



**Role of stakeholders regarding policymaking in the localised sphere of
government in Kwazulu-Natal**

by

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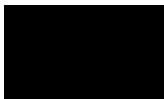
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DEDICATION

TO:

The late Mr David Vusumuzi Dlamini who was a lecturer at University of KwaZulu-Natal for seeing the potential by encouraging, inspiring and assisting me to embark on this doctoral study. I believe it was your spirit that kept reminding me to soldier on when times were tough so that I could one day stand tall after reaching this milestone.

ACKNOWLEDGEMENT

I wish to first and foremost thank the Almighty and my Saviour for giving me the strength and courage to work on this document from the onset. If it weren't for Him, I doubt I would have been able to persevere when I was faced with numerous challenges on this long hard journey. Glory and Honour to the Lord!

I would not have done this had it not been for so many of my close family members and friends I cannot mention all of you in this short space. Among these is my fiancé and soulmate Thami Duze who is always there to wipe my tears and tirelessly provide me with a shoulder to lean on. My Mother Christina Mbatha and my children and grandchildren who had to suffer neglect as I was spending more time on this project. All my siblings and extended family members. My gratitude also goes to colleagues for the support and encouragement during my years of study. Thank you so much to all of you.

This journey would not have been possible had it not been for my dedicated and patient supervisor Prof T. Nzimakwe and co-supervisor Dr Emmanuel Mutambara. Your mentorship, patience, compassion and guidance throughout this study were all that made it manageable.

ABSTRACT

Policymaking is a critical but very broad and complex process that every organisation and government requires to undertake. Problems emerge when stakeholders converge to formulate and implement policies that their roles and responsibilities would overlap which would lead to bureaucratic bottlenecks that would hinder service delivery resulting in protests that are characterised by the destruction of property, fatalities leading to the disruption of economic development.

The KwaZulu-Natal (KZN) province in South Africa has been identified as the second highest with communities that are likely to embark on service delivery protests. Hence, this study sought to examine the role of stakeholders in policymaking and implementation particularly at the local spheres in four selected municipalities of KZN. A mixed-method approach was adopted in which interviews and questionnaires were utilised to collect data from various key stakeholders. The study was guided by four objectives in which objective one investigated the influence of policy formulation on socio-economic development. The overall findings showed a significant influence of policy formulation on socio-economic development. The second objective in terms of the impact of policy implementation on socio-economic development revealed contradictory results in different municipalities. The third objective on how policy evaluation has influenced socio-economic development the findings did not reflect any significant impact in these municipalities with findings from the Dr Dlamini Zuma Municipality suggesting that political interference is a major hindrance to socio-economic development. Research findings on the fourth objective showed that policymaking activities have significant impact on service delivery in all the selected municipalities. Unfortunately, this study found that policymaking in South Africa is hampered by the limited stakeholder participation. For this reason, the study recommends the need for government policies and regulations to be flexible enough to allow the stakeholders to actively participate in the policymaking process. The study excluded the stakeholders such as the community and civil society or non-profit organisations, future studies should, therefore, include other stakeholders who are part of the policymaking process in localised sphere of government.

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LIST OF ACRONYMS

CBOs	Community-Based Organisations
CRDP	Comprehensive Rural Development Programme
CSBD	Centre for Small Business Development
IDC	Industrial Development Corporation
IDP	Integrated Development Plan
IMATU	Independent Municipal Alliance Trade Union
IPAP	Industrial Policy Action Plan
KZN	KwaZulu-Natal
LED	Local Economic Development
NDA	National Development Agency
NEF	National Empowerment Fund
NGOs	Non-Profit Organisations
NGP	New Growth Path
OD	Organisational Development
PGDS	Provincial Growth and Development Strategy
SALGA	South African Local Government Association
SAMWU	South African Municipal Workers Union
SEDA	Small Enterprise Development Agency

SSD System School Development

SSM Soft Systems Methodology

CHAPTER ONE: INTRODUCTION AND BACKGROUND TO THE STUDY

1.1 Introduction

Policymaking is a vital process in every government worldwide. It is a very broad, complex and continuous process that shapes different activities and human behaviours. Policymaking ranges from microeconomic policies, financial policies, trade policies, health policies, education policies, market policies, labour policies to public policies or government policies (Wallace, Pollack & Young, 2015). According to Gumede (2015), policymaking involves addressing pressing needs facing citizens or a country through various means such as legislation, decision making and stakeholders engagement. It is important to note that policymaking is crucial to the stability of every government in the world.

For instance, through economic policy, the Congress of the United States controls the economy and the Military and plays pivotal role in the world economies. Some Military elites also play crucial roles in policymaking on the civilians as witnessed in some South American States (Dror, 2017). Policymaking in Britain is majorly determined by the House of Lords and the House of Commons, and the adoption of a regional policy and economic policy have helped to create unity among member nations (Dorey, 2014). In China, political and economic policies made by the Communist Party have continued to see the country close to being the next world power nation (Friedberg, 2012). Through political and economic policies, India was able to move from a Single Party system to a Coalition government, and the economic reforms helped in the liberalisation of the economy (Ziegfield, 2012).

Similar outcomes have been identified in some African countries. For example, Ghana achieved about five percent economic growth annually through its policy on the Structural Adjustment Programme. Moreover, Botswana has been one of the few African countries to have achieved continuous economic growth with an average growth of five percent per year for the past three decades due to economic policy (Conteh & Ohemeng, 2009). Since 1993, South Africa has witnessed a tremendous transformation in areas of politics, policies, social and economics (Ogbazi, 2013). According to Roux (2012), the success of any government is measured in terms of quality services and policies. However, policymaking is a complex process which requires continuous input of resources for it to be sustained (Dror, 2017). Similarly, Roux (2012) opines that an effective policymaking depends on the understanding of the policy, procedures, stakeholders' participation and their responsibilities.

The role of stakeholders in policymaking cannot be over emphasised. Stakeholders may include: the different levels of government, international, national and regional organisations, local communities or indigenous groups (Ruhanen, 2013). Most importantly, the government has been widely recognised as a crucial and dominant stakeholder, particularly at the local sphere (Bramwell & Lane, 2010). This is because the planning and development of any given society can be achieved through the local sphere activities. Besides, Godfrey (1998) argues that the implementation of sustainable development can only be achieved if aligned with the local government activities. Further, the implementation or impact of government policy is mostly felt at the local sphere level, since it is the closest to the larger society. As a result, the role of stakeholders in the preparation of policy statements, formulation and implementation of policy at the local sphere is key to the growth and development of any nation.

However, scholarly works have advanced the non-participation of the local stakeholders in the policymaking of matters affecting the public particularly at the local spheres (Municipality, 2015; Atela, Quinn, Minang Duguma & Houdet, 2016). In a study conducted in England by Thaler and Levin-Keitel (2016), it was found that the engagement of local stakeholders often ends in various complications and conflicts between politicians and community stakeholders. Similar criticism has been noted by Millar and Mahon (2014) in a study conducted in China. The scholars described the stakeholders' participation in public policy as an adversarial relationship. The weakness of governments in addressing the stakeholders' participation has also been exposed in Ukraine, Syria and Egypt (Millar & Mahon, 2014). In a case study on the implementation of ten large infrastructure projects in South Africa, Xavier, Komendantova, Jarbandhan and Nel (2017) argue that public participation was only in environmental impact assessment.

Public participation is only regarded as a mechanism for conflict resolution. As a result, benefits and impacts from infrastructure projects remains a serious concern (Xavier *et al.*, 2017). In a similar vein, Mthethwa (2012) observes that overcoming the problem of service delivery in South Africa has been a major challenge for policy makers and implementers at the local sphere level. Previous literatures submit that the effective implementation and impact of service deliveries at the local affairs can only be achieved through community groups inclusion (Xavier *et al.*, 2017; Ruhanen, 2013; Roux, 2012). Disagreement over agenda or proposed plan between union groups and management levels is also a source of serious concern in policymaking especially at the localised spheres. Landau, Segatti and Misago (2013) identify poor data, participatory planning and budgetary as some of the problems associated with stakeholders'

roles in policymaking. Powell (2012) states that systemic corruption and mismanagement are part of the challenges facing local government in South Africa. Yet, the local government remains the largest political and economic force shaping the South African society.

On the basis of these introductory remarks, this chapter provides the contextual background of policymaking in South Africa by describing the legislative, national and provincial context of policymaking. The problems associated with policymaking concerning the role of stakeholders were identified in the study problem statement. Additionally, the research questions and research objectives were stated and the justification for the study outlined. The contribution to knowledge, scope of the study, research methodology, ethical considerations and limitations of the study were also addressed in this chapter.

1.2 Background of the Study

The local sphere of government is regarded as the cornerstone of democracy. This is because local government, as the word 'local' suggests, forms the main, regular and close contact that the citizens have with their government. In this respect, the South African Constitution makes it clear that the municipalities as a level of government play a crucial role in the life of every citizen (Municipality Electoral Amendment Act 1, 2016) particularly at the local level of government. It is through the citizens' experience with municipal service delivery that they can judge the effectiveness of their government. In cases when the citizens are not satisfied with the services they receive, they are likely to engage in service delivery protests. South Africa has a long and unpleasant history with service delivery protests that have often resulted in damage to property, assaults and killings (Hlongwane & Nzimakwe 2018; Ngcamu 2019). In a period of six months alone (1 August 2020 to 31 January 2021) the South African Police Service (SAPS) Incident Registration Information System (IRIS) reported that there were 909 protest actions that took place despite the pandemic period. The Institute for Security Studies (ISS) attributed this high number of protests to socio-economic weaknesses in South Africa which it said are an indication of poor policy implementation (Martin 2021). Ngcamu (2019) and Thondhlana, Shackleton and Blignaut (2015) equate poor policy implementation to non-participation of stakeholders in decision-making and state that this is one of the challenges hampering service delivery. Of particular concern for this study is that the Municipal IQ (2019), a body that monitors protests, identifies KwaZulu-Natal as the second highest province after Gauteng

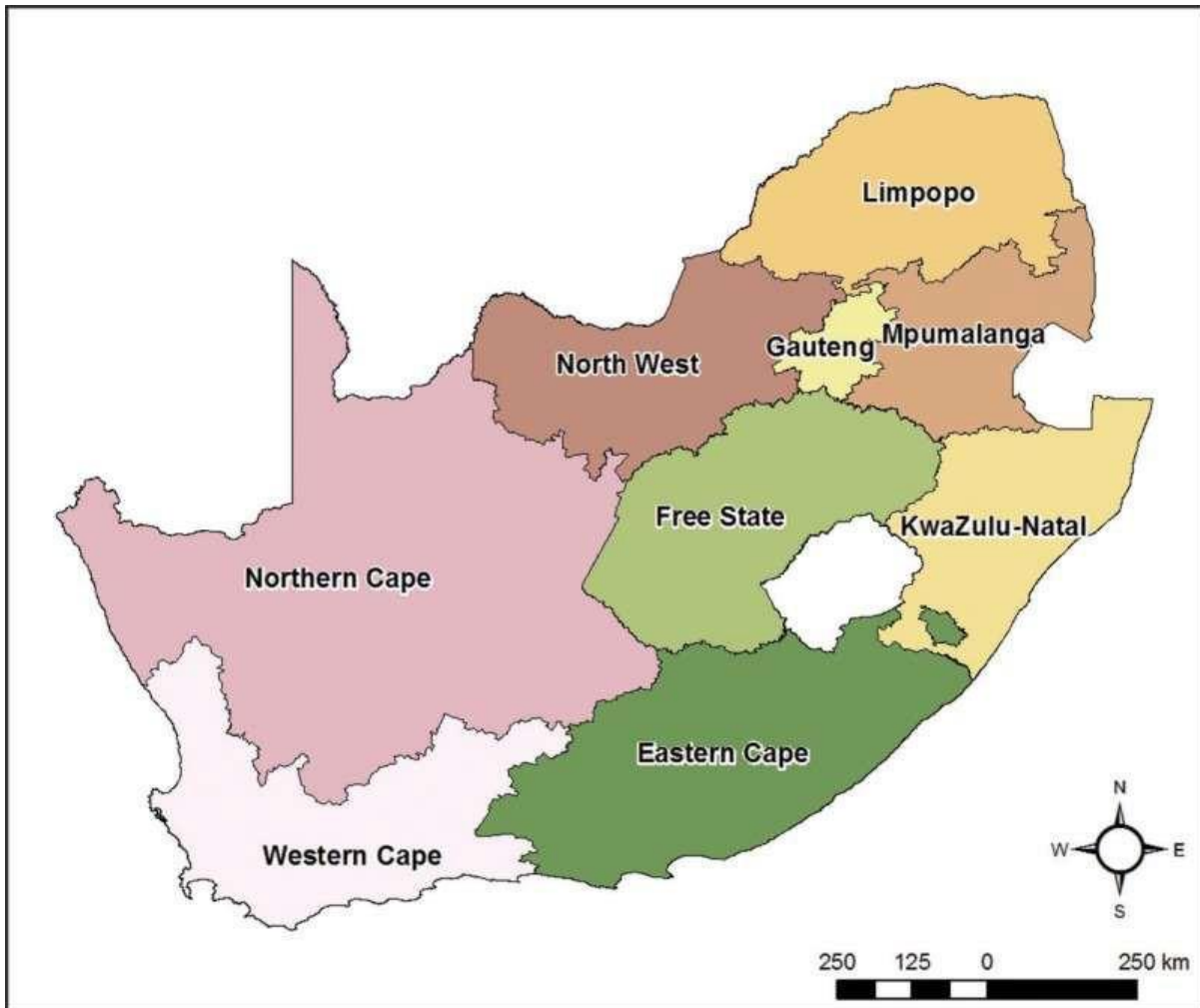
where protests were likely to occur in South Africa. These alarming negative experiences with service delivery at the local sphere of government indicate a need for the investigation of the area of governance in KwaZulu-Natal. In this context, governance is understood to refer to the governments' involvement of citizens as critical stakeholders on policy formulation and implementation on the allocation of quality goods and services (Kaufmann, 2021). Against this backdrop, there is a dire need to investigate the extent to which stakeholder involvement in policy formulation and implementation at municipality level could help alleviate socio-economic issues in KwaZulu-Natal.

1.2.1 The country profile

The Republic of South Africa is popularly referred to as the Rainbow Nation. The country is classified as the second-largest economy in Africa and ranks 113th on the Human Development Index (World Bank, 2020). It shares boundaries with Botswana, Lesotho, Mozambique, Namibia, Swaziland and Zimbabwe. South Africa runs a democratic parliamentary system with the administrative capital in Pretoria; legislative capital in Cape Town and the judicial capital in Bloemfontein (Nations Online, 2021). It is well known for a long historic era of apartheid until 1994 independence. According to the Statista Research Development (2020), the total population is estimated at 54.7 million inhabitants as of 2018. The majority 46.5% constitutes the Black Africans, followed by the coloured 5.0%, white 4.4% and India/Asian 1.4%. The most predominant ethnic group are the Zulus (22.7%) and Xhosas (16.0%). The next are the Afrikaans (13.5%) and Coloured (9.6%) (Wikipedia Online, 2021 January).

The South African gross domestic product (GDP) as of 2019 was worth 351.43 billion US dollars, which represents a value of 0.23% of the world economy (Trading Economics, 2020). According to the World Bank (2020) report, literacy rate as of 2017 was 87.05%, with a decline of 7.32% from 2015 which was 94.37%. South Africa's unemployment rate increased from 26.92% in 2018 to 28.18% in 2019. Poverty rate also increased from 56.20% in 2010 to 57.10% in 2014 (World Bank, 2020). South Africa has nine provinces and KwaZulu-Natal bordered the small country of Lesotho. It is worthy of note that South Africa has no legally defined capital city. Figure 1.1 below shows the nine provinces in South Africa.

Figure 1.1 Provinces in South Africa



Source: Ward & Farma (2017)

The nine provinces are further divided into 52 districts, 44 district municipalities, 8 metropolitan municipalities, and 226 local municipalities. Amongst these divisions, KwaZulu-Natal has 1 metropolitan, 10 districts and 43 local municipalities. However, the study sites only include the following because of their convenience: Umdoni Local Municipality, Ray Nkonyeni Local Municipality, Dr Nkosazana Dlamini Zuma Local Municipality, and eThekweni Metropolitan Municipality. Figure 1.2 below depicts the map of KwaZulu-Natal province and the location of the districts and municipalities within.

Figure 1.2 Map of KwaZulu-Natal



Source: Municipal Demarcation Board (2016)

Figure 1.2 shows the districts and local metropolitan municipalities in KwaZulu-Natal province. As a result of the new system of local government that was established in 2000, some of these municipalities were dissolved through mergers. For instance, Eziqoleni Local Municipality and Hibiscus Coast Local Municipality were merged to become Ray Nkonyeni Local Municipality, Ingwe Local Municipality and Kwa Sani Local Municipality also merged to create Dr Nkosazana Dlamini-Zuma Local Municipality, and Vulamehlo Local

Municipality was annexed by eThekweni Metropolitan Municipality and Umdoni Local Municipality (Municipality Demarcation Board, 2016). The merger of municipalities in South Africa occurred through the Municipality Demarcation Act, No. 27 of 1998 and the Municipality Structures Act, No. 117 of 1998 (Raseala & Luvuno, 2017). According to Alberts (2014), the essence of municipality amalgamation in South Africa is to establish financially viable municipalities for effective service delivery and to make them more responsive to community demands. However, the purpose of merging or amalgamating of the municipalities has not yielded the expected result. A review of the local government in 2006 found that there is a mismatch between the implementation of national policy objectives and the capacity of the local government to implement these objectives (Powell, 2012:19). Furthermore, bad policy management, overregulation of municipalities, and poor support for municipalities were identified as contributing factors to municipality distress (Powell, 2012). This situation has brought about constraints in the provision of essential services such as removal of waste, pipe borne water and electricity to rural population (Powell, 2010). Alberts (2014) argues that there are still worrying concerns of violent protests in the local sphere of government particularly the wavering unrest in Free State and KwaZulu-Natal provinces (Raseala & Luvuno, 2017). It is against this context that this study examines the roles of stakeholders in policymaking at the localised sphere of government in KwaZulu-Natal, South Africa.

In respect to public policy participation, it is important to lay a legislative background to establish the position of the Constitution in relation to current practice.

1.2.2 Legislative background

In line with the above recommendations, the South African Constitution Act 108 of 1996 provides the opportunity for democratic dispensation. The democratic dispensation is underlined by freedom of speech, respect for human dignity and property, and promotion of equality (Roux, 2012: 417). Through various government legislations, the communities are assured that their contributions will be considered when decisions concerning their welfare are to be made. In the light of this, the Constitution expresses the principles and values that guide public administration. Section 151 (1) (e) stipulates that municipalities should encourage the involvement of communities and community organisations in the matters of local government. Further, section 152- indicates that the objectives of local government are to encourage the involvement of communities and community organisations in the matters of local government; and section 195 – states that public administration must be governed by the democratic values

and principles enshrined in the Constitution (Municipality, 2015). This suggests that local communities' participation in public policymaking is a right and not an opinion (Ruhanen, 2013).

Furthermore, according to the White Paper on Local Government 1998, municipalities are mandated to stimulate the inclusion of citizens in four levels. National Policy Framework, (2007:9) namely:

(a) As voters - to ensure highest democratic accountability of the elected political leadership for the policies they are authorised to encourage.

(b) As citizens - who expresses through different stakeholder groups, their opinions before, during and after the policy development process to ensure that policies mirror public preference as far as possible.

(c) As consumers and end users - who expect value for money, affordable services, courtesy and responsive services; and

(d) As organised partners - who are engaged in the mobilisation of resources for the development of businesses, non-governmental organisations and community-based institutions.

More specifically, the National Policy Framework for Public Participation (2007:17) regards public participation as people who participate as individuals, interest groups or people in general. The framework further highlights a starting point to fortify community-based participation in municipality policymaking process. Therefore, municipalities should build on existing public groupings and district forums. These stakeholders' groupings will represent the communities during policy formulation or any decision-making process in a municipality (Municipality, 2015).

From the foregoing, it is evident that the South African Constitution is a true reflection of a significant change in political thought. The Constitutional reforms over the years have resulted in the transformation of most institutions in South Africa. According to Roux (2012), policy-formulation touches every functional area in government institutions in South Africa. The author states that between 1994 and 2000, 24 Green Papers and thirty (30) White Papers were presented to parliament, which contained several changes in policies. The author suggests that for any government institution to survive competition in the global environment, the ability to formulate and implement policies are of paramount importance.

1.2.3 National background

The significant contributions of public participation in policymaking has to have demonstrated in Germany, Denmark, Canada and Wales (Jarbandhan, Komendantova, Xavier & Nkoana, 2018). Unfortunately, almost two decades into democratic dispensation, South Africa remains largely divided and an unequal society. Although the laudable initiatives by the South African government, there exists some stakeholders' exclusion from participating in the decision-making process with respect to services delivery. For example, according to the SA Local Government Research Centre (2014: 32), the installing of prepaid water meters in the community area of Diepkloof, Soweto in May 2014, led to a public conflict between the local community and the government. The local community protested that the City of Johannesburg failed to consult the people before the installations. Similarly, the implementation of the business model for future operators of the City of Johannesburg's Bus Rapid Transit System was associated with high level of conflict between the public transport operators and the government agencies (Madumo, 2014). A lack of continuum participation was discovered to be the problem. In a related study conducted in Kgalagadi in South Africa by Thondhlana, Shackleton and Blignaut (2015), the authors found that non-participation in decision-making, divergent interests, information dissemination, lack of trust and accountability, and unequal access to natural resources were the major challenges hampering service deliveries. Additionally, the failure of Comprehensive Rural Development Programme (CRDP) in Dusseldorp, Western Cape to ensure that marginalised residents participate fully in the development of their wellbeing calls for serious concerns (Siyo-Pepeteka, 2014).

The South Africa government made some concerted efforts to achieve sustainable development through the local economic development. For this reason, the Integrated Development Plan (IDP) was launched and the local economic development with its major component (Abrahams, 2018). The aim of IDP was and still is to address inefficiencies and to transform municipal development processes. Unfortunately, the approach toward the concept of local economic development led to a degree of confusion in terms of implementation (Abrahams, 2018), and the development of the local spheres in South Africa remain unchanged. Similarly, the South African government has put in place some business institutions to support Small and Medium Micro- enterprise particularly in the local communities which includes: The Centre for Small Business Development (CSBD), Small Enterprise Development Agency, the Industrial Development Corporation (IDC), the National Empowerment Fund (NEF), the National Development

Agency (NDA) to mention a few (Mago & Toro, 2013). Despite all these initiatives, many local potential entrepreneurs still struggle to get financial support from these institutions.

Additionally, provision of household utilities such as electricity, water and waste removal are the responsibilities of the local government in South Africa. eThekweni Metropolitan Municipality is one of the targeted municipalities for this study. The municipality has been able to supply electricity to 75% of the residents, portable water to about 91%, sanitation 75% and waste collection 100% (Roberts & O’Donoghue, 2013). Yet, backlogs of service deliveries exist as shown in Table 1 below.

Table 1.1 Backlogs of service delivery in eThekweni Metropolitan Municipality

Summary of current service delivery backlogs in eThekweni Metropolitan Municipality (2011-2012)

Basic service	Existing backlog(households) as at 30 June 2010	Timeframe to address backlog based on current funding/delivery levels
Water	71,983	9 years
Sanitation	138,569	15 years
Electricity	233,224	23 years
Stormwater	751 properties	3 years
Roads	1.138 kilometres	66 years
Sidewalks, pedestrian	US\$ 1,638 million	10 years
Bridges and footpaths	-	-

Source: Roberts and O’Donoghue (2013).

The illustration in Table 1.1 above shows the lack of public information, insufficient funds, poor implementation of projects and conflicts between stakeholders with regards to service delivery, and this suggests the need to investigate the roles of stakeholders in policymaking at the local sphere towards service delivery. It is instructive to note that research studies on the roles of stakeholders as regards policymaking at the local spheres particularly in South Africa

is under-researched. This assertion was buttressed in a study by Orton, Lloyd-Williams, Taylor-Robinson, O' Flaherty and Capewel (2011), which reveals that there is a huge gap between research and policymaking, hence, one cannot attach the significance of research to public - policymaking. Further, this study aims to contribute to the body of existing knowledge, by examining the roles of stakeholders in policymaking at the localised sphere in KwaZulu-Natal Province, South Africa.

1.2.4 Provincial background

KwaZulu-Natal Province is dominated by indigenous residents known as the Zulus and has made some strategic plans to accomplish the Integrated Development Plan (IDP) in every municipality of the province. The Local Government Municipality Act (2 of 2000) requires the municipalities to prepare a developmental framework and align its plans with the IDP objectives (Municipal, 2015). This gave rise to the prioritisation of local needs and the development of frameworks and programmes for service deliveries at the local spheres (Dlamini & Reddy, 2019). The municipal services are very important to the life of every citizens since it is the closest government even to the rural residents. The Local Government: Municipality Act 32 of 2000 gives directives to municipality to ensure inclusive, consultative and participatory strategies in implementing the IDP plans. Active community participation in decision-making, planning and implementation were emphasised. The implementation of the IDP ranges from education, health, waste management, tourism, security, transportation, roads, housing, land distribution, climate change etc. (Dlamini & Reddy, 2019). However, the role of stakeholders in the implementation of the plan calls for questioning, as a result of increasing poverty level and rising unemployment in the province especially among the local communities.

1.2.5 Municipality background

In South Africa, there are 278 municipalities, 44 districts, 226 local municipalities and 8 metropolitan municipalities. Out of these municipalities, KZN, has 1 metropolitan, 10 districts and 43 Local Municipality (Municipality South Africa, 2021). One metropolitan municipality and three local municipalities were selected for this study as discussed below.

1.2.6 Ray Nkonyeni local Municipality

As stated by the Ray Nkonyeni Municipality (2017: 1-2), Ray Nkonyeni is a newly established Local Municipality which emerged because of the amalgamation between the former Hibiscus Coast and Ezinqoleni Local Municipalities. It is a category B municipality situated

within Ugu District Municipality. It is commonly referred to as South Coast given its geographical location in relation to the southern coastal part of KwaZulu-Natal. The municipality has its administrative seat in Port Shepstone and Ezingolweni Town. It is the largest of four municipalities in the district, making up a third of its geographical area. It stretches along the coastal strip comprising of 21 beaches, from Hibberdene to Port Edward covering 67km and about 60km into the interior primarily via N2 to Eastern Cape. The Indian Ocean borders the Eastern part of the municipality, while on the Southern part runs Umtamvuna River which is the boundary between KZN and the Eastern Cape. Ray Nkonyeni (specifically Port Shepstone) is a district service centre that also provide services to the northern Eastern Cape. The strategic location of Ray Nkonyeni Municipal area in relation to the province of Eastern Cape implies that there may be trading activities that take place between these two areas. It has a population of approximately 348 553 (Henama, 2018).

1.2.7 Dr Nkosazana Dlamini Zuma Local Municipality

According to Municipality South Africa (2021), Dr Nkosazana Dlamini Zuma Local Municipality was established by the amalgamation of Ingwe Local Municipality and Kwa Sani Local Municipality on 3 August 2016. It is a Category B municipality situated in the southern part of KwaZulu-Natal within the Harry Gwala District, which borders on the Eastern Cape and Lesotho. It is the largest municipality of four in the district, accounting for over a third of its geographical area, with an extension of 3, 602km coverage area. The municipality fulfils the role of being the administrative and commercial centre for the district. The rest of the municipal area consists of tribal lands, which dominate the area. The municipality is known for the World Heritage Site of Ukhahlamba. It consists of 10 wards with a population of 118480 (Municipality of South Africa, 2021). The main economic activities are tourism and agriculture.

1.2.8 eThekweni Metropolitan Municipality

eThekweni Metropolitan Municipality is classified as Category A municipality within the province of KwaZulu-Natal, South African (eThekweni Metropolitan Municipality, 2021). eThekweni Metropolitan Municipality is the largest city in the province of KwaZulu-Natal and the third-largest city in the country. Its land area is comparatively larger than that of other South African cities and is topographically hilly, with many gorges and ravines and almost no true coastal plain. It known as Africa's best managed busiest port (Dube Trade port) (KZN Top Business, 2016). According to Chetty (2010: 13), eThekweni Metropolitan Municipality host

the largest port, being the largest city in the east coast of Africa. Its administrative seat is located in the city of Durban with a population of over 3 million people (Soni, Cowden & Karodia, 2015). It has a coverage area of over 2, 297 square kilometres and 98 kilometres stretch of coastline (Soni et al., 2015).

1.2.9 uMdoni Municipality

Part of Vulamehlo was amalgamated into Umdoni Local Municipality on 3 August 2016 (Municipality South Africa, 2021). The Umdoni Local Municipality is a Category B municipality situated within the Ugu District in the KwaZulu-Natal Province, and consists of 19 wards, most of which are rural areas (Umdoni Local Municipality, 2021). It covers a geographical area of 994 square kilometres, with a population of 78,875 (Census, 2011). It abuts eThekweni Metropolitan to the north, and Umzumbe to the south, and Ubuhlebezwe to the west, making it almost halfway from Port Shepstone and Durban. According to KZN Online (2021), Umdoni Local Municipality can be divided into three main land uses, which are traditional authority areas, commercial agriculture and coastal urban nodes with a stretch of about 40km.

Despite government efforts to ensure local government development through myriads of policies and legislations, most of the municipalities still struggle with backlogs of basic amenities particularly at the local sphere of government. For instance, in a study conducted by Magi (2012) on three municipalities (uMvoti, Ndwedwe, and Ntambanana) in KwaZulu-Natal, the author found that negative perception of participation, management effectiveness, service delivery and understanding of related policies and strategies were evident despite the breakdown of tourism in the areas. Dhladhla (2014) found that poor public participation, intervening policies and poor oversight are the crucial shortcomings hindering the provision of subsidised amenities at Umlazi (P and B 10) units in eThekweni Metropolitan Municipality. Also, while assessing municipal-level governance response to climate change, Hlahla, Nel & Hill (2019) found that, there were slow responses to implementation and lack of co-ordination between the two levels of government (uMgungundlovu, Msunduzi and uMgeni). Further, in Zululand, Nxumalo & Oladele (2013) identified unavailability of lands and financial challenge as barriers to agricultural activities among rural farmers. Dlamini & Reddy (2019) note that land reform programme needs to address historically disadvantaged groups of Umtshezi Local Municipality. Jili and Mthethwa (2014) reveal that shortage of skills and lack of financial resources are some of the challenges facing successful implementation of monitoring and

evaluation in the Mfolozi municipality. The authors suggest the inclusion of local stakeholders in the planning and execution of projects to ensure their achievements.

The challenge of overlapping roles among policymaking stakeholders has been identified as impediment to local government development. For example, the contravention of bye laws in Mngoma municipality, KwaZulu-Natal to create nudists beach without sufficient consultation from the Concerned Citizens Group (ANN7, 2016). Similarly, the study conducted by Tsako (2018) on inter-governmental relations between three municipalities (Ugu, Harry Gwala and uThungulu) in KwaZulu-Natal, in which, the author indicated that the municipalities' environment is associated with political instability which affects goal achievements.

