UNIVERSITY OF KWAZULU-NATAL

THE ROLE OF INTERGOVERNMENTAL RELATIONS IN SERVICE DELIVERY: A CASE STUDY OF THE COMMUNITY DEVELOPMENT WORKER PROGRAMME WITHIN THE UMSUNDUZI LOCAL MUNICIPALITY AND UGU DISTRICT MUNICIPALITY

BY

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A dissertation submitted in partial fulfillment of the requirements for the

degree of Master of Public Administration

in the School of Management IT and Governance,

University of KwaZulu-Natal,

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February 2019

DECLARATION

I, Zandile Happiness Mkhwane, declare that:

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II.   This dissertation has not been submitted for any degree or examination at any other institution.

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ACKNOWLEDGEMENTS

ABSTRACT

South Africa is a society that is characterised by various inequalities as a result of the apartheid system. The advent of democracy came with promises of equality and a better life for all through, among others, improved delivery of services; however, these have not come to fruition. Citizens remain in poverty due to a range of factors. This has led to the country witnessing regular service delivery related protests which are a manifestation of dissatisfaction with a slow pace of service delivery. The Community Development Worker Programme (CDWP) was introduced to address the challenges of poor service delivery and to empower communities through improved and accelerated delivery of services. The programme ensures that the activities of the three spheres of government are coordinated and integrated to achieve a holistic delivery of services. The success of the programme is therefore dependent on the cooperation of the three spheres of government; hence intergovernmental relations (IGR) is vital to the success of the programme. Since its inception, the CDWP's success in achieving its mandate is yet to be attested to, as witnessed by the ever increasing number of service delivery protests. As IGR has been identified as one of the major contributor to the programme's inability to deliver on its mandate, this study was undertaken to understand the role of IGR in serviced delivery and also to investigate the IGR factors that affect the success of the CDWP. In exploring these factors, the study employed a qualitative research design wherein a case study method was used as a strategy of inquiry. The sample of the study consisting of senior managers for municipalities, Community Development Workers (CDWs), local councilors, ward committee members and ordinary community members were selected purposively from the population of Ugu district and Umsunduzi local municipalities. Data was collected using structured one-on-one and focus group interviews as methods of data collection. The data was analysed using thematic analysis technique. The findings of the study have indicated that IGR plays a vital role in promoting co-operative government amongst the three spheres of government within the CDWP. The findings further identify IGR factors and elements which affect the success of the programme. The study concludes by recommending the promotion of cooperative government by establishing strategies for continuous involvement of all employees in IGR activities. It further recommends the promotion of IGR as part the performance agreements for senior managers. Lastly, the study recommends the establishment of a monitoring and evaluation framework for IGR implementation.

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LIST OF ACRONYMS

CBO	Community-Based Organization
CDW	Community Development Worker
CDWP	Community Development Worker Programme
COGTA	KwaZulu-Natal Department Cooperative of Governance and Traditional Affairs
COHOD	Committee of Heads of Departments
FOSAD	Forum of South African Directors-General
FBO	Faith Based Organization
ID	Identity Document
IDP	Integrated Development Plan
IGF	Intergovernmental Forum
IGR	Intergovernmental Relations
KZN	KwaZulu-Natal
MEC	Member of the Executive Council
MINMEC'S	Minister of Cabinet and Members of Provincial Executive Council
M&E	Monitoring and Evaluation

NCOP	National Council of Provinces
PMFA	Public Finance Management Act
NPO	Non-Profit Organization
OSS	Operation Sukuma Sakhe
PCC	President's Coordinating Council
PIF	Premier's Intergovernmental Forum
PGDS	Provincial Growth and Development Strategy
RDP	Reconstruction and Development Programme
SOE	State Owned Enterprises
UK	United Kingdom
WWII	Second Word War

CHAPTER ONE: INTRODUCTION AND OVERVIEW OF THE STUDY

1.1   INTRODUCTION

The South African government is continuously faced with numerous service delivery protests stemming from dissatisfaction and inadequacy of service delivery. With the government of national unity coming into power in 1994 and promises of service delivery to the citizenry (more in particular the poor rural communities to close the gap caused by the apartheid regime) citizens expected more from the government in delivering on its commitments. Additionally, these expectations were fueled by promises of equality in respect to service delivery as stipulated in election manifestos of local government councilors and political parties. Therefore, the inability of government at all scales (national, provincial and local) to deliver services as promised has led to high levels of unemployment, poverty, lack of development and generally displeased citizens. These issues have escalated to service delivery protests.

In order to address the problems of poor service delivery, various strategies and programmes have been adopted by the South African government. One such programme is the Community Development Worker Programme (CDWP) aimed at empowering communities through improved and accelerated service delivery to the citizenry. Although the CDWP has been in operation since 2003, the number of service delivery strikes that have been experienced by the country could be attributed to the inability of this programme to deliver on its mandate.

Through the CDWP, Community Development Workers (CDWs) are employed to act as linkages between the government and communities (Raga, Taylor and Gogi, 2012:231). This is done by working with communities across the three spheres of government through employment by the National Department of Co-operative Governance and Traditional Affairs, but stationed within municipalities. A question arises as to whether the CDWP is able to deliver on its mandate particularly so within the context of intergovernmental relations. As such, this research aims to explore this

critical link thus the dissertation entitled "the Role of Intergovernmental Relations in Service Delivery through the lense of the Community Development Worker Programme within the Umsunduzi Municipality and Ugu District Municipality".

1.2   BACKGROUND TO THE STUDY

The constitution of the country advocates for the delivery of services to all citizens as a basic right. However, the previously marginalized and the mostly poor have been and continue to be at the receiving end of government services. The shift of power to the new democratic government saw the delivery of services to the previously marginalized being viewed as a means to address the past imbalances created by the apartheid regime, and a means of ensuring quality life for all citizens. In an effort to ensure fast tracked service delivery to the citizenry, local government has been placed in the forefront and made the custodians of service delivery. This, however does not mean that local government is solely responsible for providing services; it does this in cooperation with other spheres of government.

The constitution further advocates for co-operative government wherein all spheres of government must defend peace and national unity, ensure the well-being of the citizenry. It also encourages the spheres to work with each other in mutual trust and good faith to ensure friendly relations as well as assist and support each other where necessary. Although the constitution advocates for the spheres of government to work together towards a common goal, it also acknowledges that they are distinct but interdependent and interrelated (Edwards 2008:90). Central to the successful implementation of co-operative government is intergovernmental relations, for which Edwards (2008) argues that it is a vehicle for ensuring co-operative government. Coetzee (2010:85) notes that cooperation is vital for ensuring satisfactory service delivery, and that public protests and instability in the country were a result of poor co-operation, implementation and co-ordination between the various spheres of government. In view of this, it can be argued that intergovernmental relations are vital in ensuring service delivery.

Although gaps have been noted in service delivery to the poor through the presidential *izimbizos* (where all spheres of government are normally involved), the high incidences

of service delivery protests attest to the notion that challenges still exist in the delivery of services. In the year 2011, before the local government elections, the country saw a number of communities who refused to exercise their rights to vote because they saw this act as not adding any value to their lives (Managa, 2012:6). Their arguments were mainly based on the fact that voting was not assisting them in improving their standards of living as they still did not have access to basic services. This notion is supported by Tshishonga and Mafema (2012:2520) who argue that government's inability to address the high number of socials ills relating to poverty, high levels of unemployment, and lack of service delivery has led to strikes and mass actions by people.

The CDWP was introduced by then president of South Africa, Mr. Thabo Mbeki in 2003 following the realization of gaps in terms of the government's service delivery objectives and the community's inability to benefit from those objectives. The main objectives of the CDWP are achieved through improved service delivery and joint work for the achievement of economic and social upliftment (Raga *et al*. 2012:235). According to the Handbook on Community Development Workers in South Africa (DPSA, 2007:7), the programme introduces "Public Service Echelon of multi-skilled" community development workers whose main responsibilities are to:

    i.   assist in the elimination of the developmental deadlocks;
    ii.   strengthen the democratic social contract;
    iii.   advocate an organized voice for the poor; and
    iv.   improve government community network".

The Handbook on Community Development Workers in South Africa, further defines Community Development Workers as "Community based resource persons who collaborate with other community activists to help fellow community members to obtain information and resources from service providers with the aim of learning how to progressively meet their needs, achieve goals, realize their aspirations and maintain their well-being" (DPSA, 2007:14). As community development and change agents, CDWS are tasked with the responsibility of ensuring that community members are empowered to become self-reliant through accessing relevant government services. They are part of

the information highway since they work within a framework that provides management support and access to resources for effective implementation of community based developmental projects (Tshishonga and Mafema, 2008:364). As change agents, they (CDWs) are required to initiate the process of change whilst also ensuring that the change is according to the specifications and pacing of the society (Burkey, 1993:76, Swanepoel & De Beer, 2006:53) in Tshishonga and Mafema (2008:365).

1.3   STATEMENT OF THE RESEARCH PROBLEM

South Africa is a society that is characterized by various inequalities as a result of the apartheid system. The advent of democracy came with promises of equality and a better life for all through efficient delivery of services. These, however never came to fruition. On a daily basis, citizens face challenges of poverty, unemployment and lack of development. This has led to the South African government being confronted with regular service delivery related protests, which are according to Coetzee (2010:85) is a manifestation of dissatisfaction with a slow pace of service delivery.

The CDWP was introduced to address the challenges of poor service delivery by resolving service delivery bottlenecks and empowering communities through improved and fast tracked delivery of services. CDWs are employed to connect government with communities by collaborating with line departments and other stakeholders to deliver basic services. They facilitate integration and coordination of services by the three spheres of government for the benefit of the public. The holistic approach of delivering services is facilitated by the intergovernmental relations systems through which friendly relations amongst the spheres of government are cultivated and team work is encouraged for common goal achievement in service delivery to the citizenry.

Since its inception, the CDWP success in removing service delivery bottlenecks is yet to be attested to. An ever increasing number of households considered poor as well as more frequent genuine service delivery protests are being viewed as an indication of the government's failure to perform its duty and the inability of the CDWP to deliver on its mandate. Various studies conducted by scholars such as Disoloane and Lekonyane (2011), Tshishonga and Mafema (2012) and Mubangizi (2009) on the CDWP, have

identified intergovernmental relations (IGR) as one of the challenges in the successful implementation of the programme. The study was therefore undertaken to identify the IGR factors that affect the success of the CDWP.

1.4   OBJECTIVE OF THE STUDY

In view of the above, the aim of the study was

i.   To explore the nature of existing relationships amongst the three spheres of government that are party to the CDWP.

ii.   To assess the role of intergovernmental relations in the CDWP.

iii.   To assess the challenges related to intergovernmental relations that are faced by the Community Development Workers.

iv.   To explore the intergovernmental relations factors that affect the success of the CDWP.

v.   To ascertain what needs to be improved and make recommendations accordingly.

In addressing the objective of the study, the following questions were asked:

i.   What is the nature of existing relationships amongst the three spheres of government that are party to the CDWP?

ii.   What is the role of intergovernmental relations in the CDWP?

iii.   What intergovernmental relations-related challenges do CDW face when executing their duties?

iv.   What are the intergovernmental relations factors that affect the success of the CDWP?

v.   What needs to be improved in the relationships amongst the three spheres of government?

1.5   SIGNIFICANCE OF THE STUDY

South Africa is currently facing enormous challenges relating to service delivery. Citizens are protesting, destroying government assets in attempts of voicing out their frustration with the non-existence of service delivery initiatives or slow-moving pace of delivery. The CDWP is a government's strategic initiative whose main objective is to unite the three spheres of government so that they could work together to resolve service delivery bottlenecks. Co-operation and synergy is ensured by intergovernmental relations which is given a voice by Intergovernmental Relations Framework Act of 2005. Intergovernmental relations is therefore viewed as a bond that ensures that the three spheres of government co-operate with each other. Intergovernmental relations has however been identified as one of the hindrances in the successful implementation of the CDWP. The study is therefore conducted to investigate the intergovernmental relations factors that have a negative impact in the CDWP and service delivery as a whole. Concerns about the non-coordinated planning, lack of capacity and skills, the working in silos mentality of government institution and thus lack of delivery of services in an integrated fashion have been raised by various scholars including Tshishonga and Mafema (2012) and Nhlabathi (2011), hence the study is conducted to contribute to the fields of IGR and service delivery.

Beneficiaries of the study have been identified as the policy makers in government, representatives of the three spheres of government, State Owned Enterprises (SOEs) as well as interested Community Based Organizations (CBOs), Faith Based Organization (FBOs) and Non-Governmental Organizations (NGOs). The study has identified intergovernmental relations factors that have a negative impact on the CDWP and service delivery as whole, and recommendations deemed appropriate have been made to make intergovernmental relations work for the government. In view of this, it is believe that all government institutions will be able to review their commitment to

intergovernmental relations and appreciate the benefits of a well-functioning IGR system to benefit the masses in terms of integrated delivery of services.

1.6   RESEARCH METHODOLOGY

Leedy and Ormrod (2010:12) define research methodology as a general approach that the researcher utilizes in conducting the research study. The research methodology allows the researcher to systematically resolve a problem through analyzing logic behind different research methods implemented. In this regard, a qualitative research was utilized. Creswell (2009:4) defines the qualitative design as a means of exploring and understanding the meaning individuals or groups ascribe to a social or human problem. This design was selected because of the philosophical assumption which is, the Social Constructivism that the researcher subscribes to as well as the phenomenon that was going to be studied. Such a phenomenon requires the exploration of the programme, as well as being part of the participants.

There are various strategies of enquiries suited for qualitative designs, but for this study a case study strategy was utilized. Robson (1993:52) in Wisker (2008:216) defines a case study as a research strategy which investigates empirically a particular contemporary phenomenon in its real life context using multiple sources of evidence. The population of the study was identified as Umsunduzi Local Municipality and Ugu District Municipality. The sample of the study was determined through the use of one of the non-probability sampling technique viz purposive sampling. Sekeram (2003:277) argues that purposive sampling is the appropriate method when the desired data can only be obtained from a specific target group. In this study, it was anticipated that the desired information could only be obtained from a specific group.

Data for the study was collected through interviews. Cooper and Schindler (2012:152) define an individual interview as a conversation between two people that has a structure and a purpose which is mainly to elicit the knowledge of the interviewee on a topic and is useful for exploring individual beliefs, values understanding and experience. The interviews were divided into two types; individual (one-on-one interviews) and focus

group interviews. In order to ensure some degree of control over the collection of data, interviews were structured.

Data analysis is a process that is aimed at reducing and making sense of the vast amounts of information collected from different sources so that impressions that will respond to the research question can emerge (Leedy and Ormrod, 2010:152). According to Neuman (2009:419) when researchers analyze data, they reach conclusions about social life based on their impression and interpretation of the evidence provided. For this study, thematic analysis was utilized to analyze the collected data. Thematic analysis is defined by Braun and Clarke (2006:6) as a method of identifying, analyzing and reporting patterns or themes within data. Thematic analysis could also be viewed as a strategy wherein data is categorized through broad understanding of data and the discovery of patterns and thus the development of themes.

1.7   LIMITATION OF THE STUDY

The CDWP is a national programme which is implemented across all 9 provinces. The study only focused in KwaZulu-Natal (KZN) as focusing on all 9 provinces would have been an insurmountable exercise. The KZN province has 10 district municipalities and 43 local municipalities. It was also a challenge to focus on all the district and local municipalities, hence the study was focused on Umsunduzi Local and Ugu District Municipalities. The sample of the study was representative of the population; hence the findings of the study could be generalized to the population. Interviews were held with CDWs employed within the Ugu District municipality, which means that CDWs that were interviewed came from 5 local municipalities that fall under Ugu District, whilst for Umsunduzi Local Municipality, only CDWs placed at Umsunduzi Municipality were interviewed.

1.8   STRUCTURE OF THE STUDY

The dissertation is structured into six chapters.

Chapter one provides background to the general problem of services delivery and introduces the CDWP as solution to this problem. The chapter further details the

inability of this programme to achieve its objective as a result of intergovernmental relations, and then the rationale for the research study. The chapter also details the research methodology followed, the limitation of the study, as well the significance of the study.

Chapter two provides a theoretical framework of the study; identifying the open system and the collaboration theories as forming the basis of the study. The two theories are considered in terms of their origins as well as their characteristics in relation to the structure of the government, the spheres and the organs of state falling under each sphere, and their needs to collaborate.

Chapter three provides a literature review of CDWP, exploring its origin in relation to the concept of community development. The CDWP is introduced as strategic programme which is responsible for resolving service delivery bottlenecks through the cooperation of the three spheres. The chapter further introduces intergovernmental relations as a vehicle for ensuring co-operation by the three spheres of government. The evolution of IGR within the South African context is considered as well as the role of intergovernmental relations in service delivery.

Chapter four details the research methodology that was adopted for the study. The three research designs are highlighted and the research design adopted is detailed and the benefit for its use are discussed. The chapter further describes the sample of the study and how it was selected, and it further discusses the data gathering tools used as well as the method for analyzing the collected data.

Chapter five details the findings in terms of the research objectives. A short description of the profile of the respondents is provided; before discussing the findings in terms of the themes identified through thematic analysis.

Chapter six consolidates the study by providing the snapshot of the entire study and then provides a summary of the study conclusions in response to the research objectives. The chapter concludes by making recommendations in terms of the study and recommendations for future research.

CHAPTER TWO: THEORETICAL FRAMEWORK OF THE STUDY

2.1   INTRODUCTION

A theoretical framework can be viewed as a structure that supports a theory of a research study. It introduces and describes the theory that explains the reason for the existence of the research problem at hand. This chapter discusses the two theories which form the basis of the study, namely the open system theory and the collaboration theory. They have been selected as they seek to provide an understanding of the structure of organizations as well as their motivation for participating in collaborative relationships. Therefore, the open system theory will be considered in relation to the structuring of government, whilst the collaboration theory will provide insight into why spheres of government and their respective organs of state engage in collaborative relationships.

The chapter begins with the objective of having a government as well as its organization, followed by discussion on the above mentioned theories.

2.2   THE OBJECT OF GOVERNMENT

Governments worldwide have a responsibility of providing basic services to its citizens (Mpehle, 2012:217), and such services should be provided with the highest level of responsiveness and efficiency (Johnson, 2004:77 in Mpehle, 2012:217). Within the South African context, the Constitution provides regulations to the powers of government as well as the rights and duties of its citizens. It further places emphasis on the rights of citizens to basic services and more importantly, the responsibility of the state to respect, protect, promote and fulfil the rights of citizens (South Africa, 1996:6). Section 195 (d) and (e) of the same Constitution further stipulate that "services must be provided impartially, fairly, equitably and without bias, people's needs must be responded to, and that the public must be encouraged to participate in policy-making". Section 32.1 emphasizes the duty of government to make information available to citizens on services they are supposed to be receiving. To instill the values of democracy, Section 17 states that it is the right of citizens to participate in peaceful demonstrations

if they feel their rights are not protected and their needs are not being met (South Africa, 1996). The following paragraph looks at how the government protects the rights of its citizens.

2.3   THE STRUCTURE OF GOVERNMENT

Section 40(1) of the Constitution provides for the structure of the South African Government. This part of the Constitution stipulates that the government should be constituted of three spheres, which should be unique, interdependent and interrelated. The use of the term "sphere" is indicative of a shift from horizontal to vertical divisions of governmental power characterized by a vision of non-hierarchical government wherein each sphere has equivalent status, is self -reliant, inviolable and possesses the constitutional flexibility to define and express its unique character (Reddy, 2001:24). The inviolable status of each sphere is provided for in sub-sections of Section 41 (1), wherein each sphere is required to:-

- respect the constitutional status, institutions, powers and functions of government in the other spheres;
- not assume any power or function except those conferred on them in terms of the Constitution;
- exercise their powers and perform their functions in a manner that does not encroach on the geographical functional or institutional integrity of government in another sphere; and
- cooperate with one another in mutual trust and good faith.

In the same vein, the distinctive nature of spheres is derived from their degree of legislative and executive autonomy entrenched by the Constitution (Reddy, 2001:25); hence, the national sphere of government is responsible for legislative and policy frameworks on matters of national interest, whilst the provincial and local spheres derive their responsibilities from Schedule 5 and Parts B of schedule 4 and 5 of the Constitution, respectively.

2.4 PUBLIC ADMINISTRATION AND THE PUBLIC SERVICE

The government protects the rights of citizens by ensuring that public services are delivered to all citizens the different spheres of government. Although being distinct, the Constitution acknowledges the interdependent and interrelated nature of spheres; hence they have to co-operate when delivering services. The manner in which co-operation occurs is governed by Section 41(1)(h) of the Constitution which requires all spheres of government and all organs of state within each sphere to "co-operate with one another in mutual trust and good faith by:

- fostering friendly relations;
- assisting and supporting one another;
- informing one another of, and consulting one another on, matters of common interest;
- coordinating their actions and legislation with one another;
- adhering to agreed procedures; and
- avoiding legal proceedings against one other".

The IGR system in South Africa is a vehicle through which cooperative government is achieved. It involves "both formal & informal interaction processes and institutional arrangements for mutual and multiparty co-operation within and among the three spheres of government" (Malan, 2005:228). IGR are pursued jointly by organs of state under each spheres in order to ensure the achievement of government's constitutional mandate. Through IGR various forms of relationships are formed with the main objective of sharing information, knowledge, resources and skills so as to capacitate each other to effectively participate and implement the government's mandate of delivering public services.

Public services are rendered within the realm of public administration. Nengwekhulu (2009:343) states that the delivery of services by governments worldwide requires a government administrative system; hence public administration according to Lamidi (2015:7) is the driving force for implementing government policies. It is also an integral process through which the government performs its functions, thus Nengwekhulu (2009:344) defines it as an administrative vehicle through which governments

worldwide deliver all kinds of services to their citizens. It involves a network of human relationships and associated activities from the government to the individuals whose daily responsibility is to ensure the wellbeing of communities. Through public administration, the intentions and programmes of government as well as the available means through which these intentions and programmes could be achieved are clearly defined. Public administration also involves a pattern of routinized activities relating to co-ordination, planning, negotiation, conciliation, data gathering and decision making through which the government implements its mandate (Nnoli, 2003) in Lamidi, 2015:8.

Section 195 (1) of the Constitution provides rules in terms of how the public service should conduct itself when delivering services. Among the expected conduct is the promotion and maintenance of high standards of professional ethics, provision of services in an impartial, fair, equitable manner and without bias, the accountability of the public administration as well as responding to the people's needs and the encouragement of the public to participate in policy making (RSA, 1996:113). The white paper on the Transformation of the Public Service (WPTPS) emphasized the need to transform the public service into a representative, capable and democratic vehicles for the implementation of government policies to meet the needs of the citizens (Mpehle, 2012:215, Nzimakwe and Mpehle, 2012:280). Among other issues which were to be addressed by the white paper were high productivity, administrative capacity of managers, accountability and inefficient service delivery due to lack of motivation (Mpehle, 2012:215).

The White Paper on the Transformation of Public Service (the Batho Pele White Paper) also provides guidance for the expected conduct of the public service. This is done by emphasizing a people-centred approach to public service and a citizen-orientated approach to service delivery. Central to the Batho Pele principles is prioritizing people and treating the recipients of services in a courteous manner as customers. It is based on eight service delivery principles deemed appropriate to address service delivery challenges. These are regular consultations with customers, setting of service standards, ensuring high levels courtesy, provision of accurate and up to date information about

services, ensuring openness and transparency about services, remedial of failures and mistakes, increase of access to services and giving the best possible value for money (South Africa, 1997:8-9).

2.5   OPEN SYSTEM THEORY

The open systems theory suggests that organizations are systems that rely on their external environments for survival. It implies that organizations are strongly influenced by their environment, which consists of other organizations that exert various forces of an economic, political, or social nature. The environment also provides key resources that sustain the organization and lead to change and survival. The open system theory requires organizations to be open to suggestions and inputs from their external environments in order to survive; hence Katz and Kahn (1978:20) in Echtenkamp (2004:2) view the open system theory as "an energic input-output system in which the energic return from the output reactivates the system".

2.5.1   Origins of the open system theory

Fergus (2015:53) traces the origins of the open system theory to the theoretical work of Von Bertalanffy (1950), which analyses a phenomenon as a whole in comparison to the sum of its elementary parts. Von Beralanffy's open systems theory was developed after World War II in reaction to earlier theories of organizations. These include the human relations perspective of Elton Mayo and the administrative theories of Henri Fayol, which treated the organization as a self-contained entity (Kast and Rosenzweig, 1972:453). The systems theory places focus on interactions; hence in a system, relationships between elements and between the elements and the environment are critical (Chikere and Nwoka, 2015:1). A system is defined as an entity which is a coherent whole, such that a boundary is perceived around it in order to distinguish internal and external elements and to identify input and output relating to and emerging from the entity (Mele, Pels and Polese, 2010:127). The systems theory further differentiate between open systems and closed systems. Open systems are characterized by the exchange of energy, people and information with the external environment,

whereas in the closed system there are no exchanges of information and energy (Mele, et al. 2010:127).

Katz and Kahn (1966) argue that the closed-system approach failed to account for how organizations are jointly dependent on external environments, hence the open system theory view organizations as systems that are dependent on their environment.

2.5.2 Characteristics of the open system theory

The open system theory contends that any living entity cannot survive without its environment, as the environment sustains and helps it to grow in order to achieve its purpose. Organizations are according to the open system theory "living entities" which are built on energetic input–output, wherein the energy coming from the output reactivates the system (Mele, *et al.* 2010:128). The open system theory views organizations as comprising of cyclical, consistent patterns of behavioural activities of a number of individuals which are understood in terms of their interaction with each other and with their external environment (Katz and Kahn, 1966:173).

Although systems are characterized by boundaries which separate them from their environments, in terms of the open system theory such boundaries are porous. Therefore, the system is able to take energy from various types of inputs from the environment and transforms into outputs. The spheres of government together with other organs of state can be viewed as open systems characterized by porous boundaries. Since their boundaries are porous, they are able to import energy in the form of key resources from the environment in which they operate and in various forms and converts these into different types of inputs. Such energy could be information, suggestions and or feedback from citizens regarding services or any other assistance from another organ of state.

Katz and Kahn (1966:175-179) further identified the following common characteristics of the open systems:

    i.   Open system imports energy from the environment in various forms and converts these into different types of inputs. Without the energy and the

inputs, the open system cannot survive, hence organizations must draw renewed supplies of energy from other institutions, people and other material environments.

ii. An open system converts the inputs into some kind of outputs though a process Katz and Kahn identified as throughput. New products and or services are created; a process that requires the reorganization of inputs.

iii. In an open system, some outputs are exported to the environment. The exported outputs could be good and services, which are sold or delivered to the public. The sale or delivery of these goods and services determine whether the organization is sustainable or not.

iv. The pattern of importation of energy into inputs as well as the transformation of these into outputs, which in turn are exported to the environment is cyclical in nature. The output exported to the environment provides the source for the input in order for the cycle of activities to start afresh.

v. Arresting of negative entropy which is law of nature wherein all organizations move toward disorganization or stop to exist, is vital to the survival of open systems. In order to survive, open systems must move to arrest the entropic process and acquire negative entropy. This is possible by importing more energy from the environment than what is expended by the system.

vi. Open systems have informative input and negative feedback mechanism through which they import information from the environment. The simplest type of information input is in the form of negative feedback. Information feedback of negative type enables the system to correct its deviations from the desired course of actions.

vii. The importation of energy from the environment to maintain negative entropy ensures constancy in the exchange of energy in order to achieve a steady state. A steady state is not motionless or a true equilibrium, since there is continuous inflow of energy from the external environment and a continuous export of the products of the system.

viii. An open system moves in the direction of differentiation and elaboration. Old patterns are changed by new specialized functions. Organization therefore move towards well-differentiation and specialization of roles and functions. Specialization encourages better control over the environment. As differentiation progresses, the system provides some mechanisms for integrating and coordinating various parts.

ix. According to the principle of equifinality, open systems can reach the same final state from various initial conditions and by a variety of paths. When considering equifinality, it is appreciated that not all organizations may choose the same course of action and strategies to be successful.

2.6 COLLABORATION THEORY

Governments constituted as multi-spheres face challenges when delivering public services. Mubangizi, Nhlabathi and Namara (2013:77) argue that such governments face challenges of co-ordination and alignment of scarce resources. The increase in specialization, distribution in knowledge compounded with the complexity and interdependency in institutional infrastructure, has led to an increased demand for collaborations (Ansell and Gash, 2008:544). Therefore collaborations are viewed as solutions to organizational and societal problems (Gray and Wood, 1991:4).

2.6.1 Origins of the collaboration theory

Collaborative governance emerged with the objective of bringing public and private stakeholders together in collective forums with public agencies to engage in consensus-oriented decision making. At the heart of this theory is the need to deliver publicly-

funded services at local levels, and to integrate and co-ordinate service providers (Mubangizi, et al. 2013:780). Various authors have traced and connected the collaboration theory to various other theories, including the American federalism and intergovernmental cooperation in the 1960s (Agranoff and McGuire, 2003), Elazar, 1962 and 1984), the group theory (Bentley, 1949) and the common pool resource theory (Ostrom, 1990) in Emerson, et al. 2011:3.

Gray (1989:5) in Gray and Wood (1991:4) defines collaboration as a "process through which parties who see different aspect of a problem can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible". Collaborative relationships manifest themselves in a number of ways, hence different names have been assigned to the style that refer to the process. Gray and Wood (1991:5) make a distinction between collaboration which refers to a process and collaborative alliances which are the forms or types. Sorensen and Torfing (2005:195) in Mubangizi *et al*. (2013:780) define government networks as "relatively stable horizontal articulation of interdependent, but operationally autonomous actors, who interact through negotiations that involve bargaining, deliberations and intense power struggles". Draai (2010:139) on the other hand defines collaborative networks as stakeholder interactions at various levels of the governance spectrum which facilitate cross-boundary insight into the issues that compound service delivery. As such, in this study, collaborative networks, governance networks and collaborative alliances are used interchangeably to refer to the same concept.

2.6.2 Salient features of a collaborative process

Collaborative processes like any other social actions are characterized by certain features which distinguish them from other human interactions. Communication in a collaborative process involves face-to-face dialogue which aids in identifying opportunities for mutual gain by stakeholders (Ansell and Gash, 2008:558). Face-to face communication is vital in breaking down stereotypes that prevent the exploration of mutual gains in a collaborative relationship (Ansell and Gash, 2008:558). Stakeholders in collaborative processes are independent, however, they are able to come up with

solutions to challenges through dealing constructively with their differences. Decisions are taken and owned jointly, and all stakeholders assume collective responsibility for the direction of the alliance (Gray, 1989: 236) in Graham and Barter (999:10). Sharing the same sentiments as Gray, Vangen, Potter, Jacklin-Jarvis (2017:8) recognize the independency of stakeholders and argue that stakeholders in collaborative alliances continue to operate as independent entities addressing their responsibilities within their own vertical hierarchies while simultaneously participating in horizontal collaborative relationships that support the delivery of joint goals. Gray warned that collaborations are emergent processes; as such collaborative initiatives should be understood in a context of "emergent organizational arrangements through which organizations collectively cope with the growing complexity of their environments"(Gray, 1989:236) in Graham and Barter, 1999:10.

2.6.3   Characteristics of a successful collaborative alliances

Collaborative alliances involve interaction by stakeholders who work across organizational boundaries by pooling resources in order to solve a particular challenge and achieve a particular a goal. As all human interactions, divergent interests are bound to happen, and might lead to conflict situations which are detrimental to the effectiveness of collaborative alliances. Effective alliances are identifiable by the following characteristic (Ansell and Gash, 2008:549).

Common understanding and shared meaning

Stakeholders in collaborative alliances share a common understanding of the challenges that need to be addressed, as well as the goals that need to be achieved to address the challenges. Common understanding is achieved through a conversational process that includes all stakeholders on an equal basis. Stakeholders should be at liberty to express their interests and participate fairly in discussion, thus not be limited by coercion or manipulation. Common understanding leads to a shared identity wherein challenges are owned by the whole alliance. This then leads to coordinated activities towards the achievement of the goals. Common understanding as argued by Ansell and Gash (2008:560) could be seen as part of the larger collaborative learning process.

Shared motivation

Shared motivation plays an important role in the success of collaborative alliances. As participation in a collaborative alliance is voluntary, motivation to participate by stakeholders becomes critical. Motivation to participate is, according to Ansell and Gash (2008:552), dependent on the expectations of achievement of positive results. Motivation increases when stakeholders see a direct relation between their participation and concrete tangible outcomes. Incentives to participate also increases if stakeholders perceive the achievement of their goals to be dependent on co-operation from other stakeholders. In support of this argument, Graham (1999:8) refers to super-ordinate goals which are perceived benefits for all stakeholders despite lower order difference for individuals.

Commitment to the alliance

Commitment to the process of collaboration and the collaborative alliance is critical to the success or failure of both the process and the structure. Commitment to the process means developing a belief that good faith bargaining for mutual gains is the best way to achieve desirable policy outcomes (Burger et al. 2001) in Ansell and Gash (2009:559). This belief is closely linked to the original motivation to participate in collaborative alliances and the commitment to the alliance. Commitment to the alliance requires a willingness to abide by the decisions of the alliance, inspite of such decisions being against a particular stakeholder's values. Commitment requires each stakeholder to believe that decisions taken are for the greater good of the alliance and are aimed at achieving the goals as originally established agreed upon by the alliance. The acceptance of shared goals contributes to a sense of bonding among individuals, resulting in a mutual commitment to each other to achieve the goals. Individuals having a common goal are motivated to collaborate when they believe that they require each other's contribution to be successful in their own work. When engaged in joint work, individuals are interdependent and rely on each other to reach their goals.

Mutual trust

Trust is fundamental to all social interactions and thus trust needs to be cultivated for collaborations to be successful. Ansell and Gash (2009:558) argue that collaboration is not only about negotiating but also about building trust. Strong personal relationships across organizational boundaries based on interpersonal and inter-organization trust are recognized as key to the success of collaborative alliances. The development of trust depends on the professional knowledge skills and behaviours of participating organizations. The early stages of the collaboration requires a lot of effort which is achievable through open and honest communication, consistency, transparent behaviour, loyalty, availability, accessibility and discretion (Graham and Barter, 1999:11).

Leadership and shared authority

Leadership is a critical element in mobilising and bringing stakeholders to the party, and for directing them through the process of collaboration. It establishes and maintains clear ground rules, build trust, facilitate dialogue and explore mutual gains (Ansell and Gash, 2008:554). Leadership is also important for embracing, empowering and involving stakeholders, mobilizing them to move the collaboration forward (Vangen and Huxham, 2003a) in Ansell and Gash (2009:554). Lack of leadership could weakened the effectiveness of a collaboration.

A collaborative leader is defined as a steward of the process whose leadership style is characterized by its focus on promoting and safeguarding the process. Collaborative governance requires specific types of leaders. According to Ryan (2001:241) and Lasker and Weiss (2001:31) in Asell and Gash (2009:554), collaborative governance requires leaders with the following attributes:

- Adequate management of the collaborative process,
- Maintaining technical credibility,
- Ensuring that the collaborative alliance is empowered to make credible and convincing decisions that are acceptable to all
- Promotion of broad and active participation

- Ensuring broad-based influence and control
- Facilitation of productive group dynamics, and
- Extension of the scope of the process

A collaborative governance leader needs to be a motivator who maintains good relations, instill trust amongst stakeholder and encourage active participation by all stakeholder to the collaborative alliance.

2.6.4 Reasons for collaborations

The reasons for entering into collaborative relationship vary depending on each organization's situation. Within the public service, collaborative networks are established in the main to fulfil the requirements of cooperative government as well as to share resources and improve efficiency. Such resources could be in a form of human resources, information, knowledge, skills and expertise as well as financial resources. As argued by Draai (2010:136) government has limited resources, hence service delivery is always compromised. Through collaborative networks, efficiency is improved through shared knowledge and problem-solving; while effectiveness is improved as a result of the solutions learnt from activities occurring at a global level (Mubangizi *et al*. 2013:780).

Relationship building

Collaborative networks assist in building relationships among public servants in various spheres of government so that they strive for the achievement of a single goal for the public service, which is to deliver public services effectively and efficiently. When friendly relationships exist, trust is cultivated which in turn ensures mutual respect and good working relations. Good working relations ensures a moral imperative in that all parties to the network develop a belief that service delivery challenges cannot be solved by one sphere alone, but by the collective (Huxman and Vangen, 2005:5). The same principle is applicable to citizens in that government is an open system which requires feedback from the environment in which it operates; hence government in the form of

the three spheres needs to cultivate relationships with citizens to ensure sharing of information and provision of feedback in respect of the services that are delivered. Draai (2010: 137) argues that collaborative networks have the ability to cultivate levels of trust in government, as well as levels of trust amongst public officials of the different spheres of government, since they develop a broader understanding of issues and institutional arrangements that impact on service delivery; hence allowing public officials to define and create public value as they are at the "coal-face of service delivery".

Sharing of resources

As pointed out by Draai (2010:136) that government is limited in terms of resources, collaborative networks ensures that resources are shared in order not to compromise services delivery. Such resources can be in a form of finances, whereby one sphere might be given a mandate which is not accompanied by funds, and thus need support to execute the given mandate. In other cases function are delegated without the corresponding human resources which makes it challengeable to implement, hence Draai further argues that collaborative networks have become popular in government due to its financial and human resources limitation, particularly the availability of skills and expertise to improve service delivery which are also complex and therefore require a multifaceted approach the management thereof (Draai, 2010:136).

Information sharing and learning

Collaborative networks provide an innovative environment for learning as they bring together different individuals with different skills and expertise. This is in view of the important role that is played by Non-Governmental Organisation (NGOs), Non-Profit Organizations (NPOs), private sector organizations and international organizations in community development and the delivery of public services. As argued by Koppenjan and Klijn (2004) in Mubangizi, *at al*. (2013:780) contemporary policy problems would be more effectively and legitimately addressed through network co-ordination of resources, skills and strategies across public sector institution, formal organisations, policy sectors and jurisdictions. The involvement of officials in information sharing plays an important role, as they provide insight based on their interaction with

operational issues on a daily basis. The lessons learnt from participation in networks are intended to influence both strategic and operational public decision-making and to identify gaps in existing implementation approaches and new and novel mechanisms relevant to service delivery (Draai, 2010:138).

Co-ordination

Collaborative networks are vital to the coordination of the activities of all various stakeholders. They ensure that all activities are seamless and geared towards service delivery, thus repetition is avoided (Huxham and Vangen, 2005:6). Co-ordination between various stakeholders bring together different expertise, experience and perspectives to ensure the exchange of resources in order develop a collective strategy for the joint and individual responses to a problem. Coordination also ensures that each sphere is aware of the activities of the other, hence ensuring alignment and harmonization. Through coordination of activities, duplication and overlaps in activities are avoided, thus human and financial resource wastage and time is avoided. Coordination also allows for discussion of policies so as to ensure the alignment of same, as well as the integrated delivery of services.

2.7   CONCLUSION

This chapter has introduced the two theories that informs the study. These two theories have been discussed considering the structure of government and its organs of state and their need to collaborate in order to fulfil the constitutional mandate of co-operative government and the delivery of services. The open system theory was considered in relation to how the state is structure together with its organs, as independent systems that survive through interactions with the environment. The collaboration theory on the other hand was considered in terms of how the spheres and the organs of state interact with each other to ensure integration and co-ordination in the planning and delivery of public services.

CHAPTER THREE: LITERATURE ON THE COMMUNITY DEVELOPMENT WORKER PROGRAMME

3.1   INTRODUCTION

The advent of democracy came with the realization of inequalities in terms of services delivered to the citizenry. The democratic government had a responsibility of narrowing the gap in reference to service delivery between those who had benefitted and those disadvantaged by apartheid. Various policies and programmes were implemented to address this challenge, and one of these is the CDWP whose success has been hindered by, amongst other things, the intergovernmental relations. The aim of this chapter is therefore to explore the CDWP by providing a literature review through discussing what the programme entails, its expected outcomes and challenges that are being experienced during its implementation. Through the literature review again, the role of intergovernmental relations in service delivery will be discussed, focusing on what intergovernmental relations is and how it adds value to service delivery.

A framework for the concepts that will be used across the study will be provided so as to establish a clear and meaningful basis for the interpretation and utilization of the concepts in the context of the ensuing chapters in the dissertation

3.2   DEFINITION OF CONCEPTS

The following section provides definition of key terms and concepts

- **Community Development Worker Programme**: a strategic government policy initiative whose main objective is to close the divide that has been created by the uneven delivery of services to the citizens of South Africa. The programme entails the delivery of holistic services to the citizenry through the integration and coordination of services amongst the three spheres of government, and it employs individuals with various skills to work with communities to close the service delivery gap (DPSA, 2010:5).

- **Community Development Workers**: "Community based persons who collaborate with activists from the same communities with the aim of assisting fellow community members to obtain information on government so that they are able to access government services and other resources from service providers in order to enable them to progressively meet their needs, achieve goals, realize their aspirations and maintain their well-being" (DPSA, 2007:14).

- **Cooperative governance**: an association amongst the three spheres of government that have a responsibility of fulfilling a specific role (Malan, 2005:229). Chapter three of the Constitution enforces the three spheres of government to cultivate friendly relations, work with and support each other where necessary when fulfilling their constitutional mandates (South Africa, 1996:26). Friendly and nurturing relations are fostered through mutual trust and operating in good faith at all times.

- **Intergovernmental Relations**: "a set of both formal and informal processes, channels structures and institutional arrangements for bilateral and multilateral interactions within and between the spheres of government" (South Africa, 1998:37). These sets of formal and informal processes and structures are facilitative in nature and they ensure that government units are capacitated to effectively participate and implement government's mandate of achieving its goals (Ile, 2010: 53).

- **Spheres of government**: autonomous and non-hierarchical levels of government as provided in the Constitution. These levels of government are distinct, interdependent and interrelated (South Africa, 1996:25). Each sphere derives its powers and responsibilities from the Constitution of the country.

- **Public Services/Goods:** goods and services that the state is required to provide for the benefit of the public. These may include healthcare, education, water and sanitation, electricity housing etc. (Pauw, *et al*. 2009:18)

3.3   THE COMMUNITY DEVELOPMENT WORKER PROGRAMME

The CDWP is a government initiative that was established in the year 2003 by the then president of South Africa, Mr Thabo Mbeki. Its main objective was to address ineffective service delivery that had been witnessed by the marginalized communities. The effects of apartheid in South Africa had led to a divided and unequal society, and with the advent of democracy the previously disadvantaged and marginalized communities who had hoped for better services continued to receive below average services. It was therefore for these reasons that the then president of the country introduced the CDWP. In terms of this programme, the employed community based resources were going to join forces with other activists from the same communities and who are fighting for the rights of citizens to help fellow community members to gain access to government information and services and the government as a whole. Access to information, services provided by the government and government as a whole was going to assist communities in empowering themselves to obtaining knowledge about what services are available, how to access them and from which sphere of government or department. This in turn would result in communities being able to fulfill their needs and achieve their goals and thus improving their well-being (DPSA, 2007:14). In view of the activities performed by the community based resources under the CDWP, it therefore becomes apparent that these activities are aligned to the activities performed in the field of generic community development. This notion is supported by Tshishonga and Mafema (2010:565) who argue that community development plays a pivotal role in the CDWP through being a key solution to service delivery related problems and the well-being of citizens. In view of this, it therefore become imperative to explore the concept of community development.

3.3.1. The origins of community development

Community development is a process that has been practiced over years by many countries, hence its origins cannot be traced to one particular country but can be attributed to the early history of civilization. In the United States, many community development efforts are attributed to the practice of agricultural extensions which were initiated to improve rural life. These agricultural extensions emerged in the post-Civil War era as a response to the farm crisis that had escalated during the last quarter of the 19th century (Von Hoffman, 2012:13). Community clubs and organized communities were established as major vehicle for rural community development, and later on, the settlement houses which assisted immigrants who had come to America. Whilst these focused more on providing services for people as opposed to people providing for their own needs, Phifer (1990:20) states that approaches to community development evolved and began to recognize the empowerment of people through their own organized efforts.

In Britain, community development has its roots on the social reform movements which were a consequence of the Second World War (WWII). The effects of the war had caused a shift in the relationship between the state and society, thus leading to the British Colonial Office becoming more concerned with a welfare state system also called community development (Smyth, 2004:418). The promulgation of the Colonial Development and Welfare Acts of 1940 and 1945 ensured the support and promotion of social welfare initiatives described as mass education which later became known as community development.

In the African context, Maistry (2012:30) dates community development back to the era of the colonial policies and practices, and the work of missionaries of providing mass education and the support of conversion to Christianity. Chile (2012:51) on the other hand argues that African communities had been practicing community development for many centuries through the practice of everyday self-help long before the arrival of colonialism. The African tradition involves prioritizing community needs, self-help activities, and community mobilization all of which are community development activities inclusive of social, economic, spiritual, cultural political and environmental

well-being. Korten (1980:481), though in support of the discourse on the origins of community development argues that its popularity rose in 1948 after the post-colonial era with community development projects that were implemented in India

3.3.2.   Definition of community development

Community development is a process which is not assigned any universally accepted definition. It is a mysterious field characterized by varying definitions and contending theoretical perspectives, goals and objectives (Mayo, 2008:16; Bothwey, 2014:17). As argued by Sihlongonyane (2009:136) through its application, community development has attained different meanings, theoretical basis and practical applications over the course of time; hence Mayo (2008:16) states that in the 1960s there were about 94 definitions of community development that had been identified. Botchwey (2014:17) referring to the varying definitions, argues that this lack of a universally accepted definition has led to community development being viewed in terms of its objectives, perceptions, agendas and power structure configurations. This has in many instances led to community development being pursued to achieve both honorable and dishonest ends (Botchwey, 2014:17). He quotes the forced removal of village communities to another location in Malaya (Singapore) as one example of a counter-insurgency strategy which was viewed as community development.

Burkey (1993), Korten (1990) and the South Commission (1990) in Tshishonga and Mafema (2008:364) define community development as holistic and integrated process which empowers individuals as well as groups to be independent, confident and thus be freed from poverty and exploitation. Conversely, De Beer and Swanepoel (1998) quoted in Raga *et al*. (2012:238) define community development as a process intended at ensuring that individuals contribute to activities aimed at their development in efforts to assist them realize their potentials. However, for this study the following definition of community development, as provided by the UN quoted in Kishindo (2003:380), is the most relevant:

"A process by which the efforts of the people are united with those of governmental authorities to improve the economic, social and cultural conditions of communities, to integrate these into the life of the nation and to enable them to contribute fully to national progress" (United Nations, 1963:4).

Since community development is viewed differently due to various perspectives, techniques to implement it also varies. Botchwey (2014:18) identifies two such models/techniques, *viz* the traditional top-down model and the transformative bottom-up model. The traditional top down model sees community development as interventions and support activities that originate from and are conducted by the state. The transformative bottom- up model on the other hand uses critical and radical methods like oppositional politics and tactics against the state and those holding power to demand change. The critical and radical tactics are aimed at effective social change as a result of issues that the oppressed and deprived care about and want to change. Botchwey further state that the transformative bottom-up model views community development as located within the everyday experiences of disadvantage people in communities and is based on the belief in the people's ability to transform their conditions of life by tackling the root causes or sources of their deprivation (2014:18). It is therefore for this reason that Chile (2012: 42) argues that the focus of community development should be social justice.

Community development from the social justice perspective empowers individuals, families and communities to be active participants in the transformation of their lives, communities and societies. Communities are brought together to identify their challenges and needs, and are assisted on how to respond to these through collective action, thus addressing inequalities. Through participation the voices of the disadvantaged community members are heard, which in turn promotes increased local and participatory democracy. In this regard, communities become entrenched in the principles of social justice. Boesten, Mdee and Cleaver (2011:44) argues that community workers play an important role in the participatory processes which they call "community driven development". As part of the developmental methods supported by the World Bank, community driven development is aimed at decentralizing power and

resources to the local sphere of government to encourage high levels of responsiveness, equitability and proficiency in addressing the needs of the poor (Mansuri and Rao 2004; Binswanger-Mkhize *et al*. 2009 in Boesten *et a*l. 2011:44).

Although there are numerous community related activities which could be interpreted as community development, Cook, n.d and Swanepoel and De Beer, 2011, in Maistry (2012:33) argues that community development activities are differentiable from other activities by the following characteristics:

- emphasis on communities and their collective actions;
- intentional attempts to cause irreversible structural changes within communities;
- the utilization of professional/ practitioners who are paid to facilitate community development;
- the encouragement of development process by teams and institutions external to the communities; and
- the focus on community participation and the utilization of integrated and holistic approaches.

Although community development is assigned various definitions, the views from various authors indicate that community development involves individuals and institutions who assist communities in developing their communities, by collectively participating in activities and projects aimed at empowering themselves.

3.3.3.   Community development within the South African Context

Prior to 1994, the South African government had little concern for social services. Although the social work profession had been part of social services as from the 1930s, community development only emerged after 1984. It was launched as a Population Development Programme's brand tasked with stimulating community development activities at local levels as well as improving the quality of life of the people (Louw, 1996:69 in Maistry, 2012:31). Prior to this, the apartheid government promoted community work which was seen as a method of social work that supported the apartheid

social welfare system, as opposed to community development which was viewed with skepticism due to its potential for political change. The 1995 UN World Summit for Social Development in Coppenhagen as well as "The Yaoundé Declaration" of 2005 emphasized the importance of the role of community development in responding to the material and spiritual needs of communities. In spite of its prominence within the international arena, Maistry (2012:30-31) argues that the implementation of community development initiatives in South Africa was met with challenges from a lack of an enabling environment resulting from minimal trust of government by communities, inadequate funding for these initiatives and lack of strategy to deal with a move from community work to community development (Maistry, 2012:31).

The advent of democratic government in 1994 ensured the adoption of a social development framework. The promulgation of the white papers on Population Policy as well as on Social Welfare paved a way for more focused activities on human development and community development. The United Nations Millenium Declaration of 2000 and other key economic policies also emphasized community development as key in ensuring the eradication of poverty and hunger for sustained development. Hart (2012:57) in commending the democratic government's approach to community development argues that it is characterized by the following outputs, which are aimed at ensuring a balance between population, relief from poverty and the environment:

- focus on human development;
- institutionalization of community development at all levels;
- linkage to full-time and paid employees i.e the community development practitioner;
- potential to decentralize decision making to the community;
- reinforcement of the feeling of involvement and the possibility of a dialogue;
- ensure an indigenous knowledge base of how to deal with social challenges; and
- promotion of the values and principles enshrined in authoritative international and national policy documents.

The view of community development in South Africa has shifted from the early days of distrust of government activities to the days where communities are reliant on government for community development. Focus on human development and the decentralization of decision making to the community has shifted perceptions of community development to a more people centered approach.

3.3.4. The focus of the Community Development Worker Programme

The CDWP was introduced as part of the mechanism to support the Government's objective of Access Strategy. The CDWP is a programme that is implemented by all provinces and is aimed at supplementing existing government's programmes that focuses on redressing imbalances and inequalities in the enjoyment of benefits derived from government services which subsequently leads to community development. Through the programme, community based individuals called "Community Development Workers" are employed to facilitate development. According to the Handbook on Community Development Workers in South Africa (DPSA, 2007:17), the programme employs a "Public Service Echelon of multi skilled community development workers" who are tasked with:

- ensuring that the standard of delivered services is kept at high levels and that the citizens have access to the such services;
- assisting with the synchronization of the activities of the three spheres of government and line departments;
- encouraging community development and encourage solid interaction and collaborations between government and citizens ; and
- encourage participative democracy.

The CDWs as community development workers achieve the abovementioned responsibilities through collaborating with line departments and other stakeholders to connect government and communities. They ensure that there is integration and coordination of services delivered and access to these services by citizens. As resources

who come from communities they work in, they work jointly with the social activists from the same communities to identify issues of concern to communities (DPSA, 2013:21). They profile family units to identify where service delivery has been delayed or stuck and notify the relevant departments or municipalities. They make it possible for integrated services to be delivered at community level in an effort to help and empower the deprived community members to access information and resources with the aim of utilizing same to meet their needs and for the betterment of their well-being (DPSA, 2007:14). They provide holistic and integrated processes that empower individuals and groups to be independent, confident and thus be freed from poverty and exploitation (Burkey (1993), Korten (1990) and The South Commission (1990) in Tshishonga and Mafema (2008:364). Once services have been delivered they further report back to government on citizen's experiences in respect of services, and notify relevant departments about any other service delivery bottlenecks and challenges that could result in the low service delivery standards and or delayed service delivery (DPSA,2013:21)

The CDWs as participatory change agents, are required to bring about positive change in the lives and well-being of communities they serve. They are required to initiate the process of change whilst instantaneously ensuring that such change is according to the wishes and the pace of the communities (Burkey, 1993; Swanepoel and De Beer, 2006) in Tshishonga and Mafema (2008:365). They initiate change by capacitating communities to be able to identify their developmental needs as well as developmental projects that might assist in empowering them to be self- sufficient as argued by Tshishonga and Mafema (2012:252) and Raga *et al*. (2012:235). The CDWs are responsible for facilitating participation and promoting self-reliance, economic, political and social empowerment, transparency and accountability so that the communities can improve their living standards. They ensure that individuals and communities contribute in their developmental process to help them realize their potential (De Beer and Swanepoel (1998) in Raga *et al*. (2012:238).

Being jacks of all trades and working in interdisciplinary ways across professional boundaries, CDWs are tasked with the responsibility of empowering community members through accessing relevant government services that will assist them in

enhancing the quality of their lives. Such improvement of life could be social, cultural, economic and/or political. Their core business, as stated by Tshishonga and Mafema (2008:364), is to engage with people including public and private institutions in an attempt to lobby for decentralized development and governance. This they do through consultation with community members as required by Section 152 of the Constitution of 1996 which places the process of consultation with the public at local level. According to Williams (2006) in Ndevu (2011:1248) public participation ensures that poor communities who had previously not had a voice, are now involved in the planning and governance of their developmental programmes within the local sphere of government; thus ensuring that the democratic process is strengthened. The CDWs are also part of the information highway since they are required to provide support to management as well as access to resources for effective implementation of community based development projects (Tshishonga and Mafema, 2012:252). They communicate government information to communities and in turn facilitate government assistance to community projects where required. As part of the information highway, they also provide feedback to government regarding community experiences in respect of services and governance; as well as early warnings to government about unsatisfactory levels of service delivery before a total collapse. In support of public participation, Midgley *et al*. (1986:21) argues that public participation encourages the involvement of ordinary citizens in politics thus ensuring that the ordinary citizens participate and are involved in the developmental processes. In this way, communities are empowered to play active roles in the betterment of their conditions of living (Lyndon, Moorthy, Er and Sevadurai, 2011:644).

3.3.5.   Challenges in the successful implementation of the CDWP

Although the CDWP was hailed as a solution to service delivery problems, the continued rise in service delivery protests is testament to the persistence of bottlenecks in service delivery and the shortcomings of the programme. Various studies have been conducted into the role of CDW's in resolving service delivery bottlenecks and these have indicated a degree of lack of success or ineffectiveness of this programme. On an international level, Banks and Orton (2005) explored the potential contribution of community development workers in one of the United Kingdom's (UK) county Councils and

concluded that its contribution was ineffective due to various challenges that were faced by community development officers when executing their duties. These challenges were mostly due to tense relationships between community development officers and County Council's employees. This was as a result of the CDWs being employed by the local authority whilst their roles was to support communities to challenge the Council Authority's policies and practices (Banks and Orton. 2005:97). As such, this often led to "in and against the state" attitudes which also lead to traditional and dynamic tensions as a result of being accountable to different structures, as well as focusing on the objectives of communities versus the strategic objectives of the local authority. This had a ripple effect on the national government wherein tension existed between national and local governments due to what Banks and Orton term "modernizing local government"; where community development workers had to work towards the fulfillment of both local and national priorities (Banks and Orton. 2005:102-105).

Within the South African context, Tshishonga and Mafema (2008:367-369) state that there are social, economic and politically related challenges that have a negative effect on the success of the CDWs in playing their developmental role. Similarly to the challenges observed by Bank and Orton (2005), Mubangizi (2009:445) notes that the dual role of CDWs as community members with certain values and as well as being government agents is causing tension between CDWs and communities and is therefore affecting the execution of their duties. The CDWs are not easily accepted and welcomed by communities in which they have to work because of perceptions held by communities that they are government spies. Due to the nature of relationship that existed previously between communities and the apartheid government wherein communities were not consulted but dictated to on any government programmes that were to be rendered in their communities, any form of consultation by CDWs is viewed as spying. As such, any initiatives aimed at developing communities was viewed with mistrust and therefore rejected. Adding to this tension are political challenges which in many instances are due to perceived political affiliation, which Tshishonga and Mafema (2008: 367-369) argue that it (political tension) widens the gap that CDWs are trying to close. In these instances CDWs are seen as party agents who are supporting political agendas and, in many instances, results in clashes with community members and ward councilors. Martins

(2013:109) shares the same sentiments and further states that tension caused by interference by the political principals as well as lack of support by same leads to discontentment on the part of community development workers, which then obscures the work done by CDWs or affects their performance in respect of executing their duties. She further argues that in most instances, politicians have their own agendas which they expect CDWs to support. In addition to these tense relationships that CDWs are operating in is the adversarial relationships with ward councilors who are supposed to work with them. Raga *et al*. (2012:245) states that the adversarial relationship is due to the vagueness and overlapping of roles, functions and responsibilities of both parties which often leads to all parties (ward committee members, councillors and CDWs) playing the same role or encroaching on each other's roles . Also, power issues play a role in the adversarial relationship between CDWs and local government officials and councillors, wherein local government officials feel threatened about the CDWs direct reporting to the National Department of Local Government. Gray and Mubangizi (2010:191-192) state that local government officials feel threatened that CDWs will assume a more powerful role than theirs, whilst CDWs on the other hand feel unappreciated and undervalued.

Tshishonga and Mafema (2008:367-369) identify the logistical arrangements in terms of the area that the CDWs need to cover without transport as well as concerns about levels of crimes and violence towards female community development workers as the major contributors to the success of the CDWP. As field workers, CDWs are not supposed to be office bound, but have to work with communities in order to bring government closer to the people. Therefore, lack of resources like transportation and transport allowances whilst the CDWs had to work in wards which are vast and far from each makes it impossible for them to cover large areas of communities they serve. Lack of communication tools like access to telephones and internet also add to the issue of transport and transport allowance since CDWs might at times need to go to obtain feedback on a face-to-face level with ward committee members and/ or councillors with whom they could have communicated over the phone or faxed the document that is required (Martins, 2013:108). Similarly to issues of transport, management and office administration matters related to operational budget and poor management and

coordination of the activities also add to the factors that have a negative effect on the implementation of the CDWP. Rikhotso (2013:121) argues the availability of a sound budget to cater for operational matters, such as proper staffing for the programme as well as poor management and coordination in respect of the referral and the monitoring and evaluation systems in respect of the programme, set it up for failure.

Economic challenges caused by high levels of poverty and unemployment were obscuring the work of the community development workers (Tshishonga and Mafema, 2008:368). A huge number of communities needing basic services as a result of bottlenecks in service delivery and new demands for services is creating long turnaround periods for resolving community demands and complaints by municipalities and departments, and is thus putting strain on CDWs and understates the contribution of CDWP. This together with poor verification, monitoring and evaluation (M&E) processes of the programme affect the work of CDWs. Also, poor and unreliable systems of referral which results from lack of dedicated employees to address all service related queries at all service station is making the work of CDWs indistinct (Rikhotso, 2013:121). The further compounding of the issue is lack of training of CDWs in community development work, as well as lack of training of programme managers. This lack of training often leads to poor management and coordination of the programme. Mubangizi (2009:446-447) argues that the work of the CDWs need to be professionalized and institutionalized in order to coordinate skills and knowledge and ensure high standards and ethical behavior. The CDWP structures vary in each province, thus its implementation is also not standard. There is no dedicated and uniform training and when adhoc training is provided. It is provided in a sporadic manner with no connection to a strategy, thus making it a challenge to implement what has been taught in the field. Westoby and Van Blerk (2012:1094) opine that more carefully designed training regimes focusing on enabling and capacitating CDWs to build their own community development practice paradigm should be encouraged. Chile (2012:53) argues that the credibility of community development will not be acknowledged if it does not belong to a proper professional association, but that it will continue to be governed by bodies that do not have a full understanding of the complexity of the community development practice. In support, Maistry (2012:40) states that the

professional association could be the first strides followed by the establishment an independent national council for community development.

IGR have also been identified as a key challenge to the CDWP being a success. Although there is a policy which is supposed to support and guide the implementation of the CDWP, there are intergovernmental challenges that impede on the implementation of programme. Mubangizi (2009:446) highlights that intergovernmental relations are a stumbling block in the performance of CDWs because whilst the programme is implemented across the three spheres of government, there is usually no clarity regarding the governance and accountability of the programme. Also, the stationing of the programme within the provincial departments is creating challenges in respect of reporting lines, accountability and governance (Tshishonga and Mafema, 2010:570) and (Rikhotso, 2013:121). This notion is supported by Disoloane and Lekonyane (2011:1081) who reiterate that the implementation of the programme amongst the three spheres of government causes challenges with regard to reporting lines and accountability. The stationing of the programme at provincial level whilst the CDWs are operational at a local government level restricts access of other service delivery departments to CDWs whilst on the same vein, access by CDWs to both national and provincial departments causes tension and feelings of mistrust by local government employees and councilors towards the CDWs; thus the working environment becomes difficult to work in. Similarly to the issues regarding the training of CDWS, there was no standard implementation guide provided when the programme was introduced, hence there is no common point of reference for all the stakeholders. As a result, the programme is not being supported by national and provincial departments as well as municipalities wherein they are stationed (Disoloane and Lekonyane, 2011:1081). The lack of support was also due to CDWs not introduced formally to all stakeholders who then show resentment towards them thus affecting the performance of CDWs (Raga *et al.* 2012: 248).

3.4 THE INTERGOVERNMENTAL RELATIONS SYSTEM

IGR is not a new phenomenon; it gained prominence in the 1930s when the former US President Roosevelt introduced the New Deal (Edwards, 2008:66). The New Deal era

was as a result of the governments various reforms, programmes and policies that were designed to deal with the effects of the Great Depression. Nhlabathi (2011:52) argues that IGR came to the forefront when the economic and social development programmes by the federal government began to yield positive results which also impacted on other levels of government.

The IGR system in South Africa was established as a tool to ensure cooperative governance, which in turn ensures synergy of activities aimed at delivering public services to the citizenry. IGR as defined by Malan (2005:228) are "both formal and informal interactions processes and institutional arrangements for mutual and multiparty co-operation within and among the three spheres of government". Opeskin (1998:11) in Ile (2010:53) on the other hand defines IGR as friendly relations that are existent between central, regional and local governments and are aimed at encouraging team work amongst the three levels of government in order to achieve a common objective of delivering services to the citizenry. The White Paper on Local Government defines IGR as "a set of both formal and informal processes, channels structures and institutional arrangements for bilateral and multilateral interactions within and between the spheres of government" (South Africa, 1998:37). The IGR are pursued jointly by the spheres of government in order to ensure the achievement of the government's constitutional mandate. The IGR are facilitative in nature and relationships formed through them ensure that government units are capacitated to effectively participate and implement the government's mandate of achieving its goals (Ile, 2010:53). Watts (2001:26) argues that whilst intergovernmental relations are vital for coordination and reducing unnecessary overlaps in order to achieve national objectives, the importance of the autonomy of the provincial and local spheres of government to respond to their provincial and local economic, social, cultural and historic needs should be recognized.

IGR in a multi-sphere government can be either vertical or horizontal (Watts, 2001:26). The vertical dimension of intergovernmental relations exists between governments in different spheres, whilst horizontal dimensions are applicable to governments within the same sphere. Intra–governmental relations on the other hand occur between departments within a sphere. Also, the intergovernmental relations could take a form of autonomous

policy making, consultation, coordination, joint decision making or conflict resolution (Watts, 2001:28).

3.4.1 Intergovernmental relations and cooperative government

The concept of cooperative governance has its roots in the concept of Bundestreue found in the German constitutional system which supposes relationships based on trust and loyalty between the spheres of Government whilst each maintaining its distinctiveness (Edwards, 2008:66). Within the South African framework, the concept of cooperative governance is given a voice by Chapter three of the Constitution of 1996 which provides a framework by which the three spheres should interact with each other. The principles of cooperative government requires the three spheres of government to work jointly in protecting the national unity and peace of the country as well as protecting the well-being of its citizens. In terms of these principles, the three spheres are required to foster friendly relationships based on mutual trust and good faith in order assist and support each other when necessary (South Africa, 1996: 25-26). Cooperative government is based on the notion that the three spheres of government could be more effective working together in terms of service deliver as opposed to working adversarially and competing with each other (UNISA (2005) in Tau (2015:801). It (cooperative government) entails team work by the three spheres of government, functioning in unison in order to synthesize and coordinate their functions and activities for the common good of the nation. Whilst the Constitution recognizes the distinctiveness of each sphere, it also acknowledges that they are interdependent and interrelated thus advocating for synergy and coordination in the execution of concurrent functions (Edwards, 2008:90).

Co-operative government refers to partnerships between the three spheres of government that have a responsibility of fulfilling a specific role (Malan, 2005:229). Tau (2015:801) on the other hand defines co-operative government as government that does not allow political rigidity, it supports sound discourse and compromises; and is independent of the power distribution amongst the three spheres of government. According to Malan (2005:229) cooperative government as a government philosophy supports other

government processes like the devolution of power amongst the spheres of government, the governance/administration of structures of government and its organization as well as the utilization of political power (Fox & Meyer, 1995:28) in (Malan, 2005:229).

In order for cooperative government to succeed and be beneficial to the citizens, the three spheres of government should foster mutual and beneficial collaborations and partnerships as opposed to competing with each other. In support of cooperative government, Bayat, Ismail and Meyer (1997:139) argue that it (cooperative government) provides a resolution mechanism to intergovernmental related challenges which are mostly as a results of coordination of functions and the restructuring of administrative activities of large bureaucracies in coordinating their government functions and restructuring their administrative activities. De Villiers (1994:430) in Malan argues that it is impossible for each sphere to function effectively without cooperating with others. Such cooperation as noted by Coetzee (2010:85) is vital for satisfactory service delivery in a country that is being destabilized by public protests resulting from poor cooperation, implementation and coordination between the various spheres of government.

In order to nurture the spirit of cooperative government, friendly relations need to be fostered by the spheres of governments; hence intergovernmental relations are central to the successful implementation of cooperative government. They (intergovernmental relations) are a vehicle for achieving cooperative government (Edwards, 2008:10). This view is supported by Malan (2005:230) who states that intergovernmental relations are one of the avenues by which the principles of co-operative government can be upheld.

3.4.2 The three spheres of government

The South African Constitution of 1996 provides direction in respect to how the government should be configured and how it should work. The Constitution provides for the formation of the three spheres of government which should be unique, codependent and interrelated (Thornhill, 2011:45). Van Wyk (2012:288) distinguishes between a sphere and a level /tie of government; with the former being distinct whilst the latter is beholden to the higher. This entails a shift from the unequal tier-based divisions of government to horizontal divisions and non-hierachical government

wherein each sphere enjoys an equivalent status, is self-reliant and is protected by the Constitution to define and express its exceptional characters (Nkuna & Nemutanzhela, 2012:358).

The national sphere of government is responsible for deciding on and providing legislative and policy frameworks on matters of national interest as well as enforcing compliance to the legislation. It is comprised of the legislative authority, the executive authority and the judicial authority with functional departments falling under the executive authority. It ensures that all public activities are exercised in terms of the constitutional requirements as any activity which is contrary to the constitutional requirements becomes invalid (Van Heerden, 2009:49). The national sphere also provides support to both the provincial and local spheres in order to ensure that the two meet their constitutional mandate.

Provinces form the second layer of government following the central government and their powers are provided by the Constitution. Gildenhuys and Knipe (2000:230) define provinces as large subdivisions of states aimed at ensuring decentralization, political devolution and deconcentrated administration. Schedule 4 of the Constitution details responsibility areas for both national and provincial competences, whilst Schedule 5 details functional areas which are exclusive provincial legislative competences.

The local level is the third sphere of government and which is closer to the people. It is responsible for provision of local infrastructure and other basic services (Reddy, *et al*. 2003:42). Local government is supported by Section 152 of the Constitution which stipulates that it (local government) must be governed through the rule of people and must also be accountable to the communities they serve. It must also provide basic services to all communities in a justifiable fashion and also ensure that its citizens are protected through the provision of safe and healthy environments. As democratically elected local government, it must encourage participation of communities and community organizations in the governance of the local government (South Africa, 1996).

Local government is required to be developmental in nature. Such a responsibility is provided by the Constitution which confers developmental duties on local government. Bayat *et al*. (1997:66) argue that such developmental duties relate to the structuring and management of administration functions to ensure the adoption of budgets and planning strategies aimed at ensuring the prioritization of the needs of citizens as well as the empowerment of communities through the promotion of the socio economic objectives and participation in both provincial and national developmental programmes. Matters over which local government has authority are listed in Parts B of Schedule 4 and 5.

3.4.3   The IGR system in South Africa prior to 1994, and its evolution

Prior to 1994, intergovernmental relations in South Africa were based on the two tier system applicable to the Westminister's Model of Government. On the abandonment of this model, government introduced the provincial government which became a second tier between the national and local government. Despite the three tiers of government, power was vested within the central government, thus the provincial legislatures as argued by Levy and Tapscot (2001:3) lacked the law-making function and mainly served the responsibility of rubber stamping legislation which came from the central government. Also, local government had no real sway and were prevented from executing functions not prescribed by the central or provincial government. Levy and Tapscot (2001:3) further argue that since the provincial administrators were political appointees of the ruling party, there was no tension between national and provincial government; hence these (provincial governments) were seen as regional offices of the central government. This was not the case with the local government which had conflictual relations with central and provincial governments. As a result, the intergovernmental relations towards the end of apartheid were characterized by autocratic rule, resulting in inefficiency in administration, corruption and minimal popular legitimacy (Tapscot and Levy, 2001:4).

The IGR within the South African context evolved as a result of the democratic and decentralization of the government (Nhlabathi, 2011: 53). With the advent of democracy in 1994 and the decentralization of power which came with it, the newly elected

government sought news ways of ensuring the delivery of basic services to those communities which were previously excluded from receiving such. The IGR was therefore seen as a vehicle of ensuring cooperative government and thus as a leeway of providing holistic services to the citizenry. Through IGR, government activities were going to be coordinated and aligned to ensure effective service delivery to the public (Ile, 2010:51).

Prior to 2005, IGR were unregulated and were mostly informal in nature and practice (Edwards, 2008:90). They evolved as a means of the three spheres of government of giving effect to the requirements of cooperative governance. A degree of regulation in respect of the IGR was provided by the Organized Local Government Act No. 52 of 1997, the Intergovernmental Fiscal Relations Act No. 97 of 1997, the Municipal Systems Act No. 32 of 2000; as well as other prescripts that governed functions that cut across the three spheres (Layman, 2003:12). Through the abovementioned pieces of legislation, specialist intergovernmental forums and mechanism for dispute resolution were established (Nzimakwe & Ntshakala, 2015:826).

3.4.4 The Intergovernmental Relations Framework Act (Act No 13 of 2005) and the Intergovernmental Fiscal Relations Act (Act No. 97 of 1997)

The Intergovernmental Relations Framework Act (Act 13 of 2005) was promulgated in 2005, with the main objective of facilitating cooperation and collaborations amongst the three spheres of government in order to work towards meeting the government's mandate of delivering public services to the citizens. It does so by providing the basic principles of cooperative government and intergovernmental relations which are the co-operation of spheres with one another in mutual trust and good faith by fostering friendly relations, assisting and supporting one another, informing one another of and consulting one another on matters of common interest, co-ordinating their actions and legislation with one another, adhering to agreed procedures and avoiding legal proceedings against one another (South Africa:1996:26) It also provides for the establishment of intergovernmental forums discussed below and which are vital for intergovernmental relations. Furthermore, it provides for the establishment of protocol for delivering

integrated services, and rules which are for resolving intergovernmental disputes (Edwards, 2008:68). These rules relate to the obligation of each sphere to avoid intergovernmental disputes, the conditions for declaration of disputes as formal intergovernmental disputes as well as the conditions for instituting a judicial proceeding. Various structures are established in terms of the Act at all levels of government to foster friendly relations. At National Level, the President's Coordinating Council (PCC) is responsible for issues which are cross sectoral as well as the coordination and integrated implementation of national policies and programmes at provincial level. It is chaired by the president and the membership includes the deputy president, the minister in the presidency, national ministers of Finance, Public Service and Administration, Cooperative Government and Traditional Affairs, the nine heads provinces and the Chairman of the South African Local Government Association (SALGA). There are also IGR Forums called Minister of Cabinet and Members of Provincial Executive Councils (MINMECs) established at national level to further foster relations amongst the spheres of government. They comprised of the ministers, members of executive councils overseeing similar portfolios in their respective provinces as the minister and SALGA. Head of departments are also invited to attend but as technical advisors. These forums are the National Council of Provinces (NCOP), the Forum of South African Directors-General (FOSAD), the Budget Council and Local Government Budget Forum. They oversee the consultation, coordination and alignment of programmes at national and provincial level (South Africa, 2005).

At provincial level, the Premier's Intergovernmental Forums (PIFs) are established with the premier being the chairperson. Other members of the forum include the MEC for local government, any other member of the Executive Council appointed by the premier and mayors of district and metropolitan municipalities in the province. Their responsibilities are to coordinate the Integrated Development Plans (IDPs) and the Provincial Growth and Development Plans (PGDPs) of the province as well as to organize the synchronization of strategic performance plans and prioritized objectives and strategies of the province. Other additional intergovernmental forums whose responsibility would be to foster intergovernmental relations between provincial

departments and local government may be established and its membership maybe determined by the premier.

District intergovernmental forums are formed at local level and are comprised of the mayors of both the district and local municipalities and an administrator of any of the municipality appointed in terms of Section 139 of the Constitution. These forums are responsible for, among other things, overseeing compilation and application of prescripts issued by either central and/or local governments. They also oversee policies that have an effect on matters affecting local government in the district, the alignment of performance plans and strategic priorities of the district. Local municipalities can also establish inter-municipal forums whose constitutional legitimacy is conceded by the participating municipalities. These forums share information on best practices, capacity matters and developmental issues that could impact many municipalities within a district. Any other matters that are strategically important to the municipalities and which might have an effect on participating municipalities are discussed. The Act further supports the establishment of intergovernmental technical support structures; whose main purpose is to support the formed intergovernmental structure. Such structures should be comprised of officials from the organs of state participating in the intergovernmental forums which formulated the structure and can include any other persons.

The Intergovernmental Fiscal Relations Act No.97 of 1997 was published with the main aim of formalizing the budget process across the three spheres of government. It ratifies the establishment of the Budget Council and the Budget Forum, both of which are aimed at encouraging and supporting cooperative government in respect of fiscal, budgetary and financial matters (York and Reddy, 2003:45). The Constitution requires the revenue raised at national level to be shared amongst the three spheres of government in order for them to meet their responsibilities. The national government therefore has to monitor and ensure that the provincial and local government have enough revenue to perform their functions and duties, hence a share of the national revenue is transferred to these other two spheres of government. The transfer of funds can be in a form of unconditional grants, conditional grants and agency payments (York and Reddy, 2003:45-47).

Conditional grants are transferred without any conditions on how to utilize them whilst conditional grants are transferred for a specific purpose.

3.4.5   IGR and the provision of services

Chapter 2 of the Constitution of 1996, (the Bill of Rights) advocates a number of rights for the citizens of the country for which the state is accountable for and has to protect. The state protects these rights by ensuring that public services are delivering to all citizens by the different spheres of government. Public services are defined as goods and services that the state is required to provide for the benefit of the public (Pauw *et al.* 2009:18). These public services may include healthcare, education, water and sanitation, electricity and housing. Pauw *et al*. (2009:19) further argue that such goods and services define the nature of the state which in turn is characterized by the provision of social services that should ensure and promote the welfare of the population of the country. A service is defined as activities or benefits that one party can offer to another, is basically tangible and does not result in the ownership of anything, and may or may not be tied to a physical product (Lewis & Hornby, 1991:31 in Mfene, 2012:364). Nkuna and Nemutanzhela (2012) refer to the white paper on local government which view basic household infrastructure like the provision of water, sanitation, provision of electricity, roads, storm water drainage and street lighting as public/social services whose main responsibility should be to sustain healthy and safety standard of living. The Local Government Systems Act 32 of 2000 on the other hand views public services as necessity to ensuring acceptable and reasonable quality of life and which if not provided would endanger public health and safety (Nkuna and Nemutanzhela, 2012: 364).

The delivery of public services to the citizenry is given a voice by the Constitution of the country which advocates for the rights of the citizens to basic services and the protection of those rights. In protecting the right of citizens, Section 195 of the Constitution stipulates that services should be provided in an impartial and equitable manner and without bias. In order for the state to provide public services, the Constitution allocates various functions and powers to the three spheres of government;

with each sphere being required to perform its functions with a goal of ensuring that services are provided to the citizenry. As previously mentioned, Schedule 4 of the Constitution points out functional areas of both national and provincial competences, whilst Schedule 5 details functional areas which are exclusive provincial legislative competences. Matters over which local government has authority are identified in part B of Schedules 4 and 5. In support of this claim, Nkuna and Nemutanzhela (2012:355) argue that every public institution's sole objective is to provide public goods and services; thus they were created for this purpose. They further argue that in order for these public institutions to deliver goods and services they need to perform appropriate functions. Sindane and Nambalirwa (2012:697) define service delivery as purposeful and organized activities undertaken to adequately meet the various demands for services by delivering effective, efficient and economic services with optimal use of resources resulting in quantifiable and satisfactory benefits to the citizens of South Africa. It encompasses activities that are undertaken by public officials to make certain that public services get to the people for whom they are intended and which according to Mfene (2009:210) are aimed at promoting the general wellbeing of the community.

The White Paper on the Transformation of the Public Service (WPTPS) which came into being in 1995 emphasized the need for the formulation of a policy framework to provide direction in the implementation of new prescripts whose main objective was to change the public service into a representative, capable and a democratic vehicles for the implementation of government policies to meet the needs of the citizens (Mpehle, 2012:215; Nzimakwe and Mpehle, 2012:280). Among other issues which were to be addressed by the white paper were, according to Mpehle (2012:215), high productivity, administrative capacity of managers, accountability and inefficient service delivery due to lack of motivation.

The White Paper on the Transformation of Public Service (the Batho Pele White Paper) also emphasized a people centered approach to public service and a citizen orientated approach to service delivery (Mpehle, 2012:215; Nzimakwe and Mpehle, 2012:281). Central to the Batho Pele principles is putting people first and treating the recipients of services in a courteous manner as customers. The Batho Pele policy requires an

approach to service delivery which forces the government systems, procedures, attitudes and behaviors of the public servants to change and adopt an approach that favours the citizens. It is based on eight service delivery principles deemed appropriate to address service delivery challenges. These are regular consultations with customers, setting of service standards, ensuring high levels courtesy, provision of accurate and up to date information about services, ensuring openness and transparency on services, remedial of failures and mistakes, increase of access to services and giving the best possible value for money (South Africa, 1997:8-9).

3.4.6   Effects of IGR in service delivery

As previously mentioned, in order for the state to the deliver services holistically, the three spheres of government need to work cooperatively. Although the three spheres are distinct they are also interdependent; thus Nhlabathi (2011:53) argues that each sphere requires a certain degree of harmonization and coordination of social, financial, and economic policies to ensure cooperation which is achievable through intergovernmental relations.

Mubangizi *et al.* (2013: 781) argue that through their facilitative systems, intergovernmental relations assist government units to participate effectively in the execution of their mandates for the achievement of governmental goals. When government units work together to execute their mandates, they promote sustainable development by fighting poverty and ensuring job creation; all of which are achievable though intergovernmental relations (Malan, 2005:241). Through the allocation of equitable share and other conditional grants, the provincial and local sphere of government are able to meet their responsibilities. In addition, the regulation of the use of the conditional grants to ensure that it is utilized for its intended purpose requires the cooperation of the three spheres. Through IGR, the three spheres of government can vertically and horizontally share information, support each other for the benefit of the citizen. This distribution of information can occur when matters of mutual interest amongst the three spheres are discussed (Malan, 2005:237). Service delivery is one major point of common interest amongst the three spheres of government, as government

is mandated to deliver services to the public; Reddy (2001:28) emphasizes the importance of viewing the constituent components of government as a cohesive unit.

Also, IGR are important to service delivery in that they ensure coordination of function by the different spheres of government to enable holistic delivery of services to the citizenry. Levin (2009:961) argues that in order for the state to achieve its common socio-economic and political objectives, it needs capable administrative machines that are able to work in unison. National programmes such as the Project Consolidate (aimed at assisting non-performing municipalities) and the Expanded Public Works Programme (EPWP) (aimed at creating job opportunities for the unemployed youth) are examples of initiatives where the three spheres of government work together so as to achieve a set of government objectives. At a provincial level, the Operation Sukuma Sakhe (OSS) is a provincial government's strategic objective of integrating, coordination and facilitation of transversal services to communities. Such implementation of these programmes also requires coordination and the alignment of budgets; hence Levin (2009:961) states that planning that is coordinated centrally assist in ensuring optimal use of scarce financial and human resources. Watts (2001:33) argues that IGR ensures coordination of activities amongst the three spheres of government in order to achieve national objectives. Such coordination ensures synergy in planning and alignment of activities with a main objective of delivering public services effectively and efficiently (Ile, 2010:53). Watts (2001:33-34) further emphasizes the importance of coordination as it allows for availability of quality information for analysis. This assists the state in taking sound decision in merging conflicting policies and ensuring that where there are concurrent and/or complementary responsibilities, national, provincials and local policies are coordinated in such a way that there is synergy in their application. Through coordination, differences among provinces and local governments in policy capacity and fiscal resources for the exercise of their jurisdiction are accommodated, ensuring the achievement of national objectives where the provincial and the local spheres have jurisdiction.

Malan (2005:238) argues that coordination ensures that there is no duplication and overlap in the functions of the three spheres. He further emphasizes clarity of roles of

each institution when functions are coordinated in order to achieve the identified common goals. Poor coordination leads to administrative silos which in turn lead to challenges being experienced where social problems cut across and their resolution require cross sectoral intervention (Mubangizi *et al.* 2013:781).

Although intergovernmental relations are supposed to ensure synergy of government activities in order to deliver services, challenges with service delivery are still being encountered. Citizens are continuing to show their dissatisfaction with service delivery through protest action that have besieged the country. Coetzee (2010:96) argues that service delivery related problems are as a result of deficient IGR which in most cases are managed on an ad hoc basis. Deficient IGR lead to poor integration and coordination which in turn contribute negatively to service delivery, hence this study is conducted.

In view of the above identified IGR challenges regarding the implementation of the CDWP, the study is undertaken to:

   i.   explore the nature of existing relationships between the spheres of government

         that are party to the Programme.

   ii.   understand the role of IGR in the CDWP.

   iii. understand the IGR challenges that are faced by the CDWs.

   iv.   Explore the IGR factors that affect the success of the CDWP.

   v.   Ascertain what needs to be improved and make recommendations thereto.

In addressing the objective of the study, the following questions were asked:

   i.   What is the nature of relationships amongst the three spheres of government in

         the CDWP?

   ii.   What is the role of the intergovernmental relations in the CDWP?

   iii. What are the IGR related challenges that are faced by the CDWs?

iv.   What are the intergovernmental relations elements that contribute to the success or failure of the CDWP?

v.   What recommendations can be made to improve relations amongst the spheres of government within the CDWP?

3.5   CONCLUSION

The CDWP was introduced with the intention of closing the service delivery gaps. However, this has not been achieved. The country is still expecting a huge volume of service delivery protests which proved that the demand for services has not been met. The literature review provided has pointed to the expected end-result of the program and that the programme has not been successful in achieving its intended objectives. Challenges that are affecting the achievement of the objectives of the programme have been systematically stated and discussed and the intergovernmental relations have been identified as the major contributor to the state of affairs. The IGR have also been discussed, from their origins and the evolution of same in South Africa, as well as their contribution to service delivery by state. Having identified the benefits of IGRs in service delivery, the chapter concludes with stating the objectives of the study and detailing the questions that were asked when carrying the study.

CHAPTER 4: RESEARCH METHODOLOGY AND DESIGN

4.1   INTRODUCTION

Research methodology is an important aspect when conducting research projects as it provides a general guide in terms of the approach that the researcher will follow. It also provides an indication of a philosophical assumption that the researcher subscribes to, thus an indication of the research design that is going to be utilized. The objective of this chapter is therefore to outline the research methodology that was utilized in conducting the study. As part of the methodology, the type of research design, strategy of inquiry, data collection methods and the data method that was utilized in carrying out the study will be discussed. In addition, the chapter will provide an explanation of the rationale for the methods that were employed.

4.2   PURPOSE OF THE RESEARCH

There are various reasons for conduction of research. Neuman (1997:19) states that the reasons for undertaking research may be categorized into three types based on the intended objectives of a researcher. These objectives could be the exploration of a new topic, the description of a phenomenon as well as the explanation of a phenomenon. In exploration research, a researcher's main objective is to explore a new phenomenon with an intention of learning more about it. Researchers in this regard position themselves within people in order to understand and become familiar with their issues and concerns. Exploration research as argued by Neuman (1997:19) is mainly used as a first stage in a sequence of studies and it normally addresses the "what questions". Descriptive research, on the other hand, focuses on describing a well-developed idea about a phenomenon. As argued by Leedy and Ormrod (2010:136) descriptive research is aimed at revealing the nature of certain situations, settings, relations, systems or people. It mainly addresses the "how" and "who" questions; thus explaining the reasoning behind the occurrence of a particular phenomenon or situation. The explanatory research is undertaken when a researcher intends to explain why a particular phenomenon is occurring (Neuman, 1997:20-21), hence it is more concerned with "why" questions. In

explaining the causes of a particular phenomenon, it begins from the exploratory into the descriptive researches and then identifies the causes as to why something happens.

Although the intended objectives of conducting research seem to be distinct from each other, Neuman (1997:19) states that some studies may have multiple purposes but with one being more dominant. The same phenomenon is observable in this study; as it first seeks to explore and identify the elements of IGR which lead to the IGR being identified as one of the stumbling blocks in the success of the CDWP, and thereafter describe how these elements impact negatively on the IGR system. A number of studies conducted have identified IGR as a stumbling block in the successful implementation of the CDWP; however, there has been none that have intricately looked closely within IGR system and identify the problematic elements that are and how they these affect the smooth implementation of an IGR system and within the CDWP. It is with this reason that this study is both exploratory and descriptive in nature.

4.3   RESEARCH METHODOLOGY

According to Leedy and Ormrod (2010:12), research methodology is a general approach that the researcher adopts in conducting a research study, or the means in which the researcher chooses to confront a particular research question (Jonker and Pennink, 2010:17). It (the research methodology) allows the researcher to systematically resolve a problem through analysing logic behind different research methods implemented. Such an approach is as a result of how the researcher perceives reality. Jonker and Pennink (2010:3) argue that reality is in constant motion, thus there could be no single perception/agreement of what reality is. Therefore what becomes reality for the researcher is informed by what knowledge (ontology) to the researcher is and how she/he knows it (epistemology) (Wisker, 2008:66). The ontological and epistemological predisposition of the researcher determines the philosophical assumptions that the researcher subscribe to. Creswell (2009:6) defines these assumptions or worldviews as basic set of beliefs that guide the researcher in carrying out the research.

As mentioned above, the decision on which research design to utilize depends on philosophical assumption of the researcher; which in this case is the Social

Constructivism. Social Constructivism supports the notion that individual seeks to understand the world they live in; hence researchers who subscribe to this school of thought focus on the specific context in which people live and spend many hours in direct personal contact with those that are being studied. They utilize participant observation and field research and rely heavily on the participant's view of the situation being studied in order to gain subjective meaning of the experience (Neuman, 1997:68). This is in direct contrast to the post positivist ideology which focuses on a cause and effect relationship (Creswell, 2009:7, Neuman, 1997:64). Positivists argue that social life can be explained by causal laws; thus positivists researchers connect causal laws and the specific fact observed about social life with deductive logic based on the assumption that laws operate according to strict, logical reasoning. They also utilize precise quantitative data when conducting research, hence the criticism that they reduce people into numbers.

4.4   RESEARCH DESIGN

The school of thought that a researcher subscribes to largely influences the research designs that is likely to be adopted by the researcher. A research design is defined as a plan that a researcher will follow in conducting the research, including how she/he is going to collect and analyze data (Creswell 2009:3). It involves a decision by the researcher regarding the instruments to use in the study as well as how the researcher would collect and analyze the data it in order to provide logical responses to the research questions. Kothari (2004:32) states that a research design represents an advanced planning of methods to be adopted for collecting relevant data and the techniques to be used in the analysis of the collected data.

Three types of research designs are applicable when conducting research namely qualitative, quantitative and mixed method research designs (Creswell, 2009:3-4).

4.4.1   Qualitative Research Designs

Creswell (2009:4) defines the qualitative design as a means of exploring and understanding the meaning individuals or groups ascribe to a social or human problem.

It is a design best suited for the expression of multiple realities that are socially defined and is aimed at revealing the nature of certain situations, relationships or people (Leedy & Ormrod, 2010:136). Multiple realities are achieved when the researcher immersed himself/herself in the culture of people being studied and allowing himself or herself to take the role of a researcher whilst at the same time taking the role of the subjects being studied. As a type of interpretive inquiry where the researcher interprets what he/she sees whilst allowing the participants their own interpretation, it also adds to multiple realities being gained about the problem (Creswell, 2009:176). As argued by Creswell (2009), the researcher becomes focused on the meanings that the participants hold about the issue. By doing this, new insight on a particular phenomenon is obtained, including the discovery of challenges that are existent within that phenomenon.

4.4.2 Quantitative Designs

A quantitative research is a design that is mainly focused on quantitative data, and its selection is based on a need to respond to questions requiring numerical data. Williams (2007:66) states that quantitative research is utilized in response to relational questions of variables within a research. It tests behaviour that is regular and predictable utilizing precise measurements and in a controlled environment by testing hypotheses and theory with data, hence its approach is deductive in nature. It seeks to provide explanations and predictions that will generate to other people and places, thereby establishing and confirming relationships so as to develop generalizations that contribute to theory.

4.4.3 Mixed Methods

The mixed method expresses a move toward a middle ground as it blends the two research designs. It is therefore characterized by the elements of both designs.

Although the former (qualitative and quantitative) seem distinct from each other, Creswell (2009:230) argues that they are not; they represent different ends of a continuum. Although the most prominent distinction between the two research designs as argued by Minichiello and Kottler (2010:18) is attributed to the data system which is comprised of words, images and language for qualitative methods; whilst for

quantitative methods on the other hand numerical values are assigned to the collected data. Creswell in Lee (1999: 25) argues that the differences between the two research designs are based on the following characteristics:

(i) Ontological assumptions; which entails that qualitative researchers are more inclined into believing in multiple sources of realities which are subjectively derived, whilst quantitative researchers assume a single objective world,

(ii) Epistemological assumptions whereby different roles are assumed by the researchers. Quantitative researchers become independent of the variables being studied, whereas qualitative researchers become part of the phenomenon being studied.

(iii) Axiological assumptions of the researchers wherein quantitative researchers overtly act in a value free and unbiased manner in contrast to the value laden and biased fashion of qualitative researchers.

(iv) Rhetorical assumptions wherein quantitative researchers use impersonal, formal and rule base text, as opposed to the personal, informal and context based language of qualitative researchers; and

(v) Methodological assumptions wherein quantitative researchers apply deduction, limited cause and effect relationships; whilst qualitative research apply induction, multi-process interactions and context specific methods.

In conducting this research study, a qualitative research design was applied. This design was decided on because of the philosophical assumption that the researcher subscribes to as well as the phenomenon that was being studied. Such a phenomenon required the exploration of the programme, as well as being part of the participants. Additionally, the qualitative design allowed the researcher to apply an inductive style for data analysis which began with observation and recognizes patterns which then became hypothesis for exploration. Senior Managers at local government level, their counterparts at provincial level, community development workers stationed at these two municipalities, councilors as well as community members who were part of the study sample were able to provide multiple realities on the programme being studied.

4.4.4   Strategies of Inquiry

There are various strategies of enquiries suited for qualitative designs. These include ethnography, grounded theory and phenomenological studies. For the purposes of this study a case study strategy of inquiry was adopted. Robson (1993:52) in Wisker (2008:216) defines a case study as a research strategy which empirically investigates a particular contemporary phenomenon in its real life context using multiple sources of evidence. It involves an in-depth study of an event over a period of time and it places more emphasis on a full analysis of a phenomena or programme in order to understand a particular process. Unlike the ethnography strategy of enquiry which looks at groupings sharing common culture, the case study method allows for an in-depth consideration of a particular person, event or programme. As a result of this, the totality of integrated factors that account for certain behavioural patterns of a given unit are located, thus understanding complex factors that are operative within a social factor (Kothari, 2004:114)

In this instance the CDWP, which is the case of interest is investigated, focusing on the relations that are existent within this programme. Within the CDWP, the three spheres of government have to work together in order to ensure a holistic delivery of services to communities. However, this has not been the case and intergovernmental relations have thus been identified as a challenge. As such, IGR were investigated to identify factors that have an effect on its implementation with the CDWP.

In spite of a various designs for case studies such as the single case (holistic designs) single case (embedded) designs, multiple case (holistic) case design and multiple case (embedded) designs defined by Yin (2009:46-47), a single (holistic case design) was employed. This decision was made based on that a special unit which is the CDWP needed to be explored in order to understand it.

4.4.5   Population of the study

Various definitions of a population have been announced by various authors. Cooper and Schindler (2012:338) define a research population as a total collection of

elements from which a researcher wants to make some inferences. Sekeran (2003:265) defines it as an "entire group of people, events, or things of interest that the researcher wishes to investigate". Although the above definitions might seem to be referring to different research rudiments, they both share a common component which is the element. Contained in both definitions of a population are elements which could be individuals, objects, animals, groups, and events etc. that could be part of a sample population. Nhlabathi (2011:102) defines elements as individuals selected from the research population.

Sample population can be identified through various classification based on the characteristics of the elements. In a listed sample population, all elements are known and can be identified, whereas in an unlisted sample population, the size of the population is so large that the elements cannot be identified by a number. The homogenous sample population is identifiable by the sharing of characteristics such as age, gender and rank, whilst a heterogeneous sample population consists of elements with different characteristics such as school children, workers and teachers.

For this study the sample population was identified as both Umsunduzi Local Municipality and Ugu District Municipality.

4.4.6   Sampling

Since population is a generally large collection of individuals or objects that become the focus of a research, it therefore becomes a challenge to study every individual or object in the population. There is thus the need to select the correct individuals, objects or events needed for the study (sample). A sample, is in simplest term, is a subset of the population. A sample is identified through a process of sampling; which Sekaram (2003:266) defines as a process of selecting a sufficient number of elements from the population so that the study of the sample and understanding of its properties or characteristics would make it possible to generalize such characteristics or properties to the population elements. It is about sampling the aspects or features of the social world. Neuman (2003:247) states that when sampling, few elements are picked to provide

clarity and understanding. Sampling is about creating a small group from a population that is as similar to the larger population as possible.

There are two major sampling techniques that can be employed when sampling namely probability sampling and nonprobability sampling. In probability sampling, all the elements in a population have a known probability of being selected to a sample; whilst in non-probability sampling, the elements of the population do not have a known or predetermined chance of being selected to the sample (Cooper & Schindler, 2012: Sekaram, 2003: 269-270). The decision regarding which design to utilize is dependent on the importance placed on the representativeness of the sample in terms of its generalizability (Sekaram, 2003:270), hence a probability sampling design could be used, whereas if emphasis is placed on the importance of time and other factors, a nonprobability design could be used.

In this study, a decision was taken to employ a non-probability sampling design. Within the non-probability sampling there are various types of methods including convenience, purposive and snowball; however for this study, purposive sampling was adopted. Sekeram (2003:277) argues that purposive sampling is the appropriate method when the desired data can only be obtained from a specific target group. In this study, it was anticipated that the desired information could only be obtained from a specific group, hence the sample for the study was constituted by the following elements:

- Senior Managers for both Umsunduzi Municipality and Ugu District Municipality responsible for Intergovernmental Relations.

- Two Senior Managers at the Provincial Department of Cooperative Government and Traditional Affairs, one responsible for IGR and the other, the CDWP.

- 36 Community Development Workers; 12 from Umsunduzi Municipality and 24 from Ugu District Municipality.

- Two Local government councilors from Ugu District Municipality

- 8 Ward Committee members, two from Umsunduzi Municipality and six from Ugu District Municipality

- 12 members from communities who had been involved in service delivery protests

In applying the purposive sampling technique, the two Senior Managers from Umsunduzi Local Municipality and Ugu District municipalities were selected as elements due to their experience, expertise and their job function within their respective municipalities. The same rationale was applied when selecting the two senior managers from the KZN department of COGTA. The selection of community members including Local Government councilors, and ward committees was based on referral and their availability. Councillors were referred by the Senior Managers of both the Local and the District municipalities, who in turn referred the easily available community members from communities who had been involved in service delivery. CDWs on the other hand were approached directly, and they also referred Ward Committee members who they thought would be easily available.

4.4.7   Data Collection Methods

Data for research purposes can be collected using various methods. These could be interviews, questionnaires and observation. Sekeram (2003:224) argues that the decision on which method to use is depended on, among other things, the available facilities, the degree of accuracy required and the expertise of the researcher. In this regard, interviews were utilized as a method for data collection. In order to ensure some degree of control over the collection of data, the interviews were structured. The interviews were divided into two types; individual interviews and focus group interviews. Cooper and Schindler (2012:152) defines an individual interview as a conversation between two people that has a structure and a purpose, which (purpose) is mainly to elicit the knowledge of the interviewee on a topic and is useful for exploring individual beliefs, values understanding and experience. Sekeram (2003:225) defines a focus group interview/discussion as an organized discussion between a number of people whose purpose is to provide space for participants to discuss a particular topic in a context

where people can agree or disagree with each other. Focus groups allow researchers to explore how a group thinks about an issue and appreciate the range of opinions and ideas about a topic or phenomenon. In this study, focus groups interviews were conducted with the CDWs and community members (councillors, ward committee members and community members), and one-on-one interviews with the senior managers of the both municipalities responsible for IGR and special projects as well as the senior managers at COGTA responsible for the CDW and IGR. The anticipated telephonic interview with a manager responsible for the CDWP at national level did not occur due to the unavailability of the manager.

Interviews with the senior managers from COGTA were held separately on different dates and in their respective offices. For the Ugu District Municipality, the interviews were held on two consecutive dates but at different time slots. For the focus group interviews, four sessions were held due to a large number of respondents. The group was therefore divided into four manageable groups, each consisting of 10 participants. Three interview sessions were conducted on the first day; two in the morning and one in the afternoon. The fourth focus group interview was held on the following day in the morning, whilst the interview with the senior manager was held in the afternoon of the second day. Permission was granted to make use of one of the municipal training rooms as the venue for the focus groups interviews for both days, whilst the senior manager was interviewed in his office. With regard to the Umsunduzi Local Municipality, the group was also divided into two, with each consisting of 9 members. The two focus groups interviews were conducted on the same day, whilst the one-on one interview with the senior manager was conducted on a different date. In all the interviews, respondents were advised of the objective of the study and their rights to withdraw from the study should they wish to. They were also further advised that the research report could be made available to them in case they wish to study it. Letters of consent were provided and all respondents signed them.

4.4.8   Data quality control

Data is an important aspect of a research study. Every research is based on data which is analysed and interpreted. In order to ensure research integrity, it therefore becomes vital that data quality control is ensured. Milne and Oberle (2005:419) suggest certain key elements to consider in ensuring quality and rigour of data. These include the careful transcribing and in a timely manner; allowance of codes and themes to emanate from the data and reassessing throughout analysis, paying attention to context relating to participants, discussions and interviews, validating participant perceptions throughout the interview; and reviewing the findings with peers.

According to Shenton (2004:63-64), qualitative researchers should consider four criteria in ensuring quality and thoroughness in their studies. These include:

- Credibility

  Credibility addresses the question of how compatible the findings are with reality (Shenton 2004:64). It can be regarded as an assurance of the accuracy of the findings. Credibility was achieved by recording the interview sessions which were later transcribed and compared with the notes taken. The researcher also summarised the main points of the discussion at the end of each interview and ask the participant to confirm whether the summary captured the essence of the interview. This gave participants an opportunity to reflect further on the discussion and to agree or disagree with the main points while still in the setting of the interview (Milne & Oberle, 2005:418).

- Transferability

  Transferability refers to the degree in which the research can be transferred to other contexts (Shenton 2004:69). Morrow (2005:252) suggest that for transferability to be achieved the researcher must provide adequate information about the research setting, processes, participants, and researcher-participant relationships to allow the reader to decide how the findings may transfer. Information about the population of study, as well as a brief profile of

participants has been provided, as well as the data collection methods that were used in the study.

- Dependability

  According to Morrow (2005:252), dependability is concerned with the fundamental issue of demonstrating that the findings are consistent and could be repeated across time, researchers, and analysis techniques. Shenton (2004:71) suggests that the processes within the study should be described in detail and thus enable future researchers to replicate the work, if not necessarily to obtain the same results. To achieve dependability, a detailed methodological description has been provided.

- Confirmability

  Confirmability is concerned with ensuring that the findings of the study are the result of experiences and ideas of participants, instead of the characteristics and preferences of the researcher (Shenton, 2004:72). As proposed by Morrow (2005:252), the findings of the study have been sufficiently interconnected to the data and the analytic processes in a manner that enables the reader to confirm the adequacy of the findings".

4.4.9   Analysis of data

Data analysis is a process that is aimed at reducing and making sense of the vast amounts of information collected from different sources so that impressions that will respond to the research question can emerge (Leedy and Ormrod, 2010:152). According to Neuman (2009:419) when researchers analyze data, they reach conclusions about social life based on their impression and interpretation of the evidence provided. They carefully examine the large body of empirical information to reach conclusions. Creswell (2009:183) on the other hand states that data analysis is an attempt at making sense of the data through performing various sub-analysis of the information to gain deeper understanding of them so as to understand and interpret their meaning. It involves the sorting and categorizing a large body of information through inductive reasoning and reducing it into small sets

of underlying themes (Leedy and Ormrod, 2010:152). Attention is paid to spoken words, context, consistency and contradiction of views, frequency as well as emerging themes and trends.

For this study, the technique used for data analysis is the thematic analysis technique, which Braun and Clarke (2006:6) define as a method of identifying, analyzing and reporting patterns or themes within data. Thematic analysis could also be viewed as a strategy wherein data is categorized through broad understanding of data and the discovery of patterns and thus the development of themes. It is a technique that requires one to be familiar with data through repeated reading and a thorough reviewing of the data set until themes are identified. Analysis of data was conducted at the collection stage and further reviewed later on through constant non-linear reviewing of entire data set; searching across for repeated patterns of meanings. Data was clarified by eliminating data which was irrelevant to the interview questions. In some instances, the interviewees dwelled and elaborated on information which they felt was important to the interview question; hence data needed to be cleansed. The next step as identified by Braun and Clarke (2006:18) involves coding, done by generating concise codes that identify the important features of the data that could be relevant in answering the research questions. This was followed by identifying themes from data extract. The themes according to Braun and Clarke (2006:10) capture important features about data in relation to the research question and represents some level of partnered response or meaning within the data set. Lastly, the themes were analyzed in detail and named accordingly for reporting purposes.

4.5   Ethical Consideration

Respondents were briefed about the purpose of the study and its intended objective. The topic was also explained as well so as to provide more insight into the study objectives. Respondents were also given the letters which further explained the purpose of the study and requesting their assistance with regard to being participants for the research. They were also advised that should they wish at any time during the research, they may withdraw their participation. The researcher remained committed to ethical conduct as

required in terms of academic research. Information gathered orally was treated with utmost confidentiality and was used for the purpose of the research only.

4.6   CONCLUSON

Research methodology provides a general guide in the approach that the researcher will follow in trying to answer a particular research question. In this chapter, the research design adopted is a qualitative research design which was influenced by the philosophical assumption of the researcher. A case study as a strategy of enquiry suitable for qualitative design was utilized to ensure emphasis on full analysis of the programme in order to understand it and its processes. The sample for the study was selected purposefully so as to have those elements that were able to provide the required and necessary information as part of the sample.

CHAPTER FIVE: DATA ANALYSIS AND FINDINGS

5.1 INTRODUCTION

This chapter presents the findings of the study in accordance with the research questions stated in chapter one. In order to be able to provide answers to the research questions as well as responding to the objective of the study, the research methodology described in Chapter three was followed, whereby a qualitative research design was applied. The sample for the study was selected purposively and the data was collected through interviews which were both one-on-one and focus group interviews.

The objectives of the study as stated were:

i. To explore the nature of existing relationships amongst the spheres of government that are party to the CDWP

ii. To assess the role of IGR in the CDWP

iii. To assess the challenges related to intergovernmental relations that are faced by CDWs.

iv. To explore the intergovernmental relations factors that affect the success of the CDWP.

v. To ascertain what needs to be improved, and make recommendations thereto.

A total of 5 focus group interviews were conducted, with two groups from Umsunduzi Local Municipality and three groups from Ugu District Municipality (attached as Appendix F). Four one-on one interviews (attached as Appendix E) were conducted with Senior Managers responsible for CDWs at both municipalities as well as two Senior Managers from COGTA responsible for CDWs and IGR respectively.

The analysis first provides the profile of the respondents in terms of their age, gender and years of experience in a service delivery environment. This is followed by the presentation of data in terms of the themes identified through thematic analysis.

5.2   PROFILE OF RESPONDENTS

The sample for the study constituted 62 individuals ranging from age 21 to 59, and who were actively involved in service delivery activities as either community members or employees of the state. Also, the years of experience in a service delivery environment was determined as between 5 to 20 years. The age range and years of experience were important to the study as they ensured that responses were representative of the perception of various age groups of the population in respect to the status of delivery of services and the initiatives aimed improving them versus their expectations as well as the understanding of government imperatives in terms of delivering services.

5.3   THEMATIC REPRESENTATION OF RESPONSES TO THE STUDY QUESTIONS

From the analysis of the data collected from both one-on-one and the focus groups interviews several themes emerged in response to the research objectives. The themes were as a result of respondent's views which were analyzed for words and issues that were recurrent.

5.3.1   QUESTION 1: THE TYPES OF RELATIONSHIPS THAT ARE EXISTENT AMONGST THE SPHERES OF GOVERNMENT WHICH ARE PARTY TO THE CDWP

Responses to the first question of the study were analysed and grouped according to the following themes:

5.3.1.1   Vertical relationships characterized by a two-way communication system

Interview respondents from both one-on-one and focus groups interviews indicated that generally relationships exist amongst the three spheres of

government. These relationships are typically vertical in nature and are characterized by a two-way communication channel. Respondents further intimated that in their views, the national and provincial spheres have an upper hand in these relationships, since they issue policy directives for implementation by the local sphere. National policy directives are issued for implementation by both the provincial and local spheres, whilst the provincial sphere also issues provincial policy directives for implementation by the local sphere. The local sphere communicates back to both the national and provincial spheres through monthly and quarterly reporting, whilst in some instances feedback is provided in the form of the established intergovernmental relations structures.

Respondents reiterated that the same general relationships existing between the spheres should be in existence within the CDWP. The CDWP is a programme that came from the national government for implementation by the local sphere, whilst the provincial sphere monitors its implementation. The national department of Cooperative Governance and Traditional Affairs is the custodian of the programme, whilst the provincial Department of Cooperative Governance and Traditional Affairs is the overseer. It was confirmed that relationship formed within the CDWP are vertical and bureaucratic in that they are characterized by a top-bottom approach in terms of providing policy directives and guidelines for the programme; with the same coming from national and cascading down to the lowest level, being the CDWs who are implementers. Respondents advised that although they are stationed at local municipalities, instructions for implementation purposes comes from the provincial department, and that they have to report on a frequent basis to this department. From the focus group discussions, another level of government in the form of ward committee members and the grass root community members came to the fore. Respondents from the focus groups intimated that ward committee members also play a vital role in the CDWP, and they have relationships with the CDWs. Due to their very close proximity to community members and their presence in each ward, they are in constant liaison with CDWs, reporting incidents for referral to the municipalities and functional departments. Focus groups respondents however,

felt that when considering communication, they sometimes feel inferior and not heard by their counterparts in the CDWP. They argued that their opinions and inputs are disregarded, and most of the time they are dictated to in terms of what and how things should be done.

5.3.1.2   Shared responsibilities

Interview respondents indicated that they are aware of the idea of a shared responsibility by all spheres for concurrent functions, and that all spheres have to work together for their achievement. Whilst it became clear from the one-on one interviews that there were responsibilities which the municipalities do not have authority over, focus group respondents emphasized the need to refer to "one public service" when one talks of government. The provision of services by government became central in all focus group discussions; that the achievement of this responsibility was not the responsibility of one sphere only, but of all spheres. The issue of development was raised and all respondents felt that the responsibility of this issue should belong to all spheres of the government. Reference was made to the provincial initiative Operation Sukuma Sakhe and the war rooms, where representatives of local municipalities, CDWs and all functional departments discuss issues of service delivery and how to solve issues of non-delivery. An example was made regarding poor status of health and education services in the province and country as a whole. Local municipalities are required to provide land on which to build the structures, whilst the provincial departments are required to construct a structure from which to provide the required services; hence all spheres share the overall responsibility of ensuring the availability of the required services. In addition, the hosting of *izimbizos* was referred to as one of the initiatives wherein the three spheres of government work together in bringing government to the people as well as services to the citizenry.

Sharing of responsibilities also involved the sharing of capacity for certain developmental projects, where there is lack of capacity within the local sphere, the other two spheres assist in terms of capacitation and the transfer of skills by

undertaking the project together. These are normally effected through memorandums of understanding. It was also mentioned that the sharing of responsibilities involves the sharing of cost. In reference to CDWP, respondents felt that it was not the case. Discussions of one-on-one interviews pointed to the fact that whilst the CDWP is funded by COGTA and that CDWs are remunerated by local municipalities, sources for other operation costs are not clearly located. The CDWs stated that when they need to contact the provincial department either through telephones or fax, they struggle as they have to beg for the resources from municipalities or pay from their own costs. In most instances this leads to them not reporting urgent matters timeously.

5.3.1.3   Co-operation and partnerships

All interview respondents agreed that by its nature, the success of the CDWP requires the cooperation of all spheres of government. It was emphasized that although the CDWP is placed within local government, the other two spheres were also major role players as this programme is about ensuring the delivery of services to the citizenry. Emphasis was placed on that dealing with wide ranging needs of citizens cannot be the responsibility of local government alone, but all spheres of government. Examples were made of *Operation Mbo*, wherein multiple services are provided at the same time. For instance, a need for access to basics services in the absence of an identity document requires access to the national department of Home Affairs, access to the provincial department of Social Development for social grants and also access to services such as water and sanitation from the district and local municipalities. This demonstrates that all government institutions will need to work together.

Respondents from one-on-one interviews pointed to the constitutional and the Public Finance Management Act (PMFA) 1 of 1999 requirements of the upper spheres to provide support to the lower sphere when necessary. Respondents intimated that in terms of this requirement, both the national and provincial spheres were required to provide support when such is needed by the local

sphere. This support could be in the form of policy formulation to deal with a particular need, implementation of policy, and/or capacity. Within the CDWP, respondents were of the view that although local government is at the forefront of service delivery, all the spheres of government needed to consolidate their efforts to ensure an effective, holistic delivery of services. Focus groups respondents felt that it was for this reasons that representatives of functional departments, local municipalities, communities and CDWs are all sitting on war rooms where service delivery challenges are discussed and referrals made to the relevant functional departments in order to resolve these challenges.

Although all respondents were in agreement that the nature of existing relationships amongst the spheres of government in the programme should be supportive, it was also felt that there are many instances where lack of cooperation was noted. Concerns were raised about the poor attendance of meetings by representatives of functional departments; more in particular in *War Rooms* where issues of service delivery are deliberated. Lack of cooperation was also noted in respect of the attitudes of functional departments wherein the representatives seem to adopt a "big brother" attitude towards the representatives of local municipalities. According to the respondents, functional departments tend to be dictatorial in terms of what needs to be done and how it should be done.

5.3.1.4   Consultation and joint decision making

All respondents were in agreement that relationships within the programme should encourage extensive consultation amongst parties to the CDWP. They further agreed that consultation ensures that knowledge, experiences and capabilities of various interest groups to the CDWP are shared in order to learn from each other. An example was made of the involvement of community members who are viewed as being well placed to provide valuable information on their status of service delivery as well as possible solutions to those

challenges. Networking forums are formed and ideas are shared in respect of possible solutions to service delivery bottlenecks.

Consultation therefore leads to decisions being taken mutually by all parties involved in the CDWP. It was pointed out that since the CDWs deals with matters that cut across the government as a whole, all parties to the programme should jointly take a decision on the method to follow to best deliver services to the citizenry.

5.3.1.5   Conflict

One-on-one respondents agreed that there were incidences of conflict. However, these were manageable and easily resolved as all parties are mindful of their reasons of being participants to the programme. These incidences of conflict are at times a result of lack of commitment by functional departments, political affiliation, prioritization of provision of the necessary services, insufficient resources and the perceived power that other participant feel they have over others. Focus groups respondents also shared the same sentiments, highlighting that conflict on their part is also observable within communities where they are sometimes not welcomed due to perceived political affiliations.

5.3.2   FINDINGS IN RESPECTION OF QUESTION 2: THE CHALLENGES THAT ARE FACED BY THE CDWS IN EXECUTING THEIR DUTIES

Responses to the second question of the study were analysed and clustered into the following emerging themes:

5.3.2.1   Implementation challenges

Focus group respondents indicated that previously, there had been challenges of implementation regarding lack of defined processes and procedures in execution of the programme. This had since been resolved. It was intimated that in the past CDWs had various individual interpretation of their duties and what is required of them. However, this has been resolved since COGTA placed with guidelines

in terms of how the CDPW should be implemented in the province as well as guideline in respect of the duties of the CDWs. However, the challenges relating to lack of clearly defined roles in terms of the duties of each party to the programme still exist. One-on-one respondents reported that lack of clearly defined roles had, in many instances, led to a position where representatives of functional/line departments would abdicate their responsibilities to their counterparts in local municipalities, hence causing implementation challenges. It was reported that this was also tied in with the notion of power where provincial participants felt that they have power to dictate to the municipal representatives.

Focus group interview respondents also pointed out the challenges caused by the dual role of CDWs as hindrances to them fulfilling their obligations. The CDWs pointed out that due to this challenge, they had in many instances found themselves in conflict with ward committee members who felt that they were taking over their duties. The CDWs as individuals who come from communities they work in sometimes become privy of the activities that are occurring with communities. Thus, they would possibly report without the involvement of ward committee members; thus leading to implementation challenges with regard to stakeholder roles. Also, the reporting lines were also contributing to the implementation challenges of the programme since CDWs operate across the three spheres of government. Respondents advised that since they were stationed in local municipalities, all the other parties feel that they have authority over them. They are at times required to report to ward committee members and councillors, accounting Officers of municipalities and representatives of COGTA. This therefore creates challenges for the CDWs since they end up spending a lot time tending to this issues instead of doing the actual work that they are supposed to do.

5.3.2.2   Co-operation challenges

One-on-one respondents cited lack of commitment by functional departments as one of the major challenges of the CDWP. The programme operates across the three spheres of the government, and it is aimed at ensuring holistic delivery of services so all parties to the programme need to make a consented effort. One-on-one respondents stated the CDWP provides a platform for government departments and other service providers to work together to ensure integrated planning, the alignment of community needs to the IDP, and to resource, deliver and monitor the progress with regard to delivery of services. Respondents felt that since CDWs are based in local municipalities, functional department were of the opinion that it was not their responsibility but municipality's responsibilities. This was evident in the lack of attendance of scheduled CDWP meetings.

Focus group interview respondents reported that lack of addressing identified service delivery challenges or bottlenecks needing the attention of functional departments, as well as lack of provision of feedback in respect of the referred challenges was proof that line departments were not committed to the objectives of the programme. It was reiterated that this was a major concern as, CDWs were in turn viewed as incompetent and untrustworthy. These sentiments were also shared by ward committee members within the focus group discussion stating they also end up not being trusted by community members if promises made are not fulfilled.

Focus group respondents also raised concerns about the cooperation with other stakeholders responsible for community development. Whilst CDWs are guided by certain government mandates and the applicable prescripts, stakeholders outside of the government do not recognize these. Instead of providing the necessary skills and capacity to empower CDWs, and enhance their duties, CDWs end up being perceived as incompetent and being viewed as an obstacle to development.

5.3.2.3 Tense relationships with community members

Respondents reported that CDWs are community members who also have a responsibility of working within the communities they live in. As such, they have to be community members whilst at the same time workers. The role of being an advocacy worker requires neutrality and objectivity when executing duties and in dealing with community matters. Whilst CDWs feel that they ensure neutrality in executing their duties, some community members feel otherwise and presume political biasness in dealing with their issues of concern. This creates tension which in turn causes difficulties in executing duties. Whilst this may be true in some instances respondents feel that in some cases it is unwarranted.

Also, respondents reported being let down by their counterparts in the form of ward councillors and ward committee members who often badmouth them to community members for "taking their jobs and thinking they are superior to them". The same sentiments were also voiced out by ward committee members and ward councillors who felt the same about CDWs; hence the working relations became adversarial.

5.3.2.4 Resource challenges

All respondents agree that the availability of enough resources was a major challenge when working across the three spheres of government. Focus group respondents reported that as field workers, they had to work with households which are located sparsely in wards, and for which transportation will be required to traverse to them. An example was made of profiling households in a particular ward where households are sparsely located. Once located and profiled, CDWs need to consult with relevant functional departments to ensure that challenges faced by a particular household are systematically addressed. In such instances and where such intervention is urgent they incur expenditure on their own without any hope of being reimbursed for traversing between the identified household and the functional department.

One-on-one respondents pointed to the issue of unfunded mandates by the national government which was putting strain on resource allocation. Local government is at times given the responsibility of implementing certain government programmes without being provided with funding that goes along with the implementation. In such instances, municipalities are found lacking since they can't implement if they don't have funds. This therefore cascades down to CDWs who also then struggle with the execution of their duties.

5.3.2.5   Political challenges

Focus groups respondents indicated that their jobs require them to work in a politically charged environments, which makes them susceptible to political interference and pressure. Working in a ward that belongs to a political party different from yours is concerning and a cause for tension in terms of the perceptions of the communities, hence it causes mistrust and perceived bias leading to difficulties in the execution of duties by CDWS. Political challenges were also as a result of perceived biasness in terms of prioritization of objectives of a particular political party. An example was made that if the service delivery needs of a ward belonging to the ruling party are attended to urgently, whilst the needs of other wards are addressed at a later stage, cries of foul play and support of a political agenda of that party are labelled at CDWs.

5.3.3   FINDINGS IN REESPECT OF QUESTION 3: THE ROLE OF IGR IN THE CDWP

The emergent themes in respect of the third question of the study were as follows:

5.3.3.1   Cooperation

As persistently stated, respondents recognized that the successful adoption and implementation of CDWPs requires integrated, cohesive collaboration from the three spheres of government. Reference was made to the duties of each sphere as indicated in the Constitution and the need for the spheres to ensure that when

delivering on their mandates, they do so in an integrated manner. All respondents were therefore in agreement that IGR should be the bond that binds the three spheres of government together. It should foster friendly relationships, respect for each other and nurture trust for effective collaborations among spheres. According to respondents friendly relations ensures that the channels for communication are open, so that where conflict looms, these are easily handled with by parties concerned. According to respondents, co-operation entails supporting each other in terms of sharing knowledge and experiences in order to capacitate each other. Information and knowledge can be shared vertically and horizontally amongst the spheres and other government institution, thus learning from each other to how best meet the service delivery objectives within the programmme. It was indicated that although there was some level of co-operation, it was not clear how strong it is.

5.3.3.2   Co-ordination

Respondents also indicated that intergovernmental relations are vital to the coordination of the activities of all parties to the CDWP, as they ensure that all of the activities are geared towards service delivery. Coordination ensures that each sphere is aware of the activities of the other sphere in the programme, ensuring alignment and harmonization. Through coordination of activities, duplication and overlaps in activities are avoided, thus human and financial resource wastage and time is avoided. Coordination also allows for discussion of policies so as to ensure alignment. Respondents stated that coordination was important in the planning stages, as well as budgeting and implementation. An example of the IDPs of both local and district municipalities was made; that these should link and feed into each other to ensure integration in delivery of services. It was also felt that these should also feed into the Provincial Growth and Development Strategy (PGDS) so that service delivery can benefit the whole province. Respondents further intimated that although there were meetings scheduled to discuss planning for service delivery, they were not sure whether

real integrated planning do take place. They also pointed to poor attendance of meetings hence integrated planning was not evident in the CDWP.

5.3.3.3 Sharing of resources (information, human and financial resources)

Respondents indicated that IGR should ensure that all parties to the relationship share resources in a spirit of working together and capacitating each other. This could ensure the use of limited resources to ensure effective delivery of services to the citizens. Resources shared could be in a form of office space, information, knowledge and skills, human and financial resources. One-on-one respondents referred to the allocation of equitable share and other conditional grants as an example of sharing of financial resources. It was reiterated that the provincial and local sphere of government are able to meet their responsibilities through this allocation. Also, it was mentioned that sharing meant the monitoring and evaluation by upper spheres of government of the use of the conditional grants to ensure that it is utilized for its intended purpose.

5.3.3.4 Fostering of collaborations

One-on-one respondents mentioned that collaborations were essential for the CDWP to effectively deliver on its mandate. They advised that service delivery is not the sole responsibility of government. Other entities such as CBOs, FBOs, NPOs and other government agencies that have interests can assist the government. These entities also have capacity and skills to undertake some projects and deliver the required services. Through their involvement, information could be shared on how the government in terms of the three spheres could best deliver services.

Focus group respondents reported that they also work with other field workers from various organization and that when these happen, informal collaborations are formed. They reiterated that these collaborations are crucial to the execution of their duties because from these they get capacitated in terms of knowledge, skills and sometimes financial resources.

5.3.3.5   **Integrated delivery of services**

The role of IGR in ensuring an integrated system of service delivery was highlighted as the most important one, although it was also emphasized that this was the end product. It was reiterated that once community and household needs are understood, departmental/service provider representatives can plan and combine resources and provide the required services. It was the view of the respondents that integration should be applied at the planning stage, right up to delivery. National programmes such as the Project Consolidate aimed at assisting non-performing municipalities and the Expanded Public Work (EPWP) were identified as programmes wherein government units have participated effectively in the execution of their mandates   though the facilitative nature of intergovernmental relations.

5.3.4   **FINDINGS IN RESPECT OF QUESTION 4: IGR FACTORS THAT AFFECT THE SUCCESS OF THE CDWP**

The findings which were grouped into the following themes below were noted in response to research question no.4:

5.3.4.1   **Lack of co-operation**

Respondent concurred that the level of co-operation required for the successful implementation of the CDWP is lacking and is leading to the programmes ineffectiveness. All respondents stated that the effective implementation of the programme will require all involved parties to acknowledge that service delivery is a shared responsibility. Although each sphere has its own responsibility in terms of service delivery, it should be acknowledged that the programme is aimed at integrating the delivery of services. This means that co-operation within the CDWP is vital. In a case where this is lacking, respondents advised that there was a feeling that each sphere of government pulls in a different direction, whilst aiming for the attainment of a one and similar goal.

Respondents felt that co-operation is the bond that holds the three spheres of governments; making sure that they are friendly towards each other and treat each other with respect. They argued that when representatives from various spheres are friendly towards each other, trust amongst them is nurtured which in turn cultivates strong friendship. Where there are strong relationship bonds and trust, representatives become concerned about the performance of the each other, and therefore realize that the government should perform as a "whole" rather than the parts. As a result, the relationship becomes supportive and there is a realization of reliance on each other.

Respondents reported that lack of cooperation within the programme manifest itself in a general lack of interest in the programme. Respondents advised that high levels of absenteeism at meetings scheduled to discuss the programme, lack of feedback and progress on agreed upon actions and abuse of power by representatives of spheres who assume position of more power, thus leading to conflictual relations were the result of lack of interest in the programme. With regard to the abuse of power, respondents reported that representatives from the upper spheres of government perceived themselves to have more power than those placed at the local sphere, and therefore assume the "big brother" approach, therefore becoming doctorial and abdicate their responsibilities. The CDWs respondents reported on being instructed by line department representatives to execute functions which do not belong to them, instead of working with them cooperatively. They further reported that that they are often left alone to respond to community queries about promises made by other spheres or line departments who are not consistent when needed to provide feedback when required by communities. This often builds to feelings of resentment and thus resistance that cripples the programme.

5.3.4.2   Ineffective communication channels

Respondents agreed that communication is an important tool for good relations and for sharing information in a mutually and understandable manner. They

argued that it connects individuals and builds up relationships for effective functioning. Good communication cultivates relationships based on trust and openness, thus leading to a healthy working environment. Communication is a facilitator for co-operation, coordination and the sharing of information. It ensures that decisions are reached jointly and that the possibilities of conflict can be resolved speedily thorough communication. Respondents argued that lack of communication hinders cooperative functioning of parties. Collaborations, trust and joint decision making processes become "ideals" as parties to the programme seem to adopt a "working in silos" mentality.

Focus groups interview respondents indicated that although communication channels were available within the programme due to the bureaucratic nature, they seem to be ineffective. They argue that open communication should save time in that one would not have to wait for weeks for feedback on issues of concern and or a request for advice in terms of dealing with challenging issues. However, this was not the case within the CDWP. The CDWs as field workers are the voices of the communities whilst they are also the ears of the government. In many instances when they report issues of concern to their immediate superiors in the form of municipal officials and or provincial government officials, these are not taken into consideration, until communities express their frustration through protest.

Respondents from the focus groups also intimated that CDWs have a relationship with ward committee members and that due to their very close proximity to community members and their presence in each ward, they are in constant liaison with each other; reporting incidents for referral to the municipalities and functional departments. They however, felt that when it comes to communication, they sometimes feel inferior and not heard by their counterparts in the CDWP.

5.3.4.3   Lack of consultation

All respondents were agreement that consultation among the three spheres of government was important to the success of the programme. Emphasis was made that consultation, (either with community members, representatives from other spheres of government and or external stakeholders) ensures sharing of information, knowledge, experiences and skills to learn from each other. Respondents reported that when consultation takes place, they gain knowledge and information from other government institutions, external stakeholders and partners about how they operate and therefore learn from them. In this manner, they become capacitated in terms of how to best execute their duties.

Respondents also intimated that consultations also meant the consolidation of resources in order to devise a solution to problem. Individuals from various sectors and with different expertise come together and form networking forums where ideas are shared in respect of possible solutions to service delivery bottlenecks. This therefore leads to decisions being taken mutually by all parties involved.

Respondents therefore indicated that lack of consultation results in valuable information not getting disseminated and good ideas that could resolve a problem not being shared. This also results to parties to the programme operating "in silos" which is detrimental to integrated delivery of services.

5.3.4.4   Lack of collaborations/partnerships

All interview respondents agreed that that by its nature, the CDWP requires the cooperation of all spheres of government in order to succeed. Closely linked to co-operation are collaborations. All respondents were in agreement that the CDWP deals with a wide ranging needs of citizens, and that dealing with these cannot be the responsibility of the local government or the state alone. Other spheres of government and entities that are willing to assist in this regard should be allowed to participate. Reference was made to other institutions like public

entities and other community based organizations who are playing a role in community development through the provision of services. Respondents agreed that where collaborations have been formed, whether formally or informally, co-operation thrives and the results become evident though the delivery of services.

Respondents further indicated that collaborations were beneficial to the integrated delivery of services in that through them, there is sharing of skills, knowledge and information. Where collaborations have been formed with line departments, referrals for resolving bottlenecks becomes streamlined as those responsible for providing solution become aware of the challenges and develop strategies of dealing with those challenges speedily and effectively. Private owned and funded CBOs and NGOs are capacitated with employees who are highly knowledgeable, skilled and come with international experience. They usually have funding which assists the government employed CDWs in alleviating the backlogs. As such, team work in these spaces ensures the sharing of information, knowledge and skills, thus capacitating the CDWs.

In the absence of the collaboration, respondents reported that they only do what they are required to do, without any feedback in terms of how effective it is. Their work seem to lack innovation since they do their duties in terms of what is required and according to the book, which in most cases whilst it is effective, more could be done if there are some new innovative ways of doing same. They pointed to this as one of the reasons the CDWP is seen to be in effective in that the backlogs in terms of service delivery is huge, hence their efforts in dealing with same is obscured.

5.3.4.5 Lack of coordination

Respondents indicated that the coordination of the activities and efforts by line departments from each sphere of government towards the attainment of service delivery objectives is vital to the success of the programme. They argued that coordination ensures that all activities are geared towards service delivery; hence lack of coordination sees spheres having different aims as they are uninformed

of each other's plans and intentions. This therefore leads to non- alignment and lack of harmonization of activities, and eventually the conflicting, duplication and overlapping activities; hence wastage in human and financial resources as well as time. Respondents emphasized the importance of coordination of activities and resources during the planning stages wherein they felt that that if this was done accordingly, the government would benefit by savings. Reference was made to infrastructure projects whose construction should be planned for by all spheres of government. Respondents indicated that in this regard, planning is an isolated process for each sphere and does not feed to the planning of other spheres; hence there is disconnection in projects, duplication and wastage of resources.

Respondents also felt that coordination plays a vital role in the alignment of policies, as this ensures that there is no conflicting policies when delivering services. It was reported that coordination ensures that all spheres consider and ensure the alignment of policies so that they are in sync and are geared towards a single goal. As such lack of coordination in terms of policies leads to conflicting policies, which makes it a challenge for the spheres to work together towards delivering services.

Respondents further intimated that coordination also go as far as to the actual delivery of services. They emphasized that notwithstanding the allocation of function as per the constitutional imperatives, government should be seen as one government when delivering services. It was reiterated that once community and household needs are identified, all government institutions and other entities should plan how to best meet these needs, and therefore combine resources in order to meet the identified needs. National programmes like the Project Consolidate aimed at assisting non-performing municipalities and the Expanded Public Work (EPWP) were again identified as programmes wherein government units participated effectively in the execution of their mandates.

5.3.5   **FINDINGS IN RESPECT OF QUESTION 5: AREAS FOR**
               IMPROVEMENT

Responses to the fifth question of the study were analysed and grouped according
to the following themes:

5.3.5.1   **Co-operation**

All respondents agreed that the level of cooperation amongst all parties to
programme, *viz* the representative of the three spheres of government, SOE and
private owned CBOs needs to be strengthen in order to ensure that all of these
institutions work together effectively. Respondents felt that the idea of "*one
public service*" needs to be entrenched so as to inculcate the idea of a shared
responsibility to ensure that all spheres work collectively towards a common of
goal of improving the lives of the citizens of the country through improved
service delivery.

Respondents further pointed out to adversarial relations amongst the spheres
which are a result of lack of trust, friendly relations and an unhealthy competition
amongst the spheres of government. They felt that such adversarial relations need
to be improved to friendly relations based on trust in order to benefit from each
other in terms of supporting & learning from each other, sharing of knowledge
& expertise, the formation of effective collaborations as well as the realization
that of reliance on each other.

5.3.5.2   **Communication**

Although all respondents acknowledged that communication channels were in
existence, they also persistently stated that they need to be improved. Emphasis
was placed that communication should be viewed as a tool for ensuring good
relations and for information sharing; hence facilitating good relations.
Respondents reported that the bureaucratic nature of communication channels
which seem more vertical in nature need to accommodate horizontal and

diagonal types of communication, in order to ensure that both formal and informal communication takes place. Focus groups interview respondents reported that some of the information they relay to their immediate superiors gets distorted by the time it reaches senior management for decision making process, as such if they are allowed direct communication with senior management this might be avoided.

Also, focus group interview respondents were of the opinion that the availability of communication gadgets needs to be examined and improved. Respondents stated that it was a challenge for them to get access to telephones, cell phones, fax lines as well as email which they could use to report pressing challenges to their immediate supervisors. This therefore affects the performance of their duties.

5.3.5.3   Coordination

The respondents indicated that integrated coordination of the activities of the three spheres of government towards the attainment of service delivery objectives was vital to the success of the programme and thus the coordination should be improved. Three areas of coordination that needed improvement were identified as follows:

- Planning

Respondents reiterated that integrated coordination of activities should begin at the planning stage of the IDPs, PGDP and the NDP. They argue that development should be a national activity which should be enjoyed by all; and as such it should not be locally or regionally based. The IDPs of local municipalities should feed into the IDPs of district municipalities, whilst those of district municipalities should feed into the PGDP and then the NDP. In ensuring that the plans are aligned, respondents felt that when the plans are compiled, representatives from each sphere should attend in order to ensure that they are apprised of what each sphere is planning and whether that feeds to each sphere's plans. This will

therefore ensure the alignment of objectives and goals thus avoiding conflicting objectives, duplication and overlapping activities and wastage in terms of human and financial resources as well as time.

- Delivery of services

Respondents intimated that coordination should also be improved in as far as the actual delivery of services is concerned. They emphasized that once the plans are aligned, and notwithstanding the allocation of function as per the constitutional imperatives, all spheres could work together efficiently in the delivery of the much needed services.

- Alignment of policies

Respondents also felt that policies should be coordinated to ensure alignment and the avoidance of conflicting policies. The alignment would ensure that all policies guiding service delivery are in sync and are geared towards the achievement of a single goal, and that conflict in the implementation of such policies is avoided.

5.3.5.4 Collaborations

Although all respondents agree that collaborations are in existence within the CDWP, it was felt that most of these were informal in nature. Despite the informality of the collaborations, these were found to effective, more in particular collaborations with privately owned CBOs and NGOs. However, respondents felt that collaborations with other state entities and or departments were not that effective. Instances where resources with financial implications like tools for communication and transportation requirements needed to be shared, these usually becomes a challenge. Respondents felt that these needed to be formalized through Memorandums of Understanding (MoU).

5.3.5.5　　　Consultation

Respondents felt that consultation although informal, should not be based on bureaucracy and be viewed as crossing the boundary. CDWs indicated that at times they are made to feel as if they have crossed the line when they consult with others in an attempt to share or gain knowledge in performance of their duties. In view of this, respondents felt that guiding principles should be compiled in reference to how the CDWs should work with other stakeholders, more especially external stakeholders when executing their duties.

5.3.5.6　　　Political Interference

One-on-one respondents felt that the influence by some political leaders in the CDWs as well as the general political interference is a cause for concern that needs to be attended to. Although this is not as overt as it used to be, focus groups respondents indicated that this was still happening and it affects their performance and it causes distrust by community members. They all recommended that political office bearers need to be apprised of their role in terms of their oversight role as well as the objective of the programme and the role played by CDWs. Respondents further emphasized that the focus of the programme should be on looking after the interests of citizens instead of those of political parties.

5.4　CONCLUSION

In this chapter, the findings of the study have been presented. In so doing, the chapter first explored the profile of respondents and the effect that this would have on the findings. This was followed by the findings presented in terms of research questions that the study sought to respond to.

The findings revealed that the nature of relationships that are existent amongst the three spheres of government which are party to the CDWP, as well as the challenges that are faced by the CDWS in the execution of their duties. The study also revealed that IGR

has an important role to play within the CDWP, however, there are factors that have been identified that have a negative effect on the role of IGR being fully realized within the programme.

The subsequent chapter will focus on the summary of the study and present conclusions and recommendations arising from the study. A future direction and new areas that require further research and investigation will also be mentioned.

CHAPTER SIX: RESEARCH SUMMARY, CONCLUSION AND RECOMMENDATIONS

6.1 INTRODUCTION

The CDWP was introduced to address the challenges of poor service delivery that has been entrenched in the South African governance narrative. Its main objective is to resolve service delivery bottlenecks and empower communities through improved and fast-tracked delivery of services. Since its inception, the CDWP's success in reducing service delivery bottlenecks has yet to be manifested. The number of households considered poor and the genuine service delivery protests continue to rise. The study was therefore undertaken to identify the role that is played by IGR in the CDWP, as well as to identify the IGR factors that affect the successful implementation of the programme.

The previous chapter presented the findings of the research study based on the research questions identified in Chapter one. This chapter, which is the final chapter, provides a conclusion of the study as well as the recommendations considering the objectives of the study. In addition, areas for further research are also suggested based on findings and recommendations. This chapter begins with a sequential summary of the chapters before mentioning the study's conclusions and recommendations.

6.2 SUMMARY OF THE RESEARCH STUDY

Chapter one provided background to the study as well as the research problem. It further provided the questions which the researcher hoped to answer and the methodology of the steps that were followed in answering the research questions. The chapter further detailed the limitation of the study, as well as the significance of the study and concluded by providing a summarized version of the chapters.

Chapter two provided a theoretical framework for the study, and identified the open system and the collaboration theories as forming the basis of the study research. The two

theories were considered in terms of their characteristics in relation to the structure and the functioning of the state, the spheres and other organs of the state.

Chapter three presented a literature review on CDWP, discussing its origin in relation to the concept of community development. The literature review traces the historical origins of community development to the early days of civilization and the practice of agricultural extensions in the US, to social reforms in the UK and to the era of colonialism and the missionaries in the African context.

The objective of the CDWP was explored and it was focused on how it was intended to resolve service delivery bottlenecks by ensuring that all spheres of government work together. Therefore, attention was given to the IGR, their evolvement within the South African context, their structures and the role they play in the delivery of services. It is against this backdrop that the gaps were highlighted which informs the basis for the study.

Chapter four presented the general research approach which was followed in conducting the study. A qualitative research design was applied wherein a case study method was utilized as a strategy of inquiry. In the chapter, the population of the study as well as the sampling method utilized to identify the sample of the study was discussed. The case study method was presented as a strategy of inquiry, and interviews were employed as data collection tools. Interviews were in a form of individual and focus group interviews. The data collected was analysed using a thematic analysis technique.

Chapter five presented the findings of the themes that emerged in response to research questions that were presented in chapter one. The findings were analyzed and discussed in light of the literature review presented in chapter two.

Chapter six provides the summary of the study in terms of the research objectives and from which conclusions are made. It begins by providing the essence of the entire study and then provides a summary of the study conclusions in response to the research objectives. Finally, the chapter concludes by making recommendations in terms of the study and recommendations for future research.

6.3   CONCLUSION IN RESPECT OF THE STUDY OBJECTIVES

The findings of the study have demonstrated that IGR plays a vital role of promoting co-operative government amongst the three spheres of government within the CDWP. The CDWP is a government strategic policy initiative whose main objective is to bridge the gap between government and communities by ensuring access to the government and government services. In spite of IGR being a bond that brings together the three spheres of government for the achievement of one of the basic human rights, the study also indicates that there are IGR elements that compromise reaping the benefits of a fully effective IGR system in all spheres.

The ensuing section therefore details the conclusion drawn in respect of each objective of the study.

6.3.1   STUDY OBJECTIVE NO.1: THE NATURE OF EXISTING RELATIONSHIPS AMONGST THE THREE SPHERERS OF GOVERNMENT THAT ARE PARTY TO THE CDWP

The findings of the study regarding first objective of the study conclude that there are existing relationships amongst the spheres of government that are party to the CDWP. The cornerstone of these relationships is trust and mutual respect for each other to ensure good working relations. As emphasized by Reddy (2001:28), government components should be viewed as a cohesive whole instead of distinct components and the relationships that are formed should be mainly based on a notion of a shared responsibility and a "one public service" for delivering public services to the citizens. As indicated by Mubangizi *et al. (*2013:781), all parties to the programme are aware of the interdependency to each other. Therefore, mutual co-operation and consultation is needed for joint decision making and the establishment of collaborations and/or partnerships.

Although the relationships are mostly cordial in nature, findings concluded that there is tension caused by the two-way communication system. This system is mostly bureaucratic in nature, lacks commitment to the programme as well as has officials from

the upper spheres with a hierarchal attitude, who assume the roles of being big brothers instead of offering support.

6.3.2 STUDY OBJECTIVE NO. 2: THE ROLE OF IGR IN THE CDWP

The findings of the study regarding the second objective conclude that IGR promote the spirit of cooperation amongst all role players in the CDWP by ensuring that they all work together for the achievement of the objectives of the programme. This conclusion is in support of De Villiers's (1994:430) contentions as suggested in the literature review wherein he states that spheres of government cannot function effectively in isolation (De Villiers, 1994:430) in Malan, 2005:229). The IGR further cultivate friendly relations based on mutual trust, respect and support for each other; all of which strengthen cooperation. This in turn leads to feelings of shared responsibility and the working together towards the achievement of a common goal of protecting the rights of citizens. As pointed out by Mubangizi *et al.* (2013:781) IGR ensure that government units participate effectively in the execution of their mandate for the achievement of governmental goals. These goals are achieved through cooperation which binds the spheres together to commit to the objectives of the programme, including all other parties to the programme.

Linked to the co-operative role of IGR, the study concludes that IGR also ensures that resources are shared amongst the three spheres of government for the achievement of governmental goals. Due to limited resources and through the spirit of cooperative of government, spheres of government, line department and/or other government entities need to support each other by mutual capacitation through sharing resources. Sharing of resources requires the existence of friendly relations, similarly made possible by IGR. Resources shared could be in a form of office space, information, knowledge and skills, human and financial resources. As pointed out by Malan (2005:237), sharing occurs when matters of mutual interest are discussed by the three spheres.

The study findings also conclude that IGR foster collaborations amongst the three spheres of government by ensuring that various government institutions consolidate their efforts in effectively delivering public services and develop communities. Through the

findings, it is appreciated that community development cannot be facilitated by government alone; hence other institutions like SOEs, FBOs, CBOs and NPOs also play an important role. They collaborate with government institutions through IGRs for the delivery of services.

Further to the above mentioned conclusions, the study is in support of Ile (2010:51) that IGR ensure the coordination and alignment of government activities for ensuring effective service delivery to the public. The study concludes that IGR facilitate synergy in the coordination of service delivery intended activities of various parties to the CDWP in order to ensure alignment of the various activities. The alignment ensures that the activities have a recognizable impact on the intended objective, which in this regard is service delivery. The study findings also support Watts' (2001: 23) argument that IGR facilitate coordination of activities amongst the three spheres of government in order to achieve national objectives. The study concludes that IGR ensure alignment in the policy formulation, the planning for delivery of services, budgeting and the actual delivery of services. Through the coordination of activities, duplication and overlaps in these activities are avoided thus human and financial resources as well as time wastage is avoided.

The study also concludes that IGR facilitate integrated service delivery by ensuring that the activities aimed at the delivery of services by all parties are aligned so that when services are delivered, it is done so holistically in an integrated manner. This integration in service delivery comes as a result of coordinated policies, planning and budgeting. This at the end creates the notion of one public service when it comes to service delivery.

6.3.3   STUDY OBJECTIVE NO. 3: IGR RELATED CHALLENGES FACED BY CDW'S

With regard to the 3rd objective of the study, it is concluded that CDWs are still facing implementation challenges relating to the roles of each party to the programme as well as the abuse of power and authority. Such challenges are mainly caused by lack of commitment to the programme by other spheres of government and parties to the programme. This lack of commitment often leads to the abdication of responsibilities

by these parties; hence leaving CDWs to inherit roles that do not belong to them. Also, as stated by Disoloane and Lekonyane (2011:1081), Tshishonga and Mafema (2012: 251) and Rikhotso (2013:121) the study concludes that the reporting lines are contributing to the implementation challenges of the programme as CDWs operate across the three spheres of government. As CDWs are stationed within local municipalities, all parties feel that they have authority over them, whereas in actual fact, they report to provincial department of COGTA. They (CDWs) are at times required to report to ward committee members and councillors, accounting officers of municipalities and representatives of line departments. This therefore creates challenges for the CDWs since they spend a lot time tending to these issues.

The study further concludes in support of Mubangizi (2009:445) that the dual role of CDWs is a challenge in respect of the success of the CDWP. CDWs are first community members who are also employed to work within their communities. They therefore have to behave as ordinary community members whilst also assuming the role of community development workers. Whereas their role of advocacy workers requires neutrality and unbiasness, their political affiliation as community members creates perceived biasness. Thus tense relationships with other officials; ward committee members, councilors and community members as a whole arises. Moreover, attending to urgent service delivery needs of a particular ward is viewed as affiliation to a certain political party and perceived as supporting the political agenda of that party. Linked to this finding is political interference by ward councilors who always demand prioritization in addressing with service delivery needs of wards belonging to their parties.

It also concluded that cooperation and commitment to the objectives of the programme and its success by the three spheres of government as well as other parties to the programme is a challenge to the CDW's work. Since the programme operates across the three spheres of the government to ensure holistic delivery of services, all parties to the programme need to work together cooperatively. Functional departments are however show lack of commitment by not attending scheduled meetings to deal with issues of delivery, and lack of provision of feedback in respect of the referred challenges requiring line department's attention. This leads to CDWs being viewed as incompetent and

untrustworthy. Linked to this finding is consultation which in its absence, CDWs are not supported by representatives from other spheres of government and other parties to the programme in sharing of information in order to capacitate each other.

As indicated by Mafema and Tshishonga (2008: 367-369), Martins (2013:108) and Rikhotso (2013:121), scarcity of resources is also found to be a major a challenge for CDWs in executing their duties across the three spheres of government. This scarcity of resources is mostly as a result of underfunded mandates by the national government wherein local government is given the responsibility of implementing certain government programmes without being provided with the necessary funding associated with the implementation. The resources could be in the form of transportation, communication gadgets and funding.

6.3.4   STUDY OBJECTIVE NO 4: THE IGR FACTORS THAT AFFECT THE SUCCESS OF THE CDWP

The findings of the study have led to a conclusion that there are IGR factors that hinder the successful implementation of the CDWP. The findings pointed out to co-operation and therefore the study concludes that the level of cooperation required to ensure the successful implementation of the CDWP is lacking, hence the programme is found to be ineffective. Coetzee (2010:85) indicated that cooperation is vital for delivery of services in a satisfactory manner and for effective implementation of the programme, parties to the programme need to acknowledge that service delivery is a shared responsibility. In the absence of cooperation, each sphere of government pulls in a different direction thus hindering the attainment of a shared goal of protecting the rights of citizens. Whilst it is acknowledged that each sphere has its own responsibility for service delivery, it is also recognized that the programme is aimed at integrating the delivery of services, hence co-operation is vital.

The study also concludes that communication in a co-operative environment plays an important role in ensuring good relations and is an important tool for sharing information. Although the study indicates that communication channels are available within the programme, they seem to be ineffective because of their bureaucratic nature.

Since communication connects individuals to build up relationships based on trust and openness for healthy working environment, it facilitates co-operation, coordination and the sharing of information. Therefore its absence or ineffectiveness leads to parties being unable to operate cooperatively; to such an extent that relationships become adversarial. Collaborations, trust and joint decision making processes become "ideals" as parties to the programme seem to be working in silos.

The study further concludes that consultation is vital to ensuring that all spheres of government work together, and its absence is detrimental to the success of the programme. Consultation ensures that information, knowledge, experiences and skills are shared amongst the spheres of government and parties to the programme with an intention of capacitating each other. It ensures that knowledge and information from other government institutions, external stakeholders and partners is obtained in order to gain insight on how each operate thus learning from each other. Consultation further ensures sharing of responsibility in respect to decision making whereby challenges are resolved through pulling together resources to devise a solution to a challenge. Individuals from various sectors with different expertise come together, hence networking forums are formed and ideas are shared in respect of possible solutions to service delivery bottlenecks.

The CDWP, by its nature requires the cooperation of all spheres of government in order to succeed. When there is cooperation, collaborations and partnerships are formed. The CDWP deals with wide ranging needs of citizens, as such, attending to these needs requires various institutions with various skills and expertise. The CBOs and FBOs, as privately owned and funded organization are capacitated with employees who are highly knowledgeable and skilled in international experience and best practices. They can therefore assist the government employed CDWs in alleviating the backlogs and fulfilling the government's mandate of delivering services. The study therefore concludes that in the absence of collaboration amongst the spheres of government and other external non-governmental organizations, whether formal or informal, the CDWP becomes affected. Without collaboration parties work in silos and sharing information, knowledge and skills become affected. Moreover, referrals of service delivery

bottlenecks to relevant spheres and or line department become a challenge; whereas in the presence of collaborations they become streamlined through effective referral systems. Parties to the challenge become aware of the challenges and develop strategies for addressing such issues in a speedy and effective manner.

The study further concludes that coordination of the activities by all spheres and line departments towards the attainment of service delivery objectives is vital to the success of the programme. IGR facilitate the coordination and alignment of government activities to ensure effective service delivery to the public (Ile, 2010:51). As stated by Watts (2001:23), the coordination of activities should begin at policy formulation and proceed to planning, budgeting and then to the actual delivery of services. Therefore, lack of coordination leads to each sphere not being aware of the activities of the other. This eventually sees each sphere pulling in a different direction and thus leads to discordance of activities, and eventually the conflicting, duplication and overlapping of activities which result in human and financial resources as well as time wastage.

6.3.5   STUDY OBJECTIVE NO 5: AREAS FOR IMPROVEMENTS

The study concludes that although there are relationships amongst the three spheres of government within the CDWP, these need to be strengthened in order to promote high levels of continuous co-operation among the spheres of government. Cooperation should be ongoing and not only visible for certain projects, programmes or events. The SOEs and privately owned NGOs and CBOs should be part of the collective. The idea of a "one public service" needs to be entrenched so as to inculcate the idea of a shared responsibility by all spheres of government so that they work cooperatively towards a common goal of improving the lives of the country's citizens. Adversarial relationships amongst the spheres which are a result of lack of trust, unfriendly relations and an unhealthy competition amongst the spheres of government should be obliterated and should be replaced with friendly relations based on trust, in order to benefit from each other in terms of supporting each other.

The study also concludes that communication needs to be strengthened and be perceived as a tool for ensuring good relations and information sharing, which will ultimately

facilitate good intergovernmental relations. The nature of the existing communication within the CDWP is bureaucratic and it encourages vertical types of communication as opposed to horizontal and diagonal types of communication, (which ensure that both formal and informal communication take place). Vertical communication is susceptible to distortion of information before reaching senior management for decision making process. The study therefore suggests that horizontal and diagonal types of communication should be explored. Also, the availability of communication gadgets like cellular phones and access to emails need to be considered and improved as it is a challenge for CDWs in terms of communicating with and reporting to their immediate supervisors. The study also concludes that consultation although informal, should not be based on bureaucratic approval. It should always be free and not viewed as crossing a boundary. As indicated, CDWs are made to feel as if they have crossed the line when they consult with others in attempts to share or gain knowledge for the performance of their duties. In view of this, it is recommended that guiding principles should be established in terms of how CDWs should work with other stakeholders, more especially with external stakeholders.

Although collaborations are in existence within the CDWP, these are mostly with privately owned CBOs and they have been found to be informal but effective. As the same phenomenon could not be found with state entities, it is felt that the collaborations should be facilitated and formalized through MoUs. With regard to coordination, it is concluded that this needs to be improved as it is one of the factors of IGR that has been discussed and queried more frequently. Integrated coordination of the activities of the three spheres of government for the attainment of service delivery objectives is vital to the success of the programme, hence it needs to be improved. Three areas of coordination that need improvement are planning, policy making and alignment and the delivery of services

Influence by political leaders in the prioritization of the needs of communities or attending to the needs of the communities is a cause for concern that needs to be addressed. Although the influence and interference is not as overt, it affects the performance of CDWs and causes mistrust by community members. Political office

bearers need to be continuously cautioned against interference and be apprised of the role of the programme and the CDWs; and that the objective of the programme is looking after the interest of all citizens and not citizens that are politically well affiliated.

6.4 RECOMMENDATIONS OF THE STUDY

In view of the study conclusions, and to make the IGR to be more effective within the CDWP, the following recommendations are made:

- Strategies for continuous involvement of all employees in IGR activities should be established to promote cooperative government. Such a strategy should identify informal areas of common interest in which all spheres of government can engage in order to promote IGR and promote the idea of "one public service" on a continuous basis. This must not occur at project or programme levels only.

- Promotion of IGR and commitment to the principles of cooperative governance should form part of the performance agreements of senior managers, since various studies have indicated lack of commitment by this cohort.

- An M & E framework for the IGR should be established to monitor and evaluate actions taken by each sphere and line department to implement and support IGR. Such a framework should include punitive measures in respect of failure to support.

- Political office bearers should be apprised of the objective of the CDWP programme and continuous awareness campaigns be held on the negatives of their interference on administrative matters.
- Integrated planning should be encouraged within the CDWP as well as for the government as a whole. Strategies of ensuring the presence of representative from the provincial governments during the compilation stages IDPs of

municipalities should be considered. These representatives should have inputs or comment on the IDPs before their approval and adoption. .

6.5   AREAS FOR FURTHER RESEARCH

The introduction of the CDW brought hope to the country which has been experiencing service delivery backlogs and service delivery related protests as a result of inadequacy in the delivery of public services. The programme however, did not come with a standard implementation plan; hence implementation varied in each province. It would therefore be of value to determine the effects of the varying implementation strategies to the objectives of the programme.

Furthermore, the study has indicated lack of cooperation amongst the three spheres of government. Initiatives like the Kwanaloga games have been shown to facilitate cooperation at local level and in an informal mode. A gap has been noted in the existence of an informal initiative aimed at promoting cooperation amongst the spheres. Therefore, it would be important that a study is undertaken to ascertain what could be done to promote cooperation amongst the three spheres of government in an informal manner.

6.6   CONCLUSION

This chapter has provided a brief overview of the objectives of the CDWP and its achievement in relation to the IGR, which have been identified as a hindrance to the successful implementation of the programme. The outline of the research study has been provided, indicating the contents of each chapter leading to this final chapter which has provided conclusions in respect of the study. Amongst the findings of the study are relationships characterized by bureaucratic tendencies, lack of support, cooperation and integrated coordination. Recommendations in respect of the conclusions have been made, and the chapter concludes by proposing areas within the IGR arena that can be further researched in order to improve relations amongst spheres of government for effective delivery of services.

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APPENDIX A

UNIVERSITY OF
KWAZULU-NATAL

INYUVESI
YAKWAZULU-NATALI

28 August 2014

Ms Zandile Happiness Mkhwane 961115894
School of Management, IT and Governance
Westville Campus

Dear Ms Mkhwane

Protocol reference number: HSS/0913/014M
Project title: The role of Intergovernmental Relations in Service Delivery: A case study of the Community Development Worker Programme within the Umsunduzi Local Municipality and Ugu District Municipality

Full Approval – Expedited

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

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

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

Best wishes for the successful completion of your research protocol

Yours faithfully

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

/pm

cc Supervisor: Professor B Mubangizi
cc Academic Leader: Professor Brian McArthur
cc School Admin: Ms Angela Pearce

APPENDIX B

Ugu District Municipality
Distrik Munisipaliteit
Umasipala Wesifunda

Corporate Services Department
HUMAN RESOURCES SECTION
P O Box 33, Port Shepstone 4240
27 Bazley Street, Port Shepstone 4240
Tel.: 039 688 5885
Fax: 039-688 5781

YOUR REF

OUR REF: ve/ee/research

Ms Zandile Mkhwane
KZN Treasury
PIETERMARITZBURG

09 May 2014

Dear Ms Mkhwane

RE: ACCESS FOR RESEARCH PURPOSES

We acknowledge with thanks your email dated 6 May 2014 in which you requested authorisation to conduct research within the Ugu District Municipality.

This correspondence confirms that you are granted permission to conduct the research within the institution and that we are willing to give you the support and assistance in order to satisfy the requirements to complete your qualification.

Assuring you of our co-operation at all times.

Yours sincerely

VELA MAZIBUKO
MANAGER: HUMAN RESOURCES

APPENDIX C

The Msunduzi Municipality

Private Bag X 321   City Hall, Chief Albert Luthuli Street
Pietermaritzburg   Pietermaritzburg
3200   3201
(033) 392 2002   www.msunduzi.gov.za

Enq: M. Jackson-Plaatjies   Tel: 033-392029   E-mail: madeleine.jackson@msunduzi.gov.za

Ms Zandile Mkhwane
32 Rodgers Road
Lincoln Meade
PIETERMARITZBURG   17 April 2014

Email : Zandile.mkhwane@kzntreasury.gov.za

Dear Madam

RE : UNDERTAKING OF A STUDY : RESEARCH

Please be advised that you are hereby granted permission to conduct your research within Msunduzi Municipality, subject to you obtaining the requisite authority/ permission from a recognised institution of study.

I trust the above is in order

Yours sincerely

MS M JACKSON-PLAATJIES
MANAGER: OFFICE OF THE MUNICIPAL MANAGER

APPENDIX D

Informed Consent Letter

UNIVERSITY OF KWAZULU-NATAL
School of Management, Information Technology and Governance

Dear Respondent,

MPA Research Project
Researcher: Zandile Mkhwane (033-897 4462)
Supervisor: Professor B. Mubangizi (031- 260 8730)
Research Office: Ms P. Ximba 031-2603587

I, Zandile Mkhwane am an MPA student in the School of Management, Information Technology and Governance, at the University of KwaZulu-Natal. You are invited to participate in a research project entitled "The role of intergovernmental relations in service delivery: a case study of the Community Development Worker Programme within the Umsunduzi Local and Ugu District Municipalities.

The aim of this study is to investigate **the intergovernmental relations factors that affect service delivery within the Community Development Worker Programme.** Through your participation I hope to understand the **how these factors affect service delivery**. The results of this survey are intended to contribute to my research report.

Your participation in this project is voluntary. You may refuse to participate or withdraw from the project at any time with no negative consequence. There will be no monetary gain from participating in this research project. Confidentiality and anonymity of records identifying you as a participant will be maintained by the School of Management, Information Technology and Governance, UKZN.

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

The discussion should take you about three (3) hours to complete. I hope you will take the time to participate in the discussion.

Sincerely

Investigator's signature_____Date_____

This page is to be retained by participant

Informed Consent Letter

UNIVERSITY OF KwaZulu-Natal

School of School of Management, Information Technology and Governance,

MPA Research Project
Researcher: Zandile Mkhwane (033-897 4462)
Supervisor: Professor B. Mubangizi (031- 260 8730)
Research Office: Ms P. Ximba 031-260 3587

CONSENT

I_____(full names of
participant) hereby confirm that I understand the contents of this document and the
nature of the research project, and I consent to participating in the research project. I
understand that I am at liberty to withdraw from the project at any time, should I so
desire.

_____   _____
Signature of Participant   Date

This page is to be retained by researcher

Zandile Mkhwane

961115894

Individual/one-on-one Interview Questions: CDWP& IGR Managers

1. What is the role of intergovernmental relations in the Community Development Worker Programme?

2. How do parties to the programme relate and or communicate with each other?

3. What are the challenges of working across the three spheres of government?

4. What is nature of the relations that are existent amongst the three spheres of government that are party to the programme?

5. What impact do the nature of relations have on CDWP and service delivery?

6. What recommendation can be made to improve if any, the relations among the spheres of government?

APPENDIX F

Focus Group Interview Questions: Community Development Workers,

1. What is your understanding of the CDWP?

2. What is your understanding of the IGR?

3. What do you think is the role of IGR in the CDWP?

4. What type of relationships are existent amongst representatives of the spheres of government that are party to the CDWP?

5. How do you consult /communicate with other stakeholders on matters relating to your duties?

6. What would you consider as an effective IGR system amongst the spheres of government?

7. What are the advantages of having an effective IGR within the CDWP?

8. What has been your challenges in working across the three spheres of government?

9. What would you recommend in order to improve IGR in your working environment?