures relate to what provincial and national governments including state entities will implement to support municipalities towards addressing their specific weak areas.

3.4 DECEPTION OF PROVINCIAL AND NATIONAL GOVERNMENT STATUTORY POWERS

The constructs which individuals and institutions make of the statutory provisions influence the environment upon which national and provincial government perform their inter-jurisdictional powers on the functionality of municipalities. These constructs are largely responsible for the re-emergence of superiority conceptions which were compatible with the past regime's tier system of government as they are predominantly used concerning the national and provincial government's inter-jurisdictional relationship with the local sphere.

According to Fuo (2017:326); the current system of government differs from the previous regime which institutionalized parliamentary supremacy. Elaborating, Fuo (2017:326) states that the local sphere has been accorded constitutional powers and is no more functioning based on delegated and or powers derived from subordinate statutes like ordinances and acts. Sutcliffe and McGahey (2021:175) refer to it as "a constitutionally entrenched system of governance". Van Wyk (2012:288) also opines similarly when stating that the present system of government differs from the previous regime's system which provided for a hierarchical order with the lower level subjected to the superior level of government.

Contrary to the previous system, the new system of government, by its design, is anti-hierarchical (Van Wyk, 2012:289). The concept of spheres introduced with the new system of government deliberately avoided the tiers concept which was used with a system that reduced local government as a subordinate of the central government as it would have endorsed a hierarchical relationship (Tapscott, 2008:4). Reddy et al. (2012:13) also state that the concept of level connotes a subordinate relationship and for the same reason, it was found inappropriate for the current democratic system of government.

Kanyane (2016) notes a possibility that the shift from subordination of local government is not recognized which may result in the mindset that leads to the use of subordination concepts. Other concepts that are predominantly used with the provincial and national government statutory powers may provoke resentment from the local sphere. For instance, Reynecke (2012:11) uses 'vertical relationship' and 'higher authority' similarly to (Mathenjwa, 2014:179) who uses 'upper and lower spheres' when referring to the national and provincial government powers in the municipal domain. A stereotype is detected in the persistent use of 'supervision' when referring to the provincial government's powers in the municipal domain. Such a stereotype is dominant

despite the concept having been repealed in 2003 when the RSA Constitution, 1996, was amended (Mathenjwa, 2014:181). For example; Sekgala and Tsheola (2016), Reynecke (2012) and Fuo (2017) among many refer to ‘supervision of municipalities’ in this instance.

Fuo (2017:326-327) asserts that the interdependence characteristic and the intervention powers connote supervision of the local sphere by the national and provincial spheres of government. The interdependence concept concerning the three spheres of government has been used in a narrow sense in this instance. It is clear from the powers and functions contained in Schedules 4 and 5 of the Constitution and the division thereof that the three spheres of government are dependent on one another. De Visser and November (2017) demystify the notion that constitutional interventions are about the subordination of the local sphere when citing from the RSA Constitution, 1996, the need for the procedural and substantive basis for the intervention to be proven. De Visser (2019) argues against the notion or perception that local government has mean responsibilities concerning food security for the mere fact that it is linked to agriculture which is assigned to the provincial and national government. He argues that municipalities are also responsible for food security in line with their mandates and among the examples used is solid waste as he showed how it links to food security. It is evident from this argument that spheres of government are interdependent.

It is also observed that the continued use of the concept of ‘supervision’ may also denote a desire for a mutual word for the wide range of provincial or national government statutory powers in the municipal domain. Drawing on Peach and Horner (2007:413), the concept of ‘supervision’ has its roots in classical management theory where it is used for management and staff relations. For this reason, the use of the ‘supervision’ concept may unintentionally infer subordination resulting in adverse consequences on how the statutory powers are conceived. De Visser and November (2017) are progressive in the use of the ‘overseer’ concept in their paper focusing on checking compliance with statutory provisions when constitutional interventions are invoked.

Concepts used in the afore-stated instances infer a hierarchical relationship, yet the government is organised as jurisdiction rather than levels with powers dictated directly from the Constitution. In other words, the government should be seen to be organised based on geographical coverage with the executive and legislative authority guided by the powers and functions contemplated in Schedules 4 and 5 of the RSA Constitution, 1996. Moreover, the system of government is premised on cooperation rather than superiority as depicted in the use of the ‘spheres’ concept denoting jurisdiction rather than the ‘tiers’ concept connoting subordination (Reynecke, 2012:8, Tapscott,

2008:4, Van Wyk, 2012b:288). Steytler (2005:184) opines that the use of 'spheres' when referring to governments is a deliberate approach of the present dispensation to avoid hierarchical connotation and to vest powers and the relationship based on statutory provisions.

Therefore, the predominantly used concept of 'supervision of municipalities' seems inappropriate for this study. This study argues that the tenet of the relationship between provincial government and municipalities is customer focused with the local sphere serving as a point of delivery. At the same time, it is peremptory for provincial and national spheres to support the local sphere (De Visser & November, 2017:5). In this relationship, the national and provincial governments are postulated as pillars upon which the functionality of municipalities should be strengthened. Should municipalities be appropriately regulated, capacitated, monitored, and supported; finally, interventions effected before it is too late when there is no commitment to comply with statutory provisions; the developmental vision should be a reality and citizens should ultimately enjoy a better life for which the state required to facilitate.

Cooperation and intergovernmental relations affect all organs of the state equally. All aspects of relations and obligations impact on provincial government's role in the functionality of municipalities. Even though Reynecke (2012:10-11) used supervision, the essence of the clarity he provides is that there is a specific obligation for national and provincial government on local government matters which supersedes the issue of collaboration. Diseko (2018:333) specifically refers to the monitoring and support obligation entrusted upon the provincial government; and the legislative and executive powers to ensure that municipalities undertake what is expected and mandated on them.

Mathenjwa (2014:201) argues that provincial governments do not understand the boundaries of their powers. He asserts that municipalities that are supposed to benefit from provincial government initiatives in their domain are compromised instead. If the provincial government fails to comprehend its powers and role in the municipal domain, its initiatives may not add value in municipalities even if they are depicted on their sector plans. It is therefore worth stating that the Constitution provides for the division of the State's power between the legislative, executive and judiciary arms of government (Munzhedzi, 2017:81). These powers relate to law-making, execution of law and enforcement of law respectively (O'Regan, 2005:134; cited in Munzhedzi, 2017:88). It, therefore, can be argued that there exists an environment for the rule of law to prevail

in circumstances where the inter-jurisdictional powers are abused to tramp on the ability of municipalities to execute their functions.

3.5 SECTOR PLANS AND DEVELOPMENTAL AGENDA INTERFACE

A discussion of relevant aspects regarding the fit between sector plans and the developmental agenda is presented in the next discussion hereunder.

3.5.1 Coherence in government

Coherence of government is one of the fundamental principles of cooperative government enshrined in Section 41 of the RSA Constitution, 1996 (Mbecke and Mokoena, 2016:98). South Africa lacked coherent planning before the era of the former President Zuma. Service delivery protests around 1999 got former President Zuma to see the urgent need to provide national direction to strategic planning (Kanyane, 2010:77; cited in Kanyane, 2014:93). Consequently, the government conceived the outcomes based approach, which Cabinet adopted in January 2010 (Presidency, 2010). Noting that the MTSF guided government business, the outcomes-based approach became a tool to complement the MTSF, which both became the basis for the performance agreements for executive authorities.

Owing to the recognition of the lack of coherent long-term planning, the Presidency in the South African government, in 2010, initiated the establishment of the National Planning Commission (NPC) to champion the development of a national long-term strategic plan, the National Development Plan (NDP) (Qwabe, 2013:24, Fuo, 2014b:340). Ledger and Meny-Gibert (2018:3), citing George (2017), asserts that strategic planning as a concept emerged during the era of New Public Management. As they opine, it is regarded as a reform that will improve rationality in decisions that would result in the allocation of resources.

The concept of strategic planning is derived from the Greek word *strategos* which means 'generalship' (Swanepoel, B., Erasmus, B., Van Wyk, M. & Schenk, H., 2000:176). Additionally, Swanepoel et al. (2000:176) state that a strategy, in the context of the military, relates to campaigns or battles in so far as they fit into the bigger picture of how to win a war; which is a task exclusively assigned to the military general. In defining a strategy, Swanepoel et al. (2000:176) use definitions contained in most dictionaries which indicate that it is something involving an overall plan to

achieve a long-term aim. In this regard, Swanepoel et al. (2000:176) refer to planning as the means to define the reason for existence and to set the direction to the course through the expression of measures and means such as goals, objectives, strategies and actions to get to the desired state. Swanepoel et al. (2000:176) opine that this definition should be relevant in business and management contexts.

According to Bryson et al. (2018:2), strategic planning is a process whereby institutions define the status quo and shape what needs to be done based on what needs to be achieved. Fourie (2012:136) and Nzimakwe (2012:146) state that a strategic plan contains what should be done in the form of performance indicators and targets. The NPC, as Qwabe (2013:24) points out, is entrusted with an advisory role to the Cabinet concerning the country's long-term vision and related issues. According to Subban and Theron (2016:45); the NDP was adopted in 2012 and Zarenda (2013:3) indicates that the NDP's life span expires in 2030. It can be deduced that the NDP is still relevant for the next 7 years from 2023. Describing the NDP, Qwabe (2013:22) states that it is South Africa's long-term service delivery strategic plan designed to facilitate service delivery and to redress the triple challenges of "unemployment, poverty and inequality". The NDP's is underpinned by a thorough situational analysis that the NPC undertook to unveil the development realities which inform the direction shaped in the NDP (Qwabe, 2013:24).

Chapter 13 of the NDP, titled 'Building a capable and developmental state' Zarenda (2013:5), outlines the key elements of a state that can deliver on its constitutional mandate to provide a democratic and accountable government for the Republic. In this state, all citizens should have a better life and be confident in the State. This chapter identifies five priority areas as political-administrative interface stabilisation, public service and local government-made careers of choice, developing technical and specialist professional skills, improving intergovernmental relations and strengthening the state owned Enterprises (National Planning Commission, 2012:410).

The NDP clearly outlines the expectation of local government and stipulates support and monitoring measures assigned to the national and provincial governments. Consequently, pronouncements have been spelt out to direct the development agenda including support and monitoring initiatives. The preparation of sector plans in the South African public sector such as the strategic plans, APPs and IDPS has since August 2010 been guided through the Treasury Guidelines (Maxegwana, 2012). Such guidelines emphasize coherent planning and implementation of service delivery solutions.

3.5.2 Repositories for developmental agenda

Organs of state in South Africa guided by the MTSF (Qwabe, 2013:24, De Visser, 2021:39), are required to prepare five-year strategic plans and implement them incrementally through APPs (Mbanga, 2012:127, Maxegwana, 2012:42). These sector plans are obligatory. According to Maxegwana (2012:42); an APP is a tool to implement the five years Strategic Plan incrementally over the MTEF as it contains targets for a fiscal year whilst projecting on the two outer years. This assertion is in agreement with National Treasury (2010:1) as they aver that an APP identifies “performance indicators and targets” that a public sector institution seeks to attain for the specific fiscal year and it also makes a projection for the two outer years. Mbanga (2012:128) states that emerging interventions including new mandates and policy directives can be incorporated into the APP.

Consequently, KZNCoGTA is obliged to comply with the prescriptions for developing an APP. In this regard, performance indicators and targets are expected to reflect on KZNCoGTA’s measures on establishing, regulating, monitoring, supporting, capacitating municipalities and even intervening when everything fails (De Visser & November, 2017:5, Van Niekerk & Dalton-Brits, 2016:119, Murray & Simeon, 2011:238). Obligations entrusted upon KZNCoGTA are viewed in a collaborative context where measures are derived and implemented through a collaborative process enabling the advancement of the development agenda in municipalities.

A dedicated chapter in the Constitution dealing with local government makes explicit ambitions and aspirations for local government concerning its functions (Mbecke & Mokoena, 2016:98). Local Government is bound to the ultimate developmental vision and as such, municipalities are obliged to prioritize basic needs of the community and to stimulate the community’s socio-economic development in their planning and budgeting processes including administrative reforms (Scheepers & Schwella, 2015:111, Ndevu & Muller, 2017:14). Local government legislation has further affirmed local government role in contributing to the attainment of fundamental human rights in terms of the subordinate legislation (Fuo, 2014:336).

According to Khambule (2020:163); the *White Paper on Local Government* announced the character of local government as developmental. This is when it was conceptualized as a developmental local government with a clear definition that it means “a local government that is

committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives” (DPLG, 1998:8 in Khambule, 2020:163-164).

Municipalities are expected to provide a wide range of essential services like “water, waste management, energy distribution, sanitation, storm-water drainage, municipal roads, land use planning and transportation planning” (Ngumbela, 2022:4). Such services as enshrined in the Constitution must be the priority of municipalities when resources are allocated. Similarly, Khambule (2020:157) asserts in the same context and indicates that features of a developmental local government which are “maximising social and economic development; promoting democratic development; integrating and coordinating development; and building social capital” were also outlined. Khambule (2020:155) emphasizes the importance of the democratic element in the type of local government that was defined.

The provision of basic needs, promotion of socio-economic development, the contribution to the achievement of desired satisfaction of fundamental human rights and local public administration must be understood in the context of assigned powers and functions (Fuo, 2013). In advancing this view, De Visser (2009); cited in Fuo, 2013:224) argues in this regard that, “developmental local government” imposes an obligation to municipalities to be oriented towards addressing poverty to derive a better life for the citizens. Moreover, Fuo (2013:336) states that the contribution to the socioeconomic environment cannot be certainly made a reality if strategies fail to influence the desired state. Concurring, Scheepers and Schwella (2015:99) aver that developmental local government provides a coherent framework within which local government transformation and development can take place. Citizens in today’s democratic and developmental South Africa have a legitimate expectation for an improved quality of life as an outcome of direct government involvement. Substantial local government transformation had to be considered to reconstruct a local government that is suitable to respond to the developmental agenda.

Accordingly, KZNCoGTA, based on its wide-ranging powers towards empowering municipalities, is expected to pronounce its measures through its sector plans. In an ideal situation, the KZNCoGTA sector plan should depict the status in municipalities through the inclusion of specific performance indicators and targets geared to address identified shortcomings or improve performance. The sector plan itself becomes an essential element to give effect to cooperative governance obligations binding on organs of state. Significantly, KZNCoGTA is a crucial link

between the PL, PEC, and municipalities within the province. At the disposal of KZNCoGTA are the legal instruments to give effect to IGR and to undertake inter-jurisdictional functions ethically and in a cooperative manner as empowered but also required by various statutes.

The KZNCoGTA adopted its five year strategic plan, 2015-2020, which reflects its vision as ‘People Centred Sustainable Cooperative Governance’ and its mission depicts that it has a responsibility to coordinate and foster cooperation amongst governance institutions whilst building capacity for the acceleration of high-quality service delivery (KZNCoGTA, 2015:1). This five-year Strategic Plan informs annual activities of the Department set through an APP (KZNCoGTA, 2015). The Strategic Plan recognizes progress which has been made to change the lives of the people. However, it acknowledges that there is still a lot more to be done. Consequently, the sector plan was designed to introduce fresh methods and ideas to undertake the tasks for which the department is responsible. These tasks should provide a glimpse of measures relevant to advance UDM’s development agenda. The current term has seen a Five-Year Strategic Plan for 2020 – 2025 being endorsed.

Like any other municipality in South Africa, UDM was established as part of the system where its well-functioning is premised on the national and provincial government re-enforcement. Municipalities by constitutional design were never envisaged to stand on their own. Although Sekgala and Tsheola (2016:113) note that the provincial government fails to fulfil its obligations towards municipalities and tacitly concur with Murray and Simeon (2011:238) who are also of the view that the provincial government has adequate powers to mitigate challenges in municipalities; the focus on national and provincial government role is often elusive. The successful development and implementation of the sector plans and its impact on municipalities hinges primarily on the processes that are followed in developing and implementing the sector plans.

3.5.3 Municipal planning environment influence on sector plans

Developmental local government as Scheepers and Schwella (2015:99) posit, provides a coherent framework within which local government transformation and development can take place. The benefits of a decentralized system of government can only be realized if the local government is functional and able to carry out its mandate as expected (Kanyane, 2014). Put otherwise, Khambule (2021:514) argues that the state of affairs in local government, as it is at the coalface of service delivery, can point to the capability of the state.

According to De Visser (2009:14), South African statutes leverage ground for municipalities to act as catalysts for service delivery planning. Asha and Makalela (2020:1) point out that municipalities have at their disposal a tool to assist them to execute their developmental role in the form of an IDP. According to Dlamini and Reddy (2018:3), citing Binns and Nell (2002:137;), the IDP concept dates back to 1996 when the national government conceived and introduced it to coordinate provincial and local government towards implementation of the reconstruction and development. Dlamini and Reddy (2018:2) refer to an IDP as a management tool upon which the priorities can be aligned to scarce resources. Similarly, Eglin and Ngamlana (2015:3) aver that an IDP is an all-encompassing collaborative municipal development plan upon which all resource distribution decisions are based.

As Asha and Makalela (2020:3) state, an IDP is a product of a strategic and targeted participatory process to formulate a principal plan for a Municipality. Similarly, Mbecke and Mokoena (2016:99) aver that the IDP process offers an opportunity for collaborative planning among the spheres of government and other stakeholders. Eglin and Ngamlana (2015) also regard an IDP as an essential tool for responsive government development planning and programme implementation. Patel & Powell (208:253; cited in De Visser, 2009:14) state that an IDP should take into account the sector departments' requirements whilst seeking to meet community needs. But De Visser (2021:40) maintains that an IDP should include what all in government intend to do within the space of a municipality. De Visser (2021:40) explains that this integration should be achieved through the involvement of all stakeholders including organs of state that have programmes and projects to implement within a municipal jurisdiction.

However, Madzivhandila and Asha (2012:372), cited in Mbecke and Mokoena (2016:99), opine that despite the constructive role of an IDP and its processes as a collaborative instrument towards advancing development, such an expectation has not been realized. Relatively, Mbecke and Mokoena (2016:99) point to a lack of technical skills and capacity for municipalities to drive the process. Ngumbela (2022:1) also suggests that municipalities across the country cannot meet the expectations that are upon them. Moreover, Mbecke and Mokoena (2016:99) aver that the lack of participation by sector departments during the planning and implementation stages including in monitoring and evaluation of development initiatives compromises the process as well. This is what De Visser (2021:40) also identified and points out that municipalities have been complaining about the lack of participation by organs of state.

Among the reasons identified for the failure of the IDPs to yield desired results is the poor community and stakeholder participation (Mbecke & Mokoena, 2016:99). For Peters (1996; in Mbecke & Mokoena, 2016:100); hierarchical relations which undermine employee and citizen empowerment towards participative governance are blockages which need to be unlocked. Certainly, these circumstances point to the fragmentation which Nzimakwe (2012:140) blames for the doomed aspirations for strengthened intergovernmental relations platforms which could advance cooperative governance and result in coherent government. Eglin and Ngamlana (2015:15) maintain that government should be reoriented to embrace an approach to underpin all service delivery planning and implementation in the IDP to achieve coherent and maximum service delivery. This coherence is necessary for KZNCoGTA to plan and execute its mandate within UDM. So far, the environment does not afford the IDP the recognition it should have as sector departments and other key stakeholders fail to reap the benefits of the IDP process.

3.6 VOICES ALLUDING TO GOVERNMENT INCAPACITY

3.6.1 Faltering local government

Municipalities have since the dawn of democracy been confronted with sustainability challenges rendering them unsuitable to render development. Several factors have been identified to be responsible for the undesirable state of local government. By 2021, about 40 municipalities had been placed under Section 139 of the Constitution intervention (Van der Waldt, 2021:210). The Province of KZN alone had invoked about 21 Section 139 Constitutional interventions between 2005 and 2015 (Greffrath & Van der Waldt, 2016:160). Van der Waldt (2021:210) reveals that the trends of Section 139 Constitutional interventions date far back to March 1998 when *Butterworth Transitional Local Council* was placed on constitutional intervention. These constitutional interventions, by implication, point to weak support and monitoring measures for local government by national and provincial governments who are obligated in terms of the Constitution to do so. This shows that the final phase of local government transformation landed in crises and continued in that order to date. Khambule (2020:514) opines that the dysfunctionality in the local sphere of government that is at the coalface of service delivery is indicative of a failing state. Powell (2015:322; cited in De Visser, 2021:32) clearly states that the invocation of Section 139 of the RSA Constitution, 1996, is a response triggered by failures in municipalities.

According to Madumo and Koma (2019:584), the national government assessed the state of local government in 2009 and made findings concerning four broad categories of governance, financial management, service delivery and labour relations. By own admission of the glaring deficiencies of the local government, the national government conceived an intervention programme which was branded the LGTAS (Madumo & Koma, 2019:584). According to Tshishonga (2021:36), LGTAS was a government response to mitigate the crises in governance and service delivery.

Another assessment of the State of Local Government was conducted through a desktop exercise in 2014 using functional factors of “political stability, governance, service delivery, financial management, institutional management and community satisfaction” (CoGTA, 2014). The outcome of the assessment revealed once again that varied levels of functionality among South Africa’s then 278 municipalities existed CoGTA 2014:4). This assessment revealed that there were three categories of municipalities, which are those “doing well municipalities, at risk municipalities and dysfunctional Municipalities” (CoGTA, 2014:4). According to CoGTA (2014; cited in Sithole and Mathonsi, 2015:21), a third of municipalities were dysfunctional.

Dysfunctional municipalities, according to CoGTA (2014:5 - 6) were found to be characterised by several challenges including constrained relations between administrative and political components, infighting and instability, flouting of regulations, inappropriate use of public purse, all facets staff-related challenges, extremely low investment on capital infrastructure, failure to deliver services and unhappy citizenry manifested in escalating protest actions. Moreover, the NPC, in 2015, conducted a review of local government (Scheepers & Schwella, 2015:98). This review according to Scheepers and Schwella (2015:98) revealed that there were tensions between political and administrative components, accountability and authority were eroded, administrative leadership was weak and there were several staff related instabilities.

Whilst assessments continuously reveal dysfunctional municipalities, citizens are also experiencing it and expressing their dissatisfaction in various ways. According to Twala (2014), Swart (2013), Lodge and Mottiar (2016), Van Heerden and Steyn (2012), among others, aggressive mass protest actions are regarded as a tactic which citizens adopt to vent out their concerns about the lagging and poor government’s service delivery and development. Protest actions have been experienced since 2004 and they have escalated and advanced to violence causing deaths and destruction to infrastructure (Municipal IQ Press Release: Service delivery protests up in this

election year, 11 May 2016; cited in Greffrath and Van der Waldt, 2016:40). Grant (2014:1; cited in Subban & Wissink, 2015:34) posits that the University of Johannesburg found that protests originated mainly from dissatisfaction with service delivery, poor governance and accountability issues.

Service delivery concerns revealed in the University of Johannesburg's study are "housing provision, water supply, sanitation, fair political representation in decision-making processes and electricity supply infrastructure" (Grant 2014:1; cited in Subban & Wissink, 2015:34). Likewise, Greffrath and Van der Waldt (2016:137) criticize the state for what they claim is its failure to deliver services and is responsible for the violent protest actions which they regard as citizenry expression of dissatisfaction with government. Sekgala and Tsheola (2016); Sithole and Mathonsi (2015) and Tsheola (2014) specifically blame municipalities for this challenge. According to Greffrath and Van der Waldt (2016:144), it has become known that there are serious challenges which include corruption and maladministration which are prevalent in some municipalities. Bogopa (2013:115) also avers that service delivery deficiencies confronting local government can be attributed to weak administration linked to unskilled staff appointed based on political lineage and severe corrupt practices.

In 2010, AGSA blamed the regression in audit outcomes on the national and provincial government's poor monitoring and oversight systems (AGSA, 2010:96; in Motingoe & Van der Waldt, 2013:5). The AGSA points to poor local government's track record in curbing irregular expenditures as the amount that has either not been recovered or condoned or written off reached R41.7 billion in 2015/16 financial year (Auditor-General of South Africa, 2017:10). Comparative to the previous year, KZN Province performed poorly with significant findings relating to vacant key positions and unstable administration, accountability deficiencies, flouting of regulations, inefficient internal control and lack of consequence management (Auditor-General of South Africa, 2017:6). AGSA (2018) reported serious findings in KZN concerning 2016/17 audit year where UDM and 13 other municipalities regressed in audit outcomes. This situation forced the AG to pronounce that municipalities should deal with those officials who are responsible for such findings since their actions have serious implications for the sustainability of local government.

A relationship between poor governance and inadequate resources for service delivery is inferred. In this instance, CoGTA (2009, cited in Motubatse, K. N., Ngwakwe, C. C. & Sebola, M., 2017:90) aver that clean audit outcomes signal a properly functioning municipality. Similarly, AGSA (2018)

indicates that poor governance in municipalities is the root cause of insufficient resources to provide service delivery. Moreover, Subban and Wissink (2015:34) aver that poor service delivery and lack of accountability provoke citizens to revolt against municipalities. The impact of these dissatisfactions is not only manifested in protest actions but there are also many indicators reflecting the apathetic situation. For instance, Tsheola (2014:399) states that public confidence in government has been adversely affected by the drop from 76% in 1994 to 42% in 2009 onwards in the count of citizens still believing that government is capable of fulfilling a constitutional promise of a better life for all is recorded. In the same vein, Nkomo and Felton (2016:2) found that voter confidence has been adversely affected as the drop from 86% to 57% of voter participation between 1994 and 2014 is recorded.

Such circumstances reflect a failing system of government given that municipalities were never designed or expected to drive the developmental agenda on their own. In this regard, constitutional provisions indicate that all spheres of government are responsible for supporting municipalities such that they can perform their mandates.

3.6.2 Local government elusive development capacity

Although national and provincial governments have designed and implemented several initiatives to support and strengthen municipalities, challenges have continued to haunt local government (Van Niekerk, 2012, Greffrath & Van der Walddt, 2016). Though DCoG (2014:14) claims, and whilst there is evidence, that some initiatives have in the past been implemented towards enhancing the functionality of municipalities so that they are the machinery for the developmental agenda; the prevailing situation implies that these measures or initiatives were insignificant.

Even though Back to Basics has been implemented since 2015, its impact has not hit the desired state. For instance, AGSA still points to poor local government track records and regression in audit outcomes for financial years after the programme. Service delivery has not reached the satisfaction of the communities. Kaywood (2021:55 citing the CoGTA State of Local Government in South Africa 2016:4) refers to negative audit outcomes; defective political-administrative interface; fraud and corruption, intra and inter-political party instability; and municipal capacity deficiencies as issues engulfing municipalities.

According to Municipal IQ, cited in Sutcliffe and McGahey (2021:193); the trend of municipal protest actions has significantly increased when comparing 2004 where only 10 incidents were recorded with the 2019 trend where 218 incidents were recorded. Kaywood (2021:54) also opines that service delivery protests which are violent have increased. Similarly, Khambule (2021:508) refers to uncountable service delivery protests triggered by the local government sphere's inability to provide services optimally. Kaywood (2021:57) refers to the AGSA Media Release, 2020 which points to concerns regarding the capacity of municipalities. The author further states that the MDB assessed the capacity of municipalities in 2018.

Sutcliffe and McGahey (2021:193), referring to the outcomes of the 2016 StatsSA Community Survey, indicate that the public has lost confidence in the government. The author refers to the rating of 57% satisfaction for the services offered by municipalities and 50% satisfaction for services provided by national and provincial governments. Statistics South Africa (2021; cited in Khambule, 2021: 508) reveals concerning statistics on poverty levels recorded at 55 percent with 32.6 percent unemployment. Ngumbela (2022:5) avers as well that communities now have no confidence in institutions and councils because of their linkage to dawdling or hopeless reactions to service delivery challenges. There are claims suggesting that local government challenges are associated with its design whilst other claims suggest that, irrespective of realities presented and argued, municipalities and government as a collective could have managed the situation better.

Some scholars have gone beyond lamenting the failures of municipalities and critically looked at the causes of the state of the affairs. For instance, Kanyane (2013:94) refers to a tension between the establishment phase running parallel to the expectation for newly established municipalities to render service delivery. Certainly, the essence of the post-establishment factors and their contribution to the inability of many municipalities to carry out their functions comes to light. The Republic of South Africa (2009:22) reveals that some problems emanated from the constitution of municipalities in that from the outset, the system created about 88 financially weak municipalities considering the categorization that was conducted during the establishment phase.

In the like manner, Powell (2012:18; in Kanyane, 2013:96) raised a fundamental issue concerning the circumstances confronting rural-based municipalities in so far of service backlogs and their weak financial status. Powell (2012:18; in Kanyane, 2013:96) frankly asserts that the capacity of such municipalities compromised their service delivery mandate from the onset. Powell (2012:18; in Kanyane, 2013:96) also purports that such municipalities were the ones faced with the realities

of the apartheid's separate development which rendered most of the areas underserviced and underdeveloped. Moreover, Powell (2012:16; cited in Kanyane, 2013:96) also argues that local government is overburdened with expectations for service delivery despite the reality of the lack of resources and inadequate skills base. Powell (2012:18; in Kanyane, 2013:96) questions the very obligation for developmental and service delivery given the lacking resources and crumbling skills base.

Subban and Wissink (2015) elaborating on the political and policy-related factors, listed the local government constitutional imperatives and other legislative and policy-related matters imposed on the local sphere, including its set-up and funding system as the basis for the challenges that are experienced. Concurring with this view; Kanyane (2014:96) states that the extent to which government can render services depends on the availability of resources. The author also states that the competing service demands, and inadequacy of resources often confront all spheres of government. However, AGSA points to poor governance of municipalities as a root cause for insufficient resources to provide service delivery.

However, it may be argued that national and provincial governments which created such municipalities were aware of the circumstances prevailing in those municipalities. By implication, national and provincial governments should have been proactive with support initiatives. Hologram (203;156; cited in Kanyane, 2014:93) makes a lot of sense. The author emphasized on the role assigned to the provincial and national government and opines that there was a lot which confronted the government of the day. The author listed matters ranging from making and enforcing laws which are parallel processes, the burden of redressing the imbalances inherited from the past regime, providing basic needs, reducing physical infrastructure backlogs, alleviating poverty, establishing social security, and so on. Similarly, Madumo (2015:163) opines that the task is too huge given the imprints of the over 300 years of successive colonial and apartheid systems which entrenched selective development leaving the challenging state of development and inequalities.

By implication, views suggest that a differentiated approach to support failed to take off the ground at the right time on a proactive basis. It also implies that the design of municipalities also failed to consider the real circumstances in line with the dictates of Section 155 (3) of the Constitution. Specifically, Section 155 (3) of the Constitution requires capacity assessment to precede the division of powers and functions. Moreover, municipalities by design were never regarded as fit

to champion development on their own without the proactive support and monitoring initiatives from the national and provincial governments. Furthermore, the system itself was too embryonic to resist the functionality challenges and hence national and provincial government support and monitoring role plays a significant role in this regard.

Developmental local government provides a coherent framework within which local government transformation and development can take place as Scheepers and Schwella (2015:99) state. It is therefore crucial that the circumstances rendering local government dysfunctional are addressed. Initiatives pronounced in sector plans and APPs should be convincing enough that they are responsive to the development agenda for municipalities in which they seek to influence change. Importantly, municipalities should play a clear role in shaping initiatives that are directed to advance their developmental agenda.

3.6.3 Service delivery challenges affecting Ugu District Municipality

Per Section 84 of the Structures Act, UDM among its functions is the fundamental basic services such as purified water supply systems, supply of bulk electricity, sewage disposal systems and regional roads. Drawing from Todaro and Smith (2006; cited in Gumbi, 2017:7), lack of water can be destructive not only to the lives but the economy and development including the environment which can be severely compromised. Recent empirical studies, particularly Dlamini-Tshazi (2021), Mwelase and Dzwauro (2021), Nkabane (2019), Dlamini (2017), Gumbi (2017), Hlongwane (2017) and Tsako (2020), reveal that UDM is confronted with serious development backlogs. For instance, Dlamini-Tshazi (2021:8) reported that only 67% of UDM population has access to potable water. Dlamini-Tshazi (2021:154) indicates that all 51 Councillors who participated in the study stated that there were parts of their wards which have no access to potable water supply infrastructure; and as a result, the communities carry water by buckets from the rivers. Dlamini (2017:64) also established that households that still rely on rivers and other natural sources of water were estimated at around 35%. Likewise, Hlongwane (2017:130) reported 34% of the water service provision backlog. The KwaZulu-Natal Water Master Plan reveals that more than 47% of Ugu district population does not have access to potable water (KZNCoGTA, 2021b:10).

Along the same lines, Gumbi (2017:53 & 60) found that there exist serious challenges like dry taps and communities that travel far more than the acceptable norm of 200 metres to fetch water

whilst others have to use natural water sources; which is unsafe for human consumption. Dlamini-Tshazi (2021: 154) also found the situation of communities having to use natural sources because there is no water coming out from the taps. Hlongwane (2017:141) also found that UDM does not meet the RDP standard for the 282 580 people who either do not have access to 25 litres of water per day or who must travel more than 200 metres to get potable water or where the flow from the tap runs below 10 litres per minute. According to Dlamini-Tshazi (2021:146), people must wait long distances to access water sources, sources are unreliable, including inconsistent availability of water supplies. On the other hand, officials interviewed conceded that reliable supply was not being achieved due to inadequate infrastructure.

Service delivery challenges at UDM appear to be cutting across all its functional areas. To explain this assertion, Dlamini (2017:64) found that Umzumbe Local Municipality in its 2015/2016 IDP recorded an estimate of 69% of households with low RDP standard sanitation service. According to Dlamini (2017:64), about 84% of households also do not have access to solid waste disposal systems. Backlogs, poor quality of work, ageing infrastructure, poor financial health, and reactive maintenance of water supply systems appear to be the triggers for the intermittent water supply by UDM. Over and above backlogs, existing infrastructure is failing to cope with the supply demand due to design capacity constraints (Mwelase & Dzwauro, 2021:4). The authors also point to ageing infrastructure as another trigger for the water leakages which occur due to pipe bursts resulting in water supply interruptions. Dlamini-Tshazi (2021:154) as well, found that potable water supply to both urban and rural areas was unreliable due to interruptions emanating from burst and leaking pipes. Dlamini-Tshazi (2021:163) found that the municipality lost more than 25% of water in the 2016/17 financial year translating to R29.59 million lost in revenue.

Coupled with the non-revenue water challenge, is the inability to maximise collection of revenue. Nkabane (2019: 170) identified a downward trend in revenues. According to Nkabane (2019: 143), respondents pointed to incidences of inaccurate billing which respondents blamed on the lack of automation which led to reliance on estimated bills. According to Nkabane (2019: 172), this situation led to customer dissatisfaction as they renege on inflated bills. Dlamini-Tshazi (2021: 161) recorded that there was a presentation to the multi-stakeholder forum in May 2018 where the Chief Financial Officer (CFO) reflected over R400 million owed to UDM up to the period of June 2018. Outstanding debt appears to have doubled arising from the amount of R808 528 324.03 reflected in the 2022-2027 IDP as debt owed for over six months (UDM, 2022:222).

On the other hand, UDM needs a lot of monies to address its infrastructure challenges. In another assessment, SALGA (2008:33; cited in Hlongwane, 2017:141) estimated R1.8 billion which is required to eradicate water provision-related backlogs in Ugu district. Hlongwane (2017:130) also found that bad topographical conditions contribute to the challenges in providing this service as it becomes expensive to provide services. This might also be a factor in the unexpectedly high amount required to offset backlogs and address ageing infrastructure challenges which may go beyond major maintenance to even replacements. As of 2018, UDM estimated the funding required to address the infrastructure challenges within a period of ten years to be R3.4 billion (Dlamini-Tshazi, 2021: 163).

Dlamini (2017:64) found that the existing infrastructure is fragile given the reports mainly from Councillors about burst water pipes. It would seem as if water supply infrastructure and mechanical equipment are not adequately serviced, which leads to the same problem occurring time and again. Nkabane (2019: 164) points out that the lack of a proper maintenance plan for water and sewerage infrastructure has complicated UDM's ability to provide water and sanitation services. The researcher also identified that UDM does not have systematic plans to refurbish and replace ageing infrastructure.

There is also a possibility that the municipality takes a longer than acceptable time to sort out the breakdown in the supply system resulting in delays in the restoration of the water supply. According to Dlamini-Tshazi (2021: 154), the turnaround times for repairing water leaks and/or burst pipes was varied and takes extremely long, and is not compliant with prescribed norms and standards. For Nkabane (2019: 174), the delays in fixing broken infrastructure is due to staff ineffectiveness.

Hlongwane (2017:130) found that infrastructure and equipment are poorly maintained, and there are also illegal yard connections. Likewise, Dlamini (2017:76) found that water pipes exposed by soil erosion were lying uncovered even though they were so visible adjacent to the road. The exposure of the pipes may also imply poor quality of construction. The issue of illegal water connections is also flagged as a serious problem resulting in non-revenue water and water losses that are costly to UDM (Nkabane, 2019: 146). The researcher also identified that there are instances of vandalism to municipal billing infrastructure. According to Nkabane, (2019: 146), not only revenue is a resultant effect, because water leaks, sewage spillages and blockages result in severe service interruptions and customer dissatisfaction. Furthermore, Dlamini (2017:76)

revealed that most people would not have reported water provision-related challenges given that they did not know the reporting protocols. By implication, water-related challenges are likely underreported although already in a shocking state.

On governance matters, UDM also shows some deficiencies. It has received qualified audit outcomes for three consecutive years before 2021/2022 unqualified with matters finding which makes the prudence in the use of resources doubtful. Way back in 2010, AGSA blamed the regression in audit outcomes on national and provincial government's poor monitoring and oversight systems (AGSA, 2010:96; in Motingoe & Van der Walddt, 2013:5). Auditor-General of South Africa (2017b:10 & 2018:6) specifically points to the track record of increasing irregular expenditure and regression in audit outcomes. Moreover, Greffrath and Van der Walddt (2016:160) reveal that a Section 139 Constitutional intervention was invoked at Ugu District Municipality in 2013. Despite the 2013 Section 139 Constitutional intervention; the impact appears to have been insignificant given that the Municipality is one of the 13 KZN municipalities which the Auditor-General of South Africa (2018:13) flagged for regression. The Auditor-General of South Africa (2021:67)AGSA lists UDM as one of the four district municipalities in KZN whose audit outcome is qualified. AGSA relates the inability of municipalities to meet their developmental mandate to poor audit outcomes. As Du Plessis (2012:16) puts it, the ability of municipalities to respond effectively to service delivery and development demands depends on their fiscal power. The Auditor-General of South Africa (2017:6) asserts the negative effects of poor audit outcomes on the developmental mandate and the state at UDM affirms the relationship. According to Dlamini-Tshazi (2021: 148), UDM had an adverse audit opinion for 2017/18 and one of the matters raised is doubtful value-for-money due to completed water projects but where there is no water coming out from the taps. The researcher raised that the constraints in water and sanitation provision has had a negative effect for other developmental programmes like housing. Governance challenges affect growth in development and compromise service delivery. Tsako (2020) emphasised the role of the political component in a municipality in fulfilling the developmental mandate. According to Tsako (2020: 16), UDM faces "instability, uncertainty and political patronage". The researcher avers that UDM is one of the municipalities which has not put the existing statutory provisions to good usage. Tsako (2020:17, citing Senoamadi, 2014), advocates for "vigorous monitoring and evaluation mechanisms" as safety nets for efficiency in the use of budgets and implementation of standing decisions. Under the circumstances, KZNCoGTA is equally implicated given its mandate to support and monitor municipalities; meaning that they cannot be exonerated from the situation.

Development challenges besetting UDM principally relate to the provision of water presently and in the future. Drawing on Dlamini-Tshazi (2021), Mwelase and Dzwauro (2021), Nkabane (2019), Dlamini (2017), Gumbi (2017), Hlongwane (2017) and Tsako (2020), there are serious challenges to UDM's ability to fulfil its mandate. Communities across the district's jurisdictional area are already expressing their anger which is manifesting in sporadic protest actions. In most instances when communities stage a protest action; it is due to a water outage. For instance, Arrive Alive (2019) reported that MEC Kaunda had to address protestors in Ward 5 of Umuziwabantu Local Municipality. Mgwili, on 19 July 2019 reported on another community protest which erupted following weeks of dry taps in the Nyandezulu and Betania areas which is said to have been caused by a pump breakdown at the Bhobhoyi pump station. Surprisingly, the report reveals that protest action was also staged three months before the 19 July 2019 one when the community was confronted with the same problem. Protest actions have become so familiar due to water outages in recent times.

This situation is a stimulus for the reputation damage of the entire system of government and the betrayal of democracy. Unfortunately, this focus is often missed when the dysfunctionality of municipalities and their failure to comply with their developmental mandate and service delivery obligations is considered in isolation from the entire system. Interestingly, Murray and Simeon (2011:238) affirm that the provincial government has substantial powers to prevent challenges in municipalities. It is therefore incumbent upon KZNCoGTA to utilise powers vested in them by the statutes to effectively complement UDM towards fulfilling its service delivery mandate. This study postulates KZNCoGTA's sector plans as instruments to define KZNCoGTA's jurisdiction and actions to advance UDM's development agenda.

The motivation for this study emanates from the elusive focus on KZNCoGTA when the performance of UDM is at stake. KZNCoGTA and UDM are elements of a system which should work together to fulfil the developmental mandate, with KZNCoGTA being duty-bound to account for support and monitoring measures and initiatives directed to enhance the capacity at UDM. Given that both KZNCoGTA and UDM pronounce their measures and initiatives upfront through their sector plans, the contribution made by KZNCoGTA to advance UDM's development agenda should be understood from the perspective of those sector plans.

3.7 CHAPTER SUMMARY

This chapter dealt extensively with the survey of literature in the form of key statutory provisions and academic literature. This review has enabled adequate reflection on the role of provincial and national governments to respond to the UDM development agenda well within the parameters of bestowed powers and functions derived from statutory provisions. Sector plans are viewed as instruments for the provincial government to pronounce municipal developmental agenda enhancement measures derived from various authorised powers. This chapter highlights how sector plans processes leverage an environment for KZNCoGTA in this instance to utilise its statutory powers and pronounce measures relevant to enhance UDM's capacity to perform its statutory obligations towards the UDM developmental agenda. This comprehensive review commenced with an introduction outlining what the chapter entails. The structure of the review starts with key statutory provisions encapsulated in the Constitution and the selected acts. The selection of the Acts is informed by their relevance to the provincial and national government obligations on the local sphere of government. The focus is on the expressions relating to the statutory obligations and matters relating to the development and implementation of sector plans.

CHAPTER 4

RESEARCH DESIGN AND METHODOLOGY

4.1 INTRODUCTION

This chapter addresses the methodological aspects and design of the study. It covered the philosophical assumptions and the methodological influences on the processes employed to undertake the study. The chapter explains the basis for the chosen type of study and the research strategy that was employed for the empirical aspect of the research. It provides details of the data collection tools used, how data was analysed and the approach to present the findings. Issues relating to ethics necessary when conducting a research study are covered, together with an emphasis on the ethical considerations that was taken cognizance of throughout the study.

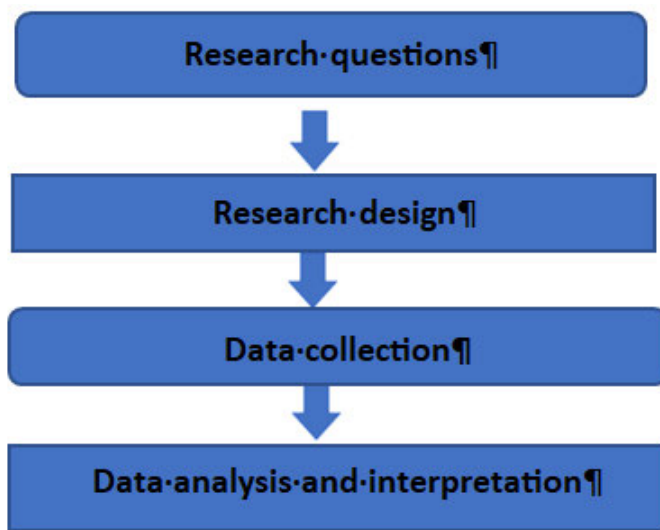
4.2 CONCEPTUALISING RESEARCH

While what research is all about may sound simple, Leedy and Ormrod (2010:1) point to myths compromising the understanding of research. Leedy and Ormrod (2010:1-2) warn against the misconceptions that research is about gathering information, inferring facts from somewhere to elsewhere, and searching for information or attention as a catchword. However, Du Plooy-Cilliers (2014:20) offers a solution to understanding research by explaining that research is triggered by a need to know about something presenting itself as a problem, and thus compelling a search for knowledge. Davis (2014b:3) asserts that whatever process is embarked upon to know about something, could be termed research. Explaining this assertion, Davis (2014b:3) refers to everyday encounters like wanting to know which institution may provide a qualification that you desire, making sense of the use of a specific device you may have acquired or wanting to know how to treat illnesses and certain diseases. Davis (2014b:3) sums up that the process of acquiring knowledge from the examples made is research. Du Plooy-Cilliers (2014:20), like Kumar (2011:27), who refers to syllables of “re” and “search”, explains research with its textual construction made up of the prefix “re” denoting a repetition and the stem “search”, denoting looking for something. In this regard, Du Plooy-Cilliers (2014:20) refers to a repeated nature of looking for answers and solutions or truth for something, as research.

Much sense of the notion of the repeated search for knowledge is found when Du Plooy-Cilliers (2014:18) asserts that people experience things differently and that those experiences are correct in the context in which they experience them. Du Plooy-Cilliers (2014:19) posits that this reality is also a research case where the same phenomenon may be investigated by different researchers within different contexts depending on the locus and focus of the answers sought. Answers to questions, according to Davis (2014b:8), can be found from knowledge which needs to be collected using appropriate methods relating to the status of whether knowledge exists or does not exist. Williams (2007:65) states that research follows a systematic protocol defining the objective, explaining the management of data and the communication of findings. These aspects guide a researcher on the parameters of what to include and how to proceed with the research project. Moreover, as Ostle and Mensing (cited in Kothari, 2004:9) state, the findings need to be trustworthy. Leedy and Ormrod (2010:2) see research as a logical process to collect, analyse and interpret data. This process is referred to as research methodology.

According to Kothari (2004:8), research methodology refers to a procedural plan defining steps, procedures or artistry adopted to systematically obtain answers concerning the phenomenon that is studied, and the related logic, including justification for the choices made. Similarly, Leedy and Ormrod (2010:12) define research methodology as an approach chosen to carry out the research project which to some extent avails tools relevant to the choices made. This systematic research process of asking questions and finding answers to research questions follows a logical framework (Davis, 2014b:7). Davis (2014b:8) also asserts that the researcher's inner philosophical, theoretical, and methodological assumptions influence the kinds of information the researcher needs to answer insofar as has to be known. These assumptions influence decisions made in the research process (Davis, 2014b:8). The cognitive interests dictate a research paradigm which, in turn, channels a researcher to a specific research design (Du Plooy-Cilliers, 2014:21). According to Babbie (2011:32), a paradigm refers to a framework shaping what is seen and understood. On the other hand, a research design is a framing for conducting the research with processes for data collection and processing to answer research questions (Kothari, 2004:31). Given the afore-going discussion, the research process is illustrated in the following figure which informed the study that was undertaken.

Figure 4.1: Research Process



Source: Kellett (2005:8; cited in Göttfert 2015:24)

4.3 PHILOSOPHICAL FOUNDATIONS INFORMING RESEARCH

In research, finding solutions to problems or getting answers to questions follows a systematic process involving the collection and analysis of data to establish certain facts or principles (Du Plooy-Cilliers, 2014:21). Jurgen Habermas, a German critical theorist, introduced a theory suggesting that a mental process goes through a certain approach to know about something, and states that there are “empirical-analytical sciences which are empirical and technical, historical-hermeneutic or hermeneutic – phenomenological sciences which are practical with the aim for an in-depth understanding of a phenomenon and the critically oriented sciences which are emancipatory to empower people through knowledge” (in Du Plooy-Cilliers, 2014:21). This study aims to obtain in-depth understanding, and therefore falls within historical-hermeneutic or hermeneutic–phenomenological sciences.

4.4 RESEARCH PARADIGMS

4.4.1 Genesis and conception of research traditions

Du Plooy-Cilliers (2014:21) compared cognitive interests with research traditions and matched empirical-analytical sciences with positivism tradition, historical-hermeneutic or hermeneutic–phenomenological sciences with interpretivism tradition and the critically oriented sciences with

critical realism, which are introduced as paradigms that influence a combination of what is seen and understood (Babbie, 2011:32).

A paradigm is another word used to refer to a basic set of beliefs that guide action (Lincoln et al., 2011:98). According to Bryman (2012:630; cited in Du Plooy-Cilliers, 2014:19), Thomas Kuhn coined the term ‘paradigm’. Bryman (2012:630; cited in Du Plooy-Cilliers, 2014:19), asserts that the term influences the types of research and processes that should be followed in research as it is associated with disciplines from which scientists derive their beliefs and interests. On the other hand, Creswell (2014:35) prefers to use the term ‘world view’ and avers that it is a “general philosophical orientation” based on the conception of the world. This priming, as Creswell (2014:35) claims, is influenced by the developed researcher’s character emanating from various influences and experiences which drive the direction which the researcher takes in his or her research between a quantitative, qualitative or mixed methods approach. Quantitative research can be traced to 1250 AD when researchers wanted to present quantifiable data (Williams, 2007:66) and through evolution, qualitative and mixed methods were conceived (Walliman, 2011:25-27). As Du Plooy-Cilliers (2014:19) also avers, a paradigm influencing each researcher’s approach to research is one of the reasons for a situation where one issue may be investigated from different perspectives. According to Davis (2014b:8), “these philosophical assumptions revolve around epistemology, ontology and axiology”.

Defining these paradigm dimensions, Davis (2014b:8) explains that “epistemology refers to beliefs about knowledge, ontology refers to reality and axiology refers to value”. According to Du Plooy-Cilliers (2014:23-24), terms used for these paradigm dimensions are derived from Greek words where the suffix “logos or logia” is compounded with stem “episteme or ontos or axios.” The suffix ‘logos or logia’ means ‘the study, science or theory of’ and the stem ‘episteme’, means ‘knowledge’; stem ‘ontos’ refers to ‘being or that which is’ and ‘axios’ means ‘worthy’ (Du Plooy-Cilliers, 2014:23-24). According to Du Plooy-Cilliers (2014:23-24), in research, the epistemology dimension influences what is regarded as knowledge and the parameters for such knowledge or rather, to what extent the study will go in such an exploration. As Du Plooy-Cilliers (2014:23-24) explains, the ontology dimension assists in demarcating the boundaries of the research concerning what is a reality, and how is the reality known, while axiology deals with values in the study.

The term ‘paradigm’, however, as Du Plooy-Cilliers (2014:19) points out, does not fit well in social sciences and this discipline uses the term ‘research tradition or world views’ instead. There

are three dominant research traditions which are regarded as the most important, namely, positivist, interpretivism, and critical realist (Du Plooy-Cilliers, 2014:20&23). These traditions are explained in the next session and the relevant tradition for this study is also stated.

4.4.2 Positivism

Positivism as a tradition is coined from the positive stance that 17th-Century scientists maintained concerning the use of science to define the world and educate people (Du Plooy-Cilliers, 2014:24). Among scientists of this century were Isaac Newton, Francis Bacon, David Hume and Auguste Comte (Ritchie et al., 2003:6). Comte's belief that static rules can be used to study the social world led to the positivism paradigm (Ritchie et al., 2003:6; Babbie, 2011:35). The stance of the positivists is that objectivity, observable facts and verifiable facts should be considered when attempting to understand and explain the natural and social phenomenon (Davis, 2014a:24). Gray (2013:21), emphasizes that the argument in the positivism paradigm:

- Reality consists of what is available to the senses – that is, what can be seen, smelt, or touched.
- Inquiry should be based upon scientific observation (as opposed to philosophical speculation), and therefore on empirical inquiry.
- The natural and human sciences share common logical and methodological principles, dealing with facts and not with values.

According to Du Plooy-Cilliers (2014:23), positivism can be associated with natural sciences based on its roots in methods compatible with natural sciences, which base solutions to problems on natural science.

4.4.3 Interpretivism

Interpretivism, as Du Plooy-Cilliers (2014:27) claims, came in as an alternative to the positivism paradigm. According to Gray (2013:23), the natural sciences are nomothetic in their approach to looking for data consistencies so that 'laws' are deduced, while the social sciences are ideographic in their approach to often deal with the individual's actions. The interpretivism research tradition is premised on the fact that studying people like objects is a fallacy, because of their adaptation to the environment they find themselves in or to which they are exposed (Du Plooy-Cilliers, 2014:27). Advancing the argument, Du Plooy-Cilliers (2014:27) claims that people do not live in

laboratories and as such should be studied in the environments in which they live, adding to justification for this study to be located within the paradigm of interpretivism in a qualitative research design.

Bezuidenhout and Davis (2014:65) state that the interpretivism paradigm seeks in-depth data and to gain an advantage on the expressed and resembled experiences of the aspects of the subject matter or the phenomenon, as opposed to a positivistic paradigm, whose primary purpose is the prediction, controlling and manipulating the phenomenon in natural and social environments. Interpretivists research to gain in-depth understanding which makes them identify with the lived experiences of the participants, hence they need time to spend with participants to delve deeply into how they define the world around them. It is through this presence and interaction that interpretivism becomes accustomed to the daily life of the participants and when they can translate what meaning and relevance is attached to the participants.

4.4.4 Critical realism

According to Du Plooy-Cilliers (2014:31), critical realism hails from Germany and emerged as an alternative paradigm, with etymological roots in the frustration of German philosophers who found shortcomings in both the positivism and interpretivism paradigms. These philosophers criticized the non-humanistic approach of the positivist tradition, finding interpretivism to be passive and subjective (Du Plooy-Cilliers, 2014:31). As Du Plooy-Cilliers (2014:31) claims, their attempt to resolve the limitations embedded in the two traditions became the mixing of certain aspects from both the positivism and interpretivism traditions. The fundamental orientation in this paradigm is that social orientation influences the knowledge of reality, tacitly supporting the position claiming that knowledge is a social construct.

As Du Plooy-Cilliers (2014:31) postulates, the critical realism paradigm concedes that there is a difference between natural and social sciences and that reality is what people perceive it to be, based on their context and circumstances, which make them reason as such. However, they also advocate that rationality is necessary for science and it should be based on evidence, although their approach is to understand and explain rather predict. These philosophers also seek to generalize results, which serves to see the outcome affecting similar phenomena in the same way as the one that was studied.

When a study is undertaken based on the critical realism paradigm, its primary purpose is to liberate people through knowledge (Du Plooy-Cilliers, 2014:31). Researchers influenced by the critical realism paradigm prefer to expose hidden information concerning a phenomenon and they do so believe that people would as a result be more informed and aware of the circumstances and the related implications. Critical realists, as Du Plooy-Cilliers (2014:31) asserts, believe that information can lead to society's liberation as they take action based on the knowledge produced through research with the expectation that this can make the world better.

4.4.5 Epistemological influence on research

Epistemology is a dimension influencing what the researcher believes is valid knowledge (Du Plooy-Cilliers, 2014:25). For positivists, as Du Plooy-Cilliers (2014:25) asserts, only objectivity and empirical evidence can produce valid knowledge. Of fundamental importance to consider, is that positivists conduct research to determine the cause and effect relationship and the solution thereof being prediction and controlling of both natural and social worlds (Du Plooy-Cilliers, 2014:25). Positivists believe that if there is knowledge about what causes a specific problem, action to prevent or mitigate such a problem can be taken. To get to this point, they define assumptions and use experiments, control groups and experimental groups to observe and test assumptions for which evidence must either support or reject (Du Plooy-Cilliers, 2014:25).

On one hand, as Du Plooy-Cilliers (2014:29) asserts, interpretivism rejects the notion of knowledge and truth objectivity. Interpretivists regard common sense as a crucial basis for information to understand people as it guides their daily lives. This position is a converse of positivists who have no regard for common sense as a type of knowledge (Du Plooy-Cilliers, 2014:29). According to Du Plooy-Cilliers (2014:29), interpretivism regards facts as unsolidified and entrenched within a meaning system, especially in the social sciences. Their position is that facts depend on what people make of them, and it is based on the context within which something is regarded as a fact (Du Plooy-Cilliers, 2014:29). In this regard, people's meaning is deduced from the social context which assists in building an understanding why they see things in the manner attached to their interpretation. Interpretivists, when conducting research, as Du Plooy-Cilliers (2014:29) states, have no intention to generalize their findings based on their belief that interpretation influences the truth. In this regard, interpretivism adopts research methodologies that are context-specific oriented, and they never intend to assume that such results would also apply similarly in another context. This position, however, does not translate to a claim that

interpretivism may not have the intention to generalize results at all. In this regard, Ritchie et al. (2003:266-268) posit that representational and inferential generalization can be derived through the application of specific principles.

On the other hand, the epistemological position of critical realism is that knowledge cannot be permanent and it should be considered within the historical and social context (Du Plooy-Cilliers, 2014:32). Critical realists argue that the researcher's values will always cloud knowledge produced. They accordingly insist on the need to question and scrutinize everything presented as knowledge. Further, critical realists argue that research should never aim to provide permanent answers and they aver that they are unable to provide permanent answers (Du Plooy-Cilliers, 2014).

Critical realists believe that the locus and focus of knowledge accumulation should go beyond knowledge's sake and construction of understanding but rather be action-focused and practically valuable (Du Plooy-Cilliers, 2014:32). As a result, they prefer to study social issues that stand in the way of social change although they are mindful that complete knowledge about the outside world is impossible, and it may also be imperfect. They argue that the world which minds construct does not resemble the real outside world (Du Plooy-Cilliers, 2014:32). This implies that what people may value as knowledge may not necessarily be correct.

4.4.6 Ontological perspective

According to Davis (2014b:8), ontology refers to reality. Positivists hold the view that there is a single, objective and stable social and physical external reality that is governed by laws (Du Plooy-Cilliers, 2014:25). For positivists, there exists a scheme of things and order and the researcher has to discover those schemes and orders. This stance is synonymous with Comte's position that their world can be studied through rigid and static procedures with which people are required to comply (Ritchie et al., 2003:6).

Positivists envisage regularity and their conception is that an occurrence happens as a result of something, and they believe that a given cause has the same effect on all people. Positivists do not consider the effect which the social, psychological, historical, or cultural context can have on behaviour. According to Du Plooy-Cilliers (2014:25), they subscribe to objectivism and they are concerned about the external reality and have no regard for the unobservable internal motivation

of the individual's behaviour. The ontological position of interpretivism, for Du Plooy-Cilliers (2014:29), is that reality cannot be experienced by everyone in the same way. The interpretivists' position is that reality is attached to what it is made up to be because people make the world to be what it is based on their experiences and what they learn or discover from their interactions with others (Du Plooy-Cilliers, 2014:29).

Interpretivists, as Du Plooy-Cilliers (2014:29) points out, are aligned with the understanding that people's perceptions and emotions play a major role in the construction of the social world around them. Interpretivists also hold that experiences and emotions influence the perceptions people may have had on the social world around them, meaning that reality is non-static; it is what it is perceived to be at a given time based on new knowledge and experiences. The real social world is constructed at a given time and circumstances and other factors such as culture, and experiences, may cause people to differ in what they view as reality (Du Plooy-Cilliers, 2014:29).

The ontological position of critical realism is that the value system of knowledge is contaminated through several societal settings and practices. Among the societal settings referred to are families, churches, and schools. Religious practices such as weddings, cultural practices such as inheritance; and ideologies to which members of a society ascribe have influence (Du Plooy-Cilliers, 2014:32). According to Du Plooy-Cilliers (2014:32), these institutions, practices and ideologies either advantage or disadvantage people upon which they prevail, and they play a significant role in what people construe as a reality. Critical realists argue that in other instances, reality does not reside in what people construct as reality as it exists irrespective of what people perceive it to be (Du Plooy-Cilliers, 2014:32).

Critical realists according to Du Plooy-Cilliers (2014:32) argue that people are so hypnotized by the structures and social systems to the extent that they believe everything about it is set as reality and they accept it as an ordinary way of life and they see nothing worth questioning. Their transformative stance, as Du Plooy-Cilliers (2014:33) asserts, is that the researcher's role is to reveal and expose the reality about the predominant traditions and misconceptions to empower people to regain their independence and take control of what they regard as reality. This approach is entrenched on the assumption that people are better positioned to liberate themselves if they know and understand the circumstances in which they find themselves.

4.4.7 Axiological perspective

Axiology, according to Davis (2014b:8), deals with the value in research with the boundary being either that an enquiry is either objective or subjective. The axiological position of positivism is that valuable research should not be tainted by personal bias and positivists are adapted to precision. Positivists insist on the honest representation of facts and value a study which can enable prediction and control of nature, people and events (Du Plooy-Cilliers, 2014:27). On one hand, Du Plooy-Cilliers (2014:31) states that interpretivism values complex understanding of unique realities and does not attempt to conduct value-free research. Interpretivists are better positioned to respect what participants express as valuable information and the degree of value which participants attach to the expressions they make. Interpretivists openly discuss the values that shape the research including their own interpretations and those of participants (Du Plooy-Cilliers, 2014:31).

Critical realists, according to Du Plooy-Cilliers (2014:33), claim that conducting value-free research is impossible and that subjectivity to an extent is accepted. They further accept their own bias arguing in concert that the research topic itself is value burdened, meaning that the topic is influenced by some degree of the researcher's purpose and interest in conducting such a study. By implication, critical realists challenge the objectivity stance of positivists on the basis that there can never be value-free research as there is always some degree of bias, meaning that research may not be completely free from bias based on the origination of the research itself, and the choice of the research topic.

Critical realists are liberation oriented and this makes them attach more value to those studies that can empower people to take control of their lives (Du Plooy-Cilliers, 2014:34). Since critical realists accept some degree of bias and their orientation towards emancipation, important or valuable studies will be those they regard as capable to produce results which will free people from oppression.

From the afore-going discussion on the various paradigms in research, interpretivism was found to be the best-suited paradigm for this study. The influence of the choice was based on its compatibility with studying phenomena within its environment. Further, the study intended to gain an in-depth understanding of the problem, which could be derived by following the interpretivism tradition. This tradition is associated with hermeneutic–phenomenological sciences which are practical and compatible with the aim of an in-depth understanding of a phenomenon.

4.5 RESEARCH DESIGN

The various facets of the research design are discussed in this section.

4.5.1 Scope and categories of research

According to Davis (2014a:73), it is critical to understand why the research is conducted since this is what underpins the process and research outcomes. Similarly, Kumar (2011:29) points out that the purpose of conducting the research is an important aspect of the research process as it determines what type of research is compact to conduct such a research project and it indicates which processes are necessary to complete the study. According to Kumar (2011:29), whether the research project is classified as pure or applied research, whether it is descriptive or correlational or explanatory or exploratory, and whether it is a qualitative or quantitative study, can be determined from the perspective of application, objectives and enquiry mode employed.

Kumar (2011:30) asserts that pure (basic) and applied research are the two categories of research. Davis (2014a:74) concurs. Pure research, according to Davis (2014a:73), is used for the generation of knowledge. Davis (2014a:74) states that pure research is mostly used for the formulation of theories. According to Bailey (1978: 17, cited in Kumar, 2011:74), pure research involves developing and testing theories and hypotheses that are intellectually challenging to the researcher but may or may not have practical application at present or in the future. Thus, such work often involves the testing of hypotheses containing very abstract and specialized concepts.

Applied research, on the other hand, as Davis (2014a:74-75) claims, is purpose-driven or pragmatic. Davis (2014a:74-75) states that applied research is used to investigate practical issues to find solutions that can be practically implemented. Kumar (2011:30) avers that social science research is mostly applied. Kothari (2004:2) argues that research is conducted to uncover hidden truths about a specific problem, following a structure of questions through the application of a systematic process.

According to Davis (2014a:74), pure research is more relevant to formulate new ideas, while applied research is used to investigate issues to find solutions to the identified problems. Concurring with this claim, Kothari (2004:3) states that applied research can be used to solve a

societal or industrial or organizational problem. However, Young (1960:30; cited in Kothari, 2004:3) claims that pure or basic research is used to gather knowledge for the sake of knowledge.

Davis (2014a:74) also opines that there are few instances when a research study would be undertaken for the sole purpose of formulating theories, and this is the basis the author used to focus his attention on applied research. Although Ritchie et al. (2003:24-25) understand the accepted position that pure research is used to generate or test theories, and to an extent names it as theoretical research, they contend that the very claim, arguing that all types of social research can contribute to theory based on the knowledge derived from the study and the greater understanding prevailed. The applied research category is fit for this study as its primary purpose is to derive a depth of understanding and generate ideas to mitigate the challenges that may compromise KZNCoGTA's ability to strengthen UDM's development agenda.

4.5.2 Objectives of research perspective

According to Walliman (2011:9), various research designs are used for various research projects. The choice as to which design to apply depends on the nature of the problems investigated and the research aims. For Walliman (2011:9), various research designs use several research methods that are suitable for collecting and analysing data derived through an investigation. Leedy and Ormrod (2013:39; in Davis, 2014a:69) state that the identification of data required, and the data interpretation method can be deduced from the research questions.

Various objectives can influence the type of research and these could be exploratory, descriptive, correlational, explanatory, predictive and pragmatic purposes (Walliman, 2011:8-9; Davis, 2014a:76-80). Babbie (2011:95) asserts that exploratory research, descriptive research, and explanatory research are the dominant and useful types of research. Exploratory research is suited for better understanding, undertaking a pilot study and developing methods for future studies (Babbie, 2011:95).

On one hand, Babbie (2011:96-97) avers that descriptive research allows the researcher to observe and subsequently describe the phenomenon by answering questions like what, where, when, and how. On the other hand, Babbie (2011:97) also states that explanatory research seeks to explain and it answers the 'why' question. These claims indicate that the framing of a research question determines beforehand what type of study it is as soon as the research question is formulated.

Davis (2014a:74) summarised the types of research and related aims, as reflected below.

Table 4.1: Types of research and associated aims

Type of Research	Aim
Exploratory research	To obtain new insights, to identify key concepts, key stakeholders and consequences of research problems, to prioritize social needs, to develop hypothesis and to confirm assumptions and to become familiar with unknown situation, conditions, policies and behaviours.
Descriptive research	To describe a situation, problem or phenomenon systematically, to provide information about things, such as living conditions of a community and to draw comparisons.
Correlative research	To establish whether a relationship, association or interdependence between two or more aspects of a situation exists.
Explanatory research	To clarify how and why there is a relationship between different phenomena, to indicate the direction of cause-and-effect relationships between variables.
Predictive research	To prevent undesired outcomes, to promote desired outcomes and to anticipate probable outcomes.
Pragmatic research	To employ mixed methods and different modes of observation to obtain solutions for specific problems identified.

Source: Davis (2014a:80)

4.5.3 Selected category and type of study

The study was influenced by real problems confronting UDM necessitating it to be conducted. The applied research category was selected owing to its orientation towards studying real issues and compatibility with pragmatism. The study aimed to gain an understanding of KZNCogTA's contribution towards addressing UDM's development agenda stemming from the service delivery challenges confronting UDM. The approach was to investigate this issue from the strategic planning point of view and alignment of implementation processes thereafter. The appropriate type of research which was chosen is exploratory research.

4.5.4 Research approaches and the suitability of the selected research approach

A systematic process in research is described upfront through a research design which is defined as “the arrangement of conditions for collection and analysis of data in a manner that aims to combine relevance to the research purpose with economy in procedure” (Claire Selltiz et al., 1962:50, cited in Kothari, 2004:31). A research design, as Kothari (2004:31) claims, makes the research journey easier whilst improving efficiency in the process which yields best data within economical means and reduced time. According to Creswell (2013:12), there are three types of research designs, which are quantitative, mixed methods and qualitative design.

The researcher’s choice of quantitative, qualitative, or mixed methods is based on the type of data that is required to provide answers to the research questions between numerical, textual or a combination of both (Williams, 2007:65). According to Williams (2007:65), numeric data is associated with a quantitative research approach and textual data is associated with a qualitative research approach. The mixed methods approach originates from the need to obtain both numeric and textual data or select appropriate tools for the study from both approaches (Williams, 2007:65, Gray, 2013:29). Another dimension for the choice of a research design is a paradigm that underpins the study, which determines the design that is appropriate for the study. Positivist paradigm-based studies use quantitative design and interpretative paradigm-based studies use qualitative design, while critical realism-based studies mix the methods (Creswell, 2013:12).

With the critical realism paradigm-based studies, both features of the quantitative and qualitative designs are used, and this is commonly referred to as a mixed method (Creswell, 2013:14, Davis, 2014b:14). However, Ritchie et al. (2003:27-28) argue that the correct naming of the alternative to quantitative and qualitative approaches is inappropriate given that the term ‘mixed methods’ is odd if it only considers mixing based on qualitative and quantitative research approaches. Ritchie et al. (2003:28) argue that mixing is also done within one research approach, for instance, mixing content analysis with a case study. For this study, the mixed method is limited to the mixing of tools from different research approaches.

Williams (2007:71) associates qualitative design with modes of in-depth understanding like arguing people's judgements, feelings, emotions, ideas, or beliefs, where words are used. Davis (2014b:14 -15) asserts that a qualitative design is appropriate when the purpose of the research is to understand, explore or describe people’s behaviour, themes in behaviours, attitudes or trends, or relations between people’s actions. According to Leedy and Ormrod (2001, cited in Williams,

2007:66), quantitative research is classifiable into three broad types of research which are descriptive research, experimental research and causal-comparative research. The descriptive research as Williams (2007:66) claims involves observation and exploration of correlation in more than one phenomenon. This method allows for the examination of the situation in its form at a given time (Williams, 2007:66). Experimental research, according to Leedy and Ormrod (2001, cited in Williams, 2007:66), uses “pre-experimental, truly experimental, and quasi-experimental” research strategies. Lastly, causal-comparative research examines cause and effect.

4.5.5 Qualitative research approach

Williams (2007:67), citing Creswell (1994), points out that qualitative research is a discovery-oriented, holistic research approach which benefits from the depth of involvement in the real experiences from the participants’ viewpoints of the social phenomenon under the study. According to Kumar (2011:32), the classification of a study as a qualitative study is derived from the purpose of the study; if it is a description of an issue, the gathering data is through nominal or ordinal scale variable measurement and the analysis is for finding a non-quantifiable variance. A qualitative study enables the researcher to investigate a range of issues including those that are of interest to the researcher comprehensively (Yin, 2011:6). According to Yin (2011:8), qualitative research is identifiable through the following features:

- Studying the meaning of people’s lives, under real-world conditions.
- Representing the views and perspectives of the people.
- Covering the contextual conditions within which people live.
- Contributing insights into existing or emerging concepts that may help to explain human social behaviour; and
- Striving to use multiple sources of evidence rather than relying on a single source alone.

According to Williams (2007:67), a case study, ethnography study, phenomenological study, grounded theory study and content analysis are the five main strategies used in qualitative research. Moreover, these research strategies are compassionate with inductive reasoning and related methodologies. Yin (2011:82) states that a research design expresses the study plan and unveils the data collection tools to be used which are regarded as the fundamental element of a study. Kumar (2011:151) asserts that the categorisation of data collection tools between qualitative and

quantitative studies is difficult due to the overlap in both designs. According to Kumar (2011:151), a differentiation between the tools for quantitative and qualitative research vests mainly in the application of the method in collecting data. However, Kumar (2011:151) points out that unstructured interviews, participant observation and secondary sources are the foremost qualitative data collection methods.

4.5.6 Research design justification

The preceding section narrated in detail the three traditional research approaches and the related paradigms, together with the definition of a research design as involving the procedure and plan for conducting the research. It emerged that a quantitative research approach is most suitable to produce numeric and statistical data. Its primary aim is to find the cause-and-effect relationship conducted in a controlled environment to achieve objectivity. It also emerged that a quantitative research design is designed to enable prediction and control of a phenomenon and that it is associated with a positivism paradigm. A mixed methods research design was also not considered necessary for this study given that the research requirements could be satisfied using tools available within the qualitative research design (Ritchie et al., 2003:32).

This study rejected the quantitative research approach and opted for a qualitative research design. The previous section portrayed the qualitative research design as the most suitable approach for this study. According to Du Plooy-Cilliers (2014:27), the interpretivism paradigm rejects studying people in laboratories like objects and it advocates the studying of a phenomenon within its environment and setting. Further, as Bezuidenhout and Davis (2014:65) claim, its subjective orientation allows for the researcher's interaction with participants, which enables an in-depth understanding of the phenomenon being studied.

Qualitative research, according to Bezuidenhout and Cronje (2014:249), is interpretive and based on an understanding of the issues surrounding the phenomenon. Qualitative research is used to describe, explain and evaluate phenomena and generate theories, strategies or actions by examining, identifying, and exploring certain aspects (Ritchie et al., 2003:27). Qualitative research is compatible with investigations that probe into the functionality of systems due to the flexibility of its methods (Ritchie et al., 2003:29). A qualitative research design, according to Kothari (2004:6), allows for the "subjective assessment of attitudes, opinions and behavior". A qualitative study is communicative through the use of textual data and allows for explanation instead of

quantification (Kothari, 2004:6). The problem that was investigated is a complex policy-related matter which requires the interpretation from the perspective of those that are involved to construct an understanding that can enable the recommendation of suitable and sustainable solutions. A qualitative design was used for its compatibility with researching to understand, explore and describe a phenomenon and to provide qualitative data instead of quantitative data.

4.6 RESEARCH STRATEGY

4.6.1 Case study research strategy

A research strategy is defined by Biggam (2015:82) as a description of the process that will be followed to implement the research. According to Biggam (2015:83), case studies, surveys, ethnography, and action research are a few among many tried and tested research strategies from which a researcher can choose one best suited for the study in question. The quantitative research design uses experimental design and non-experimental designs like survey as a research strategy; the mixed methods approach uses sequential, concurrent or transformative strategy and the qualitative research approach uses narrative research, phenomenology, ethnographies, grounded theory and case studies as research strategies (Creswell, 2014:12).

Bezuidenhout and Strydom (2014:178) define a case study as a “thick and detailed description of a social phenomenon that exists within a real-world context”. A case study is associated with the place of occurrence and it allows a holistic understanding of a phenomenon within the context of the case (Bezuidenhout and Strydom, 2014:179). According to Bezuidenhout and Strydom (2014:179), a case study enables a focus when answers to questions are solicited as it allows the collection of volumes of data and when such data is analysed, enables a rich and detailed understanding of the situation that gave rise to the research question in relation to the case in question.

According to Merriam (2001:27), a case study is often confused between the case as the unit of the study and the case as the product of the research. Burns (1997:364; cited in Kumar, 2011:123), asserts that “to qualify as a case study, it must be a bounded system, an entity in itself”. Furthermore, the assumption when designing a case study is that studying a particular case may have a direct influence on other similar entities. Kumar (2011:123) opines that a case study design

is based upon the assumption that the case being studied is typical of cases of a certain type and therefore, a single case can provide insights into the events and situations prevalent in a group from where the case has been drawn.

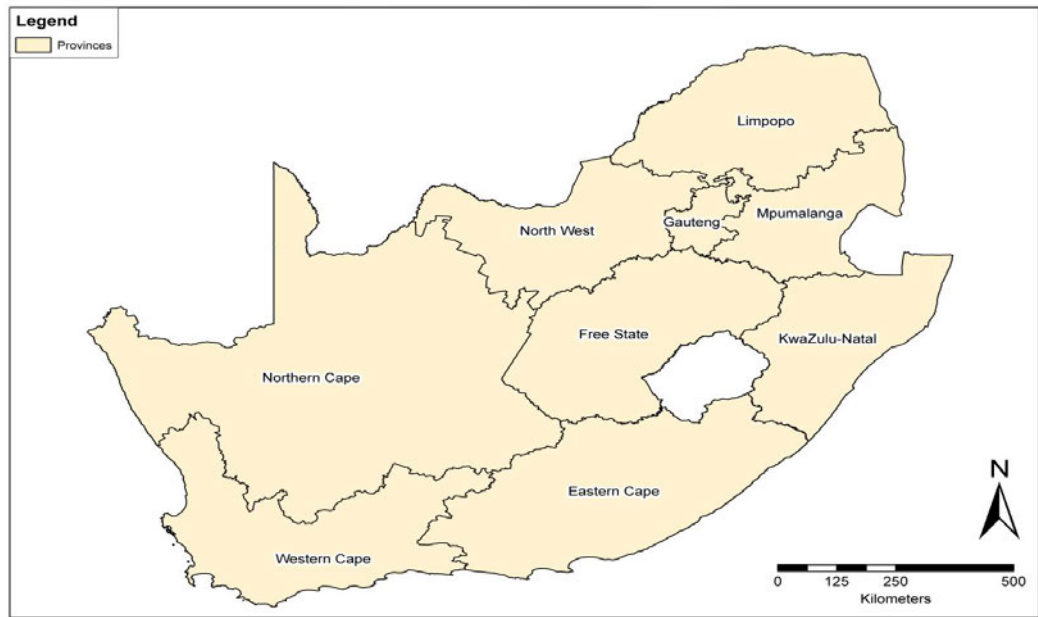
A research strategy that was chosen based on suitability is the “case study” which, according to Zainal (2007:1), allows for the study of complex problems. The case in question is UDM, with the complexity emanating from the legislative and policy directives requiring KZNCoGTA to monitor and support municipalities in KZN, since it is the KZNCoGTA’s sector plans that are the focus of the contribution to the UDM’s development agenda. The issue investigated is the adequacy of the KZNCoGTA sector plans to re-enforce UDM’s development agenda.

4.6.2 Study site

The focus of the case study in the current research is the UDM, which is one of the 54 municipalities which KZNCoGTA is expected to monitor and support. The study site is UDM’s headquarters, which is based in Port Shepstone, located in the southern part of KZN. It shares proportionally in the rural population as it is 80 percent rural with an estimated population of 753 336 (UDM, 2017:ii). When looking at the provincial population, Ugu district contributes about 6.9 percent of the entire population in the Province (UDM, 2017:37). It is estimated that there are 179 440 households based on the assumption that each household has a total of five persons (UDM, 2017:ii). Critical to note is that water, sanitation, and electricity fall within the definition of basic municipal services as contemplated in Section 1 of the Systems Act. These basic services, according to Section 153(a) of the RSA Constitution, 1996, must receive priority in the planning and budgeting processes.

As shown in Map 4.1 below, KZN is one of the nine provinces constituting the territorial jurisdiction of South Africa. This is further depicted in Figure 4.2 below. The headquarters of provincial government departments in KZN are in Pietermaritzburg (Govender, Pillay, Siwela, Modi & Mabhaudhi, 2016:2). KZN rests between three provinces: the Eastern Cape, Free State and Mpumalanga (Govender et al., 2016:3). It is the second biggest province in South Africa, with a population estimated to be about 10 919 100 people, comparatively constituting about 19.9% of the country’s population (Govender et al., 2016:3).

Map 4.1: Nine Provinces

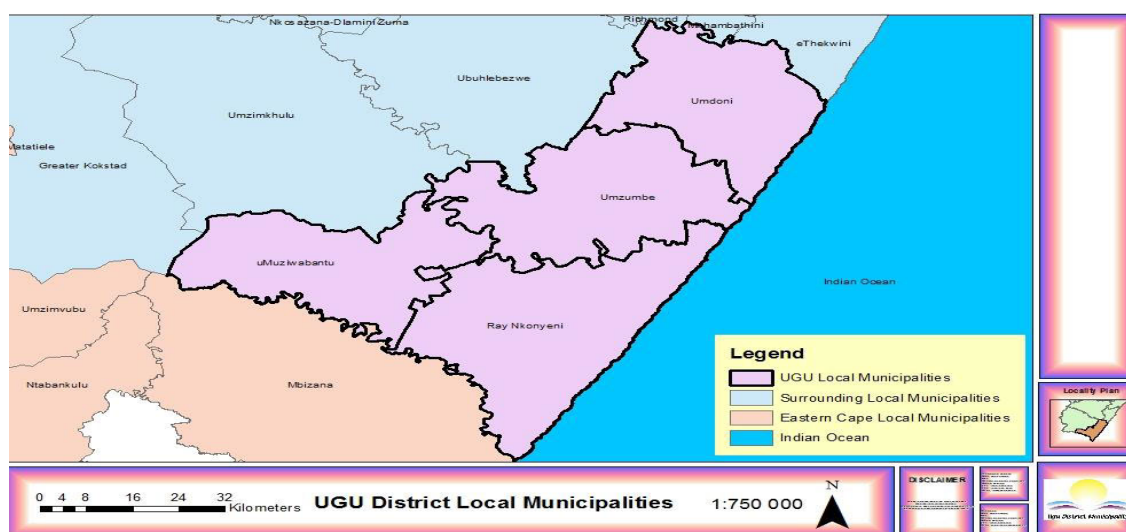


Gijsbertsen (2009; cited in Stanton, 2009:67)

Map 4.2 shows the four local municipalities under Ugu district are Ray Nkonyeni, Umdoni, Umuziwabantu and Umzumbe local municipalities and they collectively have eighty-five wards and forty-three traditional authorities (UDM, 2017:i). Reflecting on its core functions, the service backlogs are reflected as 33% of the households were without access to water; 26% without access to electricity and 9% without access to sanitation (UDM, 2017:i). These figures are indicative of the backlogs lying ahead of UDM.

As depicted in Map 4.2, UDM borders Eastern Cape province on the south through the boundaries of Umuziwabantu and Ray Nkonyeni municipalities shared with Umzimvubu Local Municipality. On the north, its boundaries are shared between Umdoni and Richmond, and Mkhambathini municipalities within Umgungundlovu district and Ethekwini Metropolitan Municipality. On the west side, the edges of Umdoni, Umzumbe and Umuziwabantu municipalities touch those of Ubuhlebezwe, Umzimkhulu and Greater Kokstad within Harry Gwala district. It shares the borders with the Indian Ocean on the east side through the edges of Ray Nkonyeni, Umzumbe and Umdoni municipalities.

Map 4.2: Ugu District Locality Map



Source: UDM (2017:i)

4.7 DATA COLLECTION

A research study relies on data that is collected to answer the research questions. In this study, data were obtained from both primary and secondary sources (Walliman 2011:69). Howard (2014:103) associates primary data with interviews, questionnaires, focus groups and observation, while secondary data is associated with documents such as journals and books. Kothari (2004:95) explains that primary data refers to the original information which is collected for the first time whilst secondary data is the data that has already been collected by someone else for an unrelated purpose. Merriam (2002:13) refers to documents as secondary sources when listing three common sources of data in a qualitative study.

For Bezuidenhout and Strydom (2014:173), data collected in a qualitative study allows the researcher to obtain an understanding of the issues at hand as it enables the researcher to understand the “why, what and how” of the phenomenon. According to Bezuidenhout and Strydom (2014:173), field research and unobstructive research are the two dominant data collection methods relating to a qualitative study. Data collection tools used in field research, as Strydom and Bezuidenhout (2014:176) aver, are ethnographies, grounded theory, case studies, and participatory action research and focus group in-depth interviews, as methods compatible with field research.

Davis (2014b:15) asserts that qualitative studies use qualitative methods such as participant observation, in-depth interviews and textual analysis as data collection tools. Kumar (2011:151) also states that unstructured interviews; participant observation and secondary sources are mainly used for data collection methods in qualitative studies. Auriacombe (2016:6) also asserts that conceptual analysis, content analysis and historical/comparative analysis are the three types of unobtrusive research methods. Primary data for this study were sourced through a structured research process involving one-on-one interviews. Secondary data were obtained through content analysis of documents.

During interviews, participants had to provide their experience in the form of measurement. Measurement, according to Kumar (2011:69), refers to the use of some yardstick to determine or judge something. This measurement may be necessary to determine various expressions which participants may offer. However, Kumar (2011:69) asserts that this task is rather complex and difficult, especially with qualitative or abstract phenomena. Ile (2011:70) argues that value judgements are part of our daily lives and also that concepts are highly subjective since their understanding varies from one person to another. Kumar (2011:71) asserts that judgements require a sound basis upon which to proclaim them, and this fact compels the definition of a measure. According to Kumar (2011:71), a variable is an image, perception or concept which can be measured. Variables can be done through nominal, ordinal, interval and ratio measurement scales (Kumar, 2011:72). However, as Kumar (2011:73) asserts, measurements and variables do not carry much significance in qualitative studies as it normally seeks to study lived experiences like how they perceive, what they believe and how they feel. Qualitative studies are unlike quantitative studies which seek to explore commonalities in the study population.

Qualitative research, as Kumar (2011:81) points out, uses descriptive or narrative statements mostly in seeking answers to the research questions. These descriptive or narrative statements are used as the units of measurement (Kumar, 2011:84). Descriptive or narrative statements are rated using attitudinal scales like the Likert scale, Thurstone scale, and Guttman scale (Kumar, 2005:163). Ratings such as 'below average, average, average, above average, don't know, strongly agree, agree, neutral, disagree and strongly disagree' are examples that may be used to gauge pretension as they are compatible with a qualitative study using unstructured interviews. Participants can elaborate on their pretension and the interviewer can probe further during the conversation (Fox and Bayat, 2007:100). These are the ratings that were used in the interview questions in some instances, including when the questions posed required a description to be

expressed in terms of value. Table 4.2 below provides an overview of how these measurements may be understood in context and the different purposes they serve.

Table 4.2: Measurement scales and characteristics

Type of data	Characteristics of data	Basic empirical operation	Example
<i>Nominal</i>	<i>Classified but no order, distance, or unique origin</i>	<i>Determination of equality</i>	<i>Gender (male/female)</i>
<i>Ordinal</i>	<i>Classified, order but no distance and or unique origin</i>	<i>Determination of greater</i>	<i>Of lesser value e.g., doneness of meat (well, medium, rare)</i>
<i>Interval</i>	<i>Classified, order, distance and but no unique origin</i>	<i>Determination of equality of intervals or differences</i>	<i>Temperatures in degrees</i>
<i>Ratio</i>	<i>Classified, order, distance, and unique origin</i>	<i>Determination of equality of ratios</i>	<i>Age in years</i>

Blumberg, Cooper, & Schindler (2005:440)

4.7.1 Interviews

According to Yin (2011:133), interviewing involves an interaction between an interviewer and the participant. Yin (2011:133) states that interviews can be either structured or qualitative. Moreover, Yin (2011:133) argues that a qualitative study cannot use purely structured interviews. However, a practice of combining structured interviews with unstructured interviewing methods would move the study from qualitative to mixed methods study (Yin, 2011:133). Ritchie et al. (2003:110) assert that there is a thin line between unstructured and semi-structured interviews depending on the purpose of the study. However, Ritchie et al. (2003:111) aver that semi-structured interviews allow the interviewer some extent of preparedness and they are flexible. Interviews allow for conversation and immense engagement between the interviewer and participants who are chosen for their relevance and experiences on the matter being studied. Consequently, the option chosen was that data for this study be sourced through semi-structured interviews using an interview schedule. This interview schedule enabled the researcher to ask the same question to all participants, which in turn enabled a comparison of responses.

Participants for this study were the key officials from UDM: the Strategic Planners, Development Planners, IDP Managers, Monitoring and Evaluation Practitioners, Back-to-Basics Champions, Programme Managers, Sub-programme Managers and Transversal Programme Managers at the middle management level and above, with responsibilities associated with service delivery

planning, implementation, and monitoring. The representation of key role-players made the sample viable.

As Tracy (2013:158) states, having the permission to conduct a study in an institution is merely a step in the research process because the researcher has to find people who are willing to share their time and experience. Planning is central to conducting a successful research and there is a wide range of things a researcher can do to encourage participation by the identified research respondents (Tracy, 2013:159). Planning for interviews in this study began with obtaining details of contacts for each UDM department from the office of the municipal manager. The contacts obtained were used to request details of officials within each department who fall within the category of management. The occupational titles indicated on the details received were used to identify officials who were likely to deal with service delivery planning, implementation monitoring and reporting. The next step involved planning around the specific individuals.

Tracy (2013: 159) further advises on the importance of scheduling and confirmation of arrangements for interviews. This study was in no way different. It was necessary to put up a plan to guide requests for interviews. The plan contained dates, times and each targeted UDM official. Each identified participant was addressed through an email introducing the study, requesting an opportunity for an interview on a specific date and time. The message also provided as estimated duration for the interview session. Further communication was sent using WhatsApp, and direct telephone calls in some instances were made. Adjustments to the plan was made based on the availability of participants. The participants were those UDM employees occupying management positions likely to deal with service delivery planning, implementation monitoring and reporting. Managers holding positions that are unlikely to include service delivery planning other than providing inputs for their specific Units were excluded from the study. The category of senior managers reporting directly to the municipal manager as defined by Ngubane (2020:25) were regarded as those involved with service delivery planning by default, and they were included and invited to participate in this study. Interviews were subsequently conducted with those officials who volunteered their participation in the study.

4.7.2 Documentary evidence

Kothari (2004:95) explains that secondary data refers to data that has already been collected by someone else for an unrelated purpose. Howard (2014:103) associates secondary data with

documents such as journals and books. Merriam (2002:13) refers to documents as secondary sources when listing three common sources of data in a qualitative study. Documents form a crucial aspect of this study because it sought to understand the extent to which KZNCoGTA sector plans respond towards the achievement UDM development agenda. Documentary sources used were the strategic plans for KZNCoGTA and UDM. They were augmented using peer-reviewed scholarly articles found in journals, books and government documents to enhance the interpretation of what meaning is embedded in the documents.

4.8 SAMPLING PROCESS

The sampling strategy is a critical element in the sampling process. There are two predominantly used sampling strategies: probability and nonprobability sampling strategies (Ritchie et al., 2003:77; Walliman, 2011:95).

In probability sampling, all units in the population stand an equal chance to be participants in the study (Pascoe, 2014:136). Furthermore, Pascoe (2014:136) points out that probability sampling is often used in quantitative studies due to its orientation towards the technical random and systematic methods used in the sampling process as opposed to the influence of human beings. This method, as Pascoe (2014:138-141) outlines, uses sampling methods such as simple random, systematic, stratified, and multi-stage cluster sampling.

The non-probability sampling strategy is a converse of the probability sampling strategy due to its orientation towards circumstances when it is impractical to define the precise boundaries of the population (Ritchie et al., 2003:78; Pascoe 2014:137). Under such circumstances, as Pascoe (2014:137) asserts, the researcher plays a significant role in judging who the participants or artefacts should be. The representativeness of a sample is not as critical as in the case of probability sampling (Pascoe, 2014:137). This sampling strategy uses accidental, convenience, purposive, quota, snowball, and volunteer sampling methods (Pascoe, 2014:142 - 144). Purposive sampling is also referred to as relevance sampling (Krippendorff, 2005:119). According to Ritchie et al. (2003:78), purposive sampling is also known as criterion-based sampling.

This study employed the non-probability sampling strategy using the purposive sampling method. The researcher's judgement played a key role to determine relevant documents that will assist in answering the research questions as well as interview participants.

4.8.1 Target population

According to Pascoe (2014:132), the population of the study refers to those individuals or artefacts from whom the information is required. This is what Ritchie et al. (2003:49) refer to as comprehensive and rich informants due to the relationship they share with the research questions. Pascoe (2014:132) gives more insight as the author states that these are individuals or artefacts which have the best knowledge or experience about the problem being studied. Knowing the individuals or artefacts that must have knowledge of the research question or contain answers to the research question is inadequate since the need for the definition of parameters. These parameters are based on precise characteristics which the population must possess, and the size is also necessary (Pascoe, 2014:133).

The three elements that are essential in defining the population parameters as Pascoe (2014:133) claims are the “nature of the population, the size of the population and the unique characteristics of the population” which, all combined, constitute the target population. Again, as Pascoe (2014:133) states, the target population may also be so huge that it is impossible to include all individuals or artefacts from the defined target population in the study resulting in a further approach known as accessible population, which is defined based on the researcher’s decision as to which individuals or artefacts to include in the study.

According to Krippendorff (2004:112), “Content analysts may sample letters, issues of newspapers, or time periods of movie production, but they find answers to their research questions by enumerating sentences, categorising references, or interpreting the details of visual images.”

For this study, the researcher focused on the research questions and documents and officials in the municipality who constituted the population of the study. The population parameters were defined in terms of content focused on service delivery planning (APP & IDP) and implementation (AOP & SDBIP), while the officials were those working in the units that deal with service delivery planning and implementation.

The target population consists of all UDM officials from middle management and above, who are directly and indirectly involved with the service delivery planning, implementation, and monitoring processes. They consisted of KZNCoGTA and UDM sector plans for 2017 to 2019

and 2019 to 2022 MTEF. These officials are the process owners or champions from various components who have practical knowledge that is vital to answer the research questions.

4.8.2 Sample size

A sample, as Pascoe (2014:135) defines it, is a representative component of the population which is used to reflect on the entire population. In a qualitative study, as Ritchie et al. (2003:78) assert, it is unintended for the sample to be statistically representative and sample elements do not stand an equal chance to be selected since selection is based on population features. Unlike in a qualitative study, a sample in a quantitative study must be representative and this requires an outcome that is closely related to an outcome that would have been obtained if the entire population was involved in providing the answers (Pascoe, 2014:135).

The total number of people or things included as participants in a study, is the sample size (Pascoe, 2014:137). The sample size in the qualitative research used non-probability sampling (Pascoe, 2014:137). According to Ritchie et al. (2003:83), purposive samples need not be large due to the nature of depth that is involved with participants, many elements may turn futile if there is no additional evidence secured. As Ritchie et al. (2003:83) argue, the number of elements is not important in a qualitative study because it has no intention to measure “statements about incidence or prevalence” and the intensity of the process may make it impossible to analyse volumes of “interviews, observations or groups unless the researcher intends to spend several years” on the research project.

Based on the purposive sampling method which empowers the researcher to use judgement, the sample consists of Strategic Planners, Development Planners, IDP Managers, Monitoring and Evaluation Practitioners, Back to Basics Champions, Programme Managers, Sub-programme Managers, and Transversal Programme Managers for interviews. The KZNCoGTA Five Year Strategic Plans, APP, UDM’s IDP and the related SDBIPs were chosen for the literature element of the study.

A maximum of eight participants were targeted to form the size of the sample for interviews in this study. The documents comprised two KZNCoGTA’s Five Year Strategic Plans 2014 to 2019 and 2019 to 2024; three APP documents: 2019/2020, 2020/2021, 2021/2022; UDM’s IDP: 2017 to 2022 and three SDBIP documents: 2019/2020, 2020/2021 and 2021/2022, that informed the

discussions for this study. According to Ritchie et al. (2003:85), a sample can be supplemented. However, no need arose to supplement the sample in this study because participants provided richness and depth of responses from their lived experiences in the workplace.

4.9 DATA QUALITY CONTROL

Quality in data collection is of the essence because of the intimate relationship between data and the ultimate findings. Consequently, data must be valid and trustworthy for it to produce reliable research outcomes (Bezuidenhout & Strydom, 2014:175). According to Koonin (2014:252), instruments used through the several stages of the research project should be valid and reliable for the outcomes to be valid and reliable. Validity and reliability concepts are associated with quantitative research (Koonin, 2014:252). According to Koonin (2014:253), a quantitative study seeks to find the cause and effect, and its findings are generalized to other similar phenomena. On the other hand, a qualitative study seeks to provide a rich and depth account of the phenomenon. The concept concerning qualitative studies to which this study conformed is trustworthiness tested through the principles of credibility, transferability, dependability, and confirmability (Koonin, 2014:258).

Kumar (2011:172) posits that credibility can be matched with internal validity and transferability and is equivalent to external validity compared to quantitative studies. Credibility in this instance, depicts the intimate relationship the researcher had with the data which is manifested in the connection between data and findings (Koonin, 2014:258). For credibility strength, the researcher must have been able to comprehend data at the time of interaction with participants and when the text is analysed (Koonin, 2014:258). Transferability implies that the results and findings do relate to similar environments. Koonin (2014:259) states that the dependability criteria are associated with the design coherence as it looks at the collection method and the analysis processes whilst confirmability relates to the research process and synergy between collected data and the findings.

The trustworthiness principles were consciously catered for in this study. Themes that emerged from the research questions, theoretical framework and literature review were used. Data was coded parallel to the collection process. The researcher was immersed in data through reiteration in reading text contained in documentary sources to derive contents and contexts of the text thus enabling a better conclusion on connotative and denotative meanings embedded in such texts. Sentences and blocks of words were extracted and coded. Interviews were recorded where consent

was granted. Research ethics guided the process and the responses provided were not questioned or discussed. Probing was used to get further clarification of expression used.

4.10 DATA ANALYSIS

Data analysis methods differ according to the design between the quantitative and qualitative design of studies while noting the mixing of methods which underpins the mixed methods research design. For the quantitative study, data can be analysed using statistical analysis which provides descriptive and inferential statistics (Khan, 2014:226). Qualitative content analysis, discourse analysis, conversation analysis, multi-modal conversation analysis and semiotics analysis are the traditional methods for qualitative data analysis (Bezuidenhout & Cronje, 2014:228). The method adopted for this study was a qualitative content analysis, which is discussed in this chapter.

4.10.1 Qualitative content analysis

Qualitative data analysis refers to “the process of bringing order, structure and meaning to the mass of data” (De Vos, Strydom, Fourche & Delport, 2011:397, cited in Bezuidenhout & Cronje, 2014:232). De Vos et al. (2011:397, cited in Bezuidenhout & Cronje, 2014:232) assert that the process, among other things, involves reducing the volumes by separating relevant and irrelevant data whilst identifying significant configurations that assist in designing a structure to communicate what is revealed in data. Qualitative content analysis, also known as textual analysis, is a method that can be used with focus groups, interviews, or any written text and visual images due to its orientation to analyse words or text to explore meaning (Bezuidenhout & Cronje, 2014:234-235). For the purposes of this qualitative study, data saturation was considered when no new participants interviewed would have yielded any different responses from the chosen sample.

Furthermore, qualitative content analysis has two approaches, the conceptual and relational approaches (Bezuidenhout and Cronje, 2014:241). The conceptual analysis approach is also known as thematic analysis (Babbie & Mouton, 2001:493; cited in Bezuidenhout & Cronje, 2014:241). This method allows for a thematic coding approach using deductive coding where themes can be derived from the literature review and theoretical framework, while emerging patterns can be additionally coded inductively (Bezuidenhout & Cronje, 2014:241). A qualitative content analysis method was used in this study to analyse the transcripts of the interviews and documents. This method of data analysis fits in well with the purpose of a qualitative study, which

is to gain an in-depth understanding of a phenomenon. Thematic coding was used as the framework for data analysis and relational analysis was used when specific judgements had to be reflected on within the specific themes.

4.10.2 Transcription and accessing documents

Transcription, according to Moser and Korstjens (2018:15), is related to writing or typing out primary data obtained through the participant interview or focus group engagement to reflect accurate proceedings as recorded. All interviews conducted were transcribed. All documents that were sampled were downloaded from the KZNCoGTA and UDM websites. This led to the researcher having two sets of data, which is data from interviews and data in the form of a collation of all documents that were sampled for the study.

4.10.3 Coding data

According to Linneberg and Korsgaard (2019:259), coding is a fundamental aspect of qualitative research as a tool used to convert raw qualitative data into a communicative and trustworthy narrative. In qualitative inquiry, a code refers to “a word or short phrase that symbolically assigns a summative, salient, essence-capturing, and/or evocative attribute for a portion of language-based or visual data” (Saldafia, 2009:3, cited in Williams & Moser, 2019:46). Codes developed during the review of secondary data enabled the location of relevant primary data from interviews. As Linneberg and Korsgaard (2019:261) assert, the structure and theoretical relevance are enabled from the beginning, while inductive exploration of the codes is still enabled in subsequent coding cycles.

The analysis of data adopted the stages outlined by Linneberg and Korsgaard (2019:261) as follows:

Step 1 – Organizing data: This stage entailed that all data recorded during interviews are transcribed and filled in an electronic folder labelled as interviews. The documents accessed from websites were filed electronically in a document analysis folder.

Step 2 – Familiarizing with the data: This stage entailed going through all documents to identify the sections containing the information on indicators addressing water and sanitation. The

transcripts for interviews were read to identify how they respond to the codes and the research questions.

Step 3 – Microsoft Word was used to capture all KZNCogTA and UDM output indicators relating to water and sanitation from all the sampled documents. This process enabled the researcher to gain an idea about the type of indicators and how they interact with each other. Microsoft Word was also used to create codes where interview data was posted. The codes were reviewed in line with issues emerging from data making a case for inductive coding.

Stage 4 – Categorization: Codes were grouped according to the content of data posted on the codes.

Stage 5 – The clustered codes were named using themes that emerged. The questions from the interview guide were revisited and linked to the themes to enable data presentation that is logical to the research questions.

Stage 6 – The last stage is the write-up. It was organized following the research objectives and research questions.

4.10.4 Matrix analysis

The matrix analysis was proposed by Averill (2002:855) as one of the strategies in qualitative research for enhancing knowledge and strengthening the development of evidence. Matrix analysis in Averill (2002:856) is postulated as a useful technique to display, interpret, evaluate, and disseminate the findings.

According to Agnes (2000:887, cited in Averill, 2002), a matrix means “a set of numbers or terms arranged in rows and columns; that within which, or within and from which, something originates, takes form, or develops”. Miles & Huberman (1994:239, cited in Averill, 2002) enhance the understanding as they explain that a matrix entails “the crossing of two or more main dimensions . . . to see how they interact” in qualitative data analysis. It can be deduced that matrix analysis can be used to compare what data provides. The matrix analysis played a major role to compare the data excerpted from the sampled documents.

4.10.5 Constant comparison analysis

Qualitative data by its nature re-iterative (Moser & Korstjens, 2018:15). According to Moser and Korstjens (2018:15-16), a researcher has to read the data time and again and be immersed in data viewing themes, and expressions as well as what was not expected focusing on the overall picture to obtain a holistic sense of what data entails. Data was constantly compared throughout the analysis process and during the write-up stage.

4.11 ETHICAL CONSIDERATIONS

Ethics, according to Lloyd and Kidder (1997:145, cited in Disoloane, 2012:18), has to do with honesty and fairness, the ability to distinguish between right and wrong which influences morality, and thus underpins the conduct of an individual. According to Mafunisa and Sebola (2007:112), citing the United Nations Economic Commission for Africa (2003:34), the word ‘ethics’ has its origins in the Greek language where the word ‘ethos’ entails the way people behave. Ethical conduct in this regard, suggests acceptable or correct conduct, while the opposite would be unethical conduct, meaning unacceptable conduct or behaviour (Mafunisa & Sebola, 2007:113).

According to Louw (2014:263), ethics in research has to do with an individual’s integrity and compliance with the code of conduct necessary to characterize an individual as trustworthy. Walliman (2011:42) brings up an important aspect in stating that the integrity of the research process is crucial as it has much to do with the value and trust in the outcomes of the research study. Louw (2014:263) maintains that ethics affect all stakeholders related to the research undertaken like “the researcher, participants, broader public, research community, academic institutions, funding body, the community, policymakers and mass media”. Consequently, the researcher has a responsibility to ensure a credible and professional research process where both the researcher’s integrity and the provisions of the code of conduct are uncompromised including that all stakeholders are protected from any harm. There are fundamental standards that must be maintained in the research process.

Louw (2014:269) warns of several issues that constitute unethical conduct, which can compromise the researcher and the entire research process. These issues include “falsifying information, distorting results, allowing bias to influence interpretation or results, misusing information and using inappropriate research methods” (Louw, 2014:269). The researcher in this empirical study captured the views of the respondents verbatim, and in some instances, persuaded the experiences

that emerged from the discussions held in the interview; and presented data as accurately as possible using key themes. Among unacceptable conducts is plagiarism, which is regarded as a serious offence in research because research products are categorized as intellectual property (Walliman, 2011:44). Walliman (2011:47) contemplates that even organizations should consent to the study if it involves them as participants. In this context, the researcher observed the University of KwaZulu-Natal's plagiarism policy to ensure that the research presented has been paraphrased and presented with sources to reflect the authenticity of the information that was researched to support the scientific study.

Another crucial element relates to the mannerism of the researcher's handling of participants and stakeholders. Participants should be allowed to participate voluntarily, they should be treated with courtesy and made to feel protected when they provide their views including sensitive information (Ritchie et al., 2003:66-71). Participants, as Ritchie et al. (2003:67) state, should be allowed to remain anonymous if they so wish and under no circumstances should confidential information be disclosed; and the researcher should at all costs avoid harm to participants, including hiding the actual purpose of the research. In this context, the researcher applied for ethical clearance through the Humanities and Social Sciences Research Ethics Committee (HSSREC) at the University and obtained permission through a protocol letter with an ethical clearance number HSSREC/00000578/2021 before embarking on data collection.

Should it be discovered that the researcher was dishonest in some or all aspects of the research project, the entire research project may be disregarded, but more importantly, the researcher may face serious consequences that may even include penalties over and above humiliation (Walliman, 2011:42). Such a situation must be avoided through the researcher's objectivity throughout the processes with a determination towards ensuring that professionalism and confidentiality are maintained. With research ethics, the University of KwaZulu-Natal has set standards in its research code of conduct which a researcher is required to comply with. No research can be conducted before the ethical clearance has been granted. This obligation is primary, and its process requires the researcher to satisfy the University that the research would be undertaken within acceptable parameters.

For this study, ethical conduct is recognized, and the researcher ensured the protection of all stakeholders. A credible and professional research process was observed throughout in keeping with the University's ethical clearance policy for postgraduate research. The researcher complied

with fundamental standards and the University's code of ethics. The research commenced only after ethical clearance (EC) had been granted. The researcher has not plagiarized and has used correct procedures for the recognition of scholars and other pieces of work used in this study. This was done through text citation and correct referencing to indicate details of the sources used.

A high level of objectivity and accuracy during data collection, analysis and interpretation was maintained. The research integrity in the entire process has been protected in all processes and actions during the research process up to the stage where documents and any material relating to the study are safely stored and disposed of at the expiry of five years post the conclusion of this study.

4.12 CHAPTER SUMMARY

This chapter detailed the research methodology and design selected for this study. In this chapter, each choice made is grounded on a theoretical basis and justification. The chapter focuses on the concepts influencing the chosen qualitative research design and its related strategy which guided all the research processes in the research. Concisely, the relevant paradigm chosen was interpretivism, which led to the qualitative research design following a case study research strategy, the case being UDM.

The sampling of the study was outlined, and the details of the study sampling method were discussed. This covers the target and accessible population, the non-probability sampling strategy using the purposive sampling method, and the actual sample comprising documentary sources and human participants. Data collection methods used were defined, and qualitative content analysis, which is indicated as the method used to collect secondary data, as well as analyse such data was used in both instances. One-on-one interviews were used to augment documents as primary data was necessary to reach research questions which could not be answered from documents only. Data quality control focusing on trustworthiness principles of credibility, transferability, dependability, and confirmability were explained. Ethical issues underpinning the study form an essential section of this chapter. Before concluding this chapter, the inherent limitations of the study were also stated.

CHAPTER 5

DATA PRESENTATION AND INTERPRETATION

5.1 INTRODUCTION

Chapter 5 presents the empirical findings from the qualitative data gathered through one-on-one interviews and document review. Further to the empirical aspect, the study primarily focuses on answering research questions through qualitative content analyses. The predecessor Chapter 4 covered the research methodology and design of this research study.

The water supply backlogs and intermittent supply for the areas that have water supply systems in place which have been documented in empirical sources, as well as government documents triggered an interest to study the phenomenon to obtain an in-depth understanding of the UDM service delivery environment.

Inductive reasoning was done with interviews conducted, the research questions were aligned to the discussions, and a review of extant literature was blended to form the thematic and content analysis aspects upon which the data was presented.

5.2 QUESTIONS FOR THE RESEARCH STUDY

Table 5.1 below highlights how the key questions and objectives were linked to pertinent questions put forward to the participants in the study. These are points of reference to the analysis and discussions that are presented in this chapter.

Table 5.1: Research questions and objectives

A	B	C	D	E	F
Research question #	Research Question	Research objective #	Research objective	Interview Guide Question #	Interview Guide Question
1.	What service delivery challenges are besetting Ugu District Municipality?	1.	To elicit service delivery challenges besetting Ugu District Municipality.	B1.1	What Governance and municipal administration-related challenges impact on development at Ugu District Municipality if any?
				B1.2	Which financial-related challenges compromise development at Ugu District Municipality if any?
				B1.3	To what extent is the public involved in Ugu District Municipality's development programmes and projects?
				B1.4	If there has been protest actions directed at Ugu District Municipality, what are the main issues citizens voiced out?
				B1.5	In your view, what is the state of development in relation to Ugu District Municipality's functions?
2.	To what extent do the KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans advance Ugu	2.	To ascertain the extent to which the KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans advance Ugu	B2.1	Which Platforms are used to deliberate on the preparation and implementation of KZNCoGTA sector plans in which Ugu District Municipality participates?
				B2.2	What role does Ugu District Municipality play in the development of the KZNCoGTA sector plans?

A	B	C	D	E	F
Research question #	Research Question	Research objective #	Research objective	Interview Guide Question #	Interview Guide Question
	District Municipality's development agenda		District Municipality's development agenda.	B2.3	Would you say KZNCoGTA sector plans adequately cater for its support and monitoring role to advance Ugu District Municipality's development agenda?
				B2.4	What is your rating of the contribution KZNCoGTA Sector Plans make in Ugu District Municipality's development agenda?
				B2.5	What is your expectation in relation to the role of KZNCoGTA in monitoring and supporting Ugu District Municipality?
3.	What constrains the KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans to advance Ugu District Municipality's development agenda	3.	To identify constraints for the KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans to advance Ugu District Municipality's development agenda.	B3.1	Based on your experience, is Ugu District Municipality embracing KZNCoGTA's jurisdiction in its domain? Please justify.
				B3.2	In your view, what constraints compromise KZNCoGTA sector plans to contribute to advancing Ugu District Municipality's development agenda?
4.	Which measures can be suggested to strengthen the KwaZulu-Natal Cooperative Governance	4.	To suggest measures to strengthen the KwaZulu-Natal Cooperative Governance and	B4.1	What would you improve in the KZNCoGTA's process to develop and implement its sector plans to optimize its relevance to advance Ugu District Municipality's agenda?

A	B	C	D	E	F
Research question #	Research Question	Research objective #	Research objective	Interview Guide Question #	Interview Guide Question
	and Traditional Affairs sector plans to advance Ugu District Municipality's development agenda		Traditional Affairs sector plans to advance Ugu District Municipality's development agenda.	B4.2	How do you think KZNCoGTA can strengthen its role to support and monitor municipalities in general?

Source: Researcher's construct (2023)

5.3 DATA PRESENTATION AND ANALYSIS

The discussions that follow are focused on the fieldwork and data collection that are assimilated into the research and inductive meaning in interpretation to the context of the study that was undertaken. The sequencing starts with data obtained through the one-on-one interviews, followed by the data obtained through the content analysis of documents.

5.3.1 Data from interviews

The one-on-one interviews were considered in this study to collect data which cannot be obtained from documents and were focused on key aspects raised in the questions and objectives presented earlier in the study. The participants were UDM officials from the targeted population of those who occupy positions as Strategic Planners, Development Planners, IDP Managers, Monitoring and Evaluation Practitioners, Programme Managers, Sub-programme Managers and Transversal Programme Managers. These officials were targeted as participants due to their proximity to strategic planning and execution of planned service delivery measures. Their involvement with the preparation and implementation of the IDP through the SDBIP positioned them to have working and in-depth knowledge of the focus of the research questions seeking to establish the extent to which they advance the UDM development agenda. These findings are presented following thematic areas derived from literature review, theory and research questions (Graebner et al., 2012, cited in Linneberg & Korsgaard, 2019:264).

5.3.1.1 Participants' biographical information

The targeted population for the study is UDM officials who occupy positions at the middle management level and above, and who are directly and indirectly involved with the service delivery planning, implementation, and monitoring processes. This information about the participants is depicted in the table that follows.

Table 5.2: Participants' Biographical information

Research Participant	Level of management	Gender	Race
URP#1	Senior	F	B
URP#2	Middle	M	B
URP#3	Middle	F	W
URP#4	Senior	F	W
URP#5	Middle	F	B

Table 5.3: Summary of participant demographics

Aspect	Gender		Race		
	Females	Males	Black	White	Coloured
Middle Management	2	1	2	1	0
Senior Management	2	0	1	1	0
Total	4	1	3	2	0

Source: Researcher's construct (2023)

The participants in this study were from the targeted population of the UDM officials occupying middle to senior management positions who are directly or indirectly responsible for the preparation and implementation of plans. Two of the participants were from the divisions responsible for the development of IDP and SDBIPs. One of the participants had institutional insights due to internal audit exposure. The richness of insights from the participants is encapsulated in this section.

5.3.1.2 Cooperative governance and intergovernmental relations

Central to this study is the provincial government's domain in the affairs of local government contextualized as establishing, regulating, monitoring, supporting, capacitating and intervening, as De Visser and November (2017:5), Van Niekerk and Dalton-Brits (2016:119), Murray and Simeon (2011:238), Kanyane (2016:95), and Reynecke (2012:3), amongst others, postulate. In support of this notion, Mathenjwa (2014:181) asserts that the intervention measure is more intrusive and should be considered as a last resort in the chain of support measures. Given this provincial government's jurisdiction over local government, participants were asked to express

their views based on individual experiences on whether UDM does embrace KZNCoGTA's jurisdiction in its domain.

There was no consensus on whether UDM does embrace KZNCoGTA's jurisdiction in its domain. Most participants indicated that UDM does have regard for the constitutional empowerment of the provincial government to oversee the happenings in municipalities. Such a notion was explained in many ways. Some stated that there is adequate cooperation with requests from KZNCoGTA, be it for meetings which are ultimately conducted professionally or information to be provided which is submitted within the stipulated time frames. Another version is that UDM plays a major role in the provincial government in general, to achieve its developmental visions through the alignment of its plans. There was a comment that it should be appreciated that national, provincial, and local governments are all governments operating in different spheres. This came from participant URP#2 who may have been a tacit dissenting voice when stating as follows:

“Yes, CoGTA is recognised. I think Ugu does embrace or recognize CoGTA as a critical stakeholder in their planning. So, they must also align their own municipal plans in line with the objectives of the provincial sector plans, because at the end of the day, we are all government operating at different spheres. So, which then means that there must be no disjunction in planning, so to breach that gap, then you have to align your plans to the CoGTA plans”.

The actual narrative from URP#5 was as follows:

“Ugu is embracing CoGTA in its domain, more in some departments than others. The planning, disaster, finance departments for example, work very closely with KZN CoGTA to try and reach this point where all parties are happy and satisfied with the work production. These departments are those who also receive criteria and get assessed ritualistically, manner of speaking, which then automatically creates a reliance and strong relationship with CoGTA. The departments at Ugu which do not get this attention may not embrace as much.”

Participant URP#5 clearly states that it is not all departments within UDM who embrace the KZNCoGTA's jurisdiction in the UDM domain. The view is that those Units who are often assessed, find a reason to work cooperatively with KZNCoGTA and ensure that the performance meets the standards as set in the assessment criterion. Some departments do not get assessed like others do and as a result, they find no reason to be concerned about KZNCoGTA.

Another version from URP#3 is as follows:

“Yes, when KZNCoGTA requests a meeting, the right roleplayers are available, be it virtually or in person boardroom meetings. The sessions are conducted professionally, and all input required is submitted within the timeframes expected.”

Below is what URP#1 said:

“But at the same time, there are areas or pockets or areas where we feel good to know this is good support, an example being that of electrical machinery, the confinement, in case of finance, the financial experts, for example, that is wonderful.”

The responses show that most of the time, the support received from KZNCoGTA is appreciated. Reference was made to the recent programme of the deployment of experts who have assisted the municipality to turn things around, particularly the positive audit outcome achieved for the 2021/2022 financial year, after a long time of experiencing several challenges within the municipality.

There were, however, views that KZNCoGTA or even DCoG do at times play a ‘**big brother**’ role, which most people did not appreciate, and this has negative consequences for intergovernmental relations taking from the expression from URP#1 stating as follows:

“But there are cases when CoGTA or even DCoG is playing a big brother role instead of supporting me. So, then there is resistance.”

Participant URP#5 alludes to a top-down approach stating as follows:

“A bottom-up approach from ward and community level is needed more than what is currently being done, which is a top-down approach.”

The issue of assessments was used as an example where there is no consultation and indication of what municipalities would be assessed on, and how such assessments are to be conducted. The view was that assessments end up being a ‘*catch them*’ instrument because no one knows what is expected.

Participant URP#5 said, ***“don’t try and catch me out because when you try, I will try to catch you.”***

There was also a feeling that the local sphere is undermined by the provincial and the national spheres. Reference was made to a case of strategic meetings convened where representatives from

all departments are expected, only to find that most of them do not pitch up or junior officials who have no contributions to offer during the deliberations are sent for representativity. Below are two examples of the expressions from participants.

5.3.1.3 Developmental mandate and service delivery obligation

The literature review showed that RSA was reconstructed as a developmental state capable of improving the quality of life of all citizens (Fuo, 2013:221). The fulfilment of the fundamental human rights as encapsulated in the prescriptive terms of respecting, protecting, promoting, and fulfilling the rights contained in the Bill of Rights is entrusted directly to the State. According to Munzhedzi (2014:699), spheres of government are each assigned specific powers and functions on an exclusive or concurrent basis. Furthermore, the local sphere with support from national and provincial spheres of government must prioritize the basic needs of the community.

In this context, participants were asked to rate the state of development of the UDM functions using the Likert scale of very poor, poor, good, and very good. The intention was to obtain some sense of how municipal officials view the state of development given that recent studies such as Dlamini-Tshazi (2021), Dlamini (2017), Gumbi (2017), Hlongwane (2017) and Mwelase and Dzwauro (2021), found the state of development in the district concerning water provision to be appalling.

All participants stated that water provision is UDM's core function. The sanitation element was rarely referred to but at least one of the participants added sanitation provision as the core function of UDM. The rating responses show that there is no consensus on the state of development because they were either good or poor, and there were neither very poor nor very good. Participant URP#1 stated that development is good, and justified the view by stating that certain projects have been put on the ground as a positive side to be acknowledged although completion of projects does not translate to water on the tap. The emphasis was that work had been done and money had been spent to get water to the people ultimately. However, most participants were of the view that the state of development is poor.

Below was the view from URP#1:

“Because there are lots of projects which have been put on the ground, but if you look at the end of the project, they still don’t have water coming out of a tap. But

we have spent the money, we have done the work and the intention is that people get water, but at the end of the project ... maybe.”

Points justifying the choice of poor service provision were made. One of the participants stated that the state of development is a good sign of why customers do not pay for water, saying that the unreliability of the water supply and wrong accounts frustrates them. Another participant stated that customers who previously honoured payment for their accounts are resorting to alternative water supply systems like installing fixed water tanks and installing their boreholes. Participant URP# 4 stated that ***“the state of spillages into the environment and water leaks and wastage are visible indicators of poor delivery by Ugu.”*** One of the participants stated that UDM has missed development opportunities due to red tape, and mainly because of the lack of or poor bulk infrastructure that is necessary for such development. The crisis in the water supply function is said to be impacting negatively on the economy of the region as statistics show a downward trend. Ostensibly, the water and sanitation infrastructure were said to be incapable of providing services to the community. The view that the services are unreliable was expressed in more than one instance.

Another question sought views on challenges which make it impossible or limit the chances of KZNCoGTA sector plans to contribute to advancing UDM’s development agenda. One response pointed to the IDP itself not being implemented as expected and inconsistencies in strategic direction. This view can be linked to the observation during the analysis of the UDM sector plans, where a disjuncture or inconsistencies between the IDP and the SDBIPs was identified. Another view is that duplication of plans contributes to misdirection, but there is a possibility of influence from external parties and groups. Another participant cited the approach in some instances as being “top-down”. Most voices said that KZNCoGTA sector plans are unknown, which affects their recognition and acceptance. Participant URP#3 said:

“... there is not much awareness made of the sector plans to the district, and there is a lack of information and education on existing plans for both politicians and administration.”

Participant URP# 5 stated as follows:

“Some of the sector plans are contrary to each other at KZN CoGTA where there is a clear conclusion that internal departments do not work together and all of them require the municipalities to implement or align with these mixed-up plans, this would be the same as submissions of critical documents to KZNCoGTA.”

The above response relates to another participant who mentioned that there is no working knowledge of the KZNCoGTA sector plans which compromises contributions to the question. Another participant stated that there is no awareness beyond those managers within the planning workstream. A comment was also made that such plans can be made available through digital platforms. Another point raised is the instability in senior management and political leadership due to constant changes that are occurring which has a bearing on KZNCoGTA sector plans becoming impactful on UDM. A further point made relates to the poor level of participation by representatives attending planning sessions where engagements are rushed through as if they are organized for compliance purposes.

In other words, there is no adequate time given for representatives to familiarize themselves with plans, and there is insufficient time made available for clarifications so that plans are understood better. Another strong view is on KZNCoGTA's participation during the development of the sector plans. It was suggested that KZNCoGTA should avoid coming in to comment on a document already drafted, but rather be part of the process from the outset. What emerges from this response is that KZNCoGTA would have a better clue on the UDM development agenda if they are part of the process throughout, from the beginning.

Financial constraints were said to also be a contributory factor. In this respect, another voice said:

“Sometimes, financial resources are a challenge, even for KZNCoGTA”.

As the point was elaborated, clarity was gained that KZNCoGTA may want to support UDM but be limited by financial resources, finding that municipalities are less interested in non-financial support as all they may want, as a possibility, is the financial aspect of support.

5.3.1.4 Coherence in public service delivery planning

According to Munzhedzi (2014:699) and Mbecke and Mokoena (2016:98), the democratic government must provide coherent government and secure the well-being of the citizens. This should be achieved through coherent planning embedded in the preparation of *Strategic Plans and Annual Performance Plans* (APP), prepared for five years, and implemented during each fiscal year (Maxegwana, 2012:42). According to Mbanga (2012:127), a sector plan directs resources and execution by the administration. In the same light, questions seeking to establish the status concerning KZNCoGTA and UDM were posed to the participants.

The first question in this thematic area sought to establish whether KZNCoGTA has platforms used to deliberate on the preparation and implementation of its sector plans in which UDM participates. Most participants appeared to only be aware of the IDP process and its structure, the *IDP Representative Forum*. Other than that, other platforms gauging from one participant's response appear to be project-based, and those that are on the side of implementation like the *Provincial Infrastructure Forum*, *Provincial Joint Operations Committee*, *SPLUMA (Spatial Planning and Land Use Management Act)* forums, *OSS (Operation Sukuma Sakhe)* forums, Cross Border Strategic Planning sessions and IGR Forums.

Participant URP#2 held the view that the IDP process is the platform that should be used by all departments to plan and discuss service delivery. Below is what was said:

“That where you expect all the departments to come in together and the around the table for planning.

Participant URP#2 stated his disappointment with the neglect of this platform manifesting in the poor attendance by sector departments and the tendency of delegation of attendance to junior officials who have minimal to no contribution to make at these engagements. Below are the actual words expressed:

“some are not there. Some are sending junior staff which are not privy to decisions or programmes that should be undertaken within the district”.

Another contribution from URP#5 is that even UDM sectoral plans like the *Water Services Development Plan (WSDP)* or *Water Services Master Plan*, are not aligned with the IDP. It is said to be the same case with KZNCoGTA, where interventions are contrary to each other. This research participant implied that those who are supposed to ensure the coherence of sector plans are working in silos, deemed a cause for concern and due consideration to be considered in the recommendations to the study. This research participant alluded to the silo approach concerning the requests for information to be submitted to KZNCoGTA which are not harmonised. It was stated that UDM ultimately carries the burden of responding to uncoordinated requests for information and which has to align its plans.

A question was posed to identify the role that UDM plays in the development of the KZNCoGTA sector plans. One of the participants stated that UDM ***“participates through relevant functionary representatives”***. Another participant stated that UDM assists with the collection of data from the local municipalities to consolidate and submit to KZNCoGTA, and to present in various forums.

However, another participant was of the view that the process is “**top-down**” and UDM does not have much role other than aligning its processes and plans to those of provincial and national government. Examples of sector plans with which UDM aligns its sector plans include the NDP and the PGDS (***Provincial Growth and Development Plan***) which must find expression in the DGDS (***District Growth and Development Plan***). Another example cited is that of clusters which come from the “**top**” and must be created at the local level.

Another question was intended to obtain views on whether the KZNCoGTA sector plans do adequately cater for its support and monitoring role to advance UDM’s development agenda. Yet again on this aspect, there were contradicting views. One view was that they do to a certain extent, and there is alignment between the province and district. There was also a strong voice from Participant URP#5 stating that there was “***a disjuncture between the critical and real issues which the district is facing***” and some of the areas alluded to were maladministration and political influence, which are not addressed by any sector plans. The view was that support plans do not speak to the service delivery backlogs and some assessment criteria were not reaching the UDM pertinent issues, which is deemed another important focal point and gap which due consideration in the recommendations to the study had to be made. There was a view that the monitoring aspect was not felt and KZNCoGTA sector plans were viewed as “***tick-a-box***” compliance tools, making this aspect a further point for due consideration. The KZNCoGTA was said to be failing in its monitoring and support role as manifested in the sector plans that do not encapsulate interventions directed to address the real UDM challenges. The feeling was that there were key issues that are avoided for deliberation on various platforms.

The participants were also asked to rate the contribution of KZNCoGTA sector plans to UDM’s development agenda using a measurement of very poor, poor, good and excellent. One participant affirmed that the contribution was good and there was alignment, essentially. Another participant was of the view that KZNCoGTA sector plans may advance the UDM’s development agenda if the contribution is direct. Another participant said that the contribution is insufficient due to varied priority areas. Participant URP#5 stated that “***there is a disjuncture between the provincial sector plans, municipal sector plans and community needs***”. There was a strong view that in their current state, they are baseless, as they do not address issues of the intended beneficiaries of the interventions. The participant called for a reviewed approach that could enable the community to influence decision-making about them by their public representative instead of being mere attendees at community meetings.

The participants were asked to state their expectations about the role of KZNCoGTA in monitoring and supporting UDM. Among crucial responses, is that the KZNCoGTA's monitoring responsibility should not result in municipalities having to report over and above what they already report on. In other words, KZNCoGTA is being alerted to a possible non-appreciativeness of the lack of integration of intervention tools, as well as progress reporting. There was, however, a limitation for other participants who are not directly involved with strategic planning. It was also stated that these sector plans were not available on the UDM website. Another participant sponsored critical points on the need for KZNCoGTA to strengthen the oversight role which would, in turn, influence the exercise of oversight at the municipality. The AG outcomes were regarded as an opportunity for KZNCoGTA to exercise oversight on the corrective measures for issues raised like the appropriateness of controls in the provision of water through water tankers; curbing high employee-related costs and moderation of performance standards; checking on the appropriateness of employee appointment procedures and decisions to ensure that appropriately qualified and experienced people are appointed for critical positions.

Other points recorded from participants were that KZNCoGTA should:

- track and monitor areas which are found to be weak;
- direct its attention to issues that are sensitive for municipal officials;
- advocate for proper planning and implementation; and
- Coordinate support from other sector departments like Treasury in respect of grants and equitable share.

The participants were asked to state what it is they would improve in the KZNCoGTA's process to develop and implement its sector plans to optimize its relevance towards advancing UDM's development agenda. One participant emphasized the usage of technological tools for analytics such as forms and surveys which can reach more people. Another suggestion related to the reduction of the burden of too many different tools used to collect the same information from municipalities by integrating all questions into one tool. Other responses are itemized as follows:

- Proper monitoring and evaluation systems which are streamlined into the reporting systems of council. With these systems, areas of support would be identified to be implemented timeously;

- A more collaborative approach with the units and the KZNCoGTA's resources, where the municipal employees "on the ground" experiences are used to organically improve and inform the direction of the plans, instead of the approach used currently;
- More involvement from the grassroots by KZNCoGTA in the formulation of plans and having direct engagement with stakeholders;
- Being an active participant from the outset, not merely taking the '*big brother*' reporting and monitoring approach;
- Recognizing that the participative approach has a dual benefit, because when KZNCoGTA becomes the escalation point, the matter is then taken more seriously at an executive and political level;
- Convening provincial strategic planning sessions involving municipalities as they also involve province, but letting it also be the other way around; and
- Involving institutions like ILGM (Institute for Local Government Managers) because they have municipalities as their interest.

5.3.1.5 Institutional capacity and public accountability

The mandate of the provincial government is to support municipalities and strengthen their capacity, as discussed in Chapter 3 and guided by the principles of cooperative government discussed in Chapter 2. This means that a municipality must be able to carry out its mandate so that the provincial government comes in for capacity enhancement. It is for consideration that municipalities exist to provide services to the community, and there must be public accountability considered together with public participation. Mnguni and Subban (2022) and Krishnan and Subban (2022) make it clear that there is a link between financial governance and service delivery and that accountability is binding, as directed in Section 195 of the RSA Constitution, 1996.

To understand the state of the institutional capacity, participants were asked to mention the governance and municipal administration-related challenges impacting development at UDM if there are any. It was derived from the responses that there is an accountability deficit at all levels. It was stated that the structures are weak and unable to ask relevant questions and make the administration accountable. One of the participants was of the view that the understanding of institutional arrangements and core functions of a district municipality is generally lacking. This

position was affirmed by a statement pointing to inadequate response to compliance matters. Two participants touched on the oversight responsibility of political structures, citing that it is poorly performed, with non-compliance with legislation and policies, and referred to policy reviews that were delayed.

The political and administrative stability was also cited as challenged due to constant changes in leadership positions at both administrative and political components. It was further stated that the edge for implementing consequence management for those who are performing poorly is lacking. The claim was that governance structures are not capacitated to take a lead and there was over-reliance on reports produced by officials unlike in the private sector where the board of directors have clear plans and know exactly what they need from officials. Related to the afore-stated view, another participant stated that reports tabled were often noted or adopted without any scrutinization and robust engagement. Another related element is that monitoring of reports after having been tabled is somewhat lacking. There is also an expression that some officials are incapacitated. It was stated that this is visible through poorly prepared reports and sometimes, the inappropriate advice given. It was also asserted that AG made findings relating to performance management, mainly on measurements for service delivery goals.

On financial-related constraints, below is a list of salient issues that emerged from the concerns and responses made by many participants, and these are deemed to be considered as negatively affecting the core functions of the municipality in fulfilling its mandate for enhanced municipal service delivery:

- One of the participants stated that UDM loses money as it is in financial distress. This point relates to the next three points indicating that UDM is exposed to high costs for services from inexperienced service providers which is caused by the reluctance of more reputable service providers to do business with UDM either because they have not received payment for services rendered previously or they suspect that they are likely not going to be paid on time after rendering the service.
- The municipality is losing reputable service providers who are no longer bidding for tenders advertised or responding to calls for quotations.
- Relations with creditors have soured due to failure to honour their payments resulting in reputational damage.

- Another ripple effect is that the municipality ends up paying high prices due to high prices from emerging bidders and invariably receives inferior quality services due to inexperienced service providers.
- Another point is that the organisational structure is bloated, and many skills are misplaced.
- The municipality is unable to meet its financial management and viability targets.
- The municipality is inundated with voluminous calls from irate creditors regarding issues of non-payment and the reputation of the municipality is brought into negative light.
- Service delivery is affected due to electricity disconnections at the plants for overdue accounts.
- Municipal assets are lost through attachments.
- Certain services are discontinued, or necessary supplies are not available as suppliers opt to suspend services until the outstanding payments are settled.
- Innovation and new ideas cannot be pursued due to affordability challenges.
- Instability in senior management positions due to consistent changes that affect financial management and the prudent use of limited and scarce resources.
- The increasing number of non-payers affects the cash flow.
- Development is ‘retarded’ and the tourism economy is deteriorating as water supply has become a popular and ongoing problem.
- Spending is mostly on operational costs and there is over-reliance on grants.
- Public participation is compromised. An example of an IDP document which had previously been printed and made available to public members from public places is now only available digitally from the website, which does not serve the purpose of the audience who come from outlying and rural settings.
- Staff morale has been affected due to redundancy emanating from far too little to nothing to do due to the lack of resources and inadequate tools and resources necessary to perform the core duties. Another factor demoralising employees revolves around management and executive decisions on employee-related matters like appointments, salaries, and policies.
- In some instances, an understanding of institutional arrangements and UDM core functions is somewhat lacking.

- Inability to monitor the implementation of a financial improvement strategy due to lack of required resources.

Participants were asked to indicate the extent of public involvement in UDM's development programmes and projects. The general view was that the public is generally involved through the legislated public participation meetings, mayoral Izimbizo, IDP/Budget roadshows driven by the IDP and public participation sections, as well as the public participation programs that are normally done together with the local municipalities. One participant stated that input and feedback are provided to communities through leadership.

It was also stated that the UDM recently improved the capacity of the public participation unit. The public participation programmes were hailed for improvement with the focused attention to public meetings being convened. Citizenry and public participation were said to be challenged despite public participation platforms being made available and with good attendance. The concern was that they do not appear to understand their role. Another view was that the public contribution does not add value because their inputs are not strategic, but they are focused on what each community member wants for his/her vicinity. One other aspect raised is whether those who attend meetings report back to the community at large. There was a view that there are inadequate initiatives targeting reporting back on what the municipality has achieved. Coupled with the afore-stated challenge, is that public participation and accountability initiatives have been adjusted downwards due to budgetary constraints. One participant also revealed that the manager in the policy and research section is investigating the digitization of public participation processes as an alternative measure.

Participants were asked to indicate whether there have been protests directed at UDM and what were the main issues citizens voiced out. All participants alluded to the fact that there have been protests where community members complained about the lack of water and non-compliance with water tanker delivery schedules in certain instances. Another participant revealed that other parts of the district suffer with no water for sustained periods captured as '*months*', without being informed of the challenges. The ongoing electricity load shedding was said to have complicated the situation as well.

5.3.1.6 Municipal support and monitoring

Among the constitutional obligations of the provincial government on local government, are the support and monitoring roles. The other obligations such as the duty to establish municipalities, regulation, capacitation, and intervention were seen as seasonal, while support and monitoring were viewed as ongoing statutory tools for the provincial government to signify its presence in the local sphere to discharge its oversight role. Participants were asked to indicate their expectations of the role of KZNCoGTA in monitoring and supporting UDM. The expectations given can be tabulated as follows:

- Provide meaningful resources where the municipality fails and bridge the gap of service delivery.
- Recommend at least having some colleagues at KZNCoGTA who have worked in municipalities to get a better understanding of operations at the municipal level.
- Development of plans which are responsive to the needs of the municipalities working from a bottom-up approach.
- Not to cluster events and compliance matters where municipalities have no capacity to implement.
- Do a thorough needs audit of different sections in municipalities to distribute resources accordingly.
- Combine plans into singular plans as the use and development of too many plans increase inconsistency and unnecessary duplication.
- To provide an actioning oversight committee, especially for municipalities that do not perform.
- CoGTA should also be the main access or main department in which all other sector departments distribute information to municipalities as the body responsible for local government.

A participant praised the KZNCoGTA arrangement for having Local Government Specialists (LGS) assigned to districts, stating that they take the municipality along with all matters relating to KZNCoGTA. It was further stated that the presence of LGS in districts brings some level of comfort that, should things fall apart, municipalities are not the only ones to account because the LGS is providing hands-on support. As stated, LGS does take part in addressing a challenge that

is identified in the municipality. It was stated that the involvement of an LGS leverages comfort that challenges will not be identified where there are none. The suggestion was that the LGS programme needs to be strengthened, and this is a matter for due consideration and recommendation.

The other suggestion was that standards for municipal assessment must be determined upfront and made known to all who are involved and those to be assessed. The belief was that those who were subject to some screening or assessment, need to know the details of such screening beforehand, as well as how the outcomes would be used so that they could self-correct before they are subject to such screening. One participant said that assessments should not be conducted in a ‘catching them’ approach because they are intended to identify gaps that need some special focus.

Participants were asked to sponsor views on how KZNCoGTA can strengthen its role to support and monitor municipalities in general. The responses received were as follows:

- KZNCoGTA is the governance facilitator and monitoring mechanism to ensure various compliance issues are done, on time.
- Quality inputs, support, and overall enhancement of the submission from the Municipality are done by KZNCoGTA, drawing from the pool of expertise available at KZNCoGTA.
- Challenges must be identified together with the municipality and KZNCOGTA must ascertain that they are also in agreement with the challenges and proposed support measures to address those challenges.
- It was emphasized that support should not be generic, and it must direct to the problem being addressed.
- The emphasis was also on the capacity of those who are assigned to support the municipality, the call being that they must be convincing to possess the skills and expertise to provide support.
- It also surfaced that the right tone is necessary at boardroom meetings because some people avoided attending meetings, where the municipality is blamed for not having done this and that.

5.3.2 Data from documents

This section presents data obtained through the analysis of documents.

5.3.2.1 Planned indicators

It was established in Chapter 1 that organizational strategic plans contain performance indicators and targets (Fourie, 2012:136; Nzimakwe, 2012:146). Badawy, Abd El-Aziz et al. (2016) aver that key performance indicators (KPIs) are usually about the quantification of what a business is all about. The authors drew from Lord Kelvin who gave meaning to KPIs as:

“... when you can measure what are speaking about and measure it in numbers, you know something about it, when you cannot express it in numbers, your knowledge is of mere and unsatisfactory kind; it may be the beginning of knowledge, but you have scarcely, in your thoughts advanced to the stage of science.”

It is in this context that an IDP is defined by Adonis and Van der Walt (2017:43) as *“a five-year strategic plan that should regulate the leadership and management of local government, to realise their developmental responsibility and constitutional obligation”*. It follows, then, that an IDP contains KPIs (Adonis and Van der Walt, 2017:43).

Two generations of IDPs for 2012 to 2017 and 2017 to 2022, together with the SDBIPs for four financial years, 2016/17, 2019/2020, 2020/2021 and 2021/2022, were reviewed and analysed. The period targeted in this study is affected by two-generations of IDPs due to the overlap of an IDP term with a new municipal council term. A municipal council term commenced in 2011 and ended in August 2016, but the IDP applicable during this period was adopted in the 2012/2013 financial for five years, up to the 2016/2017 financial year ending in June. The IDP whose lifespan commenced in July 2017 was to be implemented until June 2022, and by that time a new municipal council term had kicked in during the year 2021. Therefore, the 2012/2013 to 2016/2017 period of the IDP overlaps with the 2016 to 2021 municipal council term, while for the longest period, the new Municipal Council implemented its 2017/2018 to 2021/2022 IDP. The tenure of the IDPs has significance for the foci and the performance in terms of the implementation of its strategic plans related to municipal service delivery.

The IDP and SDBIP documents were sourced from the UDM website, www.ugu.gov.za. Hookway (2008, cited in Morgan, 2022:69) suggests that researchers using existing documents for purposes

of collecting data should establish whether the authors intended for such documents to be made public to address ethical issues. The issue raised does not affect this study because municipalities are compelled by legislation to make the IDP and SDBIP documents available to the public from their websites as these strategic plans are for public consumption and in the spirit of openness and transparency contemplated in the RSA Constitution, 1996. In terms of Section 21A(1)(b), read with Section 21B and Section 25(4) of the Local Government Municipal Systems Act, a municipality must place its IDP on its websites as a public document. Similarly, Section 75 of the MFMA requires that an SDBIP be placed on the municipal website as a document relating to the budget.

Another aspect which needs to be considered for ethical issues is whether the authors may be harmed by the analysis of what they had produced (Braun & Clarke, 2013, cited in Morgan, 2022:69). The documents used in this study were purposely sampled before-hand and mentioned stated in the request for approval to conduct the study. Upon downloading of documents, issues of authenticity, credibility, representativeness and meaning as Flick (2018, in Morgan, 2022: 70–71) suggests, were confirmed. The documents were free from modifications and errors and there is no harm to the authors for the usage of the documents.

5.3.2.2 Ugu District Municipality decade development agenda

Scholars Scheepers and Schwella (2015:111) and Ndevu and Muller (2017:14) point to an obligation for municipalities to prioritize the basic needs of the community and to stimulate the community's socio-economic development in their planning and budgeting processes including structuring their administrative components. The Systems Act brings a concept of basic municipal service to the fore, and defines it as “municipal service that is necessary to ensure an acceptable and reasonable quality of life and, if not provided, would endanger public health or safety or the environment”. It is noted that UDM as a district municipality is responsible for providing potable water in terms of the division of functions contemplated in Section 84 of the Structures Act (De Visser, 2019:10). Asha and Makalela (2020:1) point out that municipalities have at their disposal the IDP as a tool to assist them to execute their developmental role. The UDM IDP as the repository of the development agenda was central to drawing what it is that was put on the plan. Water supply and sanitation services are found under the basic service delivery key performance area of 2012 to 2017, and 2017 to 2022 IDPs.

The said development agenda reflects that UDM intended to address the water supply and sanitation services through 5 broad categories as follows:

- Potable Water supply infrastructure development and refurbishment;
- Sanitation infrastructure development and refurbishment;
- Basic services access and water supply interventions;
- Water and sanitation infrastructure operations and maintenance; and
- Potable Water supply and sanitation services governance (planning, regulatory and compliance).

An analysis of the indicators set for each of the two IDP terms was performed to identify similarities and differences as reflected in Matrix 5.1. The identified variance is entered under column C.

Matrix 5.1: UDM decade development agenda

ROW #	A	B	C
	2012/2013 to 2016/2017 IDP	2017/2018 to 2021/2022 IDP	Variance in indicators
1.	<i>Number of households with access to basic water Services</i>	<i>Number of households with access to potable water</i>	<i>Basic water services and potable water</i>
2.	<i>Kilometres of pipeline replaced</i>	<i>Kilometres of water pipeline replaced</i>	<i>Addition of water in column B</i>
3.	<i>Number of springs protected</i>	<i>Number of springs protected and refurbished</i>	<i>Addition of refurbishment</i>
4.	--	<i>Number of boreholes refurbished</i>	<i>New indicator</i>
5.	<i>Percentage compliance with the water tankering Program</i>	-	-
6.	<i>Percentage households registered on the indigent register receiving support</i>	-	<i>Support was not defined</i>
7.	-	<i>Number of indigents with access to free basic services</i>	<i>New indicator</i>
8.	-	<i>Number of households with access to free basic water</i>	<i>New indicator</i>
9.	-	<i>Number of water reservoirs constructed</i>	<i>New indicator</i>
10.	-	<i>Number of water plants refurbished</i>	<i>New indicator.</i>
11	<i>Percentage non-revenue water loss</i>	<i>% Reduction of non-revenue water</i>	<i>Inclusion of 'reduction' and elimination of 'loss'</i>
12.	-	<i>Average turnaround time in hours taken to repair water leaks</i>	<i>New indicator</i>
13.	<i>No. of water meters replaced</i>	-	<i>Not carried forward</i>

ROW #	A	B	C
	2012/2013 to 2016/2017 IDP	2017/2018 to 2021/2022 IDP	Variance in indicators
14.	<i>Number of households with access to waterborne sanitation services</i>	<i>Number of households with access to waterborne sanitation</i>	<i>Eliminated 'services' in column B</i>
15.	<i>Number of households provided with access VIP Sanitation</i>	<i>Number of households with access to VIP sanitation</i>	<i>Eliminated 'provided' and included 'to' in column B</i>
16.	<i>Percentage eradication of buckets system in households</i>	-	<i>Indicator eliminated</i>
17.	<i>Number of water asset management plans reviewed annually</i>	-	<i>Indicator eliminated</i>
18.	<i>Percentage drinking water quality compliance in line with SANS 241: 2015</i>	-	<i>Indicator eliminated</i>
19.	<i>Percentage compliance to water Management Accountability and local regulation requirements in line with blue water services audits</i>	<i>% of blue drop status achieved</i>	<i>Indicator replaced</i>
20.	<i>Number of water safety plans reviewed annually</i>	-	<i>Indicator not carried forward</i>
21.	-	<i>Number of wastewater treatment plants refurbished</i>	<i>New indicator</i>
22.	<i>Number of registered and licensed wastewater treatment works in line with green drop requirements.</i>	<i>% of green drop status achieved</i>	<i>The indicator changed but it is still on achieving green drop status</i>
23.	<i>Number of sanitation asset management plans reviewed annually.</i>	-	<i>Discarded indicator</i>
24.	<i>Percentage compliance to wastewater management accountability and local regulation requirements in line with green water services audits</i>	<i>% of green drop status achieved</i>	<i>The indicator was modified but is still about achieving green drop status</i>

ROW #	A	B	C
	2012/2013 to 2016/2017 IDP	2017/2018 to 2021/2022 IDP	Variance in indicators
25.	-	<i>Average turnaround time in hours taken to repair sewerage spillages</i>	<i>Additional control indicator</i>
26.	<i>Percentage effluent quality compliance in line with general authorization standards.</i>	-	<i>Indicator eliminated</i>

Source: Researcher's construct (2023)

5.3.2.3 Reflection of development agenda in 2019-2022 annual execution plans

The achievement of commitments made in the ten-year development agenda could only be possible if budgets were allocated and implemented progressively on an annual basis. Content analysis of the SDBIPs for the recent three financial years, 2019/2020, 2020/2021 and 2021/2022, was performed. The analysis was made in respect of each indicator reflected on the IDP. The focus is not on the targets and the actual implementation, but rather to establish whether there were responsive plans directed towards the realisation of the set development agenda. If the indicators from the IDP and the SDBIP matched, a “yes” is entered under the relevant SDBIP year on the same row for the IDP indicator. When the IDP indicator does not appear from the SDBIP, a “No” is entered in the relevant SDBIP year column on the same row as the IDP indicator. In some instances, there is a similar but not the same indicator, under which circumstances, a ‘no with a comment’ is entered in the SDBIP year column on the same row of the indicator.

Matrix 5.2: Responsiveness of SDBIPs to decade development agenda

ROW #	A	B	C	D
	2017/2018 to 2021/2022 IDP	2019/2020 SDBIP	2020/2021 SDBIP	2021/2022 SDBIP
1	Number of households with access to potable water	Yes	No – has percentage	No – has percentage
2	Kilometres of water pipeline replaced	No – has constructed	No – has constructed	No – has constructed
3	Number of boreholes refurbished	No – has completed	No – has installed & maintained	No – has installed & maintained
4	Number of Springs protected and refurbished	No – has maintained	No – has maintained	No – has maintained
5	Number of households with access to free basic water	No – has completed	No – has constructed	No – has constructed
6	Number of indigents with access to free basic services	No – has loads	No – has loads	No – has loads
7	Number of water plants refurbished	No – has reservoirs cleaned	No – has reservoirs cleaned	No – has reservoirs cleaned
8	% Reduction of non-revenue water	Yes	Yes	Yes
9	Number of households with access to waterborne sanitation	No - has percentage of project	No - has percentage progress	No – has a percentage of construction

ROW #	A	B	C	D
	2017/2018 to 2021/2022 IDP	2019/2020 SDBIP	2020/2021 SDBIP	2021/2022 SDBIP
10	Number of households with access to VIP sanitation	No – has percentage completion	No – has households benefiting	No
11	Average turnaround time in hours taken to repair water leaks	Partially – has pipeline	Partially – has pipeline	Partially – has pipeline
12	% of blue drop status achieved	No – has Authorization standards and abatement plans	No – has Authorization standards and abatement plans	No – has Authorization standards and abatement plans
13	Average turnaround time in hours taken to repair sewerage spillages	No	No	No
14	Number of wastewater treatment plants refurbished	No – refers to percentage completion	No – refers to percentage completion	No

Source: Researcher’s construct (2023)

The analysis shows that the IDP sets fourteen (14) priority indicators under the Basic Service Delivery KPA. However, SDBIPs reflect significant differences from the indicators set in the IDP. Out of the fourteen (14) priority indicators set for the duration of the IDP, the following status is noted:

- The 2019/20 SDBIP has two (2) indicators that are the same as the IDP indicators. One (1) indicator, “*Average turnaround time in hours taken to repair sewerage spillages*” is not accommodated at all. Eleven (11) indicators are related to the IDP indicators, but they are not the same due to modification of the content. The action verbs used differ from those in the IDP.
- The 2020/2021 SDBIP has one (1) indicator that is the same as the one in the IDP. One (1) indicator, “*Average turnaround time in hours taken to repair sewerage spillages*” is not accommodated at all. Twelve (12) indicators are related to the IDP indicators, but they are not the same due to the modification of content. The action verbs used differ from those in the IDP.
- The 2021/2022 SDBIP has one (1) indicator similar to the IDP indicator and three (3) indicators that are not accommodated at all. These indicators are as follows:
 - *Number of households with access to VIP sanitation* in row 10 of Matrix 5.2.

- *Average turnaround time in hours taken to repair sewerage spillages* in row 13 of Matrix 5.2.
- *Number of wastewater treatment plants refurbished* in row 14 of Matrix 5.2.
- Ten (10) indicators are related to the IDP indicators, but they are not the same due to modification of content. The action verbs used differ from those in the IDP.

Although the focus of the study is on the extent of similarity between the UDM development agenda and the KZNCoGTA sector plans, the status above indicates that UDM would face a serious challenge if the extent of implementation of the IDP was to be assessed. If the IDP indicator is “*Kilometres of water pipeline replaced*” as reflected in row 2 column A of Matrix 5.2, but the SDBIPs have “*Kilometres of water pipeline constructed*” as reflected in row 2 columns B, C and D of Matrix 5.2; there would be development on the ground. However, such development does not respond to the replacement which the IDP intended to address because the pipelines constructed may not necessarily be replacement pipelines and as such, could have been constructed in new areas.

5.3.2.4 Development agenda reflection on the 2016/17 execution plan

In Matrix 5.3 below, indicators contained under the Basic Service Delivery KPA in the 2016/2017 SDBIP were compared to the indicators contained in the 2012/2013 to 2016/2017 IDP indicators. If the indicators matched, a “yes” is entered in column B and when the IDP indicator does not appear from the SDBIP, a “no” is entered in Column B on the same row as the IDP indicator. In some instances, there is a related but not the same indicator, under which circumstances, a “no with a comment” is entered in column B on the same row of the IDP indicator.

The analysis shows that the 2016/17 SDBIP accommodated nine (9) IDP indicators out of the 20 contained under the basic service delivery KPA. Three (3) indicators were related but not the same due to modification of content where the action verb on the SDBIP varies from the one in the IDP. The following eight (8) indicators are not accommodated:

- *Number of springs protected.*
- *Percentage eradication of buckets system in households.*
- *Number of water asset management plans reviewed annually.*

- *Percentage compliance to water management accountability and local regulation requirements in line with blue water services audits.*
- *Percentage effluent quality compliance in line with General Authorization Standards.*
- *Number of registered and licensed wastewater treatment works in line with green drop requirements.*
- *Number of sanitation asset management plans reviewed annually.*
- *Percentage compliance to wastewater management accountability and local regulation requirements in line with green water services audits.*

Matrix 5.3: Responsiveness of 2016-17 SDBIP to 2026-17 development agenda

Row #	A	B
	2012/2013 to 2016/2017 IDP INDICATOR	2016/2017 SDBIP RESPONSIVENESS
1	<i>Number of households with access to basic water services</i>	Yes
2	<i>Kilometres of pipeline replaced.</i>	No – has constructed
3	<i>Number of springs protected</i>	No
4	<i>Percentage compliance with the water tankering program</i>	No – has a percentage delivery
5	<i>Percentage households registered on the indigent register receiving support.</i>	Yes
6	<i>Number of water reservoirs constructed.</i>	No – has cleaned
7	<i>Percentage of non-revenue water loss.</i>	Yes
8	<i>No. of water meters replaced.</i>	Yes
9	<i>Number of households with access to waterborne sanitation services.</i>	Yes
10	<i>Number of households provided with access VIP sanitation.</i>	Yes
11	<i>Percentage eradication of buckets system in households.</i>	No
12	<i>Number of water asset management plans reviewed annually.</i>	No
13	<i>Percentage drinking water quality compliance in line with SANS 241: 2015.</i>	Yes

Row #	A	B
	2012/2013 to 2016/2017 IDP INDICATOR	2016/2017 SDBIP RESPONSIVENESS
14	<i>Number of water safety plans reviewed annually.</i>	Yes
15	<i>Percentage compliance to water management accountability and local regulation requirements in line with blue water services audits.</i>	No
16	<i>Percentage effluent quality compliance in line with General Authorization Standards.</i>	No
17	<i>Number of registered and licensed wastewater treatment works in line with green drop requirements.</i>	No
18	<i>Number of sanitation asset management plans reviewed annually.</i>	No
19	<i>Number of wastewater risk abatement plans reviewed annually.</i>	Yes
20	<i>Percentage compliance to waste water management accountability and local regulation requirements in line with green water services audits.</i>	No

Source: Researcher's construct (2023)

5.3.2.5 The UDM development agenda comparison to KZNCoGTA Strategic Plan

In Matrix 5.4 that follows, similar and related indicators from the two-generation IDPs have been clustered in one cell under column A. In column B, a KZNCoGTA Strategic Plan indicator which relates to the IDP indicators under column A is entered. A term of the applicable KZNCoGTA Strategic Plan is entered in column C on the relevant row.

The KZNCoGTA Strategic Plan for 2015 - 2020 contains the indicators “Number of municipalities with improved co-ordination of service delivery”. This indicator shows that the strategic approach was on the single window of coordination as depicted on page 17 of the KZNCoGTA Strategic Plan. However, there is a noticeable shift in the 2020 to 2025 indicator “Number of municipalities increasing households with access to basic services”. The focus of the latter term indicator clearly shows that KZNCoGTA has renewed its approach to being responsible for the provision of services. The yardstick is the state of service delivery that is desired, or the change made following interventions implemented rather than an account of actions to coordinate service delivery as it was with the previous term's indicator.

The analysis grouped indicators from the two generation IDPs considering what each indicator sought to achieve and looked for the corresponding KZNCoGTA Strategic Plan indicator. It transpired that one (1) UDM IDP indicator, “*percentage compliance with water tankering program*” was found only in the 2012 – 2017 IDP. Consequently, the KZNCoGTA 2015 – 2020 Strategic Plan Indicator is the only applicable one to this indicator.

Matrix 5.4: Connection of UDM development to KZNCoGTA Strategic Plans

GROUP #	A	B	C
	2012 - 2017 & 2017 to 2022 IDPs	KZNCoGTA APPLICABLE INDICATOR	Strategic Plan
1.	<i>Number of households with access to basic water services.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
	<i>Number of households with access to potable water.</i>	<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
2.	<i>Kilometres of water pipeline replaced.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
3.	<i>Number of springs protected. Number of boreholes refurbished.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
4.	<i>Number of springs protected and refurbished.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
5.	<i>Percentage compliance with water tankering program.</i>	<i>Number of municipalities increasing households with access to basic services.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
6.	<i>Number of households with access to free basic water.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025

GROUP #	A	B	C
	2012 - 2017 & 2017 to 2022 IDPs	KZNCogTA APPLICABLE INDICATOR	Strategic Plan
7.	<i>Number of Households registered on the indigent register receiving support.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
	<i>Number of indigents with access to free basic services.</i>	<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
8.	<i>Number of water plants refurbished.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
9.	<i>Number of water reservoirs constructed.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
10.	<i>Percentage of non-revenue water loss.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
	<i>% Reduction of non-revenue water</i>	<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
11.	<i>Average turnaround time in hours taken to repair water leaks</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
12.	<i>No. of water meters replaced.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
13.	<i>Number of households with access to waterborne sanitation services.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
	<i>Number of households with access to waterborne sanitation</i>	<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
14.		<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020

GROUP #	A	B	C
	2012 - 2017 & 2017 to 2022 IDPs	KZNCoGTA APPLICABLE INDICATOR	Strategic Plan
	<i>Number of households provided with access to VIP sanitation.</i> <i>Number of households with access to VIP sanitation</i>	<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
15.	<i>Percentage eradication of bucket system in households.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
16.	<i>Number of water asset management plans reviewed annually.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
17.	<i>Number of water safety plans reviewed annually</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
18.	<i>Percentage drinking water quality compliance in line with SANS 241: 2015</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
19.	<i>Percentage compliance to water management accountability and local regulation requirements in line with blue water services Audits</i> <i>% of blue drop status achieved.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
20.	<i>Average turnaround time in hours taken to repair sewerage spillages.</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025
21.	<i>Number of wastewater treatment plants refurbished</i>	<i>Number of municipalities with improved co-ordination of service delivery.</i>	2015-2020

GROUP #	A	B	C
	2012 - 2017 & 2017 to 2022 IDPs	KZNCogTA APPLICABLE INDICATOR	Strategic Plan
		<i>Number of municipalities increasing households with access to basic services.</i>	2020 - 2025

Source: Researcher's construct (2023)

5.3.2.6 Clarification on KZNCogTA output indicators

The contents of the KZNCogTA APPs for three consecutive financial years 2019/2020, 2020/2021 and 2021/2022, were reviewed to ascertain the details contained therein. Table 5.4 below lists all output indicators under column A. Column B is for the target and column C captures a definition of the indicator as an excerpt from the APPs; the APP year is entered in column D.

Table 5.4: KZNCoGTA Output Indicators

Row #	A APP indicator	B Target	C Definition	D APP year
1	<i>Number of functional coordinating structures for infrastructure development and service delivery</i>	11	<i>District and Provincial Fora convened to integrate water, sanitation and electricity service delivery efforts.</i>	2019/2020
2	<i>Number of Infrastructure coordinating structures achieving 80% functionality</i>	3	<i>they are functional if: they meet once per quarter; attended by relevant government departments and municipalities; the agenda is relevant for the meeting; and records for the meeting are safely kept.</i>	2020/2021 & 2021/2022
3	<i>Number of municipalities monitored on the implementation of infrastructure delivery programmes</i>	53	<i>collaboration with sector departments through MIG DoRA reports, site visits and report on progressive access to basic services.</i>	2019/2020 & 2021/2022
4	<i>Number of municipalities supported on the implementation of MIG</i>	53	<i>collaboration with sector departments through MIG DoRA reports, site visits and report on progressive access to basic services (water, sanitation, electricity and waste). Support Municipalities with project scoping (MIG), Revised DORA framework communicated to 53 municipalities, project registration & draft Capital Development Plans.</i>	2019/2020
5	<i>Number of districts monitored on the spending of national grants</i>	10	<i>monitor expenditure on water services, electrification and municipal infrastructure grants (MIG, WSIG, RBIG and INEP) Support is provided i.r.o MIG</i>	2020/2021
6	<i>Number of regional bulk infrastructure projects monitored for implementation</i>	10	<i>Schedule of regional bulk infrastructure projects to be monitored</i>	2019/2020
7	<i>Number of alternative water resource supply programmes implemented in municipalities</i>	2	<i>Static tanks and boreholes</i>	2020/2021

Row #	A APP indicator	B Target	C Definition	D APP year
8	<i>Number of municipalities supported with increasing yard water connections.</i>	13	<i>Assess municipalities on the status of yard water connections. Support municipalities through meetings, site visits and financing. Produce a consolidated Municipal Reports on support to 13 municipalities on new yard connections quarterly, Assess 13 Municipalities on status of yard water connections in the 4th Quarter.</i>	2019/2020 2020/2021 2021/2022
			<i>Support includes assessing municipalities on the status of yard water connections, having meetings with Water Service Authorities, conducting site visits and financing water projects</i>	2020/2021
9	<i>Number of municipalities supported in provision of basic level of sanitation services.</i>	13	<i>Assess municipalities on the status of provision of basic level of sanitation services. Support through meetings, site visits and financing.</i> <i>Produce a consolidated municipal report on support to 13 municipalities new basic level of sanitation services quarterly.</i> <i>13 Municipalities assessed on status of basic level of sanitation services in the 4th Quarter.</i> <i>Includes assessing municipalities on their status of provision of basic level of sanitation services and providing support to municipalities through meetings, site visits and financing sanitation projects</i>	2019/2020
10	<i>Number of water service authorities assessed on capability to provide water and sanitation services.</i>	14	<i>Conduct a study on assessing the capability of water service authorities to provide water and sanitation services and develop an action plan for implementation by WSA.</i>	2019/2020
11	<i>Number of WSAs monitored on the implementation of operation and maintenance</i>	14	<i>Monitoring the Water Service Authorities (WSAs)</i>	2020/2021 & 2021/2022

Row #	A APP indicator	B Target	C Definition	D APP year
12	<i>Percentage of sanitation projects monitored of implementation</i>	100%	<i>Includes assessing municipalities on their status of provision of basic level of sanitation services and providing support to municipalities through meetings, site visits and financing sanitation projects</i>	2020/2021 & 2021/2022
13	<i>Percentage of sanitation projects monitored for implementation</i>	100%	<i>Assessing municipalities on their status of provision of basic level of sanitation services and providing support to municipalities through meetings, site visits and financing sanitation projects.</i>	2021/2022
14	<i>Number of water master plans developed</i>	1	<i>Assessment reports of water service authorities Reports on water levels and quality</i>	2019/2020
15	<i>Number of provincial water master plans developed</i>	1	<i>Monitoring progress towards the development of a consolidated provincial masterplan</i>	2020/2021
16	<i>Number of municipal councils capacitated on water master plan.</i>	13	<i>Workshopping WSA councils on the findings and recommendations of the Provincial Water Master Plan.</i>	2021/2022
17	<i>Number of municipalities monitored on the review of water service development plans</i>	13	<i>Enhancement of existing municipal WSDPs, in collaboration with the Department of Water & Sanitation.</i>	2021/2022
18	<i>Number of WSAs assessed on the state of water infrastructure</i>	13	<i>Assessment</i>	2020/2021
19	<i>Number of municipalities monitored on the implementation of operation and maintenance plans</i>	53	<i>To support municipalities to implement operation and maintenance plans. Support municipalities through workshops, provision of guidance and advice. 53 IDPs assessed on adequate technical and financial provision for Operation and Maintenance.</i> <i>Support municipalities to Implement Remedial actions in respect of Operation and Maintenance Plans.</i>	2019/2020

	A	B	C	D
Row #	APP indicator	Target	Definition	APP year
20	<i>Percentage of Municipal Infrastructure COGTA B2B issues resolved</i>	100%	<i>Provide support which is responsive to the B2B issues in order to finalize the matter as per the targeted dates.</i>	2019/2020

Source: Researcher's construct (2023)

5.3.2.7 Linkage of development agenda and KZNCoGTA Annual Performance Plans

The contents of the KZNCoGTA APPs were analysed with reasoning linking to the context of the study. It was established that there is no mention specifically of UDM in the three APPs that were analysed. To determine whether KZNCoGTA indicators do relate to UDM, Table A1 on page 10 and Table A2 contained on page 17 of the *Provincial Water Master Plan* respectively showing district municipalities and 14 water services authorities, were relied upon. The meaning derived was that where 14 municipalities are set as the target, UDM is part of the 14 as a Water Services Authority. In district municipalities, where the target is 10, UDM is regarded as part of the beneficiaries because it is a district municipality. Where the target is 53 municipalities, the number suggests that UDM is also counted in because 53 excludes eThekweni Metropolitan Municipality. It is worth noting that the actual words used in the indicators, the targets and the indicator definition, became the only way to identify a relationship between the KZNCoGTA indicators and those of UDM.

The analysis of indicators led to the pairing of the UDM indicators by showing KZNCoGTA indicators in the same row and showing the source of the indicator in each column. The KZNCoGTA indicators entered on each row depict the likelihood of the indicators influencing change on the UDM development agenda. On the focus of water and sanitation elements of the UDM development agenda, potable water supply, sanitation services, and governance and compliance matters are the three elements reflected under the basic service delivery key performance area of its IDPs. Both the potable water supply and sanitation services elements reflect that there should be infrastructure development, provision of free basic service and repairing of infrastructure and emphasis on the maintenance programme.

Indicators in Matrix 5.5 are grouped based on the purpose reflected in the words used and then linked to the KZNCoGTA APP indicators for each financial year from 2019 to 2022.

Matrix 5.5: Linkage of UDM development agenda and KZNCoGTA APP

GROUP #	A	B	C	D
	2012 to 2022 IDPs	2019/2020 KZNCOGTA APP	2020/2021 KZNCOGTA APP	2021/2022 KZNCOGTA APP
1.	<i>Number of households with access to basic water services</i> <i>Number of households with access to potable water.</i> <i>Kilometres of water pipeline replaced.</i> <i>Number of water plants refurbished.</i> <i>Number of springs protected.</i> <i>Number of boreholes refurbished.</i> <i>Number of water reservoirs constructed.</i> <i>Number of Springs protected and refurbished.</i>	<i>Number of municipalities monitored on the implementation of infrastructure delivery programmes.</i> <i>Number of municipalities supported with increasing yard water connections.</i> <i>Number of water master plans developed.</i> <i>Number of water service authorities assessed on capability to provide water and sanitation services.</i> <i>Number of municipalities supported with increasing yard water connections.</i> <i>Number of water service authorities assessed on capability to provide water and sanitation services.</i>	<i>Number of Infrastructure coordinating structures achieving 80% functionality.</i> <i>Number of municipalities supported with increasing yard water connections.</i> <i>Number of Provincial Water Master Plans developed.</i> <i>Percentage of water use licence applications monitored for approval.</i> <i>Number of WSAs assessed on the state of water infrastructure.</i> <i>"Number of regional bulk infrastructure projects Monitored for implementation.</i>	<i>Number of municipalities monitored on the implementation of infrastructure delivery programmes".</i> <i>Number of municipalities supported with increasing yard water connections.</i> <i>Number of municipalities monitored on the Review of Water Service Development Plans.</i> <i>Number of municipal Councils Capacitated on Water Master Plan.</i> <i>Number of Infrastructure coordinating structures achieving 80% functionality.</i> <i>Percentage of water use licence applications monitored for approval.</i> <i>Number of Districts monitored on the spending of National Grants.</i>

GROUP #	A	B	C	D
	2012 to 2022 IDPs	2019/2020 KZNCOGTA APP	2020/2021 KZNCOGTA APP	2021/2022 KZNCOGTA APP
			<i>Number of Districts monitored on the spending of National Grants.</i>	<i>Number of alternative water resource supply programmes implemented in municipalities.</i> <i>Number of Districts monitored on the spending of National Grants</i>
2.	<i>Percentage compliance with water tankering program</i> <i>Number of households with access to free basic water</i> <i>Number of households registered on the indigent register receiving support.</i> <i>Number of indigents with access to free basic services.</i>	<i>Number of Water Service Authorities assessed on capability to provide water and sanitation services.</i>	<i>Number of WSAs assessed on the state of water infrastructure.</i> <i>Number of municipalities supported with increasing yard water connections.</i>	<i>Number of alternative water resource supply programmes implemented in municipalities."</i>
3.	<i>Percentage of non-revenue water loss.</i> <i>% Reduction of non-revenue water.</i>	<i>Number of municipalities monitored on the implementation of operation and maintenance plans.</i>	<i>Number of WSAs monitored on the implementation of Operation and Maintenance.</i>	<i>Number of WSAs monitored on the implementation of Operation and Maintenance.</i>
4.	<i>Average turnaround time in hours taken to repair water leaks.</i> <i>No. of water meters replaced.</i>	<i>Number of municipalities monitored on the</i>	<i>Number of WSAs monitored on the implementation of</i>	<i>"Number of municipalities monitored on the implementation</i>

GROUP #	A	B	C	D
	2012 to 2022 IDPs	2019/2020 KZNCOGTA APP	2020/2021 KZNCOGTA APP	2021/2022 KZNCOGTA APP
		<i>implementation of operation and maintenance plans.</i>	<i>Operation and Maintenance</i>	<i>of operation and maintenance plans".</i>
5.	<i>Number of households with access to waterborne sanitation services.</i> <i>Number of households with access to waterborne sanitation</i> <i>Number of households provided with access to VIP sanitation.</i> <i>Number of households with access to VIP sanitation</i> <i>Percentage eradication of bucket system in households.</i>	<i>Number of Water Service Authorities assessed on capability to provide water and sanitation services.</i>	<i>Percentage of sanitation projects monitored for implementation.</i>	<i>Percentage of sanitation projects monitored for implementation.</i>
6.	<i>Number of wastewater treatment plants refurbished.</i>	<i>Number of municipalities monitored on the implementation of operation and maintenance plans.</i>	<i>Number of WSAs monitored on the implementation of Operation and Maintenance.</i>	<i>Percentage of sanitation projects monitored of implementation.</i>
7.	<i>Average turnaround time in hours taken to repair sewerage spillages.</i>	<i>Number of municipalities monitored on the implementation of operation and maintenance plans.</i>	<i>Number of WSAs monitored on the implementation of Operation and Maintenance.</i>	<i>Percentage of sanitation projects monitored of implementation.</i>

GROUP #	A	B	C	D
	2012 to 2022 IDPs	2019/2020 KZNCOGTA APP	2020/2021 KZNCOGTA APP	2021/2022 KZNCOGTA APP
8.	<i>Number of Water Asset Management Plans reviewed annually.</i>	<i>Number of municipalities monitored on the implementation of operation and maintenance plans.</i>	<i>Number of WSAs assessed on the state of water infrastructure.</i>	<i>Number of municipalities monitored on the Review of Water Service Development Plans.</i> <i>Number of municipal Councils Capacitated on Water Master Plan.</i>
9.	<i>Number of Water Safety Plans reviewed annually.</i>	<i>Number of Water Master Plans developed.</i> <i>Number of Water Service Authorities assessed on capability to provide water and sanitation services.</i>	<i>Number of Provincial Water Master Plans developed.</i>	<i>Number of municipalities monitored on the Review of Water Service Development Plans.</i> <i>Number of municipal Councils Capacitated on Water Master Plan.</i>
10.	<i>Percentage Drinking Water Quality Compliance in line with SANS 241: 2015.</i>	<i>Number of Water Service Authorities assessed on capability to provide water and sanitation services.</i>	<i>Number of Provincial Water Master Plans developed,</i>	<i>Number of municipalities monitored on the Review of Water Service Development Plans.</i> <i>Number of municipal Councils Capacitated on Water Master Plan.</i>
11.	<i>Percentage Compliance to water Management Accountability and Local Regulation Requirements in line with Blue Water Services Audits.</i>	<i>Number of Water Service Authorities assessed on capability to provide water and sanitation services.</i>	<i>Number of WSAs assessed on the state of water infrastructure.</i>	<i>Number of municipalities monitored on the Review of Water Service Development Plans.</i>

GROUP #	A	B	C	D
	2012 to 2022 IDPs	2019/2020 KZNCOGTA APP	2020/2021 KZNCOGTA APP	2021/2022 KZNCOGTA APP
	<i>% of blue drop status achieved.</i>			<i>Number of municipal Councils Capacitated on Water Master Plan.</i>

Source: Researcher's construct (2023)

5.3.2.8 Direct and indirect beneficiation of UDM outputs

The content analysis of the UDM indicators shows the five focal areas as potable water supply infrastructure development and refurbishment; sanitation infrastructure development and refurbishment; basic services access and water supply interventions; water and sanitation infrastructure operations and maintenance, and potable water supply and sanitation services governance. The KZNCoGTA APPs for 2019/2020, 2020/2021 and 2021/2022 financial year output indicators were analysed to derive meaning and identify their similarity to the outputs which UDM intended, believing that the achievement of outputs will lead to outcomes, and finally, the impact of service delivery programmes and projects in the lives of the people.

The KZNCoGTA indicator *“number of alternative water resource supply programmes implemented in municipalities”* contained in the 2020/2021 APP is likely to contribute to the outputs through those alternative water supply programmes that are implemented specifically at UDM if linked to the UDM indicator *“number of springs protected”* and *“number of boreholes refurbished”*. However, the indicator does not address the UDM output indicator directly, as it is generally about the programmes being implemented. It is not clear or specific how, and to what extent the programme would after being implemented aid the municipality to achieve or exceed the development outputs. The indicator may fully contribute to the UDM agenda if it speaks to the achievement of outputs. To further clarify this point, the UDM development agenda refers to spring protection and refurbishment of boreholes and there are set targets. On the other hand, the technical indicators section of the KZNCoGTA APP indicates that there was support available to municipalities in the form of fixed water tanks and boreholes. However, there is no indication or listing of earmarked municipalities. This leaves uncertainty as to whether UDM was likely to benefit from this alternative water project. Thus, it is unclear whether the earmarked *“alternative water resources supply programmes”* were meant to make any contribution to the UDM development agenda. The project may have been linked with spring protection and borehole rehabilitation as both programmes do utilize fixed water tanks. An example is the KZN Department of Education advertised a tender in the 2021/2022 financial year soliciting bids for the drilling of boreholes with water tanks installed on galvanized steel stands.

The KZNCoGTA indicator *“number of municipalities supported with increasing yard water connections”* which appears in the APPs for 2019/2020, 2020/2021 and 2021/2022, depicts the intention to increase water supply connections. However, it fails to relate to the outputs of UDM.

The first challenge is that UDM does not have an indicator on ‘yard water connections’ in any of its plans affected in this study but instead has two indicators seeking to achieve household access to water supply titled the “*number of households with access to basic water services*” and “*the number of households with access to potable water*”. Even if UDM had a similar indicator, targets would have been set whilst the KZNCoGTA indicator does not bind itself to any actual service delivery output like the number of connections per municipality. Although it is depicted in the definition of the indicator that funding was also to be made available and that reports were to be produced on the number of connections achieved, there is no indication of the number of yard connections UDM is expected to achieve through this support, and hence any number can be recorded as an achievement as the indicator is open-ended.

If the KZNCoGTA indicators are to back up the UDM development agenda, they must not be crafted as programmes or projects running parallel to the UDM development agenda. This is so because UDM relies on KZNCoGTA to achieve its development agenda as part of the broad developmental mandate. An indicator could have been crafted differently, for instance, having a ‘number of municipalities supported to achieve targets for alternative water supply programmes. In this way, KZNCoGTA would have to augment plans which municipalities have, instead of running a parallel project. If interventions do not blend, the KZNCoGTA contribution is unlikely to impact the UDM development priorities, although there can be projects implemented.

The KZNCoGTA indicators below are for monitoring and have an indirect link to the outputs of the UDM indicators. Monitoring influences the attainment of the outputs if remedial measures are implemented either by KZNCoGTA or UDM. These indicators are:

- *Number of districts monitored on the spending of national grants;*
- *Number of municipalities monitored on the implementation of infrastructure delivery programmes;*
- *Percentage of sanitation projects monitored for implementation;*
- *Number of WSAs monitored on the implementation of operation and maintenance;*
- *Number of municipalities monitored on the implementation of operation and maintenance plans;*
- *Number of municipalities monitored on the review of water service development plans; and*

- *Percentage of water use licence applications monitored for approval.*

The two KZNCoGTA indicators refer to assessment. Although the results of the assessment may assist KZNCoGTA to focus on the gaps, direct beneficiation will come from the interventions that would be implemented to address the gaps. It is therefore difficult to identify how the assessments contribute to the already set development agenda. The indicators in this instance are as follows:

- *Number of Water Service Authorities assessed on capability to provide water and sanitation services; and*
- *Number of WSAs assessed on the state of water infrastructure.*

The KZNCoGTA indicators that follow are focusing on the development of Water Master Plans. Such a Master Plan may shape the direction of water supply infrastructure development. Only when the plans are available, will it be known what they suggest. Therefore, the contribution of these indicators to the existing UDM indicators is rather limited. The indicators are:

- *Number of Water Master Plans developed;*
- *Number of Provincial Water Master Plans developed; and*
- *Number of municipal Councils Capacitated on Water Master Plan.*

The indicator “*number of infrastructures coordinating structures achieving 80% functionality*” relates to a provincial forum. The functionality of the forum may indirectly benefit UDM through the sharing of knowledge. It does not link to any of the UDM output indicators.

5.4 INTERPRETATION OF FINDINGS

The findings are interpreted in alignment with the key questions raised in the study.

5.4.1 Research question one

The focus of this research question was to elicit development challenges besetting Ugu District Municipality. This question is fundamental as it brings about an understanding of what to expect from the UDM development agenda. Some challenges were picked up during the literature review. Furthermore, the performance indicators contained in the IDP and SDBIPs show the areas that are prioritized. The one-on-one interviews also brought to light other challenges that were not picked up either during the literature review or content analysis of the KZNCoGTA and UDM sector plans. The interpretation of the findings in respect of the research question is itemized below:

- There are still water supply and sanitation infrastructure backlogs. Backlogs relate to areas where there is no coverage from water supply schemes or alternative water supply systems from underground water sources such as boreholes and protected springs.
- Existing infrastructure has aged, which affects the reliability of supply due to frequent bursting of pipes and dysfunction of equipment due to inadequate proactive maintenance.
- There is still a shortage of raw water storage infrastructure.
- There are high water losses estimated at 30% (UDM, 2017:57) emanating from breakages in the system and illegal connections which respectively affect the water supply and bring strain to the infrastructure.
- Universal coverage on sanitation has not yet been realized due to historic backlogs, population growth and the fact that there needs to be a focus on farm dwellers who were previously not included in the plans. This obligation has surfaced following the 2019 Court Order to the matter of Zabalaza Mshengu, Thabisile Ntombifuthi Ngema, AFRA vs Umsunduzi Local Municipality, Umgungundlovu District Municipality, and others (Chamberlain & Khunou, 2021). There is no project directed to this aspect from either the 4th or the 5th generation IDP. It is an indication that the inclusion of areas with farm dwellers within the district is yet to be considered.
- The municipality is currently unable to collect revenue and honour payments to its creditors. Although no specific level of debt could not be sourced from the one-on-one interviews, the 2022- 2027 IDP shows that uncollected funds are that over 80% of debt in the balance of R808

528 324.03 was owed for over six months (UDM, 2022:222). It is also to be noted that R650 734 297.72 is a portion of household debt (UDM, 2022:221).

- The municipality is not optimizing value for money from employee-related costs due to minimal work being performed following downward budget adjustments.
- The economy of the region, which is normally boosted by the tourism sector, has suffered due to potable water supply challenges.
- It has become a challenge to attract investors into the district as it has become known for its challenges with potable water supply and interruptions in this critical area of service delivery.
- Although there are platforms for public participation, the value of their participation has not been realized as yet due to their limited contribution to strategic matters of concern to the local communities.

5.4.2 Research question two

The purpose of the research question was to ascertain the extent to which the KZNCoGTA sector plans advance UDM's development agenda. The answers to this question were primarily obtained through the content analysis of the KZNCoGTA and UDM sector plans. For KZNCoGTA, the 2015 to 2024 Strategic Plans and the three APPs for 2019 – 2022, including the 2016/17 APP, were analysed. The IDPs for 2012- 2017 and 2017–2022 were analysed together with the SDBIPs for 2019 – 2022 including the 2016-2017 financial years.

A comparison of indicators was made and the measurement was a choice between does not advance, partially advance and fully advance the UDM development agenda. The 'does not advance' measurement refers to a situation where all KZNCoGTA output indicators cannot be matched with any of the UDM indicators from the IDP and SDBIPs. The measurement of 'partial advance' refers to a situation where some KZNCoGTA output indicators find some matching indicators from the UDM indicators from the IDPs and SDBIPs. A choice of 'fully advance' is based on most KZNCoGTA output indicators finding matching indicators from the UDM IDP and SDBIPs.

The outcome of the analysis proves that the KZNCoGTA sector plans partially advance the UDM development agenda. The KZNCoGTA indicators were found to be limited in terms of addressing the UDM indicators directly. Most indicators make an indirect contribution to the UDM

development agenda. The implication is that even if all the KZNCogTA indicators are achieved, there is an inadequate contribution towards UDM attaining the set development agenda. During the interviews, participants recognized that there is a contribution which is insufficient to optimize the fulfilment of all outputs and targets set in UDM's IDPs and SDBIPs. In essence, it is impossible to hold KZNCogTA accountable for the non-achievement of the set UDM development agenda because its output indicators do not consider what is set as UDM indicators. They are mostly about what KZNCogTA has to offer to UDM rather than responding directly to the set development agenda.

5.4.3 Research question three

The focus of the third research question was to identify constraints for the KZNCogTA sector plans to advance UDM's development agenda. This question anticipated that the finding would either be that there are no challenges, meaning that the KZNCogTA sector plans optimally advance the UDM development agenda, or that there would be gaps. The question intended to obtain details of the gaps to understand and be able to make recommendations for improvement.

The outcome from the interviews and document analysis revealed that there are reinforcement gaps between the KZNCogTA sector plans and the UDM development agenda due to a disjuncture in their output indicators, which is deemed an important gap that emerged from the study, and due consideration for a recommendation. From the perspective of the document analysis, it was found that when output indicators from the KZNCogTA sector plans and the UDM development agenda were compared, that some of the KZNCogTA output indicators can complement some of the UDM output indicators, and that they are not direct and specific. It can be said that the KZNCogTA is running its service delivery agenda as a parallel process to the UDM development agenda.

The KZNCogTA service delivery agenda is not necessarily persuaded by what the UDM seeks to achieve as encapsulated in the IDPs. One typical example is the KZNCogTA output indicator to "support municipalities is to increase household water supply connections". Even if the activities to achieve this indicator are optimally achieved, there is no direct beneficiation to the UDM development agenda because there is no similar indicator on UDM's IDPs and SDBIPs. Another typical example is the KZNCogTA output indicator of a "number of municipalities supported on the implementation of MIG". Although the definition of the output indicator is provided, the reality

is that it could be difficult to measure the impact of meetings and site visits. In some instances, such meetings and site visits could be achieved but the Municipality may still perform poorly in terms of achieving its outputs and targets on MIG.

As a result, when KZNCoGTA celebrates the full achievement of its output indicators and with the lives of those communities that may have benefited having improved through this intervention, it remains obvious that the achievement is unlikely to bring about a reduction in any of the targets set in UDM development agenda. there can be little impact apportioned to the achievement of UDM output indicators.

Interviews revealed that senior managers at UDM do not know the details of the KZNCoGTA sector plans. It was also found that there is no role played by UDM in the preparation and crafting of KZNCoGTA sector plans. Furthermore, it was found that there are no platforms available for UDM to contribute to the development of the KZNCoGTA sector plans or where such plans are unpacked. Participants maintained that the IDP process provides an opportunity for service delivery planning and implementation collaboration, but it is only used to discuss UDM issues relating to the IDPs.

The main constraint identified is the lack of platforms to synergize sector plans attributed to the processes KZNCoGTA follows to produce its sector plans, as well as the contents that are limited in synergy with the UDM indicators. An outcry was also around the multiplicity of support plans which ends up creating an overburden on the part of the municipality. The process and content issues are therefore limiting the contribution to the UDM development agenda. The lack of synergy in service delivery plans and multiple support plans creates confusion on the receiving end. The other expression is that the sector plans were limited in their contribution to addressing the present challenges. The process leading to the development of sector plans needs to be reconsidered for interventions to be relevant.

5.4.4 Research question four

The last research question sought measures to strengthen the KZNCoGTA sector plans to advance UDM's development agenda. A question was directed to participants aiming to obtain their contribution on what they believe may strengthen the edge of the KZNCoGTA sector plans to advancing the set service delivery agenda at UDM.

On the process issue, suggestions were that KZNCoGTA should consider involving UDM during the preparation stage of its sector plans. It also became clear from the empirical research that the involvement in the IDP process should be taken seriously and used as a two-way process where KZNCoGTA outlines what is being planned, and also receive inputs at the development stage of its indicators. Responses suggested that KZNCoGTA's involvement in the UDM service delivery planning process would assist KZNCoGTA to understand the core issues that need KZNCoGTA's attention. The likelihood of KZNCoGTA understanding what the UDM development plans encapsulate if they are involved at the outset, is higher, and their interventions can be directed to the set UDM indicators. The contents of the sector plans and UDM development agenda are likely to be intact if the process issues are significantly addressed.

5.5 CHAPTER SUMMARY

This chapter presented the data, the analysis thereof and its interpretation. It is structured into four main sections. The first section introduced the chapter. The second section presented the actual data from interviews which augments the data from secondary sources. The next section focused on the secondary sources that resonate with the salient aspects of the study as emanating from the primary research that was conducted. These are the KZNCoGTA Sector Plans (Five-Year Strategic Plans for two terms from 2015 to 2020 and 2020 to 2025; the APPs for 2016/17, 2019/20, 2020/2021 and 2021/2022 financial years; and the UDM 2012 to 2017 and IDPs 2017 to 2022, together with the SDBIPs for the 2016/17, 2019/20, 2020/2021 and 2021/2022 financial years. The third section presented the interpretation derived from the data which followed the format of the four key research questions in the study that was undertaken. The next chapter presents the conclusions and recommendations put forward for due consideration, as they emanated as critical aspects that are seriously impacting the municipality's ability to fulfil its constitutional mandate for enhanced municipal service delivery and good financial governance.

CHAPTER 6

CONCLUSION AND RECOMMENDATIONS

6.1 INTRODUCTION

This chapter presents the conclusions and recommendations based on the findings presented in the preceding chapter. The findings emanated from the analysis of KZNCOGTA and UDM sector plans to identify the extent to which KZNCoGTA indicators advance the UDM development agenda. Four research questions were answered based on the document contents of a bibliometric analysis and primary responses captured from the qualitative study with interviews. For purposes of the background to the conclusions and recommendations, research questions and objectives are depicted to demonstrate how they have been arrived at in the study that was undertaken. A summary of the entire research study from Chapters 1 to 5 is presented to show the link with the closing remarks and relevant recommendations put forward. What follows then, is the conclusion and recommendations sections for this chapter.

6.2 SYNTHESIS OF CHAPTERS

The study is organized into six chapters as follows:

Chapter 1: Overview and context of the study

Chapter 1 introduced the study on the UDM sector plans, and stated the research problem emanating from the interest in understanding why there are service delivery challenges at the municipality, despite the constitutional provisions for the provincial and national spheres to support the municipality. The focus of the study is on what has been provided on the KZNCoGTA sector plans and UDM planning documents, to understand the extent of the synergy. The chapter covered the legislative and theoretical frameworks underpinning the study and revealed the research methodology and study design.

Chapter 2: Conceptual and theoretical framework of provincial and local government development agenda

Chapter 2 discussed the relevance of the Systems Theory on KZNCoGTA's role, which informs the development of its sector plans with a focus on the expected contribution to the development

agenda for UDM in fulfilling the service delivery mandate. It explained the rationale based on the constitutional developmental mandate entrusted upon the government in general, including the powers bestowed upon the provincial government to have jurisdiction in local government to ensure optimal socioeconomic development.

Chapter 3: National-provincial-municipal governance, relations and sector plans

Chapter 3 discussed the legislative framework guiding the study and an exposition of the scholarly literature review relating to the study. The primary statutes expressing the obligations of the state towards socioeconomic rights for citizens were navigated through the review of relevant statutory documents. Linking such obligations to the overall focus of the study, it discussed the statutory empowerment of the provincial sphere of government to exercise authority on the local sphere of government. It further engaged in literature dealing with the developmental obligations and the role of municipalities as a sphere of government that is closer to the people. Special attention was dedicated to the constitutional basis of the relationship between municipalities and KZNCoGTA as KZN Provincial Government's intermediary arm, in the context of inter-jurisdictional powers in the municipal domain. This focus is based on the context of coherent planning and implementation posited as assurance that the capacity and functionality of municipalities are strengthened towards the attainment of the developmental objectives. It discussed strategic planning as a process that produces sector plans. The locus and focus were on the contribution that can be achieved to advance development at UDM based on provisions expressed in KZNCoGTA sector plans and their relevance.

Chapter 4: Research design and methodology

Chapter 4 reflected on the detailed methodological perspectives followed in the study and research design. The choice of a qualitative design and a case study approach was explained in the research. The chosen research design consists of the title of the research which deals with a case, the case being UDM. It was also necessary to choose data collection tools that are relevant, which was the document analysis since the indicators had to be compared to determine the extent to which they support each other. To understand the environment from the perspective of the officials involved with service delivery planning, one-on-one interviews were conducted, and the study managed to obtain insights that added value to the finding and recommendations. The systems theory played a role to tease out a government approach to local service delivery in line with the system of government contemplated in Chapter 3 of the RSA Constitution, 1996. This theory assisted to link the role of the DDM structures to address the challenges besetting UDM.

Chapter 5: Data presentation and interpretation

The chapter presented the analysis of the data collected and a discussion of the findings from the primary data collection. The chapter focuses on some of the discussions in the form of strategic plans for KZNCoGTA and UDM which was further augmented with one-on-one interviews with participants. The data was discussed using thematic and content analysis, and the responses of participants were articulated within the various themes that emerged. The analysis provided some answers to the research questions that underpin the study.

Chapter 6: Conclusion and recommendations

Chapter 6 presents the details of the final step of the research process undertaken during this study. The first and second sections of this chapter respectively introduced the chapter and focus on the research objectives, making it easier to understand how the objectives were achieved. A conclusion section based on the findings is presented in Chapter 5. What then follows is the recommendations section, which makes suggestions towards the gaps identified in Chapter 5. The chapter is concluded with a summary and the final remarks and lists issues that may influence future research.

6.3 CONCLUSION

This conclusion is based on the findings of the study presented in Chapter 5.

6.3.1 Development challenges besetting Ugu District Municipality

This section emanates from the research objective, which was to obtain information on the challenges confronting UDM in executing its service delivery and development mandate. The UDM still has a long way to go to fulfil its constitutional obligation to provide potable water to all the citizens throughout the district. Findings here revealed that the existing water supply infrastructure is failing to cope with the potable water supply demand due to the design capacity *versus* the population and ageing infrastructure and equipment, which results in frequent pipe bursts and breakdown of equipment. What complicates the situation, is that the study conducted by KZNCoGTA in 2020 revealed a backlog of people who have no access to water supply infrastructure, to be approximately 47% of the population, yet those with access to supply systems also do not get served as expected. Findings also revealed that the Municipality has insufficient funds to take care of preventative maintenance. All research participants alluded to the challenge

of unsettled debts that have been accumulating over the past years as a result of non-payment by service users or customers. It was reported in the 2022- 2027 IDP, that over 80% of debt in the balance of R808 528 324.03 was owed for over six months (UDM, 2022:222). It is also noted that an amount of R650 734 297.72 is a portion contributing to that of household debt (UDM, 2022:221). Recently, the Auditor General raised concerns regarding the revenue status of this municipality (UDM, 2022:223). The literature review revealed that the UDM budget was unfunded for two financial years between 2020/2021 and 2021/2022 (PCS, 2020). The municipality is one of the six municipalities in the province that were tagged as having serious financial constraints as of March 2023 (Provincial Treasury, 2023:15).

Given the dire state of financial matters, UDM faces serious service delivery challenges concerning its core function of providing potable water as they are facing severe challenges resulting from the lack of financial resources to address the service delivery crisis. For instance, when infrastructure and equipment break down, and urgent repairs need to be carried out, the municipality is required to make the necessary means to provide water through alternative avenues, which is predominantly through water tankers. This service delivery option is one of the output indicators in its IDP and SDBIPs to ensure that there is uninterrupted service delivery to the local communities.

Water tankers are ordinarily available to service the areas that do not have any form of water supply infrastructure or where there is no water coming out from the existing water supply infrastructure. This level of service was in place before the 2016 Community survey (Census 2016 Community Survey, cited in UDM, 2021:59) and was also provisioned to have continued during the 2017-2022 IDP term (UDM, 2022:62). Redirecting the water tankers to the area affected by mechanical equipment breakdown or pipe burst disadvantages the community which is ordinarily supplied through water tankers. This means that the municipality is unable to avoid costs relating to the effects of ageing water supply infrastructure and equipment. This trap is linked to the challenge expressed as there are high costs of maintenance that severely impact UDM's ability to extend the service coverage (UDM, 2022:25). The municipality has not managed to address service delivery challenges that would have seen protests being eliminated in line with the wishes of the local communities, as expressed in the IDP 2017-2022 (UDM, 2017: vii).

The issue of lost revenue water in the system is also a concern as UDM planned an indicator to address these issues in both of its IDPs. However, in the 2017/18 financial year, the water balance

exercise showed 36.77% (KwaZulu-Natal Water Master Plan, 2021:80) of unaccounted-for water. The IDP showed that there are illegal connections depicted in the use of an “inadequate consumer database” contained in 2017/2022 IDP:112 read with the indicator to install water meters because faulty meters were to be replaced as the indicator had shown. Hlongwane (2017:130) found that infrastructure and equipment are poorly maintained, and there are also illegal yard connections. Water getting lost in the system is also UDM’s concern as depicted in the 2022–2027 IDP, where the issue of illegal connections was clearly stated (UDM 2022:175) with the indicators presented. The issue of illegal connections puts UDM in a desperate situation because of water that is unaccounted for. It is clear from its development agenda that there is an intention to regularize these illegal connections by installing water meters and this is deemed yet another expense which should not have arisen. Meters for people who have connected themselves illegally do not offer any hope that the local communities would pay for water considering that those who are legally connected are not paying as well.

It could never be in dispute that the municipality requires funds that are owed to it to be able to maintain the infrastructure and respond to service delivery demands. The burden is likely to increase with added infrastructure being placed on the ground via grants as reflected in the KZNCoGTA APPs and UDM SDBIPs, yet the sufficiency of funds to take care of preventative maintenance is severely lacking, which has a negative resultant effect on some of the municipality’s core functions. Consequently, recommendations are directed to the collection of revenue and the usage of DDM structures for all spheres of government to collaborate in supporting the municipality.

6.3.2 UDM development agenda and KZNCoGTA sector plans

This section relates to the second objective in the study which sought to assess sector plans and to obtain views from respondents on whether KZNCoGTA lives up to its support and enhancement of the capacity mandate when planning its interventions. The RSA Constitution, 1996, establishes the local sphere of government as a distinct sphere but places the burden of support on the provincial and national spheres. By implication, the provincial sphere should assist the local sphere to achieve its developmental mandate. When the analysis of sector plans was made, it was found that KZNCoGTA sector plans partially advance the UDM development agenda because they contained the least output indicators that are designed to speak to what UDM seeks to achieve. In other words, most output indicators contained in the KZNCoGTA sector plans do not necessarily

aim to complement UDM programmes and projects to the extent that their achievements can be attributed to the output indicators as contained in the UDM development agenda. Only two KZNCoGTA output indicators were likely to contribute to the UDM indicators. Those were the indicators which showed a meaning related to the output indicators contained in the UDM IDPs and implemented through the SDBIPs. A total of seven indicators were for monitoring: two for assessment, three on the Water Master Plan and one for an Infrastructure Forum.

Although the KZNCoGTA output indicators bring much-needed service delivery support to UDM, they are mostly not intended to contribute to the achievement of the same outputs and targets which UDM has prioritized. The disjuncture is a matter that needs to be addressed so that KZNCoGTA interventions are focused to contribute directly to the desired state as encapsulated in the IDP. The recommendations would therefore emphasize that there is a need to achieve collaboration at the output level through appropriate processes and intentional synergy in the content of the KZNCoGTA sector plans and UDM IDP. Coherence in planning is likely to result in dedicated officials in government to serve and fulfil the delivery of outputs linked to tangible outcomes that could have a positive impact on the joint programmes and projects envisioned for enhanced municipal service delivery.

6.3.3 Constraints in KZNCoGTA sector plans to advance UDM development agenda

This section addresses issues relating to the third research objective which sought to identify limitations that compromise KZNCoGTA sector plans' ability to optimize collaboration or have a direct effect on the achievement of UDM's desired developmental destination over a concerned planning cycle. It was found that although the context of developing sector plans that impact UDM is understood in relation the cooperative governance and intergovernmental relations, the processes followed compromise the content. It was found that respondents who happen to occupy management positions at UDM have no clue what process KZNCoGTA follows to develop its sector plans. The other issue relates to the absence of platforms for collaboration on service delivery planning and implementation despite the IDP process being in place. From the perspective of the respondents, although the IDP process exists, it is often viewed as a platform for the Municipality to prepare and implement its IDP. However, the IDP process seeks to integrate programmes and projects for all organs of state operating within the municipal jurisdiction (Asha & Makalela, 2020:5). Nel et al. (2014:42) assert that the major challenge that compromises the

optimum success of the public sector, as in most institutions, is the inability to synchronize strategies.

Another limitation is that most senior managers at UDM do not know what KZNCogTA planned to support its development agenda. This is seen as a challenge; because KZNCogTA is unlikely to successfully execute its plans without requiring any action on the part of the Municipality. According to Weissenberger-Eibl et al. (2019:4), the success of an organization depends on its interaction with the environment within which it exists. The municipality in its plans and schedule should accommodate the additional workload which comes up with the support from KZNCogTA. This may include a simple aspect like accepting a grant which needs someone to prepare a submission to Council. Another aspect raised is the possibility that UDM is not implementing interventions as encapsulated in the IDP. This means that KZNCogTA output indicators may have been crafted to respond directly to the UDM output indicators, only to find that there is no impact on the set development agenda because of the deviation from the plan when UDM prioritizes the annual plans like the SDBIP.

The researcher highlights this aspect given the myriad number of disjunctions between the IDP output indicators to be implemented through the SDBIPs. It will therefore be recommended, that KZNCogTA considers improving its processes and ensures that the contents of plans speak to each other with the implementation streamlined through existing processes in the municipality. Guarding deviation from the IDP output indicators qualifies as responsibility for provincial monitoring and support, and should be noted through this research.

6.3.4 Strengthening KZNCogTA sector plans to advance UDM's development agenda

This section relates to the last objective which intended to obtain and make, suggestions to improve the relevance of KZNCogTA sector plans to advance UDM's development agenda. Responses from the study participants revealed that UDM receives KZNCogTA interventions as an additional burden despite the support being needed. This situation arises because the KZNCogTA support is through measures that are mostly not known at the time UDM is planning its activities. It was stated that indicators contained in the KZNCogTA sector plans do not necessarily speak to the systems that are already in place, which impedes the progress of municipal service delivery. For instance, there are meetings that both management and political component hold periodically but there are additional meetings which rise because of the indicators contained in the KZNCogTA

sector plans. It was established that KZNCoGTA is being tolerated as a big brother as opposed to them being seen as complementary in a genuine sense as a manner of speaking. It also emerged that the expectation on the KZNCoGTA support is more on the side of finances. It was found that there is less eagerness for those activities meant for monitoring and providing technical advice. The other challenge identified relates to the changes in political and administrative leadership and this changing tenure impacts negatively on the municipality achieving its mandate in a more meaningful manner.

There is a need to improve the streamlining of activities so that resistance and compliance participation can be mitigated to inspire willingness and meaningful participation. If the IDP process is used to identify areas of collaboration, the support is likely to hit where it is most needed and stands a good chance of not only being appreciated; but also adding value to the achievement of the set development agenda. It will be recommended that the KZNCoGTA planning processes be integrated into the IDP processes to improve content coherence. Furthermore, measures must be put in place to popularize the sector plans including conducting periodic induction sessions to meet officials and political leaders who assume office during the year to improve the level of buy-in at both political and administrative levels.

6.4 RECOMMENDATIONS

The recommendations put forward arise from some of the gaps identified in the empirical research including the development challenges besetting UDM and suggestions to address them; suggestions put forward by the researcher in this regard are intended to improve the *status quo* insofar as the development agenda of the district municipality is concerned.

6.4.1 Development challenges besetting Ugu District Municipality

Several challenges emerged from the study as highlighted hereunder.

6.4.1.1 Strengthening cooperative governance and intergovernmental relations

The relationship between UDM and its local municipalities needs to be strengthened such that resources and skills can be shared to respond to urgent service delivery matters. The strengthening of intergovernmental relations needs to extend to sector departments and other state entities that

are operating within the district. There exist opportunities to optimize service delivery; for instance, plant and equipment can be shared if there are existing memoranda of understanding. The capacity challenges and the UDM's reputation on payment of service providers point to a need for alternative service delivery mechanisms to be explored. There are serious implications for the loss of trust to the extent that the municipality ends up paying inflated prices, as well as getting inferior quality of services from inexperienced service providers who are taking an opportunity from the UDM crises. There is no reason for UDM to be engaging incompetent service providers and getting inferior services or paying inflated prices for machinery and equipment that is available from resident sector departments, organs of state and the local municipalities. There is a need for modelling of suitable shared services arrangements which may assist in shortening the response time to service delivery issues. Intergovernmental relations play a major role to facilitate trust between the organs of the state leading to a willingness to engage in inter-sectoral collaborative efforts towards optimizing service delivery.

There is empirical evidence that shared services contribute to the enhancement of service delivery and can unblock challenges. A typical challenge that Subban and Theron (2011:21) point out, is the stringent requirements for employees performing planning functions which may pose difficulties for smaller municipalities. The authors emphasised that the shared services model is not restricted to inter-municipal arrangements drawing from the Gauteng Shared Services Centre model, which is a government-wide shared-services arrangement, highlighting that lessons could be drawn from this model. Reddy (2011: 10, in Subban & Theron, 2011:19) reveals that the shared services model is supported by SALGA and the African National Congress with pronouncements on suitability to address challenges in service delivery. It can be said that a shared services model appears to be a practical approach towards addressing the service delivery challenges at UDM.

6.4.1.2 Improved planning and alternative services delivery mechanisms

In the Ugu district, some people must wait for a long period until they can access water provisioning due to the multiyear phasing of projects. In some instances, as per the findings of this study, by the time there is water in the system, the supply-demand already exceeds the design capacity of the scheme due to the increase in the number of households over the years. The municipality needs to re-look at the designs moving forward and ensure that phases are reasonable to get water to the people while they are in urgent need of this basic human right.

The legislative environment discussed in Chapter 3 permits the municipality to pursue rendering services through service delivery agreements. There is also an opportunity arising from the powers of an MEC for local government to move a function to another municipality which has capacity whilst the municipality vested with the function is sorting its shortcomings. The UDM can enter into a service-level agreement with another municipality and services provided will not be hampered due to its challenges. Moreover, the MEC for local government can move the function to another municipality temporarily. These are options available to mitigate the challenges threatening the provision of such essential services.

6.4.1.3 Intergovernmental collaboration and UDM debt collection

The issue of non-payment for water, especially by those who do not fall within the indigent category, should receive urgent attention from all spheres of government considering the average collection rate at about 68%, with approximately 60% of municipalities being in financial distress (Oosthuizen & Thornhill, 2017:12). The UDM projected a 70% collection rate for the 2020/2021 financial year (UDM, 2022:218). It shows a possibility that there are customers who are either municipal councillors or municipal officials, public office bearers at national and provincial government and public servants who are not honouring payment for their water accounts. This is the starting point which can be dealt with through the DDM structures. Ideally, no municipal councillors or municipal employee should be in arrears for longer than three months as such constitutes a breach of the Code of Conduct for both municipal councillors and municipal staff. The national government should be able to use its regulatory authority to pass laws that would enable the South African Revenue Service to collect amounts owed when dealing with tax matters for business and income-earning individuals. Ideally, there should be no state institution owing to a municipality for services. Such a situation is against the RSA Constitution, 1996, which provides that government and organs should be accountable and coherent.

The DDM presents an opportunity for monitoring progress made on the recovery of debt owed, starting from addressing inter-municipal debt and all provincial departments. It is a possibility for the National Treasury to make provisions in the Division of Revenue Act to withhold amounts that are owed by state entities to other state entities. The DDM should start a debate on these matters and take advantage of the National DDM Champion who can assist with the escalation to the national level. The Ugu District Political Hub should consider inviting executive authorities whose departments have long outstanding debts to make their case for non-payment understood.

6.4.1.4 Intergovernmental war against illegal connections at Ugu District

Given the track record of illegal connections, it may be necessary for new schemes to be reconsidered in favour of designs that make it possible for communities to access water within a 200m distance at least to curb the temptation from some citizens to interfere with the infrastructure to access water illegally. The treatment of criminality associated with the sabotage to water supply infrastructure needs interventions from law enforcement agencies. The South African Police Service (SAPS) should consider tempering with water supply systems as a serious crime due to the dire consequences to the local communities. In line with the afore-stated call, SAPS should work tirelessly to make swift arrests. The justice system needs to come on board and prioritize the prosecution of the suspects and consider serious sentences for those found guilty of offences relating to the sabotage of water supply infrastructure.

6.4.1.5 Social compacts and stakeholder relations

There needs to be a social compact with the citizenry and key stakeholders to open channels of engagement and communication. This approach could assist even going beyond gathering communities at Izimbizo and roadshows and begin to focus on citizenry meaningful participation. The government at all levels needs to collaborate and roll out community awareness campaigns on the need to safeguard water supply infrastructure. This task should not be left to the municipality because the challenges are threatening the entire system of government. It is suggested that Government Communications and Information Systems (GCIS) assist in collaboration and funding a system that will enable communities to get information promptly. It must also be easy to reach key community leaders constantly to listen to them and update them.

6.4.2 UDM development agenda by KZNCoGTA sector plans

6.4.2.1 Context of sector plans

The context of the role of the provincial and national government in the domain of municipalities is about supporting, monitoring and capacitation, other than establishing and regulating municipalities. The approach where municipalities are the ones who must align their plans to the

provincial and national sector plans; needs to change. The desired change is when the local circumstances dictate to provincial and national governments what should be included in their sector plans. Given that KZNCoGTA is supporting UDM, its sector plans must be informed by the set UDM development agenda.

6.4.2.2 Content on sector plans

There is a need for KZNCoGTA to collaborate with UDM on output indicators. The synergy of the KZNCoGTA output indicators aimed at supporting UDM should be improved. The output indicators should be crafted such that their achievement can be attributed to what UDM seeks to achieve, given that KZNCoGTA interventions are meant to support UDM to provide the services for which they are mandated. Leaving output indicators at supporting UDM without specifying the result of the support and impact to be achieved on service delivery makes it impossible for KZNCoGTA to be held answerable to the service delivery challenges that remain a challenge for a long time. It is envisaged that indicators which include a measurement that relates to achievement; would dominate the KZNCoGTA Sector plans so that the support can be attributed to the development agenda. Below are three sample examples of indicators that are likely to show KZNCoGTA and UDM collaboratively impacting outputs and targets:

- *Number of municipalities supported to achieve 100% expenditure of infrastructure grants.*
- *Number of municipalities supported to implement all funded alternative water resource supply programmes.*
- *Percentage of water use licence applications monitored for approval within time frames.*

6.4.2.3 Process of developing and popularizing sector plans

There is far little knowledge of the KZNCoGTA sector plans at UDM despite these plans being targeted for support, hence making this study a very timely one. The implication is that the Municipality does not know how it is to be supported until the support is at the doorstep. The Municipality does not have adequate time to determine whether the support is relevant to its circumstances or not. Moreover, the municipality is not ready to receive the support. Therefore, the KZNCoGTA process of developing its sector plans on aspects that impact municipalities need to be consultative and integrated into the municipal service delivery planning and implementation

processes. The IDP Representative Forum is available as a service delivery planning and implementation engagement platform for all sectors and stakeholders.

It is further recommended that once sector plans are adopted, they must be made available to all stakeholders. To counter back-footing emanating from changes in municipal political and administrative leadership, provisions should be in place for compulsory orientation for new administrative and political leaders within three months of assuming office.

6.4.3 Constraints for the KZNCoGTA sector plans

Some of the major constraints that emerged from the research are presented in the discussions hereunder.

6.4.3.1 Service delivery planning and implementation processes

Respondents made some proposals on the process which can make UDM become part of and subscribe to the KZNCoGTA indicators. Cooperation and appreciation are likely to improve if UDM forces understand the contributions and suggestions that the KZNCoGTA actions make to their respective plans. While the context of the sector plans may be understood, the process which KZNCoGTA follows to prepare and implement its sector plans may compromise the understanding of the contents of the sector plans. There is no need to duplicate processes, which results in a waste of valuable time and resources. The IDP process is sufficient to provide KZNCoGTA with an opportunity to obtain inputs on the municipality's indicators. Therefore, the IDP process needs to be seen as a tool for the spheres of government to achieve coherence in local governance matters in government. The KZNCoGTA team which prepares sector plans needs to collaborate with the KZNCoGTA IDP team to coordinate the crafting of plans and the implementation of projects and programmes contained therein. The local government champion and senior managers assigned to the district should be used in advocating for senior manager participation in service delivery planning and implementation platforms at the district level, more importantly as well, to popularize the KZNCoGTA sector plans through the DDM platforms.

6.4.3.2 Benefits of compliance monitoring

Another important aspect is the possibility for KZNCoGTA sector plans to make a meaningful contribution to the UDM development plan, via the preference for financial support as opposed to any other forms of support. It would be necessary for KZNCoGTA to popularize benefits which the municipality can derive from provincial compliance monitoring and to celebrate achievements from the process to dispel the thinking that KZNCoGTA support is focused on the possibility of monetary gains.

6.4.3.3 Implementation of IDP programmes and projects

It emerged from one of the research participants that another failure for KZNCoGTA sector plans to advance the UDM development agenda, may relate to UDM not implementing its development agenda. The SDBIP in this instance may have incorporated projects that are not contained in the IDP. This will mean that whatever development is put on the ground may not address what the IDP envisaged. If UDM does not implement the set development agenda, the service delivery programmes will be incoherent with one another. A crucial compliance monitoring aspect that is upon KZNCoGTA is the coherence of the SDBIPs with the IDP.

6.4.4 Strengthening KZNCOGTA sector plans

6.4.4.1 Streamlining development and implementation of sector plans

The IDP processes should be used to improve coordination and collaboration to achieve coherent sector plans. The content of the Sector Plans needs to be popularized and areas of collaboration should be identified to minimize duplication and burden on the Municipality. As far as possible, KZNCoGTA activities should be made known to the Municipality before their annual plan is produced so that they are incorporated. Existing council platforms should be used instead of convening separate meetings. Where separate meetings are unavoidable, adequate notice time should be afforded and there must be minimal appearance during busy seasons like April, when there are public consultation activities on the draft budget and IDP and August when financial statements are being prepared. Extra management meetings that involve the entire management should be avoided as this grind operations to a halt for the duration of the meeting.

6.4.4.2 The impact of top-down approach

The undertones of power issues at play present a challenge within the governmental relations aspect. In a collaborative environment such as within government, all parties should feel as though they are part of and equal to their counterparts. The starting point is for the provincial and national government officials to respect the local-level jurisdictional service delivery planning and implementation platforms. This is a significant aspect of governmental relations. There is a need for KZNCoGTA to undergo a process of self-introspection and identify aspects that can result in them being viewed as behaving in a top-down approach and carrying out their role in an authoritative manner.

There are local government activities which need a review of approach as they present power-authority relations and situations of apathy against KZNCoGTA activities within the UDM domain. Such activities include imposed municipal assessments, unnecessary meetings, and reporting burdens. This outcry suggests that existing platforms and mechanisms need to be strengthened so that they can produce outcomes that satisfy all stakeholder needs. This initiative could be in line with a coordinated and integrated approach as a necessary approach in government. Another possibility is the consideration for municipal assessments to be done by reviewing the information contained in statutory documents and meeting packs for council structures. This therefore, calls for the standardization of reporting frameworks as a normative guideline, which is deemed essential in good public administration practices so that information required by all stakeholders can be extracted from a single source thus eliminating the need for multiple calls for information. It is also possible for KZNCoGTA to participate in the quarterly review sessions and make their important responses at these meetings which are deemed useful in real time. If issues are raised during the quarterly review sessions, the chances are better for UDM to incorporate those on the improvement and remedial action plans instead of them being pursued from the KZNCoGTA side because this is from where the issue of overburden rises, which overshadows the need for such issues to be addressed in any constructive way.

Institutional arrangements become critical when reforms are being implemented. There may be a need for organizational performance management units to be strengthened so that they may incorporate areas that are found to be weak in the plans and reports for relevant departments in the performance improvement plans. This means that the point of entry would be this Unit when issues of monitoring and support are dealt with and would have to be institutionalized for a more

significant and seamless approach to ensuring good municipal governance and enhanced service delivery is upheld.

6.5 CHAPTER SUMMARY

This chapter concludes the study and discusses the structure of the study by briefly outlining the focus of each of the preceding discussions and making pertinent recommendations. It indicated that all four research questions were adequately answered. The conclusion is that the KZNCogTA sector plans show the contribution to UDM service delivery matters. The indicators, however, are not designed to address the set development agenda directly hence they partially advance aspects of the UDM's strategic intent. Recommendations relate to intergovernmental collaboration to address the identified challenges at UDM in particular and for KZNCogTA in general, to reconsider its processes for the development of the sector plans, as well as to use the IDP processes as platforms to discuss service delivery planning and implementation for effective municipal service delivery.

6.6 FINAL REMARKS AND AREAS FOR FUTURE RESEARCH

6.6.1 Main finding

This research study revealed that the system of government premised on the coherence of plans to respond to the prioritized and urgent needs of the local community; has not reached a stage where KZNCogTA can be jointly held accountable together with UDM for service delivery shortcomings. There appears to be an alignment of plans rather than the coherence of output indicators, which is an important aspect for due consideration in this district municipality and for KZNCogTA at large.

6.6.2 Suggestions for future research

There are various areas of further research within the context of navigating through the plans that are prepared and executed to address the needs of the local communities. One typical research study may look at the achievement of the IDP projects for a particular IDP term compared with what the SDBIPs provided over five years, as well as what was reported as the actual achievements

by the municipality. Another broader research study proposed is the assessment of performance reports adopted during a specific municipal council term of office. Future studies could investigate matters raised in audit outcomes to determine the level of fruitless and wasteful expenditure, and the effectiveness of governance structures. Other areas of further research deemed significant include:

- Government-wide shared services on machinery and equipment.
- Analysis of the indigent population.
- Reasons for community members to connect services illegally.
- Partnering with traditional leaders to provide water in their jurisdictional areas.

6.6.3 Evaluation of research

The study contributed to three levels: theoretical, empirical and practical, insofar as fulfilling the development agenda of local government in general and the UDM, in particular, is concerned.

6.6.3.1 Contribution at the theoretical level

The spheres concept concerning the system of government has been given another meaning to understand that the system is not about levels but it relates to the geographic jurisdiction with authority for each of the spheres being addressed through the authority contemplated in the RSA Constitution, 1996.

6.6.3.2 Contribution at the empirical level

The study found that officials at the local level do not know what the national and provincial spheres have on their sector plans to support the municipality. By implication, these two spheres cannot be held accountable for the service delivery failures in the local sphere, despite the constitutional mandate.

6.6.3.3 Contribution at the practical level

The study offered practical recommendations to address the trend of the non-payment for services by the group that does not belong to the indigent category through the strengthening of the structures of the DDM. Recommendations were made in respect of improving intergovernmental

relations and including exploring shared services beyond municipalities, specifically for the state institutions operating within the district to improve government response to the service delivery needs.

6.7 LIMITATIONS TO THE STUDY

This study focused on UDM, while KZNCoGTA's inter-jurisdictional geographic space consists of 54 municipalities. There were insufficient published sources that are specific to UDM. Reliance was mostly placed on unpublished research and scholarly journal articles that were sourced from the Internet. There exists the need for further research which may use other methods such as focus groups, observation, and questionnaires to collect data through mixed methods research. Therefore, KZNCoGTA sector plans and UDM sector plans can be studied independently. Furthermore, targeting more municipalities in a study may present an opportunity to cover a wide range of issues and related solutions.

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ANNEXURES

Appendix A: Ethical Clearance



18 October 2019

Ms Nonhlanhla Aurellia Zamisa (206525220)
School Of Man Info Tech & Gov
Westville Campus

Dear Ms Zamisa,

Protocol reference number: HSSREC/00000578/2019

Project title: KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans and Ugu District Municipality's development agenda

Full Approval – Expedited Application

This letter serves to notify you that your application received on 23 September 2019 in connection with the above, was reviewed by the Humanities and Social Sciences Research Ethics Committee (HSSREC) and the protocol has been granted **FULL APPROVAL**

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

This approval is valid for one year from 18 October 2019.

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

Yours sincerely,



ff

Dr Rosemary Sibanda (Chair)

/dd

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

Founding Campuses: ■ Edgewood ■ Howard College ■ Medical School ■ Pietermaritzburg ■ Westville

INSPIRING GREATNESS

Appendix B: Re-certification Ethical Clearance



25 January 2023

Nonhlanhla Aurellia Zamisa (206525220)
School of Management, IT & Governance
Westville Campus

Dear NA Zamisa,

Protocol reference number: HSSREC/00000578/2021

Project title: KwaZulu-Natal cooperative governance and traditional affairs sector plans and Ugu District Municipality's development agenda

Approval Notification – Recertification Application

Your request for Recertification dated 24 January 2023 was received.

This letter confirms that you have been granted Recertification Approval for a period of one year from the date of this letter. This approval is based strictly on the research protocol submitted and approved in 2019.

Any alterations to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form, Title of the Project, Location of the Study must be reviewed and approved through the amendment/modification prior to its implementation. Please quote the above reference number for all queries relating to this study.

PLEASE NOTE: Research data should be securely stored in the school/department for a period of 5 years

This approval is valid for one year: 25 January 2024.

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

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

Yours sincerely,



Professor Dipane Hlalele (Chair)

/ms

Humanities & Social Sciences Research Ethics Committee
UKZN Research Ethics Office Westville Campus, Govan Mbeki Building
Postal Address: Private Bag X54001, Durban 4000
Tel: +27 31 260 8350 / 4557 / 3587
Website: <http://research.ukzn.ac.za/Research-Ethics/>
Founding Campuses: Edgewood Howard College Medical School Pietermaritzburg Westville

2023/02/19, 19:45

INSPIRING GREATNESS

Appendix C: Informed Consent

UKZN HUMANITIES AND SOCIAL SCIENCES RESEARCH ETHICS COMMITTEE (HSSREC)

**APPLICATION FOR ETHICS APPROVAL
For research with human participants**

CONSENT TO PARTICIPATE

I have been informed about the study entitled 'KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans and Ugu District Municipality's development agenda' by Ms Nonhlanhla Aurellia Zamisa.

I understand the purpose and procedures of the study as to assess the usefulness of these sector plans and to identify constraints limiting their ability to mitigate development challenges at Ugu District Municipality (UDM) so that measures can be suggested to strengthen these sector plans to make them relevant. This is done through in-depth interviews and documentary review.

I have been given an opportunity to ask questions about the study and have had answers to my satisfaction.

I declare that my participation in this study is entirely voluntary and that I may withdraw at any time without affecting any of the benefits that I usually am entitled to.

I have been informed that there will be no monetary or any direct gain from participating in the study.

If I have any further questions/concerns or queries related to the study, I understand that I may contact the researcher at 082 4474 298 or AurelliaZamisa.naz@gmail.com.

If I have any questions or concerns about my rights as a study participant, or if I am concerned about an aspect of the study or the researchers then I may contact:

HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION

Research Office, Westville Campus
Govan Mbeki Building
Private Bag X 54001
Durban
4000
KwaZulu-Natal, SOUTH AFRICA
Tel: 27 31 2604557 - Fax: 27 31 2604609
Email: HSSREC@ukzn.ac.za

Additional consent

I hereby provide consent to:

Audio-record my interview YES / NO

Signature of Participant

Date

**Signature of Witness
(Where applicable)**

Date

**Signature of Translator
(where applicable)**

Date

Appendix D: Interview Guide

INTERVIEW GUIDE

RESEARCH TOPIC

KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans and Ugu District Municipality's development agenda

RESEARCHER

N. A. Zamisa, Student Number 206525220

Master of Administration Student at the University of KwaZulu-Natal- Westville campus for the 2023 academic year

TARGETED AUDIENCE:

Strategic Planners, Development Planners, IDP Managers, Monitoring and Evaluation Practitioners, Programme Managers, Sub-programme Managers, Transversal Programme Managers

SECTION A: BIOGRAPHICAL INFORMATION

Mr/Mrs/Miss/Rev/Dr:

Gender:

Race:

Age:

Highest qualification:

Nature of job:

Post title:

Period of service:

Name of Component:

No. of years in the current post:

No. of subordinates:

Role in service delivery planning and implementation:

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SECTION B: RESEARCH QUESTIONS

B1. Development challenges besetting Ugu District Municipality

- B1.1 What Governance and municipal administration related challenges impact on development at Ugu District Municipality if any?
- B1.2 Which financial related challenges compromise development at Ugu District Municipality if any?
- B1.3 To what extent is the public involved in Ugu District Municipality's development programmes and projects?
- B1.4 If there has been protest actions directed at Ugu District Municipality, what are the main issues citizens' voiced out?
- B1.5 In your view, what is the state of development in relation to Ugu District Municipality's functions?



Please justify your response:

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- B2 The extent to which the KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans advance Ugu District Municipality's development agenda?
- B2.1 Which Platforms are used to deliberate on the preparation and implementation of KZNCoGTA sector plans in which Ugu District Municipality participates?
- B2.2 What role does Ugu District Municipality play in the development of the KZNCoGTA sector plans?
- B2.3 Would you say KZNCoGTA sector plans adequately cater for its support and monitoring role to advance Ugu District Municipality's development agenda?

Please explain:

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B2.4 What is your rating of the contribution KZNCoGTA Sector Plans make in Ugu District Municipality's development agenda?

Very Poor	Poor	Good	Excellent
☐	☐	☐	☐

What is the rationale for your answer?

.....

.....

.....

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B2.5. What is your expectation in relation to the role of KZNCoGTA in monitoring and supporting Ugu District Municipality?

B3 Constraints for the KwaZulu-Natal Department of Cooperative Governance and Traditional Affairs sector plans to advance Ugu District Municipality's development agenda.

B3.1 Based on your experience, is Ugu District Municipality embracing KZNCoGTA's jurisdiction in its domain? Please justify.

B3.2 In your view, what constraints compromise KZNCoGTA sector plans to contribute in advancing Ugu District Municipality's development agenda?

B4 Measures to strengthen the KwaZulu-Natal Department of Cooperative Governance and Traditional Affairs sector plans to advance Ugu District Municipality's development agenda.

B4.1 What would you improve in the KZNCoGTA's process to develop and implement its sector plans to optimize its relevance to advance Ugu District Municipality's agenda?

B4.2 How do you think KZNCoGTA can strengthen its role to support and monitor municipalities in general?

Appendix E: Gatekeeper's Letter

PO Box 33, Port Shepstone 4240
KwaZulu-Natal
South Africa



28 Connor Street
Tel: (039) 688 5807
Fax: (039) 682 3350

Ugu Distrik Munisipaliteit

Ugu District Municipality

Ugu Umasipala Wesifunda

CORPORATE SERVICES DEPARTMENT

Enquires: Ms V.O. Mazibuko
039 688 5758

24 July 2019

TO WHOM IT MAY CONCERN

Dear Sir / Madam

RE: MS N. A. ZAMISA'S REQUEST FOR PERMISSION TO CONDUCT A RESEARCH PROJECT TITLED "THE EFFICACY OF SECTOR PLANS FOR THE KWAZULU-NATAL DEPARTMENT OF COOPERATIVE GOVERNANCE AND TRADITIONAL AFFAIRS TOWARDS MITIGATING DEVELOPMENT CHALLENGES AT UGU DISTRICT MUNICIPALITY"

I wish to advise you on behalf of Ugu District Municipality that permission has been granted to Ms N. A. Zamisa, Student Number 206525220, who is registered for Masters of Administration in the current academic year with the University of KwaZulu-Natal, Westville Campus, in the School of Management, Information Technology and Governance within the College of Law and Management Studies; to conduct a study in the Municipality. Ugu District Municipality acknowledges and understands that her research project will contribute towards her thesis project titled: The efficacy of sector plans for the KwaZulu-Natal Department of Cooperative Governance and Traditional Affairs towards mitigating development challenges at Ugu District Municipality.

PARK RYNIE: (039) 976 1333

PORT SHEPSTONE: (039) 688 5700

OSLO BEACH: (039) 688 5830

HARDING: (039) 433 1563

24 HOUR CUSTOMER CARE CENTRE: (039) 688 5830

www.ugu.org.za

The Municipality is aware that she will need to interview key employees of the Municipality during office hours depending on the convenience of the identified participants for the study. Further, the Municipality is aware that data will be provided to the researcher with all personally identifying information; however, these will be eliminated during the data presentation in the form of the final thesis e.g., names shall be removed so that the data cannot be traced to any individual. The Department is further aware that she may require assistance to access related documents that may not be available from public platforms.

Accordingly, Ms N. A. Zamisa is supported in her endeavor and permission is hereby granted for her to conduct this research study in the Municipality.

Thank you



Mr V.O. Mazibuko

24/07/2019

Date

PARK RYNIE: (039) 976 1333

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Appendix F: Language Editor Certificate

THE WRITING STUDIO *Writing and Editing Practice*

Certificate 2/7

TO WHOM IT MAY CONCERN

20 July 2023

This thesis, entitled: **KwaZulu-Natal Cooperative Governance and Traditional Affairs sector plans and Ugu District Municipality's development agenda** by Nonhlanhla Aurellia Zamisa has been edited and reviewed to ensure technically accurate and contextually appropriate use of language for advanced research.

Yours sincerely



CM ISRAEL, BA Hons (UDW) MA (UND) MA (US) PhD (UNH)
LANGUAGE EDITOR AND WRITING CONSULTANT
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