From the abovementioned, it becomes expedient to investigate the role of stakeholders as regard the formulation and implementation of policies at the local spheres in KwaZulu-Natal Province. Besides, research study on the role of stakeholders in policymaking at Ray Nkoyeni, Umdoni, eThekweni and Dr Nkosazana Dlamini municipalities remains elusive. Tsako (2018) suggests that there is need to monitor and evaluate goal-setting upon implementation of policy at the localised spheres.

1.3 Problem Statement

According to Gumede (2015), policymaking is the process whereby the pressing needs facing citizens are addressed by the government through various means such as legislation, decisions - making and stakeholders' engagement. Gumede (2015) postulates that the South African government has since 1998 played a critical role in policy-making, leading to active developmental state. The author notes that the effectiveness of public policy depends on the various contributions of the stakeholders towards the formulation and implementation process. But the role of stakeholders at the local spheres in South Africa especially in KwaZulu-Natal has attracted a lot of criticism because of poor service delivery to the masses.

Recent history has shown that policies that are formulated and implemented without the involvement of critical stakeholders are doomed to fail. This creates a serious financial and developmental problem as funds would have been utilised to invest in a project that ultimately fails to generate any income. A case in point is the anti-apartheid Red Location Museum complex in Nelson Mandela Bay which was built to commemorate the lives of anti-apartheid stalwarts such as the first black president, Nelson Mandela. The museum was built with the hope that it would contribute to economic development in the area by creating jobs and bringing in visitors. The museum opened in 2005 in a black township called New Brighton found in Port

Elizabeth, now Gqeberha, after about twelve years of a consultative process. Despite the museum initially receiving national and international prominence, it was soon forced to close when local communities who felt left out during the consultative process prevented museum staff and members of the public from entering the building. Local communities felt that they had not been consulted as stakeholders and the project did not address their immediate basic needs such as housing (Gavin 2017). This one example is a lesson to all that brilliant policies with great intentions may fail the implementation stage if they do not receive support from critical stakeholders. More concerning is that such failure contributes to wastage of millions of rands in a country with limited resources.

Tsheola and Sebola (2012) state that the numerous service delivery protests which occurred in South Africa after the demise of apartheid which caused civil disturbances, injuries, deaths and damages to government properties is an indication that the country's policies are unacceptable. Most of the protests emanated from the neighbourhood of the poor or vulnerable. South Africa has witnessed different forms of protests arising from dissatisfactions over government policies. Police confrontations, road blockades, destruction of properties and lootings are ways of expressing grievances with government policies particularly at the local spheres (Booyesen, 2012). Also, political infighting, and conflicts between political leaders and management stakeholders in local government in South Africa has had adverse effect on municipal service delivery (Reddy, 2016). This has been described as overlapping of roles among the stakeholders (Madumo, 2014). Political leaders have been frequently criticised for failing to promote policy change as successive government discourages policy continuity. Similarly, decision making at the local sphere may be influenced by councillors' term in office, as they aim to satisfy personal agendas before exiting the office.

Numerous studies have attributed the dysfunctionality of government policies in South Africa to lack of implementation and poor representation of the residents. For example, Reddy (2012) opines that poor appointment of stakeholders, failure to pass municipal budgets, and failure to engage local communities and address their demands are some of the shortcomings hampering local government delivery. In similar vein, Booyesen (2012) suggests that the accountability of councillors and representation of the citizens at the local government require some investigations. Local government has been the sphere of political interference with devastating consequences, particularly for service delivery (Reddy, 2016).

Yet, the South African government through the National Development Programme (NDP) remains committed to structural transformation and sustainable development through various strategic policies that are *South Africa-centric*. Some of which are the New Growth Path (NGP) and), aimed at reducing the rate of unemployment, elimination of poverty and reduction of inequality. But a critical issue in realising these objectives within the stipulated time lies with the implementation, evaluation and competence of the key stakeholders (Zarenda, 2013) particularly at the local spheres.

Extant literatures revealed that ten percent of South Africans are still living without electricity (Jarbandhan et al., 2018) which is against the 2006 Local Government Election manifesto of electricity for all households by 2012. This is consistent with the unemployment rate that stood at a worrying 34.9% in the second quarter of 2021 (Statistics South Africa, 2021). Residents in township, rural areas and informal settlements languish below the official poverty line (Nkoana, 2016) because of increase in poverty rate from 16.5% in 2010 to 18.9% in 2014 (World Bank, 2020).

It is worthy of note that there is dearth of research on the role of stakeholders on policymaking as regard implementation at the selected municipalities in KwaZulu-Natal, South Africa. Besides, Rensburg and de Beer (2011) argue that there is insufficient research study on how public problems associated with policymaking are resolved at the localised sphere of government. Furthermore, the reason for the slow local economic development at the selected municipalities in KwaZulu-Natal is yet unknown. If this study is not conducted, it may be difficult to identify the problems among stakeholders as regards policymaking within the municipalities. Also, the problems associated with poor economic development at the selected municipalities may not be resolved if this study is not conducted.

1.4 Aim of the Study

This study aims to investigate the role of stakeholders in the formulation, implementation and evaluation of public policy in relation to socio-economic development at the four selected municipalities in the province of KwaZulu-Natal, South Africa. The following objectives below will be examined to achieve the purpose of this study.

1.5. Research Objectives

The following are the research objectives that guide the study:

- 1.5.1 To examine the influence of policy formulation on socio-economic development at the localised sphere of government in KwaZulu-Natal
- 1.5.2 To determine the influence of policy implementation on socio-economic development at the localised spheres of government in KwaZulu-Natal.
- 1.5.3 To establish the impact of policy evaluation on socio-economic development at the localised spheres of government in KwaZulu-Natal.
- 1.5.4 To determine the effect of policymaking activities on service delivery at the localised spheres of government in KwaZulu-Natal.
- 1.5.5 To identify challenges constricting policymaking activities at the local spheres of government in KwaZulu-Natal.

1.6 Research Questions

- 1.6.1 What is the influence of policy formulation on socio-economic development at the localised sphere of government in KwaZulu-Natal?
- 1.6.2 How does policy implementation influence socio-economic development at the localised spheres of government in KwaZulu-Natal?
- 1.6.3 What impact does policy evaluation has on socio-economic development at the localised spheres of government in KwaZulu-Natal?
- 1.6.4 What is the effect of policymaking activities on service delivery at the localised spheres of government in KwaZulu-Natal?
- 1.6.5 What challenges are associated with policymaking in the localised sphere of government?

1.7 Justification for the Study

In every society, there exists several problems in areas such as education, trade, health and transport. Therefore, governments all over the world have seen policymaking as an effective tool for tackling the socio-economic problems in relation to the objective of growth and the national development goals (Lichtenstein, 2010). However, it is often problematic when stakeholders meet to formulate and implement public policy. There is sometimes overlap of responsibility amongst the stakeholders when it comes to policymaking (Sebola, 2014) and this often leads to the problem of bureaucratic process in delivering essential services. Hence, the

need to examine the role of stakeholders in policymaking and implementation particularly at the local spheres. Also, the non-inclusion of local stakeholders in the formulation and implementation policies has revealed in literatures requires investigations. The non-participation of local stakeholders in the implementation of the local economic development policy often leads to conflict of interest between the rural residents and the government officials in terms of service delivery (Dlamini & Reddy, 2012). A better understanding of the problems highlighted above can help the government and other stakeholders to proffer the best solution. This study sought to identify the challenges associated with formulation and implementation of public policies in four different municipalities (Ray Nkonyeni, Umdoni, eThekweni and Dr Nkosazana Dlamini) in KwaZulu-Natal. The implication for policy is that it can help other municipalities within and outside the province in terms of addressing backlogs of service delivery.

1.7 Conceptual Definitions of the Terms

This section of the study devotes itself on outlining the conceptual definition of key terms such as stakeholder, policymaking, policy formulation and policy implementation.

1.7.1 Concept of stakeholders

Kahane, Loptson, Herriman and Hardy (2013) and Friedman and Miles (2013) contend that stakeholders are individuals or groups who have interest in an issue or decision that affects their organisation or government. There are a number of stakeholders in the various localised spheres of government in South Africa which includes senior management (i.e. General Manager Corporate, Community, Planning & Development, Technical Services, Chief Executive Officer and Municipal Manager), Councillors, Unions (South African Municipal Workers Union [SAMWU], Independent Municipal Alliance Trade Union (IMATU), workers and Executive Council. The key stakeholders for this study are the government officials, union groups and the local communities from four purposefully selected municipalities in KwaZulu-Natal.

1.7.2 Definition of policy

A policy refers to a purposive course of action or statement which reflects future goals and aspirations of people, an organisation or a country and provides directions for executing the goals (Mthethwa, 2012; Hill and Hupe 2014). There are various kinds of policies depending on the field of study, however, this research study aims to address policy from the field of public administration. Therefore, public policy are those policies made by the government for

the benefit of the citizens (Hill & Hupe, 2014). It is instructive to note that public policies are guided by government legislations embedded in the constitution. In South Africa, public policymaking at the local spheres is regulated by Municipality Act (Municipality, 2015).

The South Africa's constitution stipulates that, for the effective functionality of municipalities, the state legislation must express the various categories of the municipalities. The municipalities are categorised into three, which are group A, refers to metropolitan municipalities, group B, refers to Local Municipality, and group C, are classified as district municipality. The specific legislations associated with municipal good governance include the following:

- Local Government Municipal Systems Act 32 of 2000
- Local Government Municipal Structures Act 117 of 1998
- Local Government Municipal Structures Amendment Act 33 of 2000, where they all function according to the Constitution, which also specify the inclusion of the South African Local Government Association (SALGA) in the municipal system. SALGA has the command to transform local government and to undertake the report and interest of all municipalities in South Africa.

The focus of SALGA is as follows:

- At central sphere and provincial sphere of government and several other structures of the nation, SALGA represents, promotes, protects and debate the best concern of Local Municipality;
- Establishes descent work relations performances and develops capacity in municipality, councillors and employees.

1.7.3 The concept of public policymaking

Public policymaking is a complex dynamic process directed at the formulation of policy by involving the participation of various stakeholders or groups as active decision makers (De Coning and Cloete 2012; Osman 2002). The process is initiated at government level using the structure of the political system by coming up with proposed course of action to be followed to reach all formal and publicly known decisions of governments (Roux 2002; Gumede 2008).

In this case, the available policymaking instruments assists in crystallising public policy objectives into workable actions. There is a consensus among researchers that legislative frameworks regulating public policymaking in South Africa are effective as guiding instruments for public policymaking (Sebola 2014). This is largely attributed to the fact that public policymaking in the new democratised South Africa is based on transparency, inclusiveness and consultations, which is far different from the apartheid regime. The new South African government commitment since 1994 towards meeting the basic needs, building a strong economy, democratising state and society and promoting nation building, has in essence redirected the targets and objectives of public policymaking towards building national unity (De Coning and Cloete, 2012:17).

1.7.4 Conceptual definition of policy formulation

Juma and Onkware (2015:834) define policy formulation as a process which involves the design and acceptable proposed actions of resolving public problems by various governments when they want to implement developmental projects. The policy formulation process contributes to the development of effective and acceptable action plan for addressing whatever issue that has been placed on the policy agenda. The authors add that different kinds of policy formulation exist based on criteria for classification which may include routine, analogous and creative formulation. From this definition, one can argue that policy formulation is based on a particular issue or problem which requires action for regulation purposes.

1.7.5 The meaning of policy implementation

According to Ugwuanyi and Chukwuemeka, (2013) and Yaro et al. (2017) policy implementation is the next important step after policy formulation in that it is the process of translating policy decisions as contained in the document into a plan of action. This involves the process of interaction between the setting of goals and the activities and actions that followed towards achieving those goals (Yaro et al. (2017: 3).

1.7.6 Role of stakeholders in policymaking

Kufi (2013) postulates that policy formulation and implementation is a collective task which requires contribution from all relevant stakeholders as critical role players. Bateye and Ogunyemi (2015) argue that total commitment and participation of the stakeholders is key to the successful formulation and implementation of policies. Some of the key roles played by stakeholders in policymaking at the localised spheres are creation of awareness of the problem, consultation with other stakeholders, drafting of policy, presentation of policy, formulation of

policy and implementation of policy (Nangoli, Namiyingo, Kabagambe, Namono, Jaaza and Ngoma, 2016; Madzivhandila & Maloka, 2014; Aminu, Tella & Mbaya, 2012; Kahane, Loptson, Herriman & Hardy, 2013). The study interrogates the role of government officials, union groups and the local communities from four municipalities in KwaZulu-Natal.

1.8 Contribution to Knowledge

The roles of stakeholders in policymaking at the localised spheres is crucial to the development of the local communities (Bučaitė-Vilkė & Krukowska 2020; Jayasuriya 2006). The effective role of stakeholders helps in the implementation of both national and provincial policies in terms of service delivery and local development. The investigation into the role of stakeholders in policy formulation and implementation becomes expedient because of the increasing backlogs in service delivery and conflicts between government officials and local communities during the implementation of policies. The outcome of this study will potentially help to inspire the interest of other scholars to identify implementation problems and overlapping roles among the stakeholders, which will trigger the implication for practice. It is important to note that most of the studies on the role of stakeholders at the localised spheres did not take the local communities into consideration. This study will also contribute to the body of existing knowledge by addressing the role of the local communities from four different municipalities in KwaZulu-Natal. Additionally, the use of mixed method approach in the investigation of stakeholders' role as regard policymaking is scarce. This study adopted both quantitative and qualitative approach for the purpose of data collection, and triangulation of research findings.

1.9 Brief Methodology

The use of both quantitative and qualitative research methods in public policy issues is scarce in public administration as most of the literatures on the role of stakeholders in policymaking either adopt quantitative or qualitative research strategy (Ospina, *et al.* 2018). Scholars have identified some level of bias or shortcomings in the adoption of either approach (Saunders, Lewis & Thornhill, 2019). On the other hand, the use of both quantitative and qualitative approaches provides a better understanding of relationships leading to valid and reliable results (Creswell & Plano Clark 2017; Groeneveld *et al.*, 2015; Wilson, 2014). This study employed a mixed method research approach to investigate the role of stakeholders as regards formulation and implementation of public policy at the localised sphere. The qualitative data collection was done through in-depth interviews with stakeholders from the purposefully selected municipalities, while the quantitative data collection was achieved through survey

questionnaires. This mixed data collection method was useful for triangulation of results from different sources which helped to add value (McKim, 2017; Sekaran & Bougie, 2016).

Convenience sampling, which is a form of purposive sampling was adopted in selecting the participants for qualitative data collection through in-depth interviews. Stratified sampling technique was employed to select the respondents for the survey questionnaire. Descriptive statistics such as tables, bar charts, graphs, Pearson Product-Moment Correlation, and Multiple Regression were employed for the analysis of the quantitative data. NVivo 12 was used for thematic content analysis of the qualitative data

1.10 Scope of the Study

Four selected municipalities located at KwaZulu-Natal Province were the major sources of data for this study. The target population were the stakeholders in policymaking which comprises government officials, union groups at the selected municipalities and the concerned local residents from the selected municipalities. The sampling frame was (General Manager Corporate Services, General Manager Community Services, General Manager Planning & Development, General Manager Technical Services, General Manager Finance/Chief Executive Officer, Snr Director, Departmental Heads, Deputy/City Manager and Municipal Managers), Councillors, representatives of labour unions. The study selected 333 participants as the same size. The sample size was determined with reference to recommendation made by Sekaran and Bougie (2013).

With respect to the qualitative study, a sample size of 30 participants were selected from the top management positions (Mayor, Deputy Mayor, Speaker, Chief Whip) in the four municipalities mentioned above. According to Sekaran and Bougie (2013), for qualitative study, the acceptable sample size should range between 7-30. Therefore, the sample size of 30 participants is enough to gather more needed information from the participants. However, with regards to the quantitative study, the remaining sample size of 303 was selected for participation. For quantitative study, the sample size of 303 is adequate for sufficient information to be gathered. Sekaran and Bougie (2013) recommend that for quantitative study, the sample size of 303 is enough to allow the researcher to gather large amount of information on a particular event or subject matter being studied.

To begin with, only participants that are directly involved in policymaking within the organisation were selected to participate in the study. Secondly, to qualify for participation in the study, each participant must have been involved in policymaking in the previous years.

Thirdly, only those participants with knowledge or experience in policymaking were selected for the study.

Both quantitative and qualitative data were collected from all the identified stakeholders. The findings of this study could be generalised to other municipalities in South Africa.

1.11 Limitations of the Study

One of the limitations of this study was the limited scope of the study. This study did not take into consideration other merged municipalities from other provinces. Additionally, KwaZulu-Natal is one of the nine provinces in South Africa, however, findings from this research study may not be generalisable to whole population in the country. However, the structured questions for data collection in this study covered most of the problems associated with policymaking in South Africa. Also, most of the participants are mainly from the urban areas and the outcome of the research findings may give little or no voice to stakeholders from the rural areas. However, this study ensured that the problems of local stakeholders' engagement is addressed and advocated for grassroots stakeholder's inclusion in policymaking with regards to service delivery.

1.12 Structure of the Thesis

The structure of the thesis is arranged in seven chapters in the following order:

1.12.1 Chapter one: Introduction and background to the study

This chapter illustrates the global worldview of the phenomenon as well as its importance. With regards to developed and developing countries, it discusses the research problem with respect to poor implementation of policy as a result of non-inclusion of concerned stakeholders particularly at the local spheres. This chapter also explains the legislative guide toward policymaking at the local spheres. It addresses the research objectives, research questions, justification of the study, contribution to knowledge, scope of the study, research methodology, ethical considerations and limitations of the study.

1.12.2 Chapter two: Theoretical framework

This chapter illustrates the various theoretical frameworks associated with the phenomenon. It discusses the rational comprehensive theory, group theory, system theory, elite theory and incremental theory. These theories were articulated with the research study constructs and the roles of the stakeholders in policymaking.

1.12.3 Chapter three: The nature of policymaking and implementation in South Africa

This chapter presents the concept of policy and policymaking. It highlights the roles of the stakeholders at the local spheres and discusses the concepts of policy formulation and implementation. This chapter also conducts an extensive literature review on the concepts of policymaking process, policy formulation and implementation as well as challenges associated with the process of policymaking at the localised spheres. A demographic layout of the selected municipalities was also presented.

1.12.4 Chapter four: Research methodology

This chapter examines the research onion by explaining the philosophical paradigms. This chapter also explores the research design, research approach, target population, sample size, sampling techniques, research statements, scale measurement, reliability and validity, pilot study, data analysis, ethical consideration and limitations of the study.

1.12.5 Chapter five: Research analysis and presentation of data

This chapter presents the analysis of both the qualitative analysis and the quantitative analysis. It narrates the thematic analysis as generated by NVivo software, and also presents the inferential statistics tools adopted for the quantitative analysis such as; descriptive, Pearson correlation and regression data. The interpretation of data is outlined and conclusions drawn from respondents' perceptions.

1.12.6 Chapter six: Discussion of findings

Extensive discussion of the findings as revealed by the data analysis is presented in this chapter. Outcome of the research study is analysed to comprehend if it refutes or supports previous literatures. Conclusions are made in line with each objective.

1.12.7 Chapter seven: Summary of research findings, recommendations and suggestions

The summary of the research findings from both quantitative analysis and qualitative and are presented. Summary and conclusion for each research objectives and research questions is stated. Implications for practice, recommendations and suggestions are made for this study. Lastly, the study is concluded.

1.13 Conclusion

This chapter introduces the importance of policymaking from the global spheres to the local spheres. It highlights the Municipality Legislative roles as the guide for policymaking in South Africa, which sets the background of the study. The problem statement is discussed with

regards to conflicts and grievances between stakeholders, coupled with increasing backlogs of social deliveries from local municipalities. The purpose of the study is expressed by stating the research objectives and the research questions. This chapter also outlines the rationale behind this study and provides the definition of essential terms or research constructs. The contribution to existing body of knowledge, research methodology, scope and limitations of study are explained and the chapter is concluded with the thesis structure.

The next chapter illustrates the literature review on the roles of stakeholders in policymaking at the localised spheres particularly in KwaZulu-Natal.

CHAPTER TWO: THEORETICAL FRAMEWORK

2.1 Introduction

A research study needs to be based on some relevant theory or some theories that form its theoretical framework. Such a theoretical framework would assist in giving credibility to the study by showing where the researcher gained support for the shared or generated ideas. “The researcher would utilise this framework as a guideline or structure that informs what and how of the research process. Hence, this chapter aims to present the theoretical framework that guides the reported study and to share previous studies that have tested these theories in different contexts and circumstances. In sharing different theories, the researcher interrogates them in an effort to identify the extent to which they are related to the study and its circumstances.

In this context, the related theories are presented and critiqued. The context of the study is public policy making; hence, its related theories are rational comprehensive theory, group theory, system theory, elite theory, incremental theory, functional process and stakeholder theory (Aremu *et al.* 2017). These related theories are defined and discussed in different sub-sections before identifying the most relevant for the current study.

2.2 Theoretical Framework that Underpins the Study

Extant literature suggests several theoretical frameworks underpin the study of policymaking and service delivery in the global context. These theoretical frameworks include functional theory, stakeholder theory, rationale comprehensive theory, group theory, chaos theory, elite theory, incremental theory, system theory, and complexity theory. These theories are discussed below.

2.2.1 Functional theory

Functional theory, also known as either structural functionalism or functionalism, as founded and developed by various scholars such as Herbert Spencer (1820-1903) is associated with interrelated structures and their function as part of the whole. It is used in a variety of disciplines such as politics, psychology, sociology, engineering, architecture and planning. Within social sciences which is the focus of this study, it views society as made up of social systems in society. The social systems in different societies are made up of sub-systems whose function is to perform certain duties, yet they cannot function independently of other aspects or systems because they influence one another, and this is important for stability and development in

society. Along the same view, Loyal and Malešević, (2021: 19) define social systems to refer to the patterned interdependence and interrelationships that exist between individuals, groups, institutions, organisations and other social structures and as such operate as a relatively coherent whole. Some of these critical sub-systems in the form of different institutions that contribute to the maintenance of a healthy society are government, economic, political, family, cultural systems, education and religion (Crossman, 2020; Izuogu, 2019). For instance, the function of education is to provide knowledge and skills in society. Yet, education requires families to produce children that will attend schools as much as parents need schools to provide formal education for their children. Equally important, for schools to function, they depend on financial support from parents and government in the form of fees or tax contributions made by society. And through education, government, business and the education system can obtain skilled employees to efficiently perform certain functions. Families equally need government support in terms of services but for a government to exist it requires political participation by families who put officials into power with the expectation that they will function well and provide service delivery. In this sense, functionalist theory views society like the human body that requires its various components to function together and properly for it to have a healthy balance. This implies that without one of the parts of the body, the other parts cannot function well. From these perspectives, it can be argued that each part of the body needs to be in a state of equilibrium, or balance (Izuogu, 2019).

The functional theory regarding public policymaking suggests that policymakers should involve all key stakeholders and views when formulating policies. Renn and Schweizer (2009: 177) describes this approach as a participatory exercise which is necessary if one is to address the complex functions of society that require the input of different constituencies. The authors clarify that the main objective in adopting the participatory exercise is to ensure that important information, perspectives and all knowledge camps are included in decision-making. Renn and Schweizer (2009: 177) further list the three major functional goals that need to be borne in mind during this process, which are:

- to collect all the necessary knowledge to solve a problem;
- to avoid political paralysis by demonstrating openness to all stakeholders; and
- to secure smooth implementation of the decision-making process.

The functionalist approach is in this regard goal-directed which helps provide clear guidelines for policymaking process. Maija and Maija (2020) applaud the approach as a democratic

political activity that deepens citizen participation and promotes inclusiveness as it allows the viewpoints of individuals and groups affected by a decision. There is cooperation and coordination of activities that promote congruence in society. This would no doubt give legitimacy and full acceptance of decisions taken as all the stakeholders will feel acknowledged through their participation. Functional theory is, therefore, suitable for consideration in this study that entails the participation of all relevant stakeholders in policymaking within municipalities to eliminate service delivery protests.

The adoption of functional approach in this study is further made significant to consider by Anderson (1994:5) who emphasises that effective generation of alternatives will be achieved through grassroots participation towards policymaking. The author encourages administrators to implement effective methods in making certain that policies are successful in improving the lives of communities. In a manner corresponding to Dye (1998:17), the functional theory explains that policy is a political activity which has five stages, namely: identification of problems, policy formulation, legitimating policy, implementation and evaluation. The process in policymaking is basically inherently embedded in the functional theory of public policy. The functional theory is highly concerned with the patterns of activities or processes in the policymaking (Dye, 1998:7). These activities include, for instance, how social problems are identified, who identify the social problems, why do some social problems achieve the agenda status when others cannot, and other public policymaking phases such as policy formulation, implementation and evaluation.

However, functionalist theories have received some criticism due to several shortcomings they pose when not correctly utilised. Castro (2009) notes the following four concerns:

- It is unable to account for social change;
- Its approach is intrinsically conservative;
- It does not consider the causes driving the process of structural and functional differentiation; and
- Its explanations are either tautological or teleological.

In addition to the above, Izuogu (2019) analysis of the Nigerian context reveals several flaws with the functional theory. Firstly, the notion that society has social order is found to be untrue of the Nigerian context where the Islamic group perpetuates lawlessness and disorderly conduct that the government is failing to contain. Secondly, there is no social integration in Nigeria as different sectors of society struggle to get along. Thirdly, the involvement of warring groups

in decision making has not yielded the desired results. Fourthly, the functionalists view of deviance, crime and conflict as necessary in society in order to clarify boundaries and acceptable behaviour has instead led to Nigeria being ungovernable due to uncontrollable intergroup, ethnic and religious conflicts. Lastly, the view of religion as integrating and unifying has totally been found to be untrue in the Nigerian contexts due to a high number of religious conflicts Izuogu (2019). These findings suggest that functionalism cannot be applied across all different contexts. While it might work in one context, at the same time it might not apply in other situations. Furthermore, the findings expose the theory as idealistic rather than factual.

2.2.2 Stakeholder theory

Phillips, Barney, Freeman, and Harrison, (2019: 1) define stakeholder theory as based on the notion that organizations that take particularly good care of a broad group of their stakeholders (i.e. customers, suppliers, employees, communities) will function more effectively and create more value. This value may then be used to sustain and grow the organization, and to give back to the stakeholders who helped to create it. Furthermore, Harrison, Freeman, and Sá de Abreu (2015: 859), citing various authors, concur that stakeholder theory promotes a practical, efficient, effective and ethical way to manage organizations in a highly complex and turbulent environment. This view is supported by Goyal (2020) who describes the stakeholder theory as a holistic way of managing organisations that acknowledge the stakeholders' roles. Harrison *et al* (2015: 859) expound on their description of stakeholder theory by stating that it is expected of organisations that they manage stakeholders, treat them well, harness their energy towards the fulfilment of the organization's goals and utilise stakeholder information to make decisions. The definition of the stakeholder theory makes it clear that stakeholders are critical in the success of an organisation. This will imply that where policies are to be made, that should happen with the input of stakeholders so that they become part of decision making. Having participated in the decision-making process could contribute to a broader acceptance and adherence to such policies. The next question to answer is who constitutes stakeholders.

Freeman (1984) and Freeman, Harrison and Wicks (2007) define stakeholders as individuals, groups and organizations that have an interest in the processes and outcomes of an organisation. Freeman (2015) further clarifies that stakeholders are not merely the shareholders in a company but may extend to governmental bodies, political groups, trade associations, trade unions, communities, financiers, suppliers, employees and customers. Tallberg, García-Rosell, and

Haanpää, (2021) argue that stakeholders should be extended to include animals because of their relationship with humans and the environment in which businesses operate to ensure they are protected. This is a broad way of looking at stakeholders. Of interest to this study are governmental bodies, political groups and communities and their role in policymaking in a political context.

Parmar, Freeman, Harrison, Wicks, Purnell and De Colle (2010: 5), drawing from various authors, argue that the stakeholder theory is not only applicable to policymaking but to many other disciplines such as law, health care, public administration, environmental policy and ethics. However, the stakeholder concept is mostly used in a business context to refer to groups or individuals in the form of customers, suppliers, employees, financiers and the like that have an interest in the activities of the business. They would show this by being prepared to work together to create value for the business because they are affected by the achievement of corporation's purpose (Freeman, 1984: 46). It is for this reason that the stakeholder relationship requires effective management since it is critical to a businesses' survival, value and moral survival (Parmar *et al* 2010). McGahan (2021: 1735) notes that in the management of this relationship it is also important for the stakeholders to receive appropriate returns on their contributions if they are to maintain their connection to an organization. Dameri and Ferrando (2021) however points out that the returns on investment are not limited to the economic value of an organisation in the form of profits to be gained by stakeholders as it now extends to those who live in the city or region where the organisation is located, the natural environment and the planet.

In a public administration context, Sakharova, Avdeeva, Golovina and Parakhina (2020: 4) posit that stakeholder theory emphasises that there should be cooperation between the government and its representatives at regional and municipality level with communities. This cooperation should be based on the principles of equality, openness and non-discrimination. Amongst other things, the cooperation should take place during the formulation and implementation of policies that are intended to benefit the community and the government. In line with the stakeholders' theory, community stakeholders are key factor in policymaking and as such deserve to be regarded before initiating any policy. Community stakeholders (employees) provide important information to decision makers (management) about a specific problem and try to effectively implement municipal (organizational) policy to address such problem.

The stakeholder theory is however not without critics. For instance, Orts and Strudler (2002) find it limiting that the theory initially focussed on human participants and neglected ethical issues that may concern an organisation. These would be environmental and animal interests that tend to be left out. Orts and Strudler (2002) also note that stakeholders are difficult to satisfy as they may have conflicting interests, yet the theory does not provide an advice on how managers can achieve a balance among different stakeholders. For one, how would managers balance the interests of humans who stand to benefit financially if a firm is constructed in a piece of land where environmental interests might be affected? It is always difficult to please everyone involved. Similarly, in deciding a policy the different individuals and groups would be interested in preserving their interests". This may pose many challenges in finalising policies within a reasonable time because of long drawn arguments and counter arguments.

2.2.3 Rational comprehensive theory

The rational choice theory, also known as 'choice theory' or 'rational action theory', is a theory for understanding and often modelling social and economic as well as individual behaviour. It is the main paradigm in the currently dominant microeconomics school of thought. Becker (1976) postulates "that the rational choice theory was early popularised in 1992 by Nobel Memorial Prize Laureate in Economics Science, Gary Becker, who was one of the first to apply rational actor models globally. Elster (1989) points out that the essence of rational choice theory when he said that when faced with several courses of action, people usually do what they believe is likely to have the best overall outcome. The 'rationality' defined by the rational choice theory adopts a more specific and narrower definition, which simply means that an individual acts as if balancing costs against benefits to arrive at action that maximizes personal advantage (Friedman, 1953).

Rational choice theory is argued to have been developed as part of the behavioural revolution in American political science of the 1950s and 1960s which sought to investigate how individuals behaved, using empirical methods. The approach has increasingly become a growing approach to political science, especially in the United States. According to Olson (1965), the rational choice theory assumes that that individuals with self-interest would not always take part in collective action to accomplish a common goal.

Aremu *et al.* (2017) suggest that the proponents of rational comprehensive theory believe in the maximum social benefit. Those who ascribe to this theory are of the view that a particular policy will bring more gain to the society than cost. According to Aremu *et al.* (2017), the ratio

of benefit inherent in a policy to the cost of the policy to the society is the yardstick of adopting a policy. This theory will be relevant to policy formulation and implementation when carefully adopted. When implemented, it will enable the policy makers to decide on a range of programmed or activities that will benefit the society.

The theory ensures that every citizen receives maximum social benefit from any policy that is formulated and implemented. The theory is significant to the proposed study as it guides it in ensuring that the demands and views of all the interest groups in the policymaking process at the selected municipalities in KwaZulu-Natal are met.

Cloete (1987:142) explains the rational theory by stating that there will always be a tendency for policy-makers to claim that they are rational in their performance of policymaking functions. Anderson (1994:32) contributes a list of terms by which the rational theory is known namely, rational choice theory, social choice theory, public choice theory and formal theory. The rational theory is utilized by those in power to further expand their power so that they can remain there. In this regard, Anderson (1994:33) contends that politicians guided by their self-interest rather than an altruistic commitment to such goals as statesmanship or the national interest. For Hanekom and Thornhill (1994:71), the rational theory has the following qualities: detailed research about the community and its needs; well researched solutions and their possible consequences; the checks and balances regarding the financing; and the total benefit of the community at large.

The theory emphasizes the norm of effective public policy formulation. Dye (1998:24) contends that a rational policy is one that achieves maximum social gain; that is, government should choose policies resulting in gains to society that exceeds costs by the greatest amount, and government should refrain from policies if costs are not exceeded by gains. In other words, if it is anticipated that policies which are formulated will have costs which will exceed their benefits, such policies should be discouraged. The implication is that policies at the local sphere of government must put the people first by making sure that the benefits of a given policy outweighs the cost on the community. This theory negates against any form of political interest at the expense of the people.

This theory requires an involvement of the administrators who should draw a cost-benefit analysis of the policy programmes before such programmes are implemented. Before one takes a decision, he/she should have gathered enough information which should assist him/her into taking that decision. Wilhelm (2000:38-39) gives an example of a decision that was taken based

on distorted information, when the former South African President de Klerk hoped for a return to normality with his party still in charge believing, even, that it might win a democratic election, when he unbanned all the opposition parties. This decision was very fatal to both himself and the National Party which confided in him. Rationalistic models are widely held conceptions about how decisions are and ought to be taken. An actor becomes aware of a problem, posits a goal, carefully weighs alternative means, and chooses among them according to his estimate of their respective merit, with reference to the state of affair he prefers (Smith & May 1997:164; Schneider & Ingram, 1997: 32).

Smith and May (1997:167) assert that the model purports to inform the public out there that management is good, efficient and effective in addressing its problems whilst in reality it is not so". They point out that in contrast the model is rigid in that it does not delineate the relationship between the ends and means and or their distinctions, and it is impractical.

This theory is based on the view that individuals are seen to be motivated by the wants or goals that express their preferences (Scott, 2009:01). The Geocities Report (2009:01-02) indicates that in the Rational-Choice theory, public policy makers pursue their own self-interest instead of national- interest. Therefore, "the rational choice theory implies that individuals must anticipate the outcomes of alternative courses of action and calculate that which will be best for them. Hence it is an egocentric (self-centred) approach to the practical process improvement (PPI) process.

Given the contribution of this theory, however, several critique and scholars have identified certain shortfalls of the rational choice approach. Besides, there are several other weaknesses that have been attributed with the rational choice theory. These weakness and criticisms include:

- Problems associated with inadequate information and uncertainty. Critiques argue that this problem makes it difficult for individuals to make rational decisions. Against this background, they may rely on other ways of making decisions (Ogu, 2013).
- Human social action and interactions are complex, and many of the theories examined earlier may provide better guides to how these take place (Ogu, 2013).
- Theorists of rational choice argue that macro level structures and institutions can be explained from the models of individual social action. But there are problems of

aggregation of individual to societal level phenomena. These same difficulties exist in well-developed economic models (Ogu, 2013).

- Norms and habits may guide much action, and once these take root people may not question them but use them to pursue meaningful social action (Ogu, 2013).

2.2.4 Group theory

Rushefsky (1996:23) coined the group theory with the word pluralism to mean that there are many interests represented by pressure groups who govern the rest of the society. The group is another important theory which supports policy formulation and implementation. The group has been conceptualised as a set of people who communicate with each other, often for a predetermined period (Osmani, 2017). The theory assumes that the communication offers the possibility of interaction among group members, allowing interpersonal consensus. Moreover, it is believed that communication, interaction and consensus help in achieving common goals. The group theory is based on the premise that the group is an important tool that helps the organisation and the individual to achieve their goals (Osmani, 2017). It is suggested that staying as a group can be just as beneficial in encouraging a positive performance as transitioning into a team, as both have value within their own context (Katzenbach & Smith, 1993:61). For instance, evidence suggests that value can be created through a group by avoiding the time it can take to form a team (Fisher, Hunter & Macrosson, 1997:239).

According to Aremu *et al.* (2017), the group theory entails the interaction of forces and pressures among the different groups in the society. Aremu *et al.* (2017) recommend that different groups with different interests agitate for their needs which become the focus of the policy makers. Regarding the agitation, the policy formulators and implementers may find it difficult to distinguish the policy that will benefit the larger group. This theory often aimed at putting pressure on the government to meet urgent needs of a particular interest group(s). Though it is a fine approach to address the concerns of a particular group, at the same time it might not be in the interest of the entire community or society. The suggestion is that, whilst others may benefit from this theory other may be disadvantaged. This theory addresses one of the major concerns identified in this study, which is, as some groups of people are disadvantaged there are very few individuals (politicians) who benefit from the policies, particularly at the local municipalities.

An interaction between the interest/pressure groups and the policymakers in policymaking is the theme of this theory. There are some groups which are more powerful than others which

exert more influence on the policy-makers. The influence and power of the group is determined by its membership, leadership, cohesion, access to policy makers, and money. This theory promotes a harsh condition wherein other groups have greater political influence than others, and that it is possible that policy is adopted in the direction of the group with increasing prestige, with a movement away from the group that has forfeited it (Hanekom & Thornhill, 1994:70).

This view is supported by Hanekom (1987:31) who propagates that policymaking should be made through the interaction between pressure groups. According to this perspective, the legislature still maintains an influential position of the arbiter during the policymaking process. There will be instances where we find that the problem exists, but it is not defined as such by the majority and therefore it cannot draw the politician's attention.

The group theory could be explained by the exposition which says that interaction among groups is the central fact of politics. Individuals with common interest bond together formally or informally to press their demands on government (Dye, 1998:19). A group plays an important role of bridging the gap between the individual and the government. The theory explains that groups tend to reach an equilibrium state through their struggle for power. Equilibrium is reached when there is consensus among the differing poles. When a group receives more support than the other, it means it would tend to have more public policy influence towards the government than other groups.

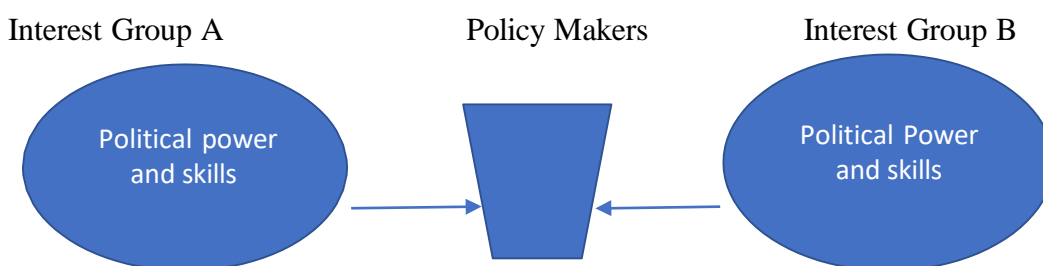
Another important facet of the group theory is the management of group conflict contributed by Dye (1998:20) who contends it is achieved through (1) establishing rules of the game in the group struggle, (2) arranging compromises and balancing interests, (3) enacting compromises in the form of public policy, and (4) enforcing these compromises. Policymakers are not stable, they take directions of influences of groups which have more membership, wealth, structural strength, are close to the legislators.

Therefore, there is a need for groups to wield more influential power on the legislative decisions and if they feel they do not have enough influence they may exercise compromise or make coalitions with other groups which will help articulate their interest". When societies develop in complexity, they in turn develop more and more interest groups, which also experience their own internal conflicts. The interest groups are valued by Rushefsky (1996:25) who says they may advocate governmental action, propose policies, impede policies, have an impact on implementation, conduct evaluations, and so on. Anderson (1994:27) believes that public

policymaking is a product of the struggle which existed between different pressure groups. Pressure groups compete for an access to influence the policy-makers. The more a group becomes nearer to the policy-maker, the more it becomes pursuant to him/her towards a certain direction. Persuasion is an important public policymaking concept which is defined as the best sense of the word, meaning the use of information and thought to move people closer to reassured and voluntary agreement (Lindblom & Woodhouse, 1993:129).

Persuasion is the ability to give reason or to pose an argument which will influence others to act towards the suggested direction. According to Fox *et al.* (2006:12), public policy may derive from interest groups who continuously interact with policy makers to influence the policymaking process. In seeking to define this theory, the Geocities Report (2009:01) states that some policies may be made by judges in consultation with other groups but only to discover that the President has great influence over what policy areas are given attention. This implies that a monopoly of influence over some polices areas can be perpetuated by this theory during public policy formulation. De Coning and Cloete (2006:38) use the following figures to describe the public policy process as influenced by the group theory. It shows how each interest group (in this case group A) gains dominance over another interest group (group B) resulting in group A having a greater influence on the policy as policy makers move towards public policy outcomes favourable to group A as Figures 2.1 indicates.

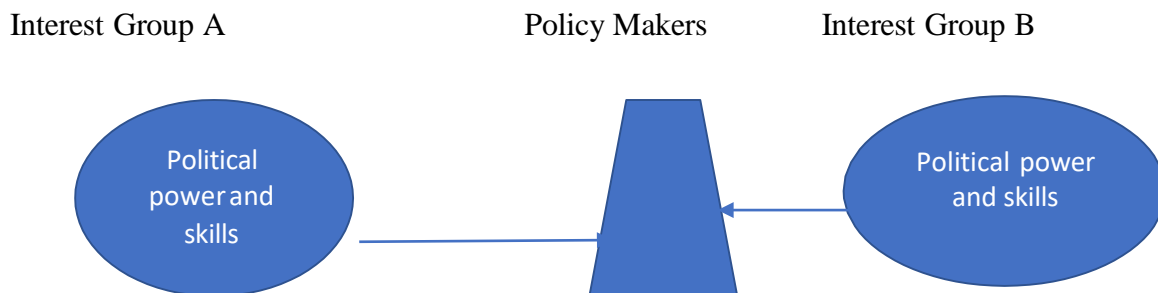
Figure 2.1: Phase 1 of the group model of public policymaking



Source: Cloete *et al.* (2006:38b)

Hence after pressurising, lobbying and consultation, public policy formulation comes to fruition with one interest group having dominated the public policy. Figure 2.2 below indicates phase 2 of the group theory of public policymaking.

Figure 2.2: Phase 2 of the group theory of public policymaking (showing a shift of policy towards the direction applied by policy makers).



Source: Cloete et al. (2006(b):38)

The implication of this theory is that public policies implemented will be bearing the influence of those that have applied more power, influence and skills (e.g. Interest group A, with reference to Figure 2.2). This is significant for this study as it suggests a top-down approach to public policymaking and implementation.

2.2.5 Elite theory

Elite theory and the concept of power elite, as opposed to the Marxist notion of ruling class, is well established in the disciplines of political science, sociology and economics (Etzioni-Halevi, 1992; Dye & Zeigler, 1990; Domhoff, 1983, 1990; Balbus, 1971). The elitist theory of politics is as old as history, but the first presentation of it as a model of local government in the United States can be traced to Hunter (1953). Theory asserts that a few individuals or groups make the most commanding decisions in society, and they do this outside of the formal governmental structures. This theory holds the following assumptions: the elite are drawn disproportionately from the upper socioeconomic strata of the society; the elite-non elite movement must be slow to preserve the structure and nature of the system; elites share a consensus on the basic values of the social system and tend to preserve those values, and their disagreements are on a narrow range of dispersed issues; public policy does not reflect the preferences of the masses, but rather the interests of the elite, and changes in public policy are incremental rather than radical or revolutionary; elites influence masses more than masses

influence elites (Dye & Zeigler,1984: 6); and elites, not masses govern all societies (Dye & Zeigler, 1993:3).

According to the theory, there is no single definition of the concept of elite. What the literature reflects is a divergent array of definitions of the term. The lack of a unified meaning of elite emanates from the scope and limit of those included in the spectrum of elite rank, given the universality of the accepted meaning of the term itself. Therefore, various definitions arise and different models and constructs develop as frames of analysis. Despite the differences in definitions, all elite theorists seem to do one thing: the powerful position of a small group of individuals or groups who either shape or influence decisions that affect national outcomes (Mosca, 1939). Thus, all actors occupying key positions in the political, economic, military, governmental, cultural, and administrative institutions and organizations are considered members of the elite because they affect the national outcomes (Farazmand, 1999).

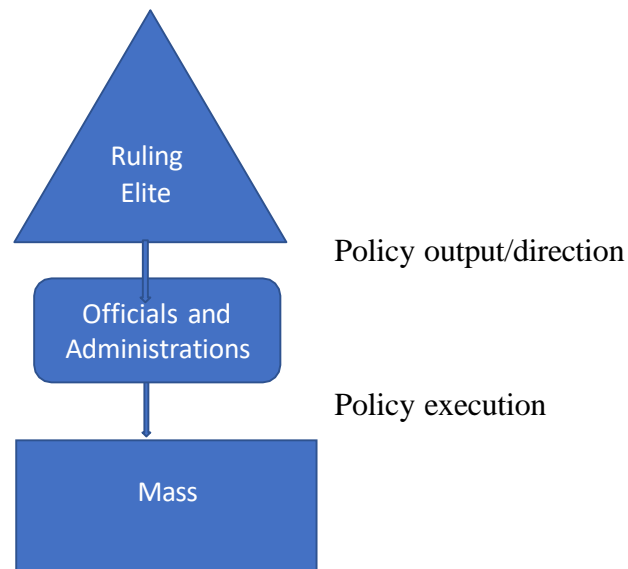
Ayuba *et al.* (2012) suggest that Elite Theory relies on the assumption a few groups of people govern and formulate policy for the ill-informed large populace. The policy is seen as the preference of governing elites. The policies formulated are not arising from the demand of the majority. Cloete (1998:142) conveys this theory by stating that a policy is usually the product of the contributions of a number of institutions, political office-bearers, officials and interest groups who become engaged in deliberation, negotiation, bargaining and compromise. To Hanekom (1987:31), this theory postulates that the elite groups made of the minority group is responsible for policymaking and that the majority irrationally and passively follows suit. Anderson (1994: 29) terms the theory the elite theory which explains that government policies are seen as representing the interest of those in the influential positions. This theory categorically states that a small group of the elite is responsible for the formulation, implementation and evaluation of public policy.

The minority decides for the majority. Hanekom and Thornhill (1994:69) explain the disadvantage of the theory by stating that the policy flows downward from the elite to the masses and is applied to the masses by a selected group of government institutions and public officials. The existence of the theory relies heavily on the consensus that is reached within the elite group. Defined in this way, the political elite is composed of bureaucratic, military, aristocratic and business elites, while the political class is composed of the political elite together with elites from other areas of social life (Hill, 1997: 44). Mills (1995:73) explains the elite group as those individuals who rule the big corporations.

They run the machinery of the state and claim its prerogatives. They direct the military establishment. They occupy the strategic command posts of the social structure, in which are how centred the effective means of the power and the wealth and the celebrity which they enjoy. Policymaking in this regard is therefore not a demand by the majority but represent the interests of the elite groups. Lindblom and Woodhouse (1993:120) considered this limitation when they stated that in addition to generally degrading, the quality of policymaking one particular consequence of impaired probing is that economic and political elites have an easier time preserving their advantages in the expense of the disadvantages of the majority poor. The elite is formed by congressional committees and subcommittees, executive branch agencies, relevant interest groups and so on, but unfortunately it does not represent the majority in the wider population. Dye (1998:21) stated that public policy may also be viewed as the preferences and values of a governing elite. The masses are usually passive and ill-informed and are to be manipulated by the elite. Inactive participation in the policymaking process by masses was also noted by Mwansa, Lucas and Osei-Hwedie (1998:67) when they disclosed thus the public often witnesses little in the form of a policy debate unless a ministry decides to engage in some form of consultation. In this manner the elite group completes all the processes of public policymaking and, during the implementation phase, they now go out to communities out there and explain the contents of the policies. This always leads to failure of the policy. Colebatch (1998:1) noted that the masses generally support the electorates without considering their initial promises when he states that there is a great deal of interest in what politicians say that they are going to do, but much less interest in whether they do it. This theory has disadvantages in that, it exposes the masses to be exploited by the minority, in this circumstance, the elite group.

According to Geocities Report (2009:21), “the Elite/Mass theory advocates for a stratified society comprising on one hand the elites who are regarded as well-educated and influential, and the less influential masses on the other. Figure 2.4 below demonstrates and sums up how this theory operates in society:

Figure 2.3: Elite/Mass theory



Source: Cloete *et al.* (2006(b):37)

Underlying this theory is the implication that the society is divided into those that have power (the elites) and those that are powerless and un-informed. This implies that the policymaking process, which is epitomised by the policy implementation stage, is influenced by the ruling elite of the society. Consequently, the PPI emanating from this policy theory seems biased towards the achievement of the objectives of the ruling elite. The dominance of the elite in the society, inevitably, Ruling Elite Mass further suggests a top-down approach to the public making process and, consequently, to PPI processes.

2.2.6 Incremental theory

Incremental decisions involve limited changes or additions to existing policies. This perspective assumes that policy-makers examine a limited number of policy alternatives and implement change in a series of small steps (Anyebe, 2018). The incremental theory recognises the less-than-ideal circumstances under which administrators must make policies. The theory further holds that there are limited amount of time, brains and money on administrator's ability to understand complex problems and make different policies about them. Due to these limitations, the policy-makers, though they try to be rational, accept the past policies that satisfy them as legitimate and suffice to deal with the issue (Anyebe, 2018). Charles Lindblom contends that incrementalism is the typical policymaking in pluralist societies, including United States, South Africa and Nigeria. It is believed that decisions and policies are the

product of give and take and mutual consent among numerous participants in the policymaking process. Incrementalism is politically expedient because it is easier to reach agreement when the matters in dispute among various groups are only limited modifications of existing programmes rather than policy issues of great magnitude or of an all-or-nothing character.

It has been argued that since policy-makers operate under conditions of uncertainty about the future consequences of their actions, incremental decisions tend to reduce the risks and cost of uncertainty (Anyebe, 2018). Moreover, incrementalism is realistic since it recognises that policy makers lack the time, intelligence and other resources needed to engage in comprehensive analysis of all alternative solutions to existing problems. The theory further assumes that policy-makers use previous activities, programmes and policies as the basis for their decisions and focus their efforts on incrementally increasing, decreasing, or modifying past activities, programmes and policies (Dye, 2013).

This approach to decision-making contrasts sharply with the rational model of decision-making, which advocates for conducting a thorough analysis of all possible options and their consequences and then evaluating their advantages and disadvantages (Lindblom, 1959). The model claims that decision-makers rely on successive limited comparisons to simplify decision-making (Lindblom, 1959). Simon (1957) argues that man is limited by his incapacity to handle satisfactorily multiple tasks concurrently. He claims that:

Our world is a world of limited, serial information processors dealing with complexity that for all practical purposes is infinite in comparison with their information powers. It is a world peopled by creatures of bounded rationality. Since people cannot simultaneously attend to everything that is potentially relevant, they must have processes that determine the focus of attention (Simon, 1957).

According to Asogwa (2012), incremental theory is a method that relies on the incremental or gradual decision making. It is the theoretical policy of rationality developed by Lindblom in 1959. It is conservative in manner. This theory assumes that new policies are only slightly different from old policies. Past policies are accepted as having some legitimacy. Policy-makers are too short on time and resources to make totally new policies.

Hanekom (1987:33) describes the incremental model with a statement which says it has as point of departure that existing policies are legitimate and satisfactory and probably only marginally ineffective and should thus be adapted incrementally to eliminate those aspects

which are no longer effective. This theory gives opportunities to the stakeholders or the interest groups to make inputs and effect amendments to the existing policy. According to Hanekom and Thornhill (1994:71), the incremental theory for policymaking regards public policy as the continuation of exiting government activities with only incremental adaptation to provide for changing circumstances. Thus, according to this theory, the policy maker intends to maintain the status quo whilst adapting only the marginalized items to the current policy. To describe incrementalism, Dye (1998:27) writes, incrementalism views public policy as a continuation of past government activities with only incremental modification. Instead, policy makers utilizing this theory concentrate on decreasing, increasing or modifying some of the items in programmes, this being because they are faced with inadequacy of resources such as time, money, skills, information, and others. This theory exposes a situation that policy makers refrain from encountering the radical changes in their programmes and will opt for a status quo.

According to Dye (1998:29), the policy makers reduce conflict, maintain stability and preserve the political system when they seldom search for the one best way but instead end their search when they find a way that will work. Smith and May (1997:166-167) accused the incremental theory of several limitations, namely:

- (i) This is conservative in that it does not allow for new innovations. Its anti-innovation feature is a serious limitation to policymaking;
- (ii) This is unjust because it does not give room for other differing opinions in that it favours the interests of the most powerful and systematically to under-represent the interests of the underprivileged and politically unorganized. This embodies that the incremental theory is narrowly constructed and has more limitations than the rational theory it sought to replace in the first place; and
- (iii) This is extremely costly, in that, if it conducted the processes of other theories of going through the comparison of cost-benefit cycle, it would be a worse-off theory. This is captured in a statement which says although the costs of rational decision making are high, the costs of failing to explore radical alternatives to existing policies may be even higher.

Moreover, critiques (Anderson, 1997; Hayes, 1992) argued that the theory is too conservative, too focused on the current order; hence, it is a barrier to innovation, which is often necessary for effective policies". Furthermore, it has been argued that in crisis situations, incrementalism

provides no guidelines for handling the tasks of decisions (Anderson, 1997). Additionally, critiques suggest that incrementalism may discourage the search for or use of other readily available alternatives (Anderson, 1997). Besides, it has been suggested that incrementalism does not eliminate the need for theory in policymaking as some of the more enthusiastic advocates contend. Unless changes in policy are to be made simply at random or arbitrarily, some theory is needed to guide the action and to indicate the likely effect of proposed changes (Hayes, 1992).

2.2.7 System theory

The systems theory in political science is credited to the works of David Easton, who is reputed to be the scholar that attempted to analyse politics from the perspective of systems in his famous work "political system" which appeared in 1953. The proponents argued that if the open system model is applied in public policy analysis the issues to reflect on include the nature of the components of the system which constitute the sub-systems, and the outside components that impinge on the system directly, which is referred to as supra-system (Dlakwa, 2004). The theory assumes that inputs into the political system from the environment consist of demands and supports. Demands are usually the claims for action that individuals and groups make to satisfy their interests and values. It is believed that support is rendered when groups and individuals abide by election results, pay taxes, obey laws, and otherwise accept decisions and actions taken by the political system in response to demands. The amount of support for a political system indicates the extent to which it is regarded as legitimate, or as authoritative and binding on its citizens (Anyebe, 2018).

On the other hand, outputs of the political system include laws, rules, judicial decisions, and the like. Regarded as the authoritative allocations of values, they constitute public policy. The concept of feedback indicates that public policies (or outputs) made at a given time may subsequently alter the environment and the demands arising therefrom, as well as the character of the political system itself. Policy outputs may produce new demands, which lead to further outputs, and so on in a never-ending flow of public policy. Overall, this model applies systems theory to the policymaking process (Anyebe, 2018). In simple terms, the system theory is based on the premise that the political system receives inputs from its environment and converts them into outputs. The inputs are in the form of demands from groups or individuals for specific policy outcomes. The policy outcomes take the form of determination of societal values and

allocation of resources. A feedback loop exists by which the outputs alter the future inputs. This model thus relies on concepts of information theory (Anyebe, 2018).

The systems theory conceives public policy as the response of the political system to demands from its environment. The political system consists of those institutions that make authoritative allocation of values binding on the society. The environment of the political system consists of those institutions found in the economic, social, cultural and international systems which shape political process and whose activities are influenced by the political system. Using systems approach, it is assumed that a state of mutual causation exists between public policy and environmental variables (Abdulsalami, 1987). The needs and influence from the above factors that surround the environment are the input into the system that becomes the basis of formulating the policy. Policy formulation exercise itself is a 'Process'. The implementation of the policy formulated becomes the output or the feedback to the society (Ayuba *et al.*, 2012).

The system theory is appropriate for the study because it includes the views and interest of all the stakeholders in policymaking. Another importance of this theory is that it addresses the divergent interests of all the parties unlike the other theories. According to the systems theory, inputs from the external environment such as community needs and problems serve as the basis for action by the policy-maker (Hanekom, 1987:32). Another way to conceive of public policy is to think of it as a response of a political system to forces brought to bear on it from the environment (Dye, 1998:35). Mamburu (2004) and Anderson (1994:26) terms the systems theory the political systems theory and agree that public policy may be viewed as a political systems response to demands arising from its environment. Du Toit and van der Waldt (1999:93) explain that government receives money from the public, which has put it (government) to power, and it is therefore the responsibility of government to see to it that this money is effectively utilized to meet the needs of the people.

They announce that we must remember that for any government to be able to govern, the greatest possible number of society's needs must be met, in other words, public administration must take place (Du Toit & van der Waldt, 1999:93). Systems theory is about government's responsibility and accountability towards meeting demands that are articulated by the people. South Africa has a bad history of human rights violation, racial domination, social injustice, political oppression, economic exploitation, gender discrimination and judicial repression, and all these required the present government to respond through the legislating of the Constitution

which protects the rights of the citizens (The National Action Plan for the Promotion & Protection of Human Rights, 1998; Constitution, Act No. 108 of 1996).

Needs that lead to policymaking could be felt by a group of countries. For example, the Convention on the Rights of the Child (1990) is a product of different countries who on 29 – 30 September 1990 gathered at the United Nations, Geneva, in order to draw a Convention to protect the rights of the children all over the world. Article 2 Section 1 of the Convention reads as follows: “States Parties shall respect and ensure the rights set forth on the Convention to each child within the jurisdiction without discrimination of any kind, irrespective of the child’s or his or her parent’s or legal guardian’s race, colour, sex, language, religion, political or other opinion, national, ethnic or social origin, property, disability, birth or other status. Demands or needs could be in the form of circumstances. Catastrophes, recessions and other socio-political problems occur in communities which compels the government to enact its intention to intervene and save the communities. The systems theory can therefore be a government’s response to natural disasters.

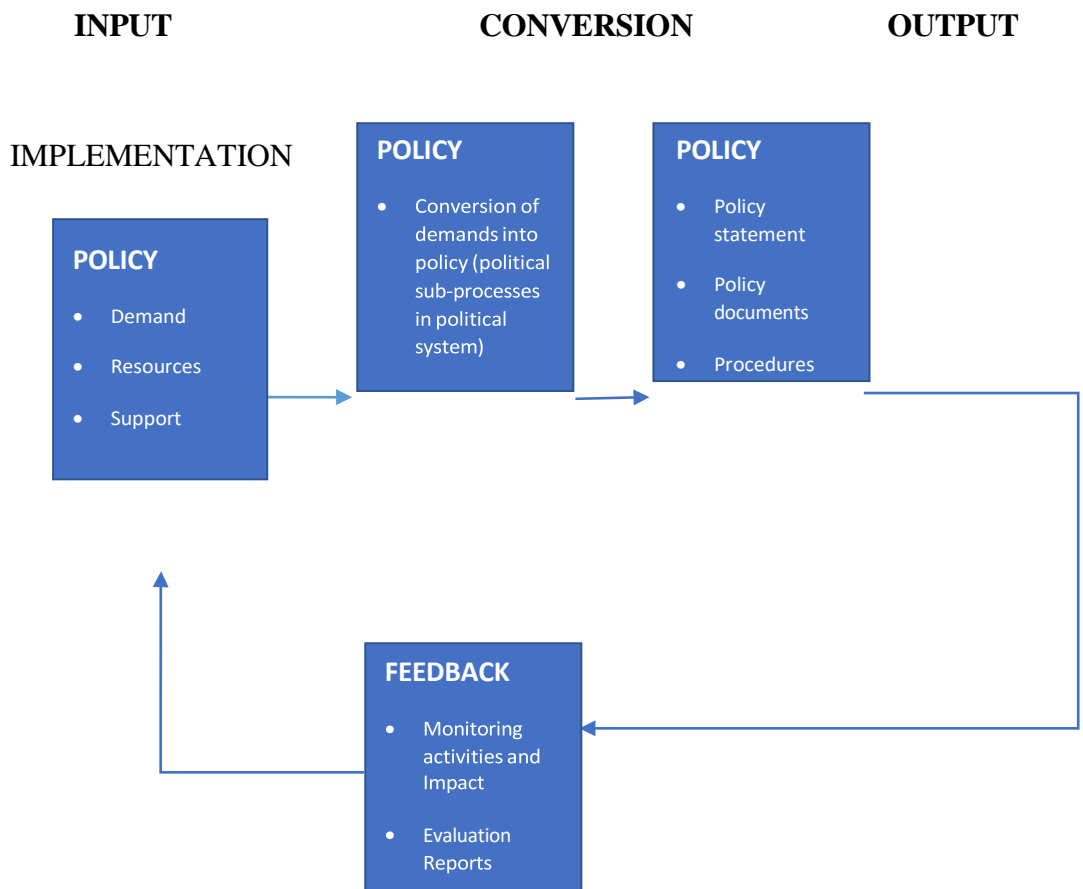
According to Fox *et al.* (2006:42), the Systems theory is a response by the political system to the goals, problems, needs, wants and demands of society compromising both individuals and interest groups. They further elaborate that this theory allows for debates, proposals, counterproposals, adaptations, consensus on public policy, review of implementation and feedback. Carter (2008:46) argues that politics form the interplay between the PPI and the political context. According to the Geocities Report (2009:01), when political context influences public policy, the Systems theory assumes the view that demands and support (inputs) enter and filter through a government system into the public policy process.

This suggests that the Systems theory can evolve on inputs (demands and support) which are subjected to political opinion. It, therefore, shows other like mounding and critiquing which emerge as the public policy output. It is also indicative that the public policy implementation will be influenced by the system to which it has been subjected. Implicit in this theory is the intention of government to allow an influence which will result into public policies that are responsive to public demands. This means that those responsible for public policymaking may influence it when determining the appropriateness of the public policy and the needs of society. This further suggests a public policymaking environment that allows for flexibility in public policy implementation in a quest to meet societal needs, which are inevitably inextricable from

the underlying physical, political, economic, social and technological influence. Figure 2.3 below outlines public policy processes encapsulated in the systems theory

Figure 2.4: Systems theory: public policymaking

Physical, Political, Economic, Social and Technological Environment



Sources: Cloete *et al.* (2006(b):42)

The criticism levelled against systems theories is of using models to represent reality which simplifies the complex nature of the objects of social study (Ward, 2002). According to Ward (2002), this reduces complex emotional beings to measurable variables. Ward (2002) also argued that focussing on systems thinking tools may result in overlooking the complexity (in terms of depth ontology and causality) and historical possibilities of the world around us. Graham (2003) proposed an approach that simplifies the seven-stage model by Checkland (1999; Checkland & Poulter, 2006). Another pointed weakness in soft system methodology

(SSM) is the poor application in the evaluation of soft systems methodology (SSM) as an approach to organisational development (OD). Other studies find that there are issues when the principles of SSM are applied into organisations (Ledington & Donaldson 1997; Mingers & Taylor, 1992). Furthermore, others pointed out that SSM is complicated process, which cannot be easily applied by ordinary people (Patching, 1990). Other scholars indicate that the practitioners of SSM tended to take it for granted that SSM can be easily applied (Salner, 1999). Howell (2000) in his opinion discovered that some of the SSM projects were not applied to the latter. SSM is presented as an iterative and participatory approach to complex issues in organisational development (Checkland & Scholes, 1999).

This study incorporates the strengths of SSM as a system of enquiry and action learning by presenting a System School Development framework (SSD) model. The model allows the principles of SSM to be provided to an organisation in a systematic, cyclical process in order to develop, or make improvements to the organisation". Fitzgerald (1999) in his paper defended systems thinking, by adding the complexity theories in identified gaps of the paradigm. Another critical shortcoming in systems thinking is that non-academic people find it difficult to cope with to understand some of the theory. This requires a simplistic manner of communicating the knowledge to the level of understanding of those who are non-systems thinkers. According to Osifo & Omeregbe (2011) systems theory is criticised for giving little direct guidance as to which aspects of the systems of interest should be manipulated to achieve policy objectives.

This is concurred by Stewart and Ayres (2001) who argue that systems theory does not appear to provide a way forward when constituents of the system conflict with each other and/or are very ill matched in terms of power and resources. Shrode and Vioch (1974) describe one of the shortcomings of systems theory as the failure to specify precisely what is meant by a system; the vagueness over what is to be included within systems theory; and the weakness of the charges brought against the analytic or mechanistic methods. The systems concept assumes that the boundaries between the organisation and its environment are distinct (Fioretti & Visser, 2004). Clipperger (1999) casts doubts on the ability of the approach in providing guidelines and answers on how organisations need to address complex situations. Systems model is considered to fall short when it comes to specifying time and process of collaboration between organisations (Yoon & Kuchinke, 2005). Other critics argue that it gives little direct guidance as to which aspects of the systems of interest should be manipulated to achieve policy objectives (Amagoh, 2008).

Based on these criticisms, it seems necessary to consider a framework for the municipalities, that is derived from a systemic approach that draws insights from several other lenses. This study is underpinned by the systems theory. It draws on the assumption that the selected municipalities adopted different organisational system that governs a group of individuals which influences policymaking and by extension, the lives of the community members.

The point made in this review is showing the understanding of the concept entailed in these approaches. The discussion focused on understanding the meaning of systems, the systems thinking and the use of such in the localized sphere of municipality. There are diverse approaches in systems theory as indicated in the above discussion, in as much as there are also different types of systems. The theory upon the systems thinking approach has also been clarified as well as the prospects for its use in the municipalities. The discussion also reviewed the relationship between systems and the use of tools for analysis.

2.2.8 Complexity theory

The notion of complexity, which originates from the natural sciences, has enriched people's understanding of governance processes (Preiser 2019; Teisman & Gerrits 2014). A broad range of public administration scholars have applied the complexity theory to better understand government actions in complex systems (Joosse & Teisman, 2020; Eppel & Rhodes, 2018; Bason, 2017). In recent times, scholars and practitioners of public policy and public management are concerned with how to create or change particular patterns of interaction between actors to get a particular result: for example, how might governments design a set of institutions to bring about certain behaviours; or given a set of institutions, how might the interactions between actors and the institutions be governed to achieve a particular outcome; and how might unintended negative effects be avoided or positive ones enhanced (Eppel & Rhodes, 2018). There has been increase in the explicit use of complexity theory concepts to explain way the public policy/management worlds behave and how to better design and manage change in these worlds. The relevance of complexity theory for circumventing the weaknesses of a mechanistic approach to understanding public policy and management has been well documented (Rhodes, Murphy, Muir & Murray, 2011).

The complexity theory has been perceived as a model that facilitates a focus on multiple levels of scale simultaneously. Thus, the individual actors, and multiple layers of institutions of varying complexity which interact, can all be brought into view through the multi-scalar complexity lens. The proponents of the complexity theory describe it as a modern scientific

paradigm. The theory identifies instability and disorder in politics and policymaking, and links them to the behaviour of complex systems. It suggests that we shift our analysis from individual parts of a political system to the system as a network of elements that interact and combine to produce systemic behaviour (Cairney, 2012). Scholars such as Morcol (2012), Room (2011) and Sanderson (2009) have made a strong call for complexity theory for understanding how the social world of policy processes work.

According to Cairney (2013), Haynes makes use of complexity theory to focus on multiple levels of public administration systems. He extends the conceptualisation of the public administration complex system to include the behaviour disposition of the individual in relation to their public and personal values, to conclude that the multi-level capacity in complexity theory is, in part, bounded by public service values. Further, he uses the complexity concept of *attractors* to explain how public service values at different levels can play a role in constraining system change over time.

Cairney and Geyer (2017) and Cairney (2012, 2013) warn that the looseness with which complexity concepts are sometimes applied could be an impediment but they also see a place for complexity theory as a bridge between academic and policymaker perspectives in support of pragmatism and insights about how to influence emergent behaviour. Sanderson (2009) points out that the ambiguity and uncertainty arising from a complex adaptive world can be mitigated through the use of an epistemology based on pragmatism and complexity theory. Room (2011) suggests a blending of extant theories such as institutionalism with complexity theory for better understanding the micro/macro dynamics of public policy. He suggests that there is a complementarity in which complexity theory supplies the micro mechanisms lacking in institutional theory and institutional theory supplies a macro framing specific to public policy which complexity theory lacks. Morcol (2012) argues that complexity theory provides mechanisms and concepts for understanding the macro/micro problems at the heart of public policy process. Thus, the theory offers a micro mechanism for describing the macro patterns of interest to public policy scholars.

According to Morin (2007), classical science rejected complexity theory based on its three fundamental explanatory principles, namely: the principle of universal determinism, connecting past and future events; the principle of reduction, by which knowledge of a composite can be achieved from knowing its constituent parts; and the principle of disjunction, by which cognitive difficulties are dealt with by separating them into different disciplines.

2.2.9 Chaos theory

There is no single definition of chaos theory. Chaos theory has been perceived as ‘the qualitative study of unstable aperiodic behaviour in deterministic non-linear dynamic systems’ (Kelert, 1993). In other words, the notion of chaos represents crisis and disorder, a state of non-equilibrium, instability, turbulence, rapid or rupturing changes that scramble plans and cause unpredictability, with consequences of anxiety, fear of unknown, and triggering and tripling effects of destruction and systems breakdown. It is a part of complexity theory which concerns itself with non-linear dynamic systems whose behaviour does not follow clearly predictable and repeatable pathways. Understanding chaos theory requires a deeper understanding of the relationships between parts and whole, of segments and system, and of dialectical relationships between constant and change, of opposing systems, and of stability and chaos, leading eventually to a new form of order and stability (Feigenbaum, 1980; Polanyi, 1944).

Proponents argued that traditionally, “the concept of chaos theory seems to have appeared in natural sciences, just like the earlier systems theories of the 1960s, but then the concept began to find its equivalence in social sciences with contributions to recent implications for organisation theory and public administration (Prigogine & Stengers, 1984; Csanyi, 1980; Eldredge & Gould, 1972). It has been argued that though chaos theory in social sciences has a very long historical origin back to ancient times, yet as focuses of scientific inquiries, it became subjects of interest to natural sciences in the late twentieth century (Csanyi & Kampis, 1985; Maturana & Varela, 1980; van Bertalanffy, 1968). Thus, contrary to the popularly held view, it was not the natural sciences that started the concept with social sciences following; the social sciences did it first.

Those who ascribe to this theory hold the view that the idea of chaos or non-equilibrium theory is claimed to have begun with a rigorous new scientific discovery on how order gives way to chaos and how chaos leads to order. Studies (Abraham & Shaw, 1984; Wiener, 1984; Boulding, 1978; Miller, 1978) are found in both natural sciences and social sciences, with appealing theoretical and practical implications for economics, political science, governance, and public administration. A key question for social and natural scientists is how to control chaos so that its destructive effects could be eliminated or minimized while its positive properties maximized. This is a notion that has until recently prevailed in traditional ways of thought and action in social science.

Chaos theory goes beyond this level and moves into a higher level of scientific analysis of systems existence, change, revolution and evolution (von-Bertalanffy, 1968). According to Boulding (1978), chaotic behaviours and changes caused by non-linear dynamics and through systems breakdowns and bifurcations are considered healthy processes and should in fact be encouraged. Eldredge and Gould (1972) postulate that chaotic states are born out of 'punctuated equilibrium,' point which a stable system is 'shaken and cracked,' and results in a 'fractured' state. It is argued that during a 'shake-up and crack' situation and a punctuated equilibrium, 'peripheral isolates may eventually' transform a system into another one, a new living identity, again either by design or by chance, a phenomenon shared by Sina, Marxist as well as non-Marxist mainstream chaos and transformation theorists (Laszlo, 1972). The tragic events of September 11 in the United States are a good example of how small-scale chaotic events can lead to large scale chaotic, rather catastrophic consequences with far reaching implications.

Chaos theory may explain the current chaotic changes and trends so pervasive in the management of public, private, and non-profit organizations worldwide. Such organizational reform or change realities as massive downsizing, sweeping privatization, environment a deregulation, and expansion of the corporate-based, private sector worldwide are seen healthy phenomena that tend to energize and revitalize organizations and their management systems (Quinn, 1980; Morgan, 1995). Moreover, chaos theory can help predict possible future patterns of order out of chaotic behavioural patterns of the present and the past. Such potential improvements are already explained by mathematical modelling, weather forecasting, and prediction of climatic changes in the atmosphere. It can also potentially help in diagnosing organizational entropies by providing the benefits of an early warning system and the need for timely interventions for systems correction and revitalization. This requires willingness to learn, leading organizational culture based on the concept of learning to learn and think unthinkable and do things that may appear unreasonable (Handy, 1997, 1998).

Nevertheless, critiques argued that the chaos theory tends to promote deliberate chaos and destruction in social as well as natural processes; it attempts to tamper with the dialectics of nature by interfering in the natural evolutionary processes (Prigogine, 1998). Implications of this sort are far beyond the low-level intellectual discussions and can be frightening. Its potential to destroy, clone, and reshape by a few powerful elites equipped with advanced technology at the global level can cause devastating negative effects on the future of the planet,

the global ecosystem, the entire 'biosphere,' and all humankind (Prigogine & Stengers, 1984). The chaos theory can be a powerful tool of manipulation and control in the hands of few powerful elites for economic, social, political, and military reasons. Additionally, critiques suggested that unpredictability of outcomes of chaotic states or systems pose further dangerous, and potentially fatal, threats to individuals, groups, cultures, and peoples around the globe (Priesmeyer, 1992). Unpredictability and chaotic changes also tend to produce unanticipated secondary or multiple consequences or outcomes that may defy any systems designer's calculated or perceived ideal or desired states. Besides, it has been found that ethical problems emerge with the chaos theory (Bue & Cassidy, 2001). Furthermore, critiques pointed out that chaos may lead to order, an order that is often manipulated by the power elites who then require conformity, harmony, obedience, and cooperation for promoting corporate capitalism and its ultimate goal of rapid surplus value accumulation (Habermas, 1984). Chaos theory may explain its own limit, that is its gradual transformation of capitalist system into socialism.

2.2.10 Institutional theory

Institutional theory is a research tradition that traces its origins back to foundational articles that discussed how organisational founding and change were driven less by functional considerations and more by symbolic actions and external influences than the theory at the time assumed (Meyer & Rowan, 1977). Institutional theory not only explains why organisational structures and practices become entrenched, but also how and why change occurs (Jennings, 1994). Institutional theory is a theoretical framework for analysing social phenomena, which views the social world as significantly comprised of institutions – enduring rules, practices, and structures that set conditions on action. Institutions are fundamental in explaining the social world because they are built into the social order and direct the flow of social life (Lawrence, & Shadnam, 2008).

According to Anyebe (2018), one of the oldest concerns of political science and public administration is the study of government institutions because political life revolves around them. These institutions include but not limited to legislatures, executives and judiciary. It has been argued that public policy is authoritatively formulated and executed by these institutions (Anyebe, 2018). Traditionally, the institutional perspective focuses on describing the more formal and legal aspects of government institutions: their formal structure, legal powers, procedural rules, and functions. Formal relationships with other institutions might also be considered, such as legislative-executive relations. Usually, little was done to explain how

institutions operated as opposed to how they were supposed to operated, to analyse public policies produced by the institutions and to discover the relationships between institutional structure and public policies. Subsequently, social scientists turned their attention in teaching and research to the political processes within government or political institutions, concentrating on the behaviour of participants in the process and on political realities rather than formalism. Scholars has argued that institutionalism, with its emphasis on the formal or structural aspects of institutions can nonetheless be usefully employed in policymaking (Suddaby, 2010). An institution is, in part, a set of regularised patterns of human behaviour that persist over time and perform some significant social function (Goodstein & Scott, 2002). It is their differing patterns of behaviour that usually distinguish courts from legislatures, from administrative agencies, and so on. These regularised patterns of behaviour, which are usually called rules or structures, can affect decision-making and the content of public policy. Rules and structural arrangements are usually not neutral in their effects; rather, they tend to favour some interest in society over others and some policy results over others.

Scott (2005) postulates that the institutional structures, arrangements, and procedures often have important consequences for the adoption and content of public policies. They provide part of the context for policymaking, which must be considered along with the more dynamic aspects of politics, such as political parties, groups, and public opinion in policy study (Scott, 2005). Nevertheless, the institutional theory can provide only partial explanations of policy. This theory only study the official structures and functions of government departments and institutions in an attempt to learn how public policy takes shape. It focuses on the organisation chart of government. However, this model has shown little concern about the connections between a department and the public policy emanating from it". While the systems approach is dynamic and process-oriented, institutionalist approach is more static and formalistic.

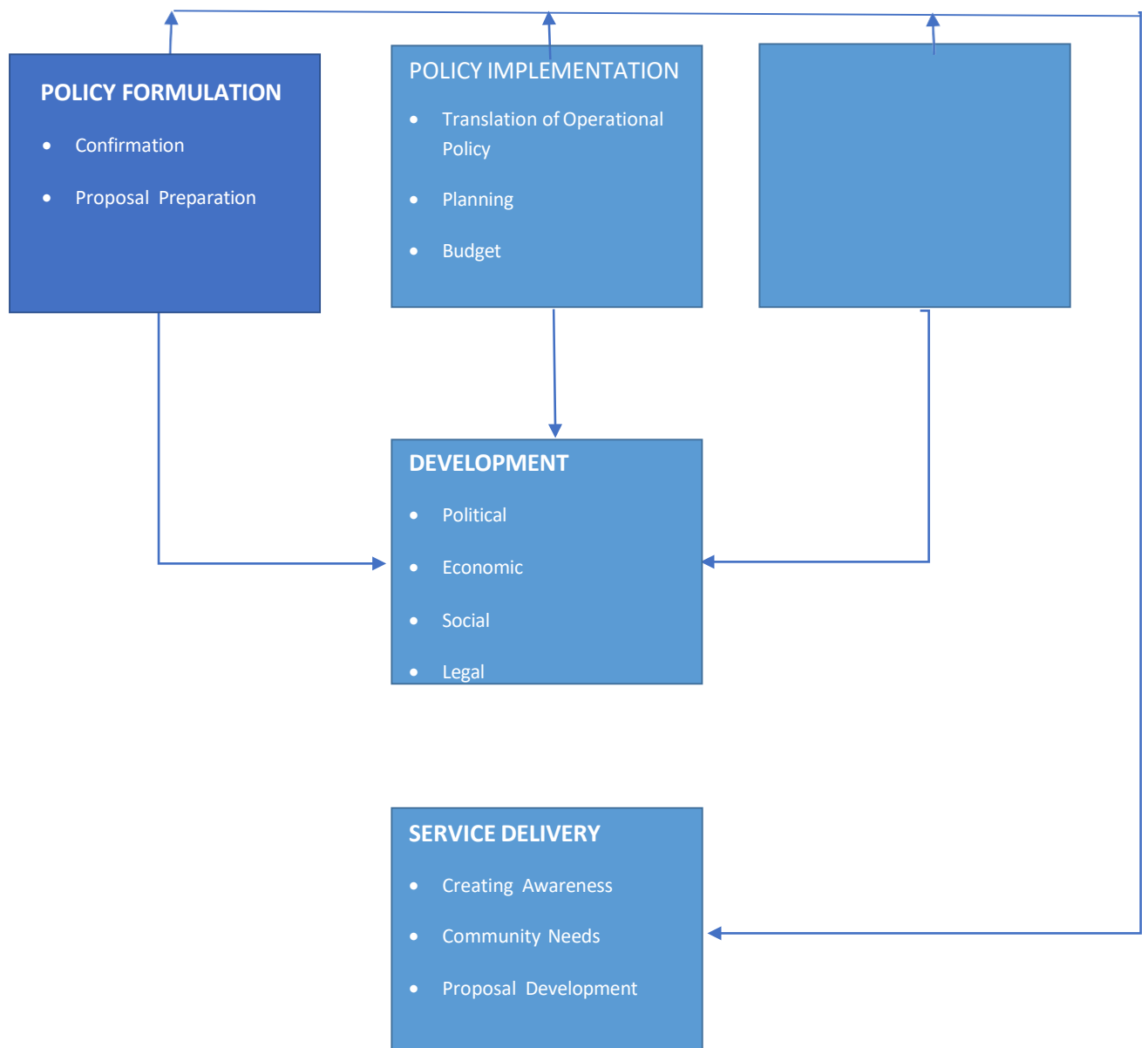
2.3 Conceptual Framework

A conceptual framework is a structure which the researcher believes can best explain the natural progression of the phenomenon to be studied (Camp, 2001). It is linked with the concepts, empirical research and important theories used in promoting and systemizing the knowledge espoused by the researcher (Peshkin, 1993). It is the researcher's explanation of how the research problem would be explored. The conceptual framework presents an integrated way of looking at a problem under study (Liehr & Smith, 1999). In a statistical perspective, the conceptual framework describes the relationship between the main concepts of a study. It is

arranged in a logical structure to aid provide a picture or visual display of how ideas in a study relate to one another (Grant & Osanloo, 2014). Interestingly, it shows the series of action the researcher intends carrying out in a research study (Dixon, Gulliver & Gibbon, 2001).

The conceptual framework offers many benefits to a researcher. For instance, it assists the researcher in identifying and constructing his/her worldview on the phenomenon to be investigated (Grant & Osanloo, 2014). It is the simplest way through which a researcher presents his/her asserted remedies to the problem s/he has defined (Liehr & Smith, 1999; Akintoye, 2015). It accentuates the reasons why a research topic is worth studying, the assumptions of a researcher, the scholars s/he agrees with and disagrees with and how s/he conceptually grounds his/her approach (Evans, 2007). Akintoye (2015) posits “that the conceptual framework is mostly used by researchers when existing theories are not applicable or sufficient in creating a firm structure for the study.

Figure 2.5 Conceptual framework on stakeholders in policymaking process



Source: Compiled by the author

The framework suggests that stakeholder participation, engagement and commitment are very important elements in any policymaking process. However, this is lacking in the previous framework. The researcher is of the view that stakeholder participation, engagement and commitment are the important ingredients which contribute to a sound policymaking process. The framework further shows that the stakeholders perform a number of roles such as policy

formulation, policy implementation and policy evaluation. These aforementioned roles are not well discussed in the previous framework developed by the above authors. Therefore, the purpose of this study is to explore how each of these functions performed by the stakeholder's influence socio-economic development and service delivery. Again, framework demonstrates that socio-economic development, political, legal, mechanical, and social factors can affect stakeholders' as well service delivery, awareness, community needs and propose developed participation, engagement and commitment in policymaking process. These factors need first to be addressed before the policymaking process commences. These factors can prevent the policy from achieving its intended purpose.

Figure 2.5 above depicts the conceptual framework of the study, which indicates the interaction between the variables. The independent variables (policy formulation, policy implementation and policy evaluation) will be measured on the dependent variables (socio-economic development and service delivery) to be able to comprehend the relationships and level of influence between the variables at the selected municipalities in KwaZulu-Natal. This conceptual model will assist policymakers at the selected municipalities to understand the aspect of policymaking that influencing socio-economic development and service delivery at the selected municipalities, and also provide implication for stakeholders' roles in policymaking.

2.4 Conclusion

This chapter gave justifications on the inclusion of theories in research and why it is indispensable in improving the quality of a research. Also, it has thoroughly explained the meanings of the two frameworks, their distinctive roles that they play in the policymaking process and their differences.

The focus of this chapter was to establish theoretical framework and what conceptual framework entails. It encompassed the theories that inform the policymaking process and the actual facets of the policymaking process. policymaking operates within a particular legislative framework. This chapter identified aspects that inform the South African public policy process. Emphasis was on how policymaking should embrace legislation as a policymaking process does not obtain in space but is subject to a specific concept. Contextualization of policymaking also influenced the discussion in this chapter with the focus on the trends of the policymaking in South Africa. Understanding what public policy entails is informed by establishing the

impact of theories in the policymaking implementation process. The descriptive and prescriptive nature of the theories affects the policymaking implementation process in varying significant forms”. Discussion of both prescriptive and descriptive policymaking theories sought to highlight the impact of identified theories to policymaking implementation.

The dependence of policymaking theories influencing ideologies such as Socialism, Capitalism, Community needs and Welfare State is inextricably linked to the policymaking process. In that regard ideologies influence thinking that shapes policymaking and inevitably shapes policymaking and implementation. The next chapter reviews empirical literature on policymaking and service delivery.

CHAPTER THREE: THE NATURE OF POLICYMAKING AND IMPLEMENTATION IN LOCAL GOVERNMENT OF SOUTH AFRICA

3.1 Introduction

All over the world, policymaking is one of the critical concepts in service delivery. Policymaking is initiated for socio-economic development through service delivery. This chapter focuses on the nature of policymaking and implementation in South Africa. To start with, the concept of stakeholders and roles of stakeholders in policymaking is examined. Additionally, the processes involved in policymaking at the local spheres of government and conceptualisation of terms in policymaking are illustrated. This includes: the concept of stakeholders in public governance, the concept of policy and public policy, concept of policy formulation, concept of policy implementation, and policy evaluation. Also, this chapter examined the roles of stakeholders in the processes of public policymaking. In addition, the study investigates the interplay between policymaking activities and employment opportunities, poverty, service delivery and socio-economic development at the localised spheres of government.

3.2 Concept of Policy

Most societies create policies to reduce injustice, as well as address the needs and interests of organizational members (Brown, Bemmels & Barclay, 2010). In a democratic society, “people can make fairness judgments related to organizational policies, which are independent from other dimensions of fairness: distributive, procedural, interpersonal, and informational justice. A policy refers to a statement which reflects future goals and aspirations of people, an organisation or a country and provides directions for executing the goals (Mthethwa, 2012). In other words, a policy is a statement by government of what it intends to do or not to do, such as a law, regulation, ruling, decision, or order, or a combination of these (Birkland, 2001). Public policies are inevitable in any form of government as policies are instruments for governmental actions without which nothing could be done. Governments go through public policymaking process to make their policies.

In democratic governments, public policies are any government actions taken on behalf of the public because the public has given the government the legitimacy to act through social contracts. A policy is what the government acting on our behalf, chooses to do or not to do (Dye, 2005). Thus, democratic governments are responsible to adopt policies that satisfy the

interest of the public and that can solve public problems. Similarly, policy is a statement of intent, and is executed as a process or practice. Robinson (2003: 7) hints that policy constitutes decisions taken by those with responsibility on a given subject matter, and these decisions usually take the form of document statements on a particular concern. Further, it is described as a purposeful system of principles to guide decisions and derive rational outcome. In similar vein, Anderson (2017) posits that policy is a statement of formal expression of public policy. Hill and Huper (2014) quote that policy involves behaviour as well as intentions, and inaction as well as action. Policy develops over a period; thus, it has to do with purposive course of action.

Public policy on the other hand stems from politics and government decisions that arise from political process. It refers to policies developed by government institutions and agencies. According to Gerston (2010), public policy is an integration of basic decisions, commitments, and actions determined by government officials in place of authorities. Public policy can be described as governmental instrument used in discharging service delivery, guide behaviours and achieve goals. However, analysing public policy is a complex task for decision makers. Thus, it becomes necessary to understand the public policy processes.

3.3 Public Policy Process

Policymaking process is a cyclical process from the problem identification, agenda setting, policy formulation and the policy enactment (Howlett & Rahmesh, 2003). Policymaking is used to improve social deliveries, and public policy process is done through engagement in policy formulation, implementation and evaluation. However, public policy process has no single process by which it is formed. For instance, foreign policy, tax policy, health care policy, transportation policy, land use policy, employment policy all have various characteristics, procedures, stakeholders and decision rules that determine each process (Anderson, 2017). Previous studies have examined various methodologies of public policy process. For instance, Hill (2014) identifies three stages to public policy process which include: decision making, implementation and evaluation. Cairney (2019) provides a cycle break down of public policy process into agenda setting, formulation, legitimation, implementation and evaluation. Furthermore, Gautier and Ridde (2017) adopt five procedural stages of policy process namely, emergence, formulation, funding, implementation and evaluation. In the same vein, Anderson (2017) provides a procedural framework for public policy processes as outlined below:

- Problem identification and setting agenda: this stage focuses on how public problem is identified and specified as public problem. Government officials deliberate on how

specific public problems assume agenda status while some do not.

- **Formulation:** this involves creation and identification of proposed lines of action for solving public problems. It also includes giving attention to difficulties and biases in formulating policy proposals.
- **Policy adoption:** this stage allows for the development of a specific proposal that gives legal and authorised backing to the proposed policy. Awareness is created to seek government consent and acceptance of a proposed solution to the public problem.
- **Policy implementation:** in this stage, attention is given to the application of the policy by government's law enforcement agencies.
- **Policy evaluation:** the evaluation stage assesses the effectiveness of the policy whether it solves the public problem or not.

It is instructive to note that the formation and implementation of public policies involve conflict and struggle among participants with conflicting beliefs, interests, values and information on public policy matters. This makes the process of policymaking complex and bureaucratic particularly public policies.

3.4 Concept of Policy Formulation

Juma and Onkware (2015) argue that policy formulation is the main principle upon which governments all over the world implement their developmental projects. It is an essential phase of policymaking where opinions are generated about addressing a public problem (Turnpenny, Jordan, Benson & Rayner, 2015). Similarly, policy formulation is an approach to the development of effective and acceptable action plan for addressing whatever issue that has been placed on the policy agenda.

Furthermore, Juma and Onkware (2015:834) opine that policy formulation is a process which involves the design and acceptable proposed actions of resolving public problems. The authors add that different kinds of policy formulation exist based on criteria for classification. Further, the authors argue that the classification includes routine, analogous and creative formulation. From this definition, one will argue that policy formulation is based on a particular issue or problem which requires action for regulation purposes. Andrew and Turnpenny (2015) posit that while agenda setting is associated with identifying where to go, policy formulation stage is about how to get there.

Imurana, Kilu and Kofi (2014) postulate that policy formulation is the second phase of policy

process where the policy-makers propose courses of action to address the agenda issues. Imurana *et al.* (2014) state that policy formulation goes through a number of processes or stages. This includes the objective of the policy, consultation with stakeholders regarding the policy content, consultation with related areas which required a process, revising appropriate procedures, seeking approval and disseminating and implementing via appropriate communication strategy. It is in this sense that Turnpenny *et al.* (2015) hint that policy formulation occurs in different shapes and sizes. Yet, it is the major essence of public policy analysis. However, it should be noted that policy formulation activity is very different from policy implementation and must be differentiated from each other (Hill & Huper, 2014).

Vesely (2020) identifies five assumptions that underpin policy formulation: there is one way policies are and should be formulated; effective formulation of policies is more about the right application of methods than of the substance of a policy domain; policy formulation is about choosing from mutually exclusive alternatives; problem definition has priority over problem solution; and there is a clear distinction between policy formulation, adoption and implementation. Craft and Howlett (2012) observe that most studies on policy formulation pay attention to the nature and kind of advice provided to decision-makers and think of this as originating from a system of interacting elements: a 'policy advisory system'.

3.5 Concept of Policy Implementation

It is suggested that to fully understand the policy process, the analysis should also include policy implementation (Oliver, Lorenc & Innvær, 2014). Unfortunately, most prior studies within the area of evidence-based policy, have not conducted systematic analysis of implementation (Tomm-Bonde, Schreiber, Allan, MacDonald, Pauly, and Hancock, 2013). Governments all over the world are increasingly implementing policies to shape public behaviour and drive the economies. According to Ugwuanyi and Chukwuemeka (2013), policy implementation is the next step after policy formulation. Policy implementation is regarded as the hub of policy process. It refers to the process of translating a policy into a plan of action or putting policies into action (Abas & Wee, 2014). Similarly, Ugwuanyi & Chukwuemeka (2013) argue that policy implementation is the important stage in policy process because it ensures that the plan is put into action.

Yaro *et al.* (2017:3) define policy implementation as that which involves the process of interaction between the setting of goals and the activities and actions that followed towards achieving those goals. Yaro *et al.* (2017) recommend that policy implementation occurs when

the policy decisions as contained in the documented priorities are put into action. Abas and Wee (2014) assert that policy implementation is the complex aspect of planning, coordination and promotion needed to achieve policy objectives. The scholars assert that the inclusion of different stakeholders from the creation phase to the implementation phase is of utmost importance for the policy to stimulate new initiatives.

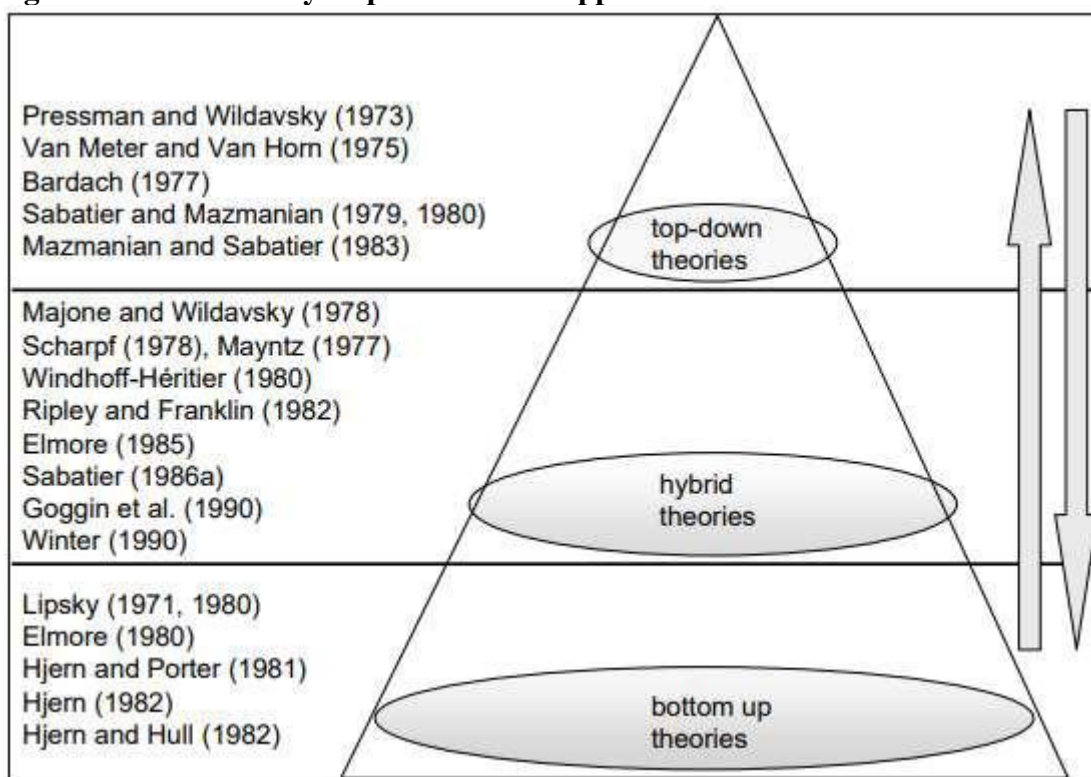
Ajaegbu and Eze (2010) express a similar opinion that policy implementation involves a series of processes and activities such as application, effectuation and administration of a policy. Ajaegbu and Eze (2010) advocate that the activities which go into policy implementation are not limited but include issuing and enforcing directives, disbursing fund, signing contracts, data collection and analysing problems, hiring and assigning personnel and forming committees.

Anderson (2017) posits that policy implementation is the application of adopted policies. It is the stage where government machineries apply the policy to the public problem. This is not the same as Newig and Koontz (2014) state that policy implementation is about how and the extent to which proposed public policy is put into practice, changes behaviour and finally attain its expected goals. Additional contrast is found in Pulzl and Treib (2007) assertion that implementation is a political process in which policies are recurrently re-shaped, re-defined or even entirely reversed. The authors highlight that the implementation decision is institutionalised as a political affair. Thus, there is a thin line between public policy implementation and political interests. Another worth considering is the definition of policy implementation is that stated by Mazmanian and Sabatier (1983) who state that implementation is the carrying out of a basic policy decision, usually incorporated in a statute but which can also take the form of important executive orders or court decisions. Yet, O'Toole (2000) sees policy implementation as the outcome between the introduction of policy and its impact in the environment of actions. O'Toole believes that the effectiveness (outcome) of a policy is the actual meaning of implementation. However, the effectiveness of a policy is often determined by the implementation approach.

Research studies on policy implementation emerged in the United States around 1970s, as a result of increasing concerns on the effectiveness of broad-ranging policy reforms (Pulzl & Treib, 2014) in public governance. This gave rise to different generations of implementation approaches. To this end, three policy implementation approaches emerged, these include top-down approach, bottom-up approach, and hybrid approach (Tummers & Bekkers, 2014; Pulzl

& Treib, 2014). According to Pulzl and Treib (2014), top-down approach lay emphasis on decision makers to provide unbiased policy objectives in controlling the implementation phase. The bottom-up approach deals with democratic participation where local stakeholders are seen as the main actors in policy delivery and control implementation through negotiation process. Hybrid approach on the other hand incorporates both elements of top-down and bottom-up approaches. The figure below depicts the three implementation models adopted by various organisations.

Figure 3.1 Public Policy Implementation Approaches



Sources: Pulzl and Treib (2014)

Top-down theory assumes that policy implementation begins with a pronouncement made by the central government to the masses. The bottom-up theorists believe that the local stakeholders are nearer to the major problems than the central policy makers, and as such should be given considerable autonomy in policy implementation processes. The bottom-up approach suggests that decision making process should start by considering and involving stakeholders from the local communities (bottom) before the central government (top) can make any decision. Sabatier and Mazmanian (1980) in Pulzl and Treib (2014) gave six criteria for effective implementation of policy. These include (1) clear and consistent policy objectives (2) program is founded on valid causal theory (3) adequate and organised implementation process (4)

genuine commitment from implementing officials towards the goals of the program, (5) stakeholders and legal institutions are supportive, and (6) absence of unfavourable variations in socioeconomic framework situations. Research on policy implementation have examined factors hindering successful policy implementation (Hill & Hupe, 2014; Mohammad, 2014). Implementation failure refers to the gap between what is observed and what is expected. The understanding of an unsuccessful implementation lies within the evaluation process.

3.6 Concept of Policy Evaluation

Hanekom (1987: 89) claims that public policy evaluation has often been referred to as the last stage of the policy process, during which those who determined and implemented the policy, and those who were affected by the policy attempt to establish if it has really worked. Policy evaluation does not necessarily take place only after the implementation of policy but could occur as a continuous process throughout the policy process. Hanekom (1987: 89) further states that public policy evaluation is an appraisal or assessment of policy intent, implementation and impact in order to determine the extent to which the specified policy objectives have been or are being achieved.

In other words, policy evaluation refers to the appraiser or examination of the public policy and the government machineries that deliver it (Hill & Huper, 2014). Anderson (2017) affirms that policy evaluation process is an activity to determine if a policy is achieving its objectives, or accomplishing its essence, as well as possible consequences. Policy evaluation helps to identify who is advantaged or disadvantaged, are there new problems or demand for changes in the policy. It should be noted that the process of policymaking is an enormous task that requires knowledgeable and key stakeholders for effective governance. Monitoring and evaluation has grown into an active discipline and practice in South Africa and the African region (Levin, 2017:136). However, there is growing recognition that evaluation has been overshadowed by monitoring (and performance management), and there is need for a stronger focus on evaluation, leading to the separation of these two functions that are related but different. There is growing debate in Africa around professionalisation of evaluation and establishing various forms of accreditation for professional evaluators.

Hogwood and Gunn (1984: 234) in De Coning and Fick (1996: 26) state that evaluation carried out by those delivering the programme can have important implications both for the technical effectiveness of the evaluation and for its utilization. An advantage of evaluation by the operating staff (insiders) is that they possess detailed knowledge of what has happened. The

disadvantages are that they may lack specialised evaluation skills or may be subjective in their evaluation.

3.7 Concept of Stakeholders in Public Policymaking

Various characteristics are considered before an individual can be considered as a stakeholder because their contribution could have implication on the effective functioning of the organisation. Being a stakeholder is determined by skills and knowledge, experience of the subject matter, ability to represent, access to funding, and public positions. The term stakeholder has been conceptualised in different ways. However, the definitions offered by various authors have certain elements that are common (Friedman & Miles, 2013, Spitzack & Hansen, 2010). According to Leach, Pelkey and Sabatier (2002), stakeholder refers to any individual or organisation interested in a specific policy issue. Van Rooyen (2003) opines that stakeholders are individuals or groups whose existence are impacted upon by the decisions or actions by specific organisations or institutions and who, may also influence the functioning of the organisation or institutions through their actions. In similar vein, Spitters, Lau, Sandu, Quanjel, Dulf, Glumer, Oers and van de Goor (2017) argue that stakeholders are organisations, group of individuals who impact or are impacted by decisions and regulations by other organisations. Additionally, as described by Friedman and Miles (2013, p 46), any group or individual who can affect or is affected by the achievement of the organisation's objectives is termed as stakeholder/s. The authors recommend that every organisation should be managed in the best interest of its stakeholders.

From the foregoing it is evident that stakeholders are key participants in decision making and as well affected by decisions made on their behalf. It can be said that stakeholders are decision makers with credible level of authority (Too & Weaver, 2014). Considering the level of authority, different categories of stakeholders have been identified, which include: government officials, organisations, institutions, Non-Governmental Organisational (NGO), private parties, communities or the public in general (Mnguni, Giampiccoli & Mtapuri, 2020; Spitters *et al.*, 2017). This study focuses on stakeholders in the public spheres of government. The responsibilities of stakeholders are quite enormous depending on the size of the organisation. Stakeholders in public governance are saddled with the responsibilities of project selection, allocation of resources, economic development, policymaking, service delivery, etc. The latter level of responsibilities is arguably the most essential in public administration particularly at

the localised sphere of government. But the realisation of quality service delivery depends on effective policy.

In South Africa, stakeholders at the various localised spheres of government who are involved in policymaking have been identified. This includes senior management (i.e. General Manager Corporate, Community, Planning & Development, Technical Services, Chief Executive Officer and Municipal Manager), Councilors, Unions (South African Municipal Workers Union [SAMWU], Independent Municipal Alliance Trade Union (IMATU), workers and Executive Council (Lemke & Harris-Wai, 2015; Madzivhandila & Maloka, 2014; Van Rensburg, Davis & Venter, 2014; Yaro Teye & Torvikey, 2017).

3.7.1 Identifying stakeholders

The methodology for identifying stakeholders is grounded in two dimensions: power and interest. As regard the interest dimension, Ogreaan (2016) identifies the following categories: owners (equity stake); clients, employees, suppliers (market stake); and government (social stake). On the power dimension, the author stated three categories which include voting power; economic power; and political power. Savage, Nix, Whitehead & Blair (1991) classify stakeholders as:

- Primary stakeholders are individuals that have formal, official and contractual stake with the organisation, as a result, have an economic, direct and essential influence upon the organisation.
- Secondary stakeholders are individuals without direct impact on the organisation, but, nonetheless, possess the ability to exert some sort of influence upon the organisation or even be influenced by it. Bryson (1995) states the following categories as public organisations' stakeholders: citizens, service consumers, taxpayers, employees, trade unions, pressure groups, other levels of government, political parties, business institutions, to mention a few. Bryson (1995) argues that public organisations must take into consideration the interests of different stakeholders to achieve its goals and success.

The Reconstruction and Development White Paper (1994: 39) stipulates that the Cabinet shall take a decision to establish Nedlac as mechanism for the consultation, co-ordination, engagement of and negotiation with key stakeholders. Nedlac includes a Development Chamber, which brings together participants from different levels of government, institutions

and organizations of civil society, organised labour and organised business. The three other chambers are the Public Finance and Monetary Policy, Trade and Industry; and Labour. The Reconstruction and Development White Paper (1994:39) states that the following four stakeholders are represented in Nedlac:

i. Employees/organised labour

Organised labour, represented by the Congress of South African Trade Unions (COSATU), Federated Unions of South Africa (FEDUSA) and the National Council of Trade Unions (NACTU), that directly represent two million workers. It has been argued that the engagement of employees in decision-making tends to build a sense of workforce membership, as well as a peaceful atmosphere in which leaders and managers are willing to impart to a stable industrial relationship (Sagie & Aycan, 2003). According to Noah (2009), managers or leaders need to allow a high engagement level in determining employee interaction and contextualise their workplaces with the goal of enhancing job results and civic responsibility. The role of workers policymaking process or decision-making process is therefore seen as a means to inspire players to retain decent jobs and quality expectations of jobs. There is a body of evidence which suggests that employee involvement in decision-making is a key driver of organisational performance (Macey & Schneider 2008). A casual observation proves that much of the appeal to organisational management is driven by claims that employee involvement drives bottom-line results (Macey & Schneider 2008).

In south African organisations, it appears that the traditional approaches to human resource management that had been conceived in cultures emphasising command and control, are giving way to new approaches that are characterised by greater employee commitment, cooperation and communication (Grobler, Warnich, Carrel, Elbert & Hatfield 2011:4). Based on these perspectives, there has been a renewed interest in various forms of employee involvement and participation both at the organisational and governmental levels.

ii. Employers/organised businesses

Business South Africa (BSA) and the National African Federated Chamber of Commerce (NAFCOC), which represent business or employers.

iii. Government

The government is represented by Ministers, Deputy-Ministers and general directors from

several ministries and departments including Labour, Finance, Trade and Industry, Public Works, the Reconstruction and Development Office, and Mineral and Energy affairs. In South Africa, the political executive institutions (cabinet, provincial executive councils, and municipal councils) and office –bearers (Ministers and Deputy Ministers, members of the Provincial Executive Council, members of the Executive Mayoral Committee) have to take the initiative in the implementation of policies by legislation. The legislation could state what should be done, and perhaps also how, where and by whom it should be done. Nevertheless, there will be many decisions that will have first to be taken to start the implementation stage. The implementation stage of a policy consists of activities to begin with financing, staffing (personnel provision and utilization), organizing, determining of work procedures and determining of control measures.

iv. Community

The community, represented by the South African National Civics Association (Civics), the National Women- Coalition (Women), the National Youth Development Forum (Youth), the National Rural Development Forum, (Rural) and the Federal Council for the Disabled (Disabled people). Senior decision-makers from each constituency participate in Nedlac.

Besides, the above stakeholders, Cloete (1995: 122) claims that newspapers and journals (i.e., the print media) as well as other news media (for example, the electronic media), play significant roles in politics and public policymaking. Newspapers and other news media are usually controlled or influenced by interest or pressure groups. This will obviously influence public policy- making because it ensures that conflicting views are brought to light. In terms of Section 16(1) of the Constitution everyone has the right to freedom of expression, which includes (a) freedom of the press and other media, (b) and freedom to receive or impart information or ideas. This means that every individual can use the above rights to influence public policy. However, in practice it is difficult to do so because the press is controlled by specific groups with divergent ideologies, especially in a stratified society like South Africa.

3.7.2 Stakeholders' engagement

Stakeholder's engagement is usually done to shape policymaking, but the interest of the stakeholders varies. Hence, the need to facilitate and promote interactions between the stakeholders (Spitters *et al.*, 2017). This leads to the consultation process where affected participants are identified and consulted for negotiations. The 1996 Constitution of the Republic of South Africa (Act 108) places emphasis on the inclusion of local stakeholders

during consultation. Additionally, the Municipal System Act 32 of 2000 stipulates that community participation be entrenched at the local government levels, and the processes and procedures must be put in place.

3.7.3 Consultation processes

The process of consultation is a key aspect of formulation, implementation and evaluation of policy. It is an essential preceding point of finding solution to public problems. Consultation process mainly involves the attraction of specific participants (stakeholders) in matters affecting the people. It is worthy of note that contemporary public administration involves consultation of various kinds of stakeholders (Fraussen, Albareda & Braun, 2020). Kelwyn, Durand, Song, Aarts, Barr, Berger, and Han (2017) adopt a multistage consultation process which consists, comments from key informants, online survey to large community of interest, and reviews from qualified experts. The authors argue that the revised multistage consultation process is effective in achieving shared decision making, attract relevant stakeholders, and attain a broad range engagement. Previous studies have also examined different consultation process. For instance, expert group consultation process (Ramussen & Gross, 2015), online consultation (Quittkat, 2011), informants' interviews and documentary analysis (Marais, Quayle & Petersen, 2020) to mention a few. Fraussen *et al.* (2020) assess a combination of consultation approaches at the European Union level which includes open approach, close approach and hybrid approach. The authors found that public stakeholders mostly adopt close or hybrid consultation process in decision making.

3.7.4 Decision making process

According to Oh, Ko, Alley and Kwon (2015), the participation of the public in decision making process ensures opinions of the average citizens, particularly in public governance. The authors posit that decision-making process allows for transparency among individuals, especially when grassroots stakeholders are involved (Foster & Arnold, 2019). Daniels and Sabin (2008) suggest four conditions to be considered before deciding. These conditions include relevance: society needs to make decisions that are reasonable and voiced by unbiased participants. The second condition is publicity: relevant content of the decision must be made open to the people always. The third criterium is revisability: decision content should be revisable to suit future changes. The last condition is enforcement: the laws or government

agencies should enforce the abovementioned conditions.

3.8 Factors Influencing the Policymaking Process

Previous research studies have explored factors influencing policymaking processes (Liu, Fang & Li, 2013; Zuiderwijk & Janssen, 2013; Aminu *et al.*, 2012; Mthethwa, 2012) particularly in the public sector. For instance, Liu *et al.* (2013) examined key issues in land use policy in China”. The authors found that all current land-use policies addressing different public problems, and policies are implemented in parallel. Liu *et al.* (2013) recommend a policy framework to integrate all policies with interconnected system of addressing land use problems in China.

In a study conducted in Denmark by Zuiderwijk and Janssen (2013) on the impact of implementation of open data policies, the authors found that, “environment and context, policy content, performance indicators and public values are the factors influencing the effectiveness of policy implementation. Tey and Brindall (2012) investigated the adoption of precision agricultural technology policy in developing countries, and found that socioeconomic factors, institutional factors, behavioural factors, informational factors, agro-ecological factors and informational factors are the hinderances to farmers adopting the PAT policy. Weible, Heikkila, deLeon and Sabatier (2014) state that cognitive characteristics and contextual factors are the key factors that shape policy processes.

A study conducted in Nigeria by Aminu *et al.* (2012) reveals that the factors influencing policy formulation and implementation are stakeholders’ involvement, specific target group and political will. According to Aminu *et al.* (2012), in formulating a public policy, the policy formulators require a good and thorough understanding of the local needs and problems of the people. The authors suggest that in policymaking, stakeholders should be first approached, considering their interests. Aminu *et al.* (2012) advocate that the policy should target specific groups, should aim at improving the lives of the target group/s. The authors also suggest that political will should be considered when making policies. Aminu *et al.* (2012) explain political will as a total political support from the political parties.

3.8.1 Political will

The sustenance and development of policy depends on the political will of the government. Political will or political commitment has been described as one of the major factors to make resilience achievable (Lassa, Surjan, Caballero-Anthony & Fisher, 2019). According to Abdullahi and Abdullah (2014), political will determines the success or failure of a policy which include the funds invested into the system, and the contributions of the stakeholders. It is the commitment of government, civil society, private organisations, non-governmental organisations, and religious leaders in the process of development (USAID, 2000). Political will is also viewed as the sustained corporation and zeal of public administrators and politicians to invest both human and financial resources in the achievement objectives and willingness to implement government policy (Little, 2010). Abdullahi and Abdullah (2014) note that the sustainability of political will is determined by the healthy interaction between the public and the private sector through awarding of contracts, public procurement, tax collection etc. These narratives suggest that the strength of political will lies on political leaders, public administrators, and the public.

However, the lack of political will has been identified as one of the constricting factors of good governance (Gillette, 2012) particularly in South Africa (Reddy, 2016). Plethora of study exists on political will in the localised sphere of government. However, most of these studies on political will mainly examine its impact on service delivery (Gillette, 2012; Abdullahi & Abdullah, 2014). Baker, Wingroves, Damaio, Parkhurst, Thow, and Walls (2018) explore drivers of political commitment for nutrition for the United Nations. The scholars found 18 factors that can stimulate political commitment. Further, the authors conclude that political commitment is a key actor that can be created strategically and backed by actions. Abdullahi and Abdullah (2014) explores the influence of political will and coordination on education. The authors found that a significant association exist between political will and education. The authors further identified inadequate budgetary allocation and lack of political will by the government as major problems of primary education in Nigeria.

In South Africa context, research on political will and service delivery abound (Reddy, 2016; Masuku & Jili, 2019). For example, Masuku and Jili (2019) investigate the political influence of public service delivery in South Africa and found that public service delivery at the local sphere of government is characterised by politicisation of administrative components in municipalities. However, research on the relationship between political will and policymaking on employment, poverty and development in South African is largely ignored.

3.8.2 Socio-economic challenges

Socio-economic challenges in this context can be described as the social and economic conditions that could influence policymaking. Socio-economic challenges are global issues that have initiated public policy reforms. Socio-economic factors range from poverty, corruption, agriculture (Kayode, Arome & Anyio, 2014), education, security, land (Zhou & Zvoushe, 2012) to mention few. Extant literatures have advanced various socio-economic challenges that have necessitated the formulation or implementation of policies. Howlett (2014) examines how failure in innovation policy and climate change demanded the need for change in policymaking. Liu, Fang and Li (2013) investigate key issues of land use in China. The authors found that current land policies are addressing specific issues but with parallel implementation. The authors argue for a framework that incorporates all the policies on land. In similar vein, Kayode et al. (2014) explore the rising rate of unemployment in Nigeria, the socio-economic and political implications. The authors found that socio-economic problems such as corruption, poverty, infrastructural decay, and lack of good governance are the predominant factors causing unemployment. The authors suggest effective policy formulation to aid agriculture, entrepreneurship, education system and the power sector. Zhou and Zvoushe (2012) review the how the interplay of socio-economic dimensions influenced policy decisions in Zimbabwe. The authors demonstrated that the spirit and mindset of policy decisions reflect the prevailing macro dynamics. In South Africa, Bayat, Louw and Rena (2014) empirically investigate the impact of socio-economic factors on the performance of high school learners in Western Cape Province. The authors indicate that socio-economic factors such as, household level factors, neighbourhood factors, safety and security and hunger are the collective factors playing major roles in the underperformance of schools. The authors call for policy reforms on the educational system, to improve the quality of education in the country.

It is worthy of note that most of the studies on how socio-economic factors initiate policymaking in South Africa are either case-study or quantitative based (Reddy, 2016). A mixed method approach (quantitative and qualitative) in addressing how socio-economic factors influence policymaking in KwaZulu-Natal, South Africa remains elusive.

3.8.3 Leadership support

Leadership has been described as a phenomenon that is impacted by situations, personalities, relationships and other factors within the organisation (DeCaro, 2005), cited in (Al-sada, Al-

Esmael & Faisal, 2017). Northouse (2018) views leadership as a process that informs interaction between leaders and followers. In the same vein, Yukl (2010) affirms that leadership is a process of enabling individuals in a collective effort to accomplish set objectives. Rizwan, Sajid, Kamran, Mohsin, Ali and Sajid (2013: 186) define leadership support as the support a person perceives from his or her direct manager. In private organisations' context, it is proven that job satisfaction is the resultant effect of leadership support (Brown & Peterson, 1993). But in public domain, extant literatures show how leadership support has been influenced through policymaking (Oborn, Barrett, & Dawson, 2013, Chen & Naughton, 2016).

Oborn, et al. (2013) examine distributed leadership in policy formulation in the United Kingdom. The authors demonstrated how designated leadership gain extensive commitment and engagement in policy formulation through sociometrical approach. Chen and Naughton (2016) explore an institutionalised policymaking mechanism on China's return to technology and industrial policy. The authors revealed that two successive wave of policy change occurred for a successful change which is because of leadership commitment. Al-sada, Al-Esmael and Faisal (2017) explore the impact of organisational culture and leadership style on employees' job satisfaction in the educational sector in Qatar, in which the authors reveal that participative - supportive leadership have significant relationship with job satisfaction. Javeria, Siddiqui, Rasheed and Nawaz (2019) empirically investigate the influence of leadership commitment on the implementation of green banking policy in Pakistan. The authors, through a qualitative research design developed a theoretical model by relating leadership commitment to successful green banking services. However, Thien (2019) examines distributive leadership functions and teachers' commitment for change in Malaysia. The author found that leadership corporation has no significant relationship with teachers' affective commitment to change. It is argued that rules and regulations on the implementation of school-based assessment policy in Malaysia are complex to comprehend (Thien & Mangao, 2016).

This lack of consistency in literatures necessitate the purpose of this study. One of the aims of this study is to explore the impact of leadership support/commitment on policymaking at the localised sphere of government in KwaZulu-Natal, South Africa.

3.8.4 Employment

Unemployment is one of the fundamental socio-economic challenges facing South Africa (Chimucheka, 2013). The youth aged between 15-24 years are said to be the most affected

population in terms of unemployment (Statistics South Africa, 2020). Unemployment rate within this group was 55.2% in the first quarter of 2019. Unemployment rate among the graduates in this group was 31% compared to 19.5% in the fourth quarter of 2018 (SSA, 2020). The situation got worse in the wake of the Covid-19 pandemic as the economy suffered 2.2 million job loss in the second quarter of 2020 (SSA, 2020). This implies that the number of employed persons decreased by 2.2 million to 14.1 million in the second quarter of the year 2020 (SSA, 2020). Faulkner, Loewald and Makrelov (2013) argue that the creation of 7.5 million job will be required to reduce unemployment rate by 10% in 2025. This assumption may remain a mirage considering the current damage to the South Africa economy by the global pandemic. This situation will accelerate the initiation of immediate policy to salvage the economy.

Previous research study has examined the interplay between employment and policymaking in developed context (Jacobsson & Vifell, 2007; Wallace, Pollack & Roederer, 2020). In South Africa, studies on employment and policy are well documented (Faulkner *et al.* 2013; Vermeulen, 2017). Vermeulen (2017) investigates inflation and unemployment in South Africa, in which the author found that inflation hampers employment creation. Faulkner et al. (2013) examine policy options for employment growth in South Africa. The authors reveal that investment and prudent use of capital by skilled workforce, as well as reduction in skilled constrain will lead to higher productivity growth. However, limited literature exists on how policy formulation and implementation influence employment at the localised spheres of government in South Africa.

3.8.5 Poverty

Poverty is a multi-dimensional condition of deprivation or deficiency. It is referred to as lack of basic needs of life or the denial of opportunities and lack of ability to participate effectively in the society (Ukeje, Ogbulu, Idike, Ndukwe, Iwuala & Clementina, 2020). Evidence of poverty suggests the absence of good shelter, portable water, electricity, employment, food etc. However, the latter seems to be the most associated with poverty (Ozughalu and Ogwumike, 2015).

Extant literatures have shown how policymaking has helped to reduce the level of poverty in European countries such as Poland, Latvia, Hungary, Romania, Scotland and Slovakia (Dwyer,

2008; Anderson, 2013; Simler, 2016). Reports compiled by Simler (2016) reveals that about 25 percent of citizens from the European Union (EU) are at risk of poverty. The author demonstrates how policy reforms helped many European countries in mapping poverty for socio-economic development. The initiation of policy in the reduction or alleviation of poverty in the developed context has been investigated (Roets, Roose, De Bie, Claes & Van Hove, 2012; Mullainathan & Shafir, 2013). Roets *et al.* (2012) explore the logic of user participation in anti-poverty policymaking in public policy in Belgium. The authors found that the use of participatory strategy in implementing and monitoring anti-poverty policy improves high quality services to users including those living in poverty. Anderson (2013) examines the role of emotions in poverty policymaking by grassroots activist in Scotland. The author found that the resultant effect of introducing emotions into the analysis of policy and the exercise of power needs to be given serious attention, as it greatly influences the outcome of policymaking.

Previous research asserts that most of the developing countries lack the statistical information and technical-know-how in formulating and sustaining policy (Ukeje *et al.*, 2020). In Africa, studies on poverty policymaking abound (Aliber, 2003; Ozughalu & Ogwumike, 2015; Ukeje *et al.*, 2020). Ukeje *et al.* (2020) investigate policymaking for sustainable empowerment and poverty reduction in Nigeria. The authors found that the benefits or opportunities of public policies are usually hijacked by the agents in power, while the rural communities continue to live impoverishment. Through extensive literature review, Nyikadzino, Vyas-Doorgapersad, (2020) examine the impact of devolutionary reforms on poverty reduction in Zimbabwean rural local authorities. The authors found that, despite prominent devolutionary and rural poverty reduction reforms, poverty remains a persistent problem in the rural communities.

Empirical studies on the interplay between policymaking and poverty in South Africa are relatively scanty. Such studies include Aliber (2003), Chibba and Luiz (2015), Seekings & Natrass (2015), and Fourie (2018). Aliber (2003) chronic poverty in South Africa and implication for policies. The author emphasises on the need for rural land reform, unemployment crises, and future growth in the formal and informal sectors. Chibba and Luiz (2015) investigated poverty, inequality and unemployment in South Africa. The authors identified weaknesses in a range of policies and a fundamental need to reorientate policy in an eclectic and innovative manner to amend past failures. The author further suggests the

procedures for planning and implementation of policy. The institution of a smart policy has also been proposed (Fourie, 2018). The study aims to comprehend the impact of policymaking on poverty at the localised sphere of government.

3.8.6 Development

The concept of development is broad and all-encompassing social, economic, political and human development. Human development constitutes the basis upon which the other three concepts are grounded. Eneji, Odey and Bullus (2016) define development as a dynamic investment in human capital, physical infrastructure, institutions and the environment. Abuiyada (2018) argues that development is a term for myriad of strategies employed for socio-economic and environment transformations. To this end, Bullus (2011) indicates four types of development which are economic development, human development, sustainable development and territorial development. It is worthy of note that infrastructural development is crucial to all the aforementioned types of development. Infrastructural development has been one of the key factors for national development considering the increase in demographic information and advanced technology. It should however be noted that development can only take place if the right policy is effectively formulated, implemented and evaluated.

Government of various countries adopt policy instruments as the drive to accelerate infrastructural development. Previous research studies exist on the impact of policymaking on infrastructural development. For instance, Liu and Jayakar (2012) conduct a comparative analysis of the telecommunication policymaking process in China and India. The authors found that China's telecommunication decision-making is significantly affected by macro-level political arrangement, while India is characterised by incremental policymaking. In similar vein, Meyar-Naimi and Vaez-Zadeh (2012) assess the formulation of sustainable development concept and the related policymaking framework in Iran. The authors found that there is a need to carefully select appropriate policymaking frameworks for sustainable electric energy. Additionally, Edomah, Foulds and Jones (2017) examine policymaking and energy infrastructure change in Nigeria. The authors found that competencies, expectations, legislations, future visions, recruiting experts, are the underlying factors affecting policy decision making process in the Nigerian energy sector. Furthermore, Simui, Namangala, Tambulukani and Ndhlovu (2018) demystifies the process of open and distance learning policy development in Zambian university. The authors found that high leadership support for policy

development process and the need for staff involvement to reduce sabotage at implementation stage are essential for effective policymaking process.

Most of the research study on policymaking and infrastructural development in South Africa focus on climate change and tourism. For example, Rogerson (2016) investigates climate change and local economic development in South Africa. The author argues that climate change policy must be embedded in the government roll out for tourism support programming in South Africa. There is not much research investigation on policymaking and infrastructural development in four municipalities within KwaZulu-Natal, South Africa.

3.8.7 Public service delivery

Putting service delivery in specific perspective can sometimes be an enormous task. While the concept generally connotes delivery in terms of provisions and other welfare needs, it is important to note that the background of its usage greatly influences its specifics. These inconsistencies have remained a longstanding debate among scholars of management. For example, a considerable amount of studies has identified the significance of ‘services’ to provisions (Mullay, 2006). On the contrary, this present study extends the borderline by advocating for service delivery, as not only the provision and delivery of basic needs, but including the need to ensure that such provision and basic needs serves the immediate needs of a group of people, within the context of public services (Midler and Silberzahn, 2008). In similar vein, services delivery within the purview of public services is critically scrutinised by rules and regulations for effective results (Wellman, 2007). It is instructive to note that at the heart of government’s responsibilities, lies the provision of structured and unstructured activities geared towards the provision of services to the citizens, especially as there are guided by the requirements of the rule of law (Morris, Crawford & Hodgson, 2006).

Jaepesen (2010) study rightly established that there has been an increase in corruption and non-accountability of public funds in relation to the management of projects. For instance, Boateng (2012) study exude the mammoth of corrupt practices within the South Africa public services and its consequences on effective services delivery. Lastly, the high rate of skills deficiency in knowledge and capacity for effective projects management have also been signpost as a crucial factor hamstringing effective service delivery. Mapulanga (2015) reveals that the large scale of investment for project managers training in the public sector of South Africa have not yielded positive outcome for effectiveness as many project managers are lacking the requisite skills for

effective implementation. Put together, among other objectives of this study, the study has established many challenges limiting the effectiveness of policymaking for service delivery with emphasis on municipalities in South Africa.

3.8.8 Causes of service delivery protest in South Africa

The South African government is committed to ensuring an uninterrupted supply of the basic services to the vast majority of the citizenry, especially the poor people. The provision of these basic services is a constitutional right in South Africa. Sections 26, 27 and 29 of the Constitution of the republic of South Africa guarantees everyone living in the country rights in terms of basic services, namely: right to have access to adequate housing, right to health care services; right to food security; right to social security; right to basic education and right to further education (Constitution of the republic of South Africa, 1996). The Constitution places responsibility on the South African government to ensure that such basic services are expanded progressively to all within the limits of available resources. Apart from the Constitution, the government have introduced several legal frameworks such as Universal Access and Government Policy, White Paper on Local Government, Energy and Electrification Policy, National Water Act 36 of 1998, National Policy for Provision of Basic Refuse Removal Services to Indigent Households, National Environmental Management: Waste Act 58 of 2008 and National Energy Act 34 of 2008 to ensure that all citizens, especially the poor and other vulnerable groups have equal access to basic services. However, the reality of the provision of basic services in South Africa is far from over as the country continues to experience service delivery protests, particularly in the rural communities.

Within the framework of local government, service delivery is defined as the provision of municipal goods, benefits, activities and satisfactions that are deemed public, to improve the quality of life in local jurisdictions (Ndudula, 2013). Within this framework, particular reference is made to discharging of municipal services, which can be either tangible or intangible. The former involves the provision of services that are construed as being visible to local communities including but not limited state housing, roads, water and sanitation systems and public transport. The latter refers to services that are considered being essential, but not necessarily visible, including public drainage and sewage systems and public safety standards (Ndudula, 2013:10). In South Africa, municipalities are the custodian of taxpayers' money and as such, they have the legal mandate to utilise the resources at their disposal to address the

basic needs of local the communities (Reddy & Naidu, 2012). However, an aspect of the 2008 local government budget and expenditure review which as presented to parliament suggests that the huge investment by local government has not yielded the expected returns from the national economy (Govender & Reddy, 2012:71). Moreover, the local government budget and review report suggests that poor governance, lack of spatial planning, insufficient social infrastructure and massive service backlogs served as constraints to the eradication of poverty and economic growth.

In South Africa, service delivery protests have their origin from the apartheid period as they were employed as strategies by the black African to voice out their dissatisfaction with lack of adequate services and target ethnically based structures (Reddy, 2016). The purpose of service delivery protest during the apartheid regime was to develop community-based structures and social movements to oppose the apartheid system. On the contrary, it has been argued that service delivery protests post 1994 local government dispensation is an indication for the expression of needs and grassroots protests the poor quality of service delivery and related issues (Alexander, 2010; Beyers, 2015). It can be argued that service delivery protest is occasioned by inadequate local services or tardy service delivery, the responsibility which lies with the local government and municipalities. Service delivery protests in South Africa have taken different forms, namely: police confrontations, municipal functionaries forced to resign, toyi-toying, mass meetings, submission of memoranda, and petitions, processions, stayaways, chasing unpopular residents out of townships, election boycotts, road blockades, construction of barriers and burning of tyres, and the destruction of property and looting (Booysen, 2012; Tshishonga, 2015).

Owing to the numerous service delivery protests in the country, many experts, analysts and social commentators point out that service delivery boycotts are mainly a rebellion by the poor against neo-liberal policies. According to Alexander (2010), service delivery protests appear to be originating and taking place in the poorer neighbourhoods such as townships and informal settlements rather than the suburbs. Powell (2012) while reflecting on recent trends and developments argues that the systems in place for local government funding seem to be inadequate, and the functions delegated to this sphere are quite onerous. Nevertheless, the view expressed by Powell (2012) might not necessarily be the reality since the local sphere has different avenues of funding which can be tapped. In a different opinion, Reddy (2015) points out that the politicisation of local government has created a challenge for the local government to delivery on its mandate is lack of necessary skills. Other challenges have been identified that

have impacted on service delivery post 1994, namely: unfunded mandates, where municipalities are not funded or receive very little funding for services; financial viability; corruption; poor financial management; non-compliance; non-alignment between fiscal discipline and political leadership; guiding local economic development to address unemployment and poverty alleviation and investment-friendly environment (Reddy & Wallis, 2015; Zybrands, 2012).

In addressing the service delivery challenge in South Africa, several leading scholars (Beyers, 2015; Ndevu & Muller, 2018) have offered divergent views and approaches including but not limited to improved performance, good governance, leadership and legal compliance by local government. However, the focus of this study is to examine the impact of employee performance on basic service delivery. Employee performance has become a critical issue for many organisations as it translates into the overall performance of the organisation. From the perspective of employment contract, performance is considered to be the accomplishment of a commitment in such a manner that releases the employee from all liabilities laid down under the contract. Employee performance can be defined as the achievement of specified task measured against predetermined or identified standards of accuracy, completeness, cost and speed (Sultana, Irum, Ahmed & Mehmood, 2012). In a similar view, Nassazi (2013) sees performance as the outcome of employees in terms of process, results, importance and success. These days, many organisations target high performing employees with the purpose of maintaining them because of the benefits they bring and positive image they create for the organisation (Vosloban, 2012).

3.8.9 Measuring service delivery in local government

Evidence (Kanyane, 2014; Nkomo, 2017; Peyper, 2016) suggests that the slow pace and poor service delivery have led to a series of service delivery protests in most parts of country and have brought local government under the spotlight. Some of these protests were characterised by violence, xenophobic attacks, and looting and police brutality. The ongoing service delivery protests, especially in deprived communities is cause for serious concern. Given the continuous service delivery protests, it is important that local government take a critical look at constitutional mandate and ensure that effective, efficient and reliable services are provided to local communities.

According to Grönroos and Ravald (2011), delivering high quality services is an important pursuit for service providers who intend to create and provide value to their customers. High

quality service delivery increases customer satisfaction and loyalty, thereby increasing the long-term profitability of the firm. The ability of a firm to measure all dimension of service delivery remains a critical issue. There is no specific model for measuring service delivery in South Africa local government. However, the White Paper contains principle which should guide municipalities and councillors in selecting best service delivery options for their local communities including accessibility of services, affordability of services, quality of services, accountability for services, integrated development and services, sustainability of services, value for money, competitiveness of local commerce and industry and promotion local democracy (Gwane, 2011; Kakumba & Fourie, 2007; Maimela, 2009; Malefane & Mashakoe, 2008; Zondi, Nzimakwe & Mbili, 2017).

Apart from these principles, the local government has over the years adopted a model called ‘local government efficiency measurement’ to determine efficiency of service delivery. The economic efficiency model has five dimensions such as allocative efficiency, productive efficiency, dynamic efficiency, scale efficiency and scope efficiency (Zondi *et al.*, 2017; Worthington & Dollery, 2002)”. Nevertheless, this study will adopt principles outlined in the White Paper to measure quality service delivery in the localise sphere of government due to the fact that service delivery goes beyond just ensuring efficiency.

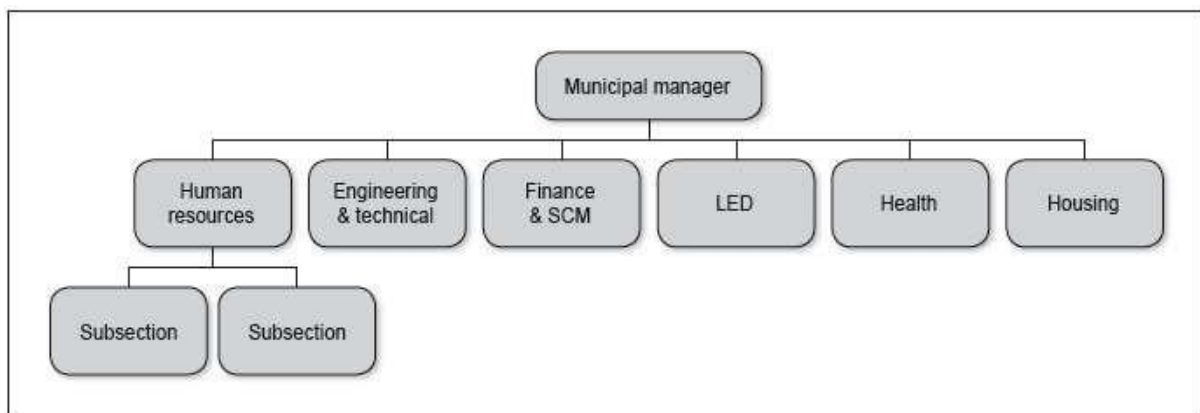
3.9 Stakeholders in Policy Formulation and Implementation at Municipal Spheres

In the words of Roux (2003: 418), “the Constitution of the Republic of South Africa (Act 108 of 1996), paved the way for a truly democratic dispensation. This dispensation was based on principles such as freedom of speech and association, freedom to assemble and respect for life and property, as well as maintaining civilised standards and discipline. To enjoy the benefits of democracy, it becomes expedient for constituted authority to drive the formulation and implementation of the legislations in the Constitution. In practice, the formulation and implementation of laws or public policy rests mostly with the legislative arm at every sphere of government (Roux, 2003: 429). With regards to the local sphere, the executive and legislative authority is entrusted in the municipal council. According to Gumede (2008) the municipality reserves the right to govern the affairs of its territory, in line with national and provincial legislation as provided for in the South Africa Constitution. Municipality makes and implement bylaws for the effective administration of the matters within its jurisdiction (Gumede, 2008: 13). Additionally, the ward committees are referred in the Constitution as the

public institution that links communities and local politicians, and this institution is chaired by the ward councillors (Buccus, Hemson & Hicks and Piper, 2008).

The municipalities or local government in South Africa are saddled with the responsibility of meeting the needs of local communities through various government mechanisms such as public meetings, *imbizos*, ward committees and petitions (Munzhedzi, 2020). This informs the development of policies within the framework of integrated development plans (IDPs) and local economic development (LED), and municipal budget are provided to respond to the identified community demands. Being an integral part of national and provincial sphere of government, municipalities must design strategies for effective implementation of developmental policies in order to satisfy societal needs. Figure 3.3 below illustrates the current structural plan for LED implementation in South African municipality.

Figure 3.2 Structural plan for LED implementation



Source: Malefane (2009: 164)

Figure 3.2 explains the strategy development and implementation as a core administrative activity in a municipality. It should be noted that the municipal council is omitted in the implementation design. According to Malefane (2009), the top hierarchy is occupied by the municipal manager (MM), who is responsible for administrative deliverables in a municipality. Depending on the size or category of a municipality, a deputy municipality manager may be appointed to represent the municipality manager during absence in office. The Municipality System Act, 2000 referred to the sector managers as section 57 managers whose responsibility is to oversee the activities that are carried out at the subsection level. The number of the subsections also depends on the size of the municipality or the complexity of the task involved (Malefane, 2009). The subsections are regarded as specialist subsections. For example, the

human resource department constitutes labour relations, employee assistance and employees' benefits, are the most common in South Africa. According to the Municipal System Act, (2000), section 57 managers are appointed to supervise LED implementation. In the absence of this, LED co-ordinators are appointed to connect the municipality with communities and other stakeholders.

However, Koma (2014) provided a typical reflection of LED policy stakeholders at the local government level which include, the LED municipal Unit/LED Agency Councillors, Ward Committees, Community Development Forum, Business, Local Citizens, Experts, NGO's Provincial government and LED Forum. Further, Koma (2014) highlighted some LED policy implementation strategies such as integrated service delivery, IGR coordination and communication, adequate LED skills, public investment on infrastructure, enterprise development adequate financial resources and adequate staffing. It is instructive to note that LED implementation tends to be varied between municipalities.

3.10 Developmental Policies at the Local Sphere of Government in South Africa

In the words of Van der Waldt (2015:18), a developmental state can broadly be defined as a state that has economic development as the top priority of government policy and seeks to design policies and institutions to promote this broad objective. The local sphere of government is a crucial priority in terms of development in every economy in the world. Local governments are often referred to as municipalities. Municipality reflects the wider political and economic forces (Goto, Sekgetle & Kuramoto, 2019). Research studies have shown that these municipalities are often faced with many developmental challenges ranging from financial viability, inability to satisfy community needs, debt burden etc. (Kanyane, 2014; Goto *et al.*, 2019). This situation gave rise to some developmental strategies to help municipalities achieve city and local community development. One of such significant shifts is the Local Economic Development (LED) strategy adopted by the national government in South Africa.

The 1996 Constitution of the Republic of South Africa and the 1998 White Paper on Local Government established LED and mandated all local authorities in South Africa to embark on various LED activity in the provision of essential service delivery (Rogerson, 2010). Specifically, section 152 of the 1996 Constitution directed all municipalities to ensure social and economic development of the community and get involve in the national and provincial programmes (Koma, 2014). Furthermore, the Municipality System Act 32 of 2000 as amended

mandated all municipal council to implement a single, inclusive and strategic plan for municipal development. According to Koma (2014) the implementation of LED will help to create employment, provide new economic opportunities and expand municipal tax level and revenue base. This strategic plan is sustained under specific objectives which include:

- The integration and co-ordination of plans to consider proposals for the development of municipality;
- to ensure that resources and capacity of the municipality is in tandem for the implementation of the development plans;
- to ensure that the developmental plans form the basis on which yearly budgets are to be determined;
- to ensure compatibility with national and provincial development plans and planning; and
- to obligate the municipality to keenly observe the legislation (Rogerson, 2011; Koma & Kuye, 2014).

In a bid to achieve these objectives, the Department of Provincial and Local Government (DPLG) formerly the Department of Constitutional Development made some policy provisions. The first LED policy paper known as Refocusing Development on the Poor in 2001 (Rogerson, 2011: 151). This policy was firmly anchored upon developmental and pro-poor that had been drafted to the municipalities. In 2006, there was another release of policy framework regarded as Stimulating and Developing Sustainable Local Economies. This policy offers a significant and inclusive local economy, and exploring local opportunities (DPLG, 2006). The 2006 policy framework also witnessed the release of various national policy initiatives which influenced LED objectives. These include:

The 2005 Policy Guidelines for Implementing Local Economic Development in South Africa (DPLG 2005); the 5-year Local Government Strategic Agenda and Implementation Plan which appeared in 2006 (DPLG 2006b); the Accelerated and Shared Growth Initiative (DTI 2005); the National Spatial Development Perspective (NSDP; The Presidency 2006) and the Regional Industrial Development Strategy (RIDS; DTI 2006); and the National Industrial Policy Framework (DTI 2007).

Unfortunately, the implementation of LED policies in most of the South African localised sphere of government has not been able to achieve its aims and motives. Rogerson (2010) noted

that the launch of the Local Economic Development Fund (LEDF) led to the proliferation of small projects, most of which collapsed after the closure of the project funding. The major problem was attributed to lack of understanding of the meaning of LED by municipal council officials. Madumo (2015) hinted that wide-spread corruption, nepotism and maladministration had led to non-delivery of essential services in many municipalities in South Africa. Koma & Kuye (2014) argued that shortage of skilled personnel required to drive growth and development, poor administrative capacity and ineffective implementation of development policy plan are the impediments stifling the actualisation of LED policy in South Africa. The Project Consolidate that was launched in 2004 by the then government identified 136 municipalities in need of support, out of which 50% were dysfunctional and were experiencing financial difficulties (Kanyane, 2014).

It should however be noted that LED is an integral part of Integrated Development Plan (IDP), which is a broader strategic plan for national development. Koma & Kuye (2014) opined that growth and development at the local sphere of government cannot not be achievable without the cooperation of both national and provincial governments' support. IDP assumes a process of general plan with the critical consideration of all areas of local government such as spatial concerns, social and economic issues and institutional issues (Koma & Kuye, 2014). IDP is a strategic instrument, governmental tool and mechanism of running a municipal. According to the Development Bank of Southern Africa (Integrated Development Planning 2000a:4), municipalities must basically adopt a strategic method to planning and implementation through the IDP procedure. With regards to the planning and implementation process of IDP plan, the following issues are crucial:

- The vision is an ambitious, dependable, inspiring and attainable declaration about the specific municipality's future.
- The IDP plan process requires an all-inclusive external as well as internal environmental assessment. The outcome is referred to as status quo analysis.
- An integrated development outline, consisting of a set of development strategies, is derived from the situational analysis.
- The general implementation plans should be connected to the particular municipality's budget, which requires that each implementation step be linked to a responsible person, and a target date.
- The IDP process requires an annual evaluation of the development plan to account for varying conditions, requests and realities (Koma & Kuye, 2014).

Previous studies revealed that some of the municipalities outside the metropolitan areas were unable to comply with targeted time frame set out by the national and provincial policy for local development (Powell, 2012; Koma & Kuye, 2014). To this end, Van der Waldt (2015: 23) argued that the achievement of national development objectives should be done through stakeholders' involvement and community participation. Public participation in policy implementation has been identified as a key approach to promote socio-economic development at the local sphere of government (Van der Waldt 2015:16).

3.11 Public Participation in Policymaking in South Africa

Discourse on public participation in policymaking is gaining increasing attention in South Africa. Public engagement is largely structured within the framework of municipality and expectations of service delivery from government to the community (Buccus *et al.*, 2008). Policymaking extends beyond various actions. Despite the prerogative role of legislative institutions in the formulation of policy, the efficacy of such policy formulation may be futile if adequate information in relation to the policy is not provided (Roux, 2003). It is in this sense, that the national government engage public officials at grass root level to provide essential information for policy development, and also identify and rectify shortcomings and impediments in policy. This approach helps to give voice and regard to the local community. Wamsler (2017) posited that the adaptation of a sustainable strategy requires the involvement of internal and external stakeholders in the development of municipal adaptation strategies.

Similarly, Roux (2003: 429) and Gumede (2008) argued that public participation in public policy involves both public and private stakeholders depending on the nature of the policy. Roux (2003) identified some key stakeholders or participants in public policymaking which include, non-profit organisations (NGOs), community-based organisations (CBOs), research institutions, e.g. the Human Sciences Research Council, the Council for Scientific and Industrial Research, the National Policy Institute, news media, political groups, commissions of inquiry, parliamentary committees, e.g. the Standing Committee on Public Accounts (SCOPA), central directive and co-coordinative institutions, e.g. the Department of Finance, the Department of Public Service and Administration, and international organisations.

Mohamed (2006) hinted that the South African local government policy emphasises the core of community involvement in policymaking. In practice, the participation of local community in policymaking at the local sphere of government is very low (Reddy, 2016). For example, the Municipal Structures Act of 1998 provides the separation and devolution power amongst the

category of municipality, which led to the election of ward committees to allow for participatory democracy (Koma, 2014).

3.12 Roles and Responsibilities of Stakeholders at the Local Government Spheres

According to the Department of Provincial and Local Government (2005: 20) the role of the provincial government is to undertake a management role by taking charge of resources allocated from national to provincial government and confirming that these resources are linked with the priorities of the several Integrated Development Plans; the provincial government are to establish LED fora to execute the directives of the National LED Forum and establish dedicated LED units in provincial or regional governments; provinces should assume a role in developing capacities of municipalities to undertake LED and in supporting the municipal in its implementation; also, the role of the Provincial Growth and Development Strategy (PGDS) is considered vital for the coordinated development of the local economy in the province.

The Development Bank of South Africa takes the role of a strategic partner in LED. In 2007, the Bank initiated a Local Economic Development Fund with the aim of exploiting economic opportunities within the identified local areas to facilitate shared growth (Koma & Kuye, 2014). The bank plays a pivotal role in providing financial support to deal with critical capability gaps in order to promote LED strategies. Similarly, the Provincial Growth and Development Strategy creates a vital link between national and local development process. This is achieved by ensuring that development and infrastructural decisions integrated all districts to create regional economic development (Rogerson, 2009: 63).

At the municipal level, important stakeholders include the Councillors who assume the vision to develop, harness and achieve economic opportunities within the municipalities in order to develop local economies, create employment and reduce poverty (Koma, 2014). The participation of the LED units/agencies is also critical in shaping the LED policy content. The active involvement of ward committees, local communities, non-government organisations, and experts is imperative for the realisation of developmental local government spheres (Koma, 2014).

3.13 Developmental Local Government in South Africa

As quoted by Van der Waldt (2015:18), a developmental state can broadly be defined as a state that has economic development as the top priority of government policy and seeks to design policies and institutions to promote this broad objective. Such state evinces potential commitment towards national programme. Developmental local government on the other hand

is defined as a local government that is devoted to working with residents and groups in the local area to attain sustainable socio-economic and material resources to improve the quality of lives (White Paper on Local Government of 1998: 17). The essence of establishing local government is mainly to tackle common national problems, create new economic opportunities and achieve shared national goal (Van der Waldt 2015: 16). The concept of local governance for development refers to the creation of a better livelihood for local residents through the advancement of local socioeconomic development projects and agenda (Madumo, 2015: 160).

The Republic of South Africa White Paper on Local Government of 1998 expresses the following attributes as that of a developmental local government:

- maximising social development and economic growth;
- integrating and coordinating development planning;
- encouraging democratic advancement; and
- building social investment at the local sphere to a low local solution to development challenges.

The realisation of these objectives is hinged on the establishment of a development-oriented municipality, being the basic unit of the local government level (Madumo, 2015). Variations in the composition of municipalities necessitate for strict adherence to the national legislations on developmental policies. To this end, Van der Waldt (2015: 15) summarised the developmental roles of local government in any given society as follows:

- Allotment e.g., resources, maximise efficiency, service delivery
- Distributive e.g., equity, social security, services
- Regulatory e.g., enforce law, protection, justice
- Stabilisation e.g., fiscal, monetary and economic policies to pursue objectives for control of inflation, unemployment (Van der Waldt 2015: 15).

3.14 Policy Implementation and Service Delivery at the Local Sphere of Government in South Africa

The constitution and the Reconstruction and Development Programme policy gave directive to all local government in South Africa to meet the basic needs and reallocate capital expenditure to poor communities (Powell, 2012). This is monitored through the strict alignment of local

government policy with the intergovernmental fiscal policy, which gave policy control power to the national government. This in turn led to a reduction of expenditure on service delivery at the local sphere (Powell, 2012). Further, the White Paper on local government equitable share formula, mandated local government to source for 90 percent of its own revenue while 10 percent will be provided by the intergovernmental funds scheme (Department of Finance, 1998: 23). This further resulted to poor service delivery from the municipal (Powell, 2012).

The poor formulation and implementation of developmental policies by the intergovernmental structure had a great impact on provision of basic needs of livelihood and projects development in most local communities in South Africa. Numerous studies have identified lack of funds, incompetent employees, and mismanagement as hindrances to service delivery at the local government level. Others have also identified mismanagement of funds and corruption as major constraints. For example, the management of medical records towards service delivery at Ngwelezana hospital in KwaZulu-Natal by Luthuli and Kalusopa (2017), indicated that poor record management could hamper good health delivery at the community level. Similarly, the study conducted by Visagie, Scheffler and Schneider (2013) on policy implementation and wheelchair service delivery in Fraserburg, Eastern Cape identified gaps between the service areas and the management aspects. The study revealed that gaps exist in assessment, referrals, prescriptions, maintenance and repairs, support staffs, budget and monitoring. Additionally, Molete, Stewart, Bosire, and Igumbor (2020) examines policy implementation gap of school oral health programmes in Tshwane, South Africa. The authors found that policy implementation was hindered by inadequate resources, poor school infrastructure, unstable policy interpretation by management and lack of support from key stakeholders hampered delivery of the policy content.

Masuku and Jili (2019) argued that poor service delivery is attributed to the politicisation of administrative structures in municipalities. The authors advocated for integrative approach between the key municipalities stakeholders and local stakeholders to ensure efficient and effective service delivery (Masuku & Jili, 2019). To this end, support from key stakeholders had continued to determine the success or failure of policy implementation. It is in this sense that this study aimed at exploring the roles of stakeholders in policymaking at the local spheres of government.

3.15 Demarcation and Amalgamation of Municipalities: The role of Key Stakeholders at the Local Spheres of Government

According to the African Union Commission (2012: 2), demarcation refers to the physical marking of a boundary on the grounds of using pillars or beacons and production of boundary maps. Amalgamation on the other hand is the merging of two or more municipalities with close boundaries for the purpose of development and economic viability. Raseala and Luvuno (2017) referred to a municipality as an organ of government within the local level discharging legislative and executive power in a given area as determined in alignment with the Local Government: Municipality Demarcation Act, 1998 (Act 27 of 1998), comprising a political component, administration and community authority (Republic of South Africa, 1998). It is important to note that past experiences of demarcations and amalgamations of municipalities in South Africa have not yielded government's intention of instituting the Municipality Demarcation Act, 1998 (Act 27 of 1998), which is to provide rapid service delivery.

The Municipality Demarcation Board Act, 1998 and the Local Government Municipality Systems Act, 117 of 1998 gave the manner and process of boundaries demarcation and amalgamation in South Africa. The procedures in which the Board decides on boundaries and how local community is consulted are entrenched in the legislations. Demarcation and amalgamation in South Africa are a critical concern that have affected the progress of many municipalities and this had led to various service delivery protests and violence related to demarcation and amalgamation (Raseala & Luvuno, 2017). The intention of government's decision to demarcate municipalities is basically to improve the functionality and economic viability of municipalities. The concern, however, could be that the stakeholders in the form of local communities were not part of that decision, as evidenced by protests in opposition of that decision.

3.16 Past Experiences of Demarcation and Amalgamation of Municipalities in South Africa

The demarcation and merging that took place in 2008 in the Province of Gauteng led to the creation of the city of Tshwane which is a Category A municipality. Tshwane municipality was established following the amalgamation of Metsweding District Municipality, Nokengtsa Taemane Local Municipality and Kungwini Local Municipality (Van Rooyen & Pooe, 2016). The incorporation of one district and two local municipalities into a larger metropolitan was to

accelerate service delivery and to allow local residents from smaller municipalities to enjoy bigger municipalities' quality infrastructure (Republic of South Africa, 2015). As a result of the expansion, the demarcation and amalgamation affected the financial viability of the City of Tshwane. Surprisingly, the municipality's total expenditure increased by 18% from R 72 million to R85 million in one fiscal year after re-determination (Raseala & Luvuno, 2017). Increase in expenditure became inevitable as it has to extend infrastructural delivery to the merged areas, particularly Mpukunyoni local area which had huge backlogs (Raseala & Luvuno, 2017).

In 2006, the Municipality Demarcation Board moved Matatiele Local Municipality from the Sisonke District Municipality in KwaZulu-Natal Province and merged it to Alfred Nzo District Municipality in Eastern Cape. This incorporation led to the creation of 24 wards in Matatiele, which further increases the administration cost (Vacu & Ncube, 2015). According to the National Treasury (2011), the municipality reported an increase in capital expenditure after demarcation in 2007. The financial records revealed a sharp increase from R7.4 million in 2005/6 fiscal year, before demarcation to R26.6 million in 2006/7 fiscal year after demarcation (National Treasury, 2011). Additionally, with regards to administrative cost, Matatiele had a situation where its workforce increased by 100% to meet the demands from newly amalgamated areas. However, the creation of additional wards had positive impact on communication flow between the municipality and the community (Republic of South Africa, 2015/6).

The Bushbuckridge Local Municipality was re-determined in 2006. It was moved from Bohlabela District Municipality in Limpopo Province and amalgamated with Ehlanzeni District Municipality in Mpumalanga Province (Raseala & Luvuno, 2017). The boundary provincial demarcation allows the municipality to access water, sanitation and service delivery. As a result of the demarcation, the municipality revenue did not increase (Facu & Mkhululi, 2015). The municipality recorded 15% increase overspending for the 2005/6 fiscal year (National Treasury, 2011). From the foregoing, it is evident that budget deficit, high administrative cost, excessive spending and service delivery backlogs were the resultant effect of boundary demarcation and amalgamation in South Africa.

However, it is instructive to note that financial viability is not the only factor for boundary demarcation and amalgamation, but consultation of key stakeholders particularly community stakeholders. The role of local stakeholders in boundary demarcation is crucial for effective

service delivery towards community development. For instance, the report of Raseala and Luvuno (2017) on boundary demarcation in Vuwani area of Vhembe District Municipality revealed that poor consultation of a particular tribe led to the most chaotic and violent protests of communal clash in South Africa post-apartheid era. The Venda speaking people feared that the level of service delivery will reduce if the newly created municipality is controlled by the Xitsonga speaking people of Malamulele (Raseala & Luvuno, 2017). The authors conclude that government and the Municipality Demarcation Board make extensive consultation to both government and local stakeholders prior to re-drawing or re-determination of boundaries. It is in this sense that this study explores some of the re-determined municipalities in KwaZulu-Natal, South Africa. This includes, Ray Nkonyeni Local Municipality, Dr Nkosazana Dlamini-Zuma Local Municipality, eThekweni Metropolitan Municipality and Umdoni Local Municipality.

3.17 Challenges of Municipality Service Delivery in South Africa

The South African government has instituted various regulatory frameworks at the local spheres of government in a bid to foster financial viability and rapid service delivery. Such legislative reforms include, the Local Government Municipal Demarcation Act, 1998 (Act No. 27 of 1998), Local Government: Municipal Structures Amendment Act, 2003 (Act No. 1 of 2003) Local Government: Municipal Systems Amendment Act, 2011 (Act No 7 of 2011), Local Government: Municipal Finance Management (MFMA) Act, 2003 (Act No. 56 of 2003) and Local Government: Municipal Property Rates Amendment Act, 2009 (Act No 19 of 2009) (Du Plessis, 2009: 5). Despite many policy reforms to enhance service delivery at the local sphere of government, municipalities are still failing to meet the basic needs of communities such as water and electricity (Kanyane, 2014: 90).

Earlier, Kanyane (2010: 84-85) identified the transformation agenda and policy development of the national and province as being the dysfunctional factors influencing the local government. Further, Powell (2012: 12) argued that the implementation of the policies was overtaken by hard politics and economic realities. One of such policies is the ANC policy of cadre deployment, where loyalty is placed before competence (Kanyane, 2014). Politically connected but unqualified or incompetent people are deployed to senior positions which in turn result into poor delivery of services as a result of mismanagement of funds. In the same vein, Kroukamp (2008: 651) posited that poor recruitment methods and non-rotation of senior managers are contributing factors, and consequently leads to unmatched staff to customer ratio,

and deficient service commitment (Kroukamp, 2008). This situation is further buttressed by Thornhill (2011: 494), that 32% of municipal managers have less than five years managerial or administrative experience, 68% have less than two years' managerial experience, and 46% less than one year's experience. The situation has largely been attributed to the practice of cadre deployment (Ndevu & Muller, 2017: 17). It is in this sense that Tewary (2011: 20-22) posited that the actualisation of a stable municipal administration depends on political will and effective leadership.

However, Kanyane (2014) noted that administrative or managerial problem is not the main cause of municipal service delivery, but a complex political process of deciding who gets what, when, how, where, from who because of the relevant stakeholders operating at various political levels. In similar view, the Department of Cooperative Governance and Traditional Affairs (CoGTA 2009), identified some of the factors associated with problems facing municipalities in South Africa as stated below:

- Tensions between the political and administrative interface;
- Poor ability of many councillors to deal with the demands of local government in terms of the provision of services;
- insufficient separation of powers between political parties and the municipality;
- Inadequate accountability measures and support systems and resources for local democracy; and
- Poor compliance with the legislative and regulatory frameworks for municipalities (CoGTA 2009).

Ndevu and Muller (2017: 18-19) concluded that the basic challenges of municipalities in South Africa can be summarised as political appointments, lack of capacity and lack of accountability. These challenges have led to various community protests throughout South Africa in relation to service delivery issues at the local spheres of government, which ranges from water, electricity, housing, waste, roads and bridges (Kayane, 2014; Beyers, 2015).

According to Ndevu and Muller (2017), there is a need to develop structures and processes that will provide for decision-making, stakeholders' participation, policymaking and implementation of services within its municipal authority. The authors call for collaborative approach by key stakeholders within the community and municipal to respond to community

needs in order to tackle current problems of xenophobia attacks, unemployment, poor health facilities, insufficient housing and community protests (Ndevu & Muller, 2017). The collaborative system is suggested to incorporate principles such as openness, transparency, consistency, administrative fairness, service standard and value for money ((Ndevu & Muller, 2017).

3.18 Roles of Stakeholders at the Local Government Sphere in South Africa

There has been plethora of studies on the absence of clear line of authority at the local sphere of government in South Africa (Fakoya, 2014; De Visser, 2010). Section 151 (2) stipulates that both legislative and executive powers are entrusted in the municipal council. The municipal council is regarded as a legislative assembly vested with both legislative and executive powers as entrenched in the constitution (De Visser, 2010). The statutory legislation is often referred to as by-laws. The first statutory body as recognised by the constitution is the executive council.

3.18.1 The Council

The council exercises a legislative authority and shoulders executive responsibilities. The council delegates its powers to either executive committee or mayor but remain the highest body of legislative authority (De Visser, 2010). The council is a policymaking body in the municipality. Some of the policies include property rates policies, tariff policies, budget and debt collection policies (De Visser, 2010). The council, according to the Municipal System Act, adopts human resource policy and recruitment policy, which is implemented by the municipal manager. Besides, the council is regarded as the employer of all municipal officers.

3.18.2 The mayor or chairperson

The mayor or chairperson is elected by the council. Once the mayor is sworn into office, the individual becomes the chief executive officer of the municipality who is expected to provide leadership in the management of the municipality. According to the Local Government Resource Handbook (2009), the mayor also appoints a mayoral committee for administrative support. The mayoral committee as appointed by the mayor or chairperson can be used to implement municipal policy and facilitate decision-making process to reflect community concern and priorities. By the virtue of the office, the mayor or chairperson is an ex-officio member of all committees of council, in which, the individual presides over all executive meetings, and is privy to all committee decisions and recommendations. As a result, the mayor or chairperson has general knowledge of all municipal challenges before making effective decisions and bylaws for the development of the community (Local Government Resource

Handbook, 2009).

3.18.3 The Speaker

As contained in the (s160 (6) Constitution) of the council's rules and orders, municipal councils are mandated by law to elect a speaker within their members. The speaker is saddled with the responsibility of managing the council meetings and enforcing the Code of Conduct for Councillors, in order to control ethical conduct of councillors (De Visser, 2010). In a case of parliamentary system, as practiced at the national and provincial, the Speaker takes charge of the legislative chamber with little or no role in the executive. Also, the Speaker oversees the implementation of the assembly's budget which is outside the purview of the executive.

3.18.4 The Councillors

As stipulated in Section 3 of the Constitution, elected councillors work together with the mayor or chairperson as a council to determine the policies of the municipality. Another role of the councillors is the approval of the operating expenditure and fixing the tax rate which are the two ways in which the policies of the council are implemented (Local Government Resource Handbook, 2009: 4). Elected councillors must uphold the confidence, trust and respect of the community. Elected councillors must perceive their roles as contributing to the municipal team under the leadership of the mayor or chairperson.

3.19 Conclusion

This chapter illustrated the roles of stakeholders in policymaking at the localised sphere of government. The chapter started with the country profile and the merger of municipalities in South Africa. Stakeholders in policy formulation and implementation were discussed, and the various policies in the development of local government were also emphasised. The chapter concluded with challenges facing municipalities with regards to service delivery, and the roles of municipal officials". The next chapter discusses the research methodology.

CHAPTER FOUR: RESEARCH METHODOLOGY

4.1 Introduction

This section of the study outlines the research philosophy, research design and research approach adopted. Careful selection of a research methodology is relevant to avoid choosing inappropriate research methods for the study (Sekaran & Bougie, 2016). This chapter further explains the research methods such as the study site, description of the target population, sample size sampling techniques, sample size, research instrument etc. The validity and reliability of the research instruments, ethical consideration as well as the study limitations were also presented in this chapter.

4.2 Research Philosophy

According to Saunders, Lewis and Thornhill (2019) “research philosophy is the development of knowledge and the reality of such knowledge. Rehman and Alharthi (2016) explained research philosophy as the belief system and the framework with assumptions concerning ontology, epistemology, research methodology and methods. The adoption of a philosophical worldview is often determined by an attempt to develop some knowledge in a specific field. The four main research philosophies are positivism, interpretivism, realism and pragmatism (Muijs, 2011). The table below shows the main research philosophical positions. Each study is guided by a specific approach to research. Hitchcock and Hughes (1995) noted that research stems from assumptions.

Table 4.1 Philosophical paradigms

	Positivism	Realism	Interpretivism	Pragmatism
Epistemology: perceptions on what constitute acceptable knowledge	Only observable phenomenon can provide credible data, facts. Focus on causality and law-like generalizations, reducing phenomena to simplest elements	Observable phenomena provide credible data, facts. Insufficient data means inaccuracies in (direct realism). Alternatively, phenomena create assumptions which are open to misinterpretation (critical realism). Focus on explaining within a content or contexts.	Subjective meanings and social phenomena. Focus upon the details of the context, and subjective meanings motivate actions.	Either or both observable phenomena and subjective meanings can provide acceptable knowledge dependent upon the research question. Focus on practical applied research, integrating different perspectives to help interpret the data.
Ontology: views of the nature of reality	External, objective and independent of social actors	Its objectives exist independently of human thoughts and beliefs or knowledge of their	Socially constructed, subjective, flexible for multiple changes	External, multiple, view chosen to best enable answering of research question

		existence (realist), but is interpreted through social conditioning (critical realist)		
Axiology: views on the role of values in research	Research is undertaken in a value-free way, the researcher is independent of the data and maintains an objective stance	Research is value laden; the researcher is biased by worldviews, cultural experiences and upbringing. These will impact on the research	Research is value bound, the researcher is part of what is being researched, cannot be separated and so will be subjective	Values play a major role in interpreting results, the researcher adopting both objective and subjective underlying assumptions
Data collection strategies	Highly structured, large samples measurement, quantitative, but can use qualitative	Methods chosen must fit the subject matter, quantitative or qualitative	Small samples, in-depth investigations, qualitative	Mixed or multiple method designs, quantitative and qualitative

Source: Burrell and Morgan (1988:221)

4.2.1 Positivism

Positivism is a research worldview that confirms scientific approaches as the best approach to attain objective truth (Saunders *et al.*, 2019; Sekaran & Bougie, 2016). The positivists hold the view that the universe functions by the law of cause and effect which are discernible through scientific approach (Sekaran & Bougie, 2016). Positivism depends on quantitative process as a means of data collection and analysis. Positivist conducts research in a scientific manner and follows a set of laid down principles to draw conclusion (Wilson, 2014). In other words, positivists assume deductive reasoning which relies on the testing of prevailing theory via hypotheses construction and statistical analyses (Sekaran & Bougie, 2016).

However, due to the rigid process in positivism makes it possible to disregard unobservable phenomena (Sekaran & Bougie, 2016; Wilson, 2014). In line with this argument, Dudovskiy (2016), posits that positivists researchers are descriptive, hence the lack of insights and in-depth findings on a phenomenon.

4.2.2 Realism

This research paradigm refers to research philosophy that affirms an objective truth that is free of the human thought (Dudovskiy 2016). Realist believes that reality is what it is, and nothing else. In relation to positivism, realism subscribes to scientific approach as the best approach of conducting research. Realism as a branch of epistemology has similarity with positivism in their adoption of scientific approach in the construction of knowledge (Saunders et al., 2019). Realism is categorised into two, namely; direct realism and critical realism. Direct realism holds that knowledge acquired through sense experience defines the world suitably. In the criticism of direct realism, critical realism argues that what we perceive through our senses as truth can be an illusion which can be deceptive (Dudovskiy 2016; Saunders *et al.*, 2019; Sekaran & Bougie, 2016).

Critical realism assumes that a real-world exists; but there is no way such an assumption can be proved (Easton, 2010). Critical realism argues that measuring certain phenomena such as emotion, motivation, and satisfaction can be subjective (Sekaran & Bougie, 2016). According to Easton (2010 p.122), critical realism acknowledges that social phenomena are intrinsically meaningful, and hence that meaning is not only externally descriptive of them but constitutive of them (though of course there are usually material constituents too). It holds the view that knowledge of reality comes from social conditioning and can only be understood through the social actors involved in the source of knowledge in process (Saunders *et al.*, 2019).

4.2.3 Interpretivism

Interpretivism also known as qualitative or phenomenological research, is a research philosophy that combines human interest into a study (Dudovskiy, 2016). Interpretivism argues that research problems exist in a social domain such that social awareness is perceived as human creation of characteristics, which are incalculable quantitatively (Walsham, 2017). Interpretivism as a research philosophy aims to understand the subjective meaning of individual in the research field (Goldkuhl, 2012).

4.2.4 Pragmatism

The pragmatism paradigm is of the view that truth is not absolute but continuously changing through problem-solving processes by researchers or truth seekers (Muijs, 2011). Pragmatist research philosophy involves the discovery of facts (Alghamdi & Li, 2013). Pragmatists do not view the world as absolute unity. They believe that the truth is what is currently in action. The pragmatist research philosophy was chosen for the study because of the research method (mixed methods) to be used to in this study. The pragmatist philosophical assumption is that there no one size fits all approach to a problem. It believes in the adoption of what works for a problem. Pragmatist believes the use of different forms of methods available to unravel the truth. This is referred to as mixed method (Tashakkori & Teddlie, 1998). The pragmatism philosophical assumption applies multiple approaches for data collection and interpretation in order to reduce bias in understanding the truth. This study adopted the pragmatism worldview being the most suitable philosophical approach for mixed method (Creswell, 2014).

Mixed-method researchers have established a significant relationship between mixed methods and pragmatism (Bazeley, 2010; Greene & Caracelli, 2013; Johnson & Gray, 2010; Tashakkori & Teddlie 2010). A pragmatic approach is a means of promoting methodologic a l appropriateness to assist a researcher to increase his or her methodological flexibility and adaptability (Patton, 2012).

According to Greene and Hall (2010), the pragmatic approach has a strong philosophical foothold in the mixed-method or methodological pluralism camps. Thus, pragmatism lies between quantitative and qualitative research. Johnson and Onwuegbuzie (2004) argue that pragmatism can present a big challenge for the mixed methods researcher, with the assumption that pragmatism is eclectic. However, it is recommended that a mixed methods researcher needs to acknowledge these criticisms and rigorously defend pragmatic approaches and choices (Tashakkori & Teddlie, 2010:16).

The pragmatism was adopted in this study due to a number of reasons. The first reason for adopting pragmatism was the reasons research methodology adopted. This study has adopted the mixed methods approach. Therefore, pragmatism was chosen because it has strong associations or root from the mixed-methods research. Another important reason why pragmatism was adopted in this study was it promotes methodological appropriateness to assist the researcher to increase her methodological flexibility and adaptability as argued by (Patton, 2012). Furthermore, pragmatism was chosen because it allows the integration of divergent

views as in the case of this study. The pragmatism allowed the researcher to integrate the findings from both the qualitative and quantitative study.

4.2.5 Justification for research philosophy underpinning the study

The aim of this study is to investigate the roles of stakeholders in policymaking as it affects socioeconomic factors in four municipalities in KwaZulu-Natal, South Africa. Most of the literatures on stakeholders' roles in policymaking are case-study based (Reddy, 2016). Few empirical studies are conducted quantitatively (Adedina *et al.*, 2017). But the adoption of a mixed method approach is limited. Yet, continuous study exists on the impact of policy formulation and implementation on socioeconomic factors (Aminu *et al.*, 2012). To this end, it becomes necessary to investigate the phenomenon from an observatory perspective (positivism) and interactive process (interpretivism). This study employs the pragmatism research philosophy using a mixed method approach (quantitative and qualitative) to demonstrate the stakeholders' role in policymaking as it affects political will, leadership, poverty and development at the local government levels.

Quantitative data were gathered through the administration of questionnaire to the participants, and a follow-up data collection through in-depth interviews from the respondents from the four selected municipalities namely, Umdoni, Ray Nkonyeni, eThekweni and Dr Nkosazana Dlamini Zuma in KwaZulu-Natal. The adoption of pragmatism approach will help to harness detailed information both inductively and deductively about the research problem. The pragmatist paradigm helps to reduce the bias associated with the positivist and the subjective view of the interpretivist (Sekaran & Bougie, 2014). Hence, the pragmatism approach is considered the most appropriate for mixed method strategy.

4.3 Research Approaches

The selection of a research approach is basically determined by the research strategy or development of a theory through data analysis (Saunders *et al.*, 2019). While deductive approach is associated with positivism, inductive approach is inclined with interpretivism. Yet, both approaches deal with the development of a theory via various research designs.

4.3.1 Deductive approach

Deductive approach deals with the development of theory through a scientific procedure which allows for the generalisation of a phenomenon under study (Wilson, 2014). Through the test of

hypotheses from a theory, deductive approach helps to establish the causal relationship between variables. It also emphasises the need for advancement of theory after a thorough investigation of the outcome or findings has been conducted (Saunders *et al.*, 2019). Deductive approach also possesses the collection of quantitative data through close-ended questionnaire which is subjected to scientific rigor without interference from the researcher. Deductive approach is employed in this research study. However, it may not allow for cognitive reasoning during data collection which may prevent access to vital information. Hence, the consideration of the inductive approach.

According to Saunders *et al.* (2019), the origin of the deductive approach lies in positivist philosophy, which is common in the natural sciences. This approach to research is based on the development of theories that have been subject to rigorous testing – and it is based on an objective examination of existing knowledge, law and theoretical considerations so as to develop a set of hypotheses, data collection and analysis as well as the interpretation of the results to determine whether to accept or reject the hypothesis and re-examine theory (Bryman & Bell, 2011:11).

Robson and McCartan (2016) advocated that deductive research progresses through five main sequential stages. The first involves the process of developing a set of hypotheses from the theory, while the second involves the process of stating the set of hypotheses in their operational terms, thereby proposing a relationship between two specific variables. The third stage concerns testing this operational hypothesis, while the fourth involves examining the specific outcome of the inquiry. The fifth and final stage deals with modifying the theory in accordance with the findings, if necessary.

There are several features of deductive approach. One of such features is that its concepts need to be operationalised in a way that enables facts to be measured quantitatively (Saunders *et al.*, 2019: 20). Another important feature is generality of the research findings. In order to be able to generalise the results statistically about regularities in human social behaviour it is necessary to select samples of sufficient numerical size.

A deductive approach has a great deal of strength. Saunders *et al.* (2019) argued that one of its strengths is that it is highly objective. Such an approach also allowed the researcher to verify revised theory by returning to the first step and repeating the whole cycle. Bryman and Bell (2011) express the view that such an approach uses rigorous scientific methods of data collection and the data is subjected to robust statistical analysis to deductively contribute to a

body of knowledge on the subject matter being studied.

4.3.2 Inductive Approach

Inductive approach is concerned with the environment or situation of an event using various methods to collect data in order comprehend the features of a phenomenon (Saunders *et al.*, 2019). Inductive approach is associated with qualitative research which is design to have more informed choices. It helps to answer the questions about what, where, and how of phenomena (Easterbys-Smith *et al.*, 2008). The inductive approach was also adopted in this study as a follow-up method to understand the concept and pattern of variations of an event through interviews and observation of the participants. However, a major shortcoming of the inductive approach is its subjectivity during data interpretations (Muijs, 2011; Saunders *et al.*, 2019). Also, the inflexible methodological limitations of the deductive approach necessitate the decision to employ both approaches in this study. Although, the ontological and epistemological of both approaches are incompatible (Guba and Lincoln, 1989). The combination of both approaches also known as abductive approach (mixed method) can be used in a single research study for complementary purposes (Sale *et al.*, 2002).

According to Saunders *et al.* (2019), studies that adopt an inductive approach are more concerned with the methods of data collection in eliciting fresh information from respondents regarding the phenomenon under study. It is against this background that qualitative research is more likely to be utilised in an inductive inquiry, especially with regard to using both personal interviews and observations to gain in-depth knowledge about the subject matter, for the purpose of contributing to a body of knowledge (Grouding, 2005; Kelliher, 2011).

It has been recommended that researchers who intend to seek an in-depth understanding of how or why a particular phenomenon occurs should not merely describe it, but should logically adopt an inductive, rather than a deductive approach (Saunders *et al.*, 2019). In their study, Zalaghi and Khazaei (2016) argued that the inductive research often starts with specific observations and a generalisation of conclusions. With respect to this method of investigation, after choosing a number of observations, a researcher can generalise about the conclusions of a study with respect to groups experiencing similar conditions and situations. However, these generalisations must be tested and either verified or rejected (Zalaghi & Khazaei, 2016). Literature suggests that all of the principles derived from the deductive approach are theoretically falsifiable. It suggested that, with a deductive process, an investigator or observer

should honestly – and without any prejudice or bias—and with an impartial mind, record what they observe (Godfrey & Hudson, 2010). This approach is useful in constructing theories to guide a particular study. As suggested by Bernard and Bernard (2012), a deductive approach is useful to search for patterns found through observation and in designing a theory for these patterns, through a set of hypotheses. Furthermore, in deductive research, no theory is propounded at the beginning of the study, thus enabling a researcher to enjoy the freedom of determining the course of his or her research. Thus, no assumption is made in the early stages of research, when an investigator may be uncertain about the type and nature of the findings, before the study is completed. A deductive approach is important, as it helped the researcher to avoid utilising a prefabricated framework or model. It also allowed the researcher to formulate a particular theoretical framework and then proceed to test it. Furthermore, the deductive approach helped the researcher to make use of previous scholars' studies, as suggested by Ihuah and Eaton (2013). In addition, the deductive approach was adopted in the quantitative research because it examines and tests specific theories which apply to the study.

4.3.3 Justification of the abductive approach

The abductive approach is found appropriate for this study. This approach allows for the collection of various data in an attempt to understand a research problem. The abductive approach or mixed method provides a broad survey for the purpose of generalisation, and focuses on qualitative open-ended questions to access detailed perceptions from the participants (Creswell, 2011). The abductive approach agrees with the pragmatic assumption in that it provides the strategies to achieve the objectives of this study which aims to determine the stakeholders' role in policymaking and how it affects socioeconomic factors. Quantitative data were collected through questionnaire, and qualitative data were gathered to generate patterns, themes and sub-themes for thematic analysis.

4.4 Research Strategy

According to Saunders *et al.* (2019:136), a research design is described as the general plan of how the researcher decides to go about answering research questions. Creswell (2012:3) defines research designs as plans and procedures for research that span the decisions from broad assumptions to detailed methods of data collection and analysis. There are different kinds of research designs which includes, cross-sectional, action research, case study, causal, cohort, descriptive, experimental, historical, longitudinal and sequential designs.

4.4.1 Experimental research

Experimental research aims at studying the causal relationship between variables to establish the degree of influence they have on one another (Saunders *et al.*, 2019; Sekaran & Bougie, 2016). It seeks to determine if a specific treatment influences an outcome (Creswell, 2014). This type of research is synonymous to quantitative studies. Saunders *et al.* (2019), affirmed that experiments are applicable in exploratory or explanatory research to respond to the ‘how’ or ‘why’ questions. This research design allows the manipulation of an independent variable to establish the causal effect on the dependent variable (Saunders *et al.*, 2019; Sekaran & Bougie, 2016). This is achieved by altering certain variable to determine if it would affect another variable. Experimental research design is aimed at minimising bias and predicting phenomenon. Sekaran and Bougie (2016), argue that experimental design is not often applicable in applied research where research aims to provide a solution to an organisational problem.

4.4.2 Case study research

A case study refers to a method of inquiry that allows for an in-depth understanding of the specific phenomenon in a real-world context (Wilson 2014; Yin, 2013; Zainal, 2007). It seeks to analyse specific subjects within a specific environment, situation or organisation (Dudovskiy, 2016, Creswell, 2014). Zainal (2007) argue that case study goes beyond quantitative statistical outcome; but able to provide an explanation of the processes and results of the phenomenon via extensive observation, reconstruction and analysis of cases being investigated by combining quantitative and qualitative data. A case as used in case study refers to the subject of research which may be individual, organisation, group, event or situation under investigation (Sekaran & Bougie, 2016). This research strategy is a robust method of inquiry when considering a holistic and in-depth study (Zainal, 2007). The strength of the case study has been identified as its ability in addressing complex and contextual circumstances making it a more viable alternative to other research strategies (Yin, 2014). Despite the identified strength, Flyvbjerg (2006), identified five misunderstandings of case study research:

- Theoretical knowledge is more valuable than practical knowledge
- One cannot generalise from a single case; therefore, the single case study cannot contribute to scientific development
- The case study is most useful for generating hypotheses testing and theory building

- The case study contains a bias toward verification
- It is often difficult to summarise specific case studies

Despite the misunderstandings identified by Flyvbjerg (2006), a careful plan of a case study research strategy can generate insights from intensive research into the study of a phenomenon in its real-life context, resulting in comprehensive empirical description and development of a theory (Saunders *et al.*, 2019). Therefore, Zainal (2007: 2) posit that in adopting a case study design, the researcher must be able to establish that:

- It is the only viable method to elicit implicit and explicit data from the subjects
- It is appropriate to the research question
- It follows the set of procedures with proper application
- The scientific conventions used in social sciences are strictly followed
- A ‘chain of evidence’, either quantitatively or qualitatively, are systematically recorded and archived particularly when interviews and direct observation by the researcher are the main sources of data

The case study is linked to a theoretical framework in line with the argument of Zainal (2007), this study adopted some attributes of case study research design by adopting a mix-method approach to investigate a phenomenon in a specific context such as the selected municipalities.

4.4.3 Action research

Baskerville and Wood-Harper (2016) traced the origin of action research to the devastating effect of World War II which brought about massive change in social science research. Lewis in 1946 was the first person to use the term ‘action research’, but this has been subjected to modification by researchers in management and social sciences over time (Saunders *et al.*, 2019). Ferrance (2000 :1), defines action research as a process in which participants examine their educational practice systematically and carefully, using the techniques of research. Sekaran and Bougie (2014) argue that action research is adopted by practitioners who aimed at initiating change processes in organisations. It is directed towards aiding practitioners to learn and grow by engaging in reflecting on their experience as they seek to solve real-life problems in their organisational settings (Coghlan & Coghlan, 2010). Action research links research with practice by creating synergy between theoretical and practical knowledge (Baskerville & Wood-Harper, 2016; McNiff & Whitehead, 2016; Somekh, 1995). Baskerville and Wood-

Harper (2016) argue that action research is an interventionist approach rooted in the post-positivist school. McNiff and Whitehead (2016) posit that action research is about two things: action and research. Action refers to what you do, while research refers to how you go about explaining what you do. The authors further argue that the action aspect is about improving practice, while the research aspect is about creating on practice. Thus, action research is a constantly evolving project with the interplay among problem, solution, effects or consequences, and new solution (Sekaran & Bougie, 2016).

4.4.4 Grounded theory

Grounded theory is traced to the work of Glaser and Strauss (1967) titled, 'Discovery of Grounded Theory' (Morse *et al.*, 2016). Charmaz (2014), refers to grounded theory as an approach consisting of organised, but flexible guidelines for qualitative data collection and analysis to be able to formulate theories from the data. Central to the grounded theory are theoretical sampling, coding, and constant comparison (Sekaran & Bougie, 2016). Theoretical sampling is defined as the process of data collection for generating theory whereby the analyst jointly collects, codes, and analyses the data and decides what to collect next and where to find them to develop theory as it emerges (Glaser & Strauss, 1967 cited in Sekaran & Bougie, 2016 p. 98). Grounded theory is rooted in interpretivist philosophy as it is derived from a qualitative data source. Morse (2009) argues that grounded theory has gained overarching acceptance in social science research which has resulted in the development of several novel ideas. Consistent with this argument, Saunders *et al.* (2019) posit that it is more logical to view grounded theory as a theory-building, which combines inductive and deductive reasoning, while also aid researchers to make predictions.

Birks and Mills (2015) argue that the pool of information available on grounded theory has made the theory complicated to emerging researchers. The scholars posit that the first step to becoming a grounded theorist is to identify your research philosophy. This method was found appropriate to be able to achieve the research objectives and provide a response to the research questions.

4.4.5 Ethnography

Pelto (2016: 1) defines ethnography as the branch of anthropology that deals with the systematic description of specific human culture. Ethnography, as emerged from anthropology, refers to a research approach, which seeks to explain the behavioural pattern and other ways of life of a group of people over a long period (Creswell, 2014; Sekaran & Bougie, 2016;

Saunders *et al.*, 2019). Ethnography as a research strategy is time-consuming, as it requires a researcher to absorb the social world to be able to obtain a holistic data about the subject of investigation (Creswell, 2014; Saunders *et al.*, 2019). In other words, it requires immersion in the culture of the group under investigation to be able to comprehend the behavioural pattern of the social group from an insider perspective (Sekaran & Bougie, 2016). Star and Goodale (2016) posit that ethnography is a study that evolves. They argue that ethnographic research does not end when the study ends; it is a continuum as the researcher encounters new challenges about the nature and meaning of study outcomes. Ethnography seeks to determine and characterise the true nature of the social phenomenon (Pelto, 2016). This is achieved through the immersion of the ethnographic researcher in the culture of the group being investigated.

4.4.6 Archival research

Archives are where historical documents are kept, to make them available to the present or future generation. Archival research refers to a study that involves seeking and extracting material evidence from documents or records. Citing Bryman (1989), Saunders *et al.* (2019) argue that the term 'archival' refers to historical and recent documents. Archival research in management involves research activities aimed at studying documents about an organisation. The importance of the archival study is seen in its ability in providing society a clear understanding of the past which can give individual insight on the present and some aspect of the future (Moore, Salter, Stanley & Tamboukou, 2016). According to Saunders *et al.* (2019), archival research enables responses to be provided for research questions which focus and change over time

4.4.7 Survey research

Fink (2003) refers to survey research as a process of collecting information from individuals to descriptive, and comparison purposes to express their knowledge, and behaviour. Similarly, Sekaran and Bougie (2016), hint that survey research is mostly associated with business research, because it emphasises the collection of quantitative and qualitative data in various types of research questions. Thus, it combines the use of self-administered questionnaire, and structured interviews for data collection (Creswell, 2014; Sekaran and Bougie, 2016). This study employed survey research design to collect data using structured questionnaire, and unstructured questions for in-depth interviews. Furthermore, survey research strategy allows for the gathering of data from a sample of individuals' representative of a population for the purpose of generalisation.

4.4.8 Exploratory research

An exploratory is typically carried out when the researcher is interested in investigating a new phenomenon. Saunders et al. (2019:45) suggest that an exploratory study is critical for gaining clarity on a particular phenomenon of interest and enriching the literature through subsequent theory building and hypothesis testing. Conversely, Sekaran and Bougie (2013) also argue that exploratory research is undertaken when the researcher does not much adequate knowledge or information about the subject matter under investigation. It often involves preliminary familiarisation with the subject matter being studies in order to gain additional knowledge on the cause and effect of the problem prior to the development of key research questions and hypotheses.

An exploratory study has been described by Marlow (2005:334) as a design which provides a deeper understanding of the nature of a particular event and develops questions to be investigated by more extensive studies. Engel and Schutt (2016) point out an exploratory study is conducted with the aim of seeking deeper understanding into the nature of the research phenomenon. Simply put, exploratory research is conducted when the researcher has little or no knowledge of the chosen phenomenon, as in the case of this study. Contrary to the above explanation, Engel and Schutt (2013) propose that an exploratory study seeks to enquire into the nature of an event that occurs within a community, as well as ascertain the extent to which people co-operate with each other. The advantage of exploratory design for conducting an exploratory study was that it helped to provide deeper insight into the research phenomenon. Also, this design enabled the researcher to make valid contribution to the body of knowledge on policymaking. Furthermore, an exploratory study was very useful in testing the feasibility of undertaking a more extensive study in terms of policymaking.

The advantage of exploratory design for this study is that it will help to provide deeper insight into the role of stakeholders regarding policymaking in the localised sphere of government in KwaZulu-Natal. Also, this design will enable the researcher to make valid contribution to the body of knowledge on policymaking. Furthermore, an exploratory study will be useful in testing feasibility of undertaking a more extensive study in terms of policymaking. An exploratory study when properly conducted will allow the researcher to delve more into the research phenomenon.

4.4.9 Descriptive research

Descriptive research is used to describe the phenomenon being studied (Monette, Sullivan & Dejong, 2011). Descriptive research is used to discover and gain adequate understanding about the present state of a particular situation or event. Conversely, Abiwu (2016) argues that descriptive research is undertaken when the researcher is only interested in describing and understanding of a particular subject matter under investigation. Abiwu (2016) recommends that descriptive research addresses who and what questions.

Maxwell (2012) opines that descriptive research does not neatly fit into an explanation of either qualitative or quantitative research methodologies, but, instead, can use the elements of both methods within the same study. Maxwell (2012) adds that a descriptive study aims to provide accurate description of how the event occurs. With this type of investigation, the researcher cannot manipulate or control the variables in the study.

Descriptive research was conducted in this study which allowed the researcher to accurately describe the research phenomenon. Furthermore, this research design has assisted the researcher to gain an in-depth knowledge and full understanding of the concept of policymaking in the localised sphere of government.

The advantage of the use of this design in this study is that it will assist in describing the role of stakeholders regarding policymaking in the localised sphere of government. Furthermore, this research design will assist the researcher to gain an in-depth knowledge and full understanding of the concept of policymaking in the localised sphere of government.

4.4.10 Type of research design adopted

The study adopted both the descriptive and exploratory research design.

4.5 Research Method/Approach

Generally, there are three methods of research namely: qualitative, quantitative and mixed method. The study utilised both qualitative and quantitative methods (mixed method) to investigate the phenomenon. The justification for the choice of this method are provides below.

4.5.1 Qualitative research

Qualitative research is conducted when the researcher intends to emphasises words rather than numerical data during the process of collecting and analysing the data (Looi, 2014). Castellan (2010) argues that qualitative research relates to how individuals perceive their own world and the extent to which the researcher interacts with concerning the phenomenon under

investigation. Creswell and Creswell (2017) postulate that qualitative research is an unfolding model, which occurs in a natural setting that allows the investigator to collect detailed information due to his personal involvement in the data collection. Creswell and Creswell (2017) suggest that a qualitative research aims to offer adequate explanation and description of the research phenomenon and interpret data that emerged from the study. Leading qualitative research such as De Vaus (2013) and Leedy and Ormrod (2014) assert that qualitative research creates wider understanding of behaviour. Thus, it helps in collecting abundant and rich information about real life of people and events. It is also argued that qualitative research allows the researcher to be part of the investigation which is useful in providing factual and descriptive information (Johnson & Christensen, 2012). Qualitative research when properly will allow the researcher to gain a significant understanding of the participant experience, knowledge and perceptions of the subject matter under investigation.

4.5.2 Quantitative method

Quantitative research is conducted when the investigators decides to build on existing theories (Williams, 2011). Quantitative research involves the collection of data collection and analysis of numerical data (Williams, 2011). Abiwu (2016) contends that quantitative research is relevant when the researcher intends to objectively measure reality. As indicated above, this study combined both the qualitative and quantitative methods.

4.5.3 Mixed method research

Mixed method research gained its popularity in the recent times due to the limitations or challenges that were observed in the qualitative and quantitative research respectively. Mixed methods research has been regarded as the third paradigm since it is a skilful blend of both quantitative and qualitative methods (Jalongo & Saracho, 2016). Mixed method researchers (Creswell & Plano Clark, 2012; Farquhar, Ewing & Booth, 2011; Guetterman, Fetters & Creswell, 2015; Klassen, Creswell, Clark, Smith & Meissner, 2012) have described mixed method research as an approach which combines both quantitative and qualitative methods in one study or multiple phases within a pragmatic philosophical worldview. A key feature of mixed method research lies in its methodological pluralism, which provides broader perspectives than those offered by mono-method designs.

A mixed method approach provides a better understanding of research problems and complex phenomena than either approach alone (Azorín and & Cameron, 2010). The use of mixed method in this study will allow for the integration of the data. Data integration is at the heart

of the mixed method research which allows for collaboration and convergent validation. Also, the usefulness of mixed method in this study is that it will assist in providing a rationale for testing theories to compete and provide alternatives.

There are different kinds of mixed method research or approach, including sequential explanatory, sequential exploratory, sequential transformative, concurrent triangulation and concurrent transformative. However, sequential exploratory mixed method research will be adopted to explore the role of stakeholders in policymaking in the localised sphere of government. According to Creswell and Plano Clark (2012) the sequential exploratory method first begins with the collection and analyses of qualitative data then followed by the quantitative research. Using this method, the qualitative research will firstly be conducted which will then be followed by the quantitative research.

With regards to the mixed method research, the qualitative study was conducted among participants at top management positions while the quantitative study was conducted among those participants at middle management position. There are several justifications for using mixed methods in this study. One of this justification was that mixed methods eliminates the challenges experienced in using either qualitative or quantitative study. Another justification is that mixed methods research allows for the integration and triangulation of the results. Mixed methods research was conducted with the aim to draw from the strengths and minimise the weaknesses of both the quantitative and qualitative research approaches

4.5.3.1 Convergent parallel mixed methods

A convergent parallel mixed-methods design refers to a situation in which qualitative and quantitative data are collected at the same time but analysed separately (Creswell, 2014; Leedy & Ormrod, 2014). The collection of quantitative and qualitative data simultaneously allows for the data collected to complement each other, such that the weakness of one data is provided for by the strength of the other (Creswell, 2014; Leedy & Ormrod, 2014). An important factor in this design is the sample size for quantitative and qualitative data collection. Usually, a quantitative survey requires a large sample is required to conduct meaningful statistical analysis, while qualitative requires small sample (Creswell, 2014)". This study does not adopt convergent parallel mixed methods as the quantitative and qualitative data are not collected simultaneously.

4.5.3.2 Explanatory sequential mixed methods

This is a two-phase data collection process in which quantitative data is collected and analysed in the first phase. “The outcome of the analysed data collected in the first phase, informs a follow-up qualitative data that is collected purposively in the second phase (Creswell, 2014). The rationale behind this method is to enable the data for the qualitative data to explain the findings of the quantitative data (Creswell, 2014). These methods can help the researcher give substance to research findings (Leedy & Ormrod, 2014).

4.5.3.3 Exploratory sequential mixed method

The exploratory sequential mixed method involves the exploration of the research problem with qualitative methods because the research question may not be known, or restriction to access the location. Exploratory sequential mixed method was found appropriate for this study as the qualitative method of data collection precedes the quantitative methods. The justification for choosing these designs is explained below.

With regards to the mixed method research, the qualitative study will be conducted among participants at top management positions while the quantitative study will be conducted among those participants at middle management position. There are several justifications for using mixed methods in this study. One of this justification is that it will eliminate the challenges experienced in using either qualitative or quantitative study. Another justification is that mixed methods research will allow for the triangulation of the results. Exploratory sequential mixed

This study adopted exploratory and descriptive research designs which are forms of case study research design (Yin, 2003). The methods are found appropriate for this study because the benefits of combining two forms of data.

4.5.3.4 Cross-sectional study

A cross-sectional study refers to a study in which data gathering is done simultaneously at a point in time (Sekaran & Bougie, 2016). Across-sectional study is also referred to as survey design as it often adopts survey questionnaire to gather data (Wilson, 2014). The study allows a researcher to draw measurement of all variables on a single occasion with no follow-up (Hulley, Newman, & Cummings, 2001). A cross-sectional study can be descriptive or analytical. A descriptive cross-sectional study occurs when study outcome is characterised in a specific population over a specific point in time or a defined period (Bryman & Bell, 2015). The major strength of this study is that it is cost-effective and consumes less time to conduct (Hulley, Newman, & Cummings, 2001; Wilson, 2014). A cross-sectional study is found

appropriate for this study because the main objective of the study does not require data to be repeatedly collected over a long period (Wilson, 2014). The constructs measured in this study allows quantitative and qualitative data to be collected sequentially once.

4.6 Target population

Saunders *et al.* (2019: 606) define a population as a complete set of cases or group members that the researcher decides to draw inference from. Likewise, Sekaran and Bougie (2016) described population as a whole group of people, events, elements or things of interest that the researcher intends to draw inference from. The target population for the study comprises of stakeholders from the above-mentioned four municipalities in KwaZulu-Natal province. The participants or stakeholder for the study will include senior management (i.e. General Manager Corporate Services, General Manager Community Services, General Manager Planning & Development, General Manager Technical Services, General Manager Finance/Chief Executive Officer, Snr Director, Departmental Heads, Deputy/City Manager and Municipal Managers), Councillors', organised labour (South African Municipal Workers Union [SAMWU], Independent Municipal Alliance Trade Union (IMATU), workers and Executive Council from the department. The estimated population of the study is approximately 2500. The study will be conducted among some selected stakeholders in the organisation. The scope of the study is limited to these stakeholders because they are actually involved in the policymaking process in the organisation.

4.7 Study Site

There are 54 municipalities in KwaZulu-Natal. However, the study will be conducted in only four of these municipalities, includes: Ray Nkonyeni Local Municipality, (previously Hibiscus Coast Local Municipality) is a Category B municipality situated within the Ugu District in the KwaZulu-Natal Province. It is the largest of four municipalities in the district, making up a third of its geographical area.

It covers an area of approximately 90km of coastline comprising 21 beaches, and extends 30km inland, covering a vast, rural area under the leadership of six tribal authorities. It has its administrative seat in Port Shepstone and is the most concentrated economic hub within the district. Beaches of world-class quality are to be found along the entire seaboard, with Marina, Trafalgar, Lucien, Southport, Umzumbe and Ramsgate beaches recognised as full Blue Flag beaches.

UMdoni Local Municipality is located in KwaZulu-Natal within the Ugu District municipality (DC21). It abuts eThekweni Metro to the north, and uMzumbane to the south, making it almost halfway from Port Shepstone and Durban. The Municipality is therefore conveniently located about 50 km from Durban and 65 km from Port Shepstone. UMDoni has an approximate coastline of 40 km and stretches inland as far as uMzinto. UMDoni Local Municipality has a total population of approximately 78, 875 which constitutes of 40,581 of that population being female and 38, 294 being male from the total population. The Municipality also has a total number of 22869 of households

eThekweni Metropolitan Municipality was 3.09 million and has grown at an average annual percentage of 1.13% per annum. In terms of gender the municipal population comprises 49% males and 51% females. eThekweni Metropolitan Municipality is a Category A municipality found in the South African province of KwaZulu-Natal. It is the largest city in this province and the third-largest city in the country. Its land area is comparatively larger than that of other South African cities and is topographically hilly, with many gorges and ravines and almost no true coastal plain. It occupies an area of 2 556km² and cities or towns that are under eThekweni.

Cities/Towns: Amalanga, Amanzimtoti, Amaotana, Berea, Blackburn, Bluff, Cato Ridge, Cele/Vumengazi, Chatsworth, Cibane, Clermont, Clifton Canyon, Craigieburn, Dassenhoek, Desainager, Durban, Durban International Airport, Durban North, Durban South, Emalangeni, Embo/Nksa Isimahla, Emona, Ethekweni, Everton, Ezembeni, Folweni, Gcumisa, Genazzano, Gillitts, Glenashley, Golokodo-Ensimbini, Hambanathi, Hammarsdale, Hillcrest, Ilanga, Ilfracombe, Illovo North, Illovo South, Inanda, Inchanga, Iqadi, Isipingo, Isipingo Beach, Kingsburgh, Klaarwater, Kloof, KwaDabeka, KwaMashu, KwaNdengezi, La Mercy, Lotus Park, Luganda, Luthuli/Umnini Trust, Magabeni, Malagazi, Mangangeni/Vumazonke, Maphephetha, Mariannahill, Mawotana, Mawothi, Molweni, Mount Edgecombe, Mount Moreland, Mpolo, Mpumalanga, New Germany, Newlands East, Newlands West, Ngcolosi, Ngqungqulu, Ntuzuma, Oceans, Outer West Durban, Phoenix, Pinetown, Prospecton, Qadi, Qiniselani Manyuswa, Queensburgh, Redcliffe, Roseneath, Sapref, Shallcross, Sobonakhona, Thoyana, Tongaat, Tongaat Beach, Tshelimnyama, Umbogintwini, Umbumbulu, Umdloti, Umgababa, Umhlanga, Umkomaas, Umlazi, Verulam, Waterfall, Westbrook, Westville, Ximba.

Dr Nkosazana Dlamini- Zuma Local Municipality was established by the amalgamation of Ingwe Local Municipality and Kwa Sani Local Municipality. The vision statement of the

Municipality is a well governed quality service provider. The mission statement of Dr Nkosazana Dlamini-Zuma Local Municipality is to provide quality, sustainable basic services while promoting tourism, agricultural investment opportunities, community involvement and protection of environment.

These municipalities were selected for two reasons. The first reason was for convenient purpose in that it would be convenient for the researcher to have easy access for collection of data from the participants in these municipalities. The second reason was that these municipalities had merged over the years and they were assumed to be having leadership problems which would affect policymaking function. Therefore, the researcher intended to find out how the integration of stakeholders from different municipalities into one whole impacted on policymaking.

4.8 Sampling Frame

Sekaran and Bougie (2016) refer to sampling frame as a set of elements that is available for selection during the sampling process. The study selected its participants from a frame of four municipalities. The municipalities provided varying numbers in their staff compliment. The eThekweni Municipality had a staff complement of about 24 476. The Ray Nkonyeni Municipality had 1 200, uMdoni at 458 and Dr Nkosazana Dlamini-Zuma at 228.

4.9 Sampling Strategies

Abiwu (2016) refers to sampling as the art of choosing some portion of the target population. It can also be the art of obtaining information about an entire population by examining only a part of it. Moreover, sampling refers to the process of selecting a representative subset of the population, known as sample (Sekaran & Bougie, 2016). Basically, there are two main types of sampling, namely: probability (a process where each element in the target population has an even or non-zero chance of being selected as a subject or item of sample in a study) and nonprobability sampling (a technique of selection where the individuals have no or less chance of inclusion in the study) (Sekaran & Bougie, 2016). The study selected from both the probability and non-probability sampling the most suitable techniques.

4.9.1 Probability sampling

Probability samples provide an equal chance for all the participants or elements in the study population to be considered for the selection to participate in a specific study (Miller, Johnston,

Dunn, Fry & Degenhardt, 2010). Probability sampling strategy has a range of sampling methods.

4.9.1.1 Simple random sampling

In a simple random sampling technique, all the elements in a population have a known equal chance of being selected in a study (Bhattacharjee, 2012; Wilson, 2014). Sekaran and Bougie (2016), illustrated that in a population of 1000 where 100 samples are required. If each of the names of the population is dropped in a hat and 100 names are blindly drawn. The first name selected has $1/1000$ of being drawn and the second has $1/999$, the third has $1/998$ and so on. In essence, the probability of any names to be drawn is one, in the number of the entire population. The strength of this sampling technique lies in the fact that it is the most appropriate in generalising and has the least chance of being bias in sample selection (Tashakkori & Clark, 2010). This justifies the reason for the adoption of this technique in selecting the respondents who participated in the survey for this study

4.9.1.2 Systematic sampling

This is a type of probability sampling technique in which samples are drawn at a random starting point and consistent interval until the required samples are attained (Wilson, 2014). For example, where 100 samples are required from a population of 1000 using systematic sampling. Once a starting point is determined at random, every 10th person will be selected. This is arrived at by dividing 1000 by 100 which gives 10. So, if the starting point is 15, the 25th person is selected, followed by the 35th person, and so on. In systematic sampling technique, certain population demographics such as age, gender, race, education and the department may be put into consideration in the selection process. Systematic sampling was not adopted because the sample for this study was not drawn at intervals.

4.9.1.3 Cluster sampling

A cluster sampling refers to a technique by which the target population is divided into groups of people, rather than individuals, based on the membership in a group, geography, or some other variable. (Sekaran & Bougie, 2016; Vanderstoep & Johnston, 2009). Creswell (2014) argues that cluster sampling is more appropriate when it is difficult to establish the list of elements in a target population. In this sampling technique, the sampling frame is regarded as the clusters, rather than an individual element in the population (Saunders et al., 2019). In other words, the frame in cluster sampling is the comprehensive list of cases in the target population. Saunders *et al.* (2019: 230), identified three stages in cluster sampling processes:

- Select the cluster grouping for your sampling frame
- Number each of the clusters with a unique number. The first cluster is numbered 0, the second 1 and so on
- Select your sample using some form of random sampling

The common justification for adopting cluster sampling in research is to reduce cost and guide against ineffective sampling procedure. However, the shortcoming of the cluster sampling in representing the cluster sampling less accurately is the reason for not adopting it for this study.

4.9.1.4 Multistage cluster sampling

Cluster sampling can also be done in many stages otherwise referred to as multistage cluster sampling. A multistage cluster sampling is a sampling technique adopted to provide a solution to challenges associated with target population which is dispersed in different location but requires one on one contact or where it is cumbersome to establish sampling frame as a result large area to be covered (Sunders *et al.*, 2012). In multistage sampling, large a cluster of the target population is broken down into many smaller clusters for ease of data collection in a survey. The strength of cluster sampling is that it is less expensive to conduct and consume less time to gather data when compared to simple random (Dudovskiy, 2016; Saunders, 2019).

4.9.1.5 Stratified random sampling

Cesar and Carvalho (2011) argued that a stratified sampling method involves the process of dividing the study population into overlapping groups known as strata, which is defined by some features and each stratum is sampled separately. This refers to a process of stratification or segregation from which samples are drawn from each stratum (Sekaran & Bougie, 2016). In a stratified random sampling technique, the target population is divided into strata with samples being drawn from each of the stratum that made up the strata. To measure the performance of the department within an organisation, the strata may be the various departments such as marketing, production, finance, and quality control within such an organisation. Stratified random sampling is grouped into two: proportionate and disproportionate stratified random sampling. A proportionate stratified random sampling occurs when samples are established in each stratum in proportion to the population of that stratum. While in disproportionate stratified random sampling, the number of elements within each stratum are not proportionate to the population (Garg & Kothari, 2014; Tashakkori & Clark, 2010). Cesar and Carvalho (2011) recommended that this method of sampling helps to verify sample fractions and to improve efficiency of sample. Stratified sampling method has two techniques namely: proportionate and

dis-proportionate stratified sampling. A proportionate sampling technique is used when the population in each stratum is the same while dis-proportionate sampling technique is the sampling elements in the various strata is not necessarily to be as per the study population (Cesar & Carvalho, 2011).

The study adopted proportionate sampling technique to select the participants for the study. With this sampling method, an equal number of the participants will be selected from each of the strata. For example, the study population will be divided into subgroups such as top management, middle management and lower-level management in the localised sphere of government at the KwaZulu-Natal province. A sample size will be drawn from each of these strata.

4.9.2 Non-probability sampling

Non-probability sampling strategy gives the participants no chance of selection for the participation in the study (Chaturvedi, 2014). Chaturvedi (2014) argues that with non-probability sampling, items for the sample are selected deliberately by the researcher instead of using the techniques of random sampling. Non-probability sampling strategy has various techniques such as convenience sample, purposive sample and quota sample. In this study purposive sampling will be used to select the participants for the qualitative study.

4.9.2.1 Convenience sampling

Convenience sampling is a non-probability sampling type whereby samples are selected from a target population based on ease of access (Sekaran & Bougie, 2016). As Saunders *et al.* (2019) put it, convenience sampling is a process of selecting haphazardly the element of the population that are available during data collection for ease of access. This sampling technique is said to be appropriate in gathering specific information that may be difficult when a simple random sampling technique is not adopted. Some researchers adopt convenience sampling in a study because it is less time consuming and less expensive to use. Despite some of the benefits of adopting this technique in a study, Sekaran and Bougie (2016) identified the shortcoming of convenience sampling as the inability to make a generalisation based on the findings of the study that adopted convenience sampling for data collection.

4.9.2.2 Quota sampling

Sekaran and Bougie (2016), refer to quota sampling as a type of proportionate stratified sampling technique, in which a predetermined proportion of the population are sampled from diverse groups but on a convenience basis. In essence, quota sampling is

therefore seen as a type of stratified sampling in which subjects are selected from strata non randomly (Saunders *et al.*, 2019). Saunders *et al.* (2019: 235) argue that quota sampling follows the following steps:

- Division of target population into specific groups
- Calculate a quota for each group based on relevant and available data
- Give each interviewer an assignment, which states the number of cases in each quota from which they must collect data
- Combine the data collected by interviewers to provide the full sample

Quota sampling is appropriate to be adopted among a diverse population group. The outcome of a study adopting quota sampling may not be reliable in generalising.

4.9.2.3 Snowball sampling

Snowball sampling refers to a non-probability sampling technique whereby research participants recruit or refer other participants to participate in a study (Creswell, 2014; Saunders *et al.*, 2019; Wilson 2014). Snowball sampling is adopted when it is difficult to recruit participants to participate in a study due to the secrecy or sensitivity of the data required. The benefits of adopting this sampling technique are that the referral process gives the researcher the leverage to reach a target population that difficult to locate. The major shortcoming of this technique is that the research findings may be biased as the researcher does not have control over the sampling process. Snowball sampling was not adopted in this because there was no secrecy in the data collection process in the selected municipalities.

4.9.2.4 Purposive sampling

Purposive sampling is a non-probability sampling technique in which a researcher uses own judgement to select samples on who have adequate knowledge about research objectives and able to respond to the research questions (Sekaran & Bougie, 2016; Wilson, 2014). Purposive sampling is referred as judgemental, selective or subjective sampling because it relies on the judgement of researcher which could be subjective to select samples for a study. The aim of purposive sampling is to place emphasis on a specific element of a target population who can respond to the research questions. The reason for adopting a purposive sampling technique in this study was based on its uniqueness in selecting study sample based on a researcher's judgement of those that have adequate knowledge of the research problems, and who are able to provide response to the research questions. The years of experience and position

occupied on the job were considered in selecting management members with adequate knowledge on the roles of stakeholders in policymaking.

Etikan, Musa and Alkassim (2016) also argue that purposive sampling technique is called judgment sampling. It is used when the research makes deliberate choice of certain participants because of the qualities that they possess. A purposive sampling technique is used to select participants who possess unique knowledge or experience on the subject matter being studied (Cresswell & Plano Clark, 2011). Purposive sampling technique has two sampling methods such as snowball and judgment sampling. However, judgmental sampling strategy will be used to select participants for qualitative data collection. The researcher decides to use judgment sampling because it allows for the selection of stakeholders much experience on policymaking. Also, the study used judgment sampling to collect relevant information from the participants regarding the phenomenon under investigation.

4.9.3 Adopted sampling strategies for this study

This study adopted both probability for the quantitative study and non-probability sampling techniques for the qualitative study to obtain the right participants to provide responses to the research questions in order to achieve the research objectives. The selected municipalities are located in the province of KwaZulu-Natal, South Africa. Selection of the four municipalities was based on purposive sampling which include merger, and municipal category (rural and metropolis). Proportionate sampling technique was employed in selecting participants from the four municipalities for the quantitative study. Judgmental sampling technique, which is a non-probability sampling method is adopted in the selection of participant for the qualitative data collection through in-depth interview. This method is adopted to allow experts with the knowledge of policymaking at the localised sphere provide answers to the research questions.

4.10 Sample selection criteria

To begin with, only participants that were directly involved in policymaking within the organisation were selected to participate in the study. Secondly, to qualify for participation in the study, each participant was involved in policymaking in the previous years. Thirdly, only those participants with knowledge or experience in policymaking were selected for the study.

4.11 Sample Size

The sample size for this study was drawn from the sampling frame. The sample frame in this study comprises of all the stakeholders involved in policymaking including senior

management i.e. (General Manager Corporate Services, General Manager Community Services, General Manager Planning & Development, General Manager Technical Services, General Manager Finance/Chief Executive Officer, Snr Director, Departmental Heads, Deputy/City Manager and Municipal Managers), Councillors, representatives of labour unions. The study will select 526 participants as the same size. The sample size was determined by calculating 5% of the total staff strength from each municipality, as shown in Table 4.2.

With respect to the qualitative study, a sample size of four participants from each municipality was selected from the top management positions (Mayor, Deputy Mayor, Speaker, and the Chief Whip) making 16 participants for in-depth interviews on policymaking. According to Sekaran and Bougie (2013), for qualitative study, the acceptable sample size should range between 7-30. Therefore, the sample size of 16 participants is enough to gather more needed information from the participants. However, with regards to the quantitative study, 5% of the total number of experienced stakeholders from each municipality was stratified to make a sample size of 53 participants. A sample size of 53 participants is adequate for sufficient information to be gathered as shown from the table 4.2 below.

Table 4.2 List of the workforce at the four selected municipalities

Name of municipalities	Staff strength	Total No of experienced stakeholder's in policymaking	Sample size of 5 %
EThekwini	24,476	1, 228	24
Ray Nkonyeni	1,200	422	21
UMdoni	458	94	5
Dr Nkosazana Dlamini-Zuma	228	68	3
Total	27, 486	1812	53

Source: Researcher's compilation (2020)

A total of 69 participants was drawn from the entire population with the addition of 16 participants for qualitative study.

4.12 Data collection Instruments

Data collection forms an important aspect of field research. There are different kinds of data collection instruments in the field of research. However, since the study adopts mixed method,

both personal interviews and questionnaires were used for data collection. The rationale for choosing these methods of data collection is explained below.

4.12.1 Personal interviews

Saunders *et al.* (2019) argue that personal interviews are the most common methods in qualitative research. A personal interview was used to explore the beliefs, views, motivations and experiences of individual participants regarding a particular phenomenon being studied. It was a data collection technique whereby the researcher or investigator probes the interviewees on the subject matter under discussion. The aim of the interviews was to gain deeper insight into the selected role of the stakeholders in the organisation and to extract in-depth data regarding policymaking.

A semi-interview was conducted with the participants. This form of interviews will allow the researcher to probe the participants of important themes in order to get more idea or clarity in the response.

The researcher designed interview guide to elicit information from the participants concerning their role in policy formulation and implementation in the localised sphere of government in KwaZulu-Natal. The interviews guide was designed to cover six areas as follows.

- i. Part one focused on the bio-data of the participants namely: gender, age race, years of experience, employment status, position and educational qualification.
- ii. Part two elicited information on the role of the stakeholders regarding policy formulation and implementation in the localised sphere of government.
- iii. Part three covered questions on how policies are formulated and implemented on socio-economic development at the localised sphere of government.
- iv. Part four proceeded to investigate the factors that influence policy formulation and implementation on service delivery at the localised sphere of government.
- v. Part five examined the importance of policymaking on socio-economic development in the localised sphere of government.
- vi. Part six investigated the challenges associated with policy formulation and implementation in the localised sphere of government.

The interviews were conducted in English since most of the participants are conversant with the language. Also, it was conducted at the place convenient for all the participants. Each interview lasted between 20 to 30 minutes.

4.12.2 Questionnaires

Sani-Cln (2011) refers to questionnaires as list of questions which related to the study objectives which the participants were required to answer. Questionnaires are cost-effective method of collecting large data from participants. They were also easy to administer and the participants completed the questionnaire at their own convenience.

The questionnaires were designed to cover six main areas:

- i. **Section A** covered questions on bio-data of the participants, namely: gender, race, age, working experience, job status, qualification and department.
- ii. **Section B** deals with questions on the role played by the stakeholders regarding policy formulation and implementation on socio-economic development at the localised sphere of government in KwaZulu-Natal.
- iii. **Section C** contains questions on how policymaking are done in the localised sphere of government in KwaZulu-Natal.
- iv. **Section D** covers questions on the factors that influence policy formulation and implementation on socio-economic development at the localised sphere of government in KwaZulu-Natal.
- v. **Section E** deals with questions on the importance of policymaking on service delivery at the localised sphere of government in KwaZulu-Natal.
- vi. **Section F** contains questions the challenges associated with policy formulation and implementation in the localised sphere of government in KwaZulu-Natal.

The questionnaires were constructed with the help of statisticians and expert opinions from the researcher's supervisor. The questionnaires were constructed only in English language since the participants know and understand the language. The questions were precise, short and clear. An ambiguous question was avoided.

4.13 Pilot Study

Both the qualitative and quantitative instruments were piloted before the main research. Saunders et al. (2019) suggest that a pilot study is a mini version of the full research which

tests the research protocols and methods. The motivation behind the pilot study was to assess whether the study is feasible. Another motivation was to measure the reliability and validity of the instruments. The pilot study was conducted among 10 participants in the above-mentioned institutions. However, the participants that took part in the pilot study were not involved in the actual research. The pilot study was conducted at places that were convenient for all the participants.

The results of the pilot study did not present major challenges that required addressing. This could be attributed to the close working relationship with the skilled and experienced supervisors. The supervisors' guidance at preparation stage of the research tools contributed immensely to the piloting of an error free tools. Instead, the piloting stage alerted the researcher to some of the administrative challenges that could be encountered during data collection. These include securing convenient time for both the participants and the researcher as both had other professional and personal commitments that could interfere with setting up the time that could be mutually convenient for conducting the study. There was also the gatekeeping issue as the supervisors at some of these municipalities required time consuming lengths of time to be made to understand that the study was academic rather than an investigation meant to reveal how they conducted their duties.

4.14 Data Quality Control

Data quality control is an important consideration in research. Data quality control in this study should enhanced through reliability, validity, credibility and trustworthiness. However, both reliability and validity were used in quantitative studies while the latter were used in qualitative studies.

4.14.1 Reliability and validity

Sekaran & Bougie (2013) argue that validity refers to the extent to which the research instrument assesses what it was meant to assess. The validity of the study was to ensure by conducting Factors Analysis on all the items in the questionnaires. Validity of an instrument was the test of goodness of measure.

Reliability on the other hand, refers to the consistency of the research instrument over repeated measures (Sekaran & Bougie, 2013). The reliability of the research instrument was to achieve through the application of Cronbach's Alpha Coefficient. Cronbach alpha coefficient score of 0.70 and above was considered as reliable in this study". The closer the coefficient alpha to 1, the stronger the degree of consistency of the measuring instrument.

4.14.2 Trustworthiness

As mentioned above, trustworthiness is an instrument that was used in qualitative studies to ensure data qualitative control. The term trustworthiness refers to the extent to which the set of meanings derived from several interpreters are sufficiently congruent (Sekaran & Bougie, 2013). To achieve trustworthiness in this research, the researcher made sure that the environment selected for the interviews is secured and free from noise. Furthermore, trustworthiness was achieved through the verification of the accuracy of results. Also, the researcher ensured that copies of transcripts derived from the participants were transcribed to ensure the true reflection of their opinions. There four criteria for measuring trustworthiness in qualitative research, namely: credibility, dependability, transferability and conformability. The criteria were used to determine the trustworthiness of the qualitative findings.

In qualitative research, the term credibility refers to the authenticity of the research findings (Saunders et al., 2019). The triangulation of results in this study helped to ensure the credibility of the findings. The triangulation of the analysis outcome was presented. Also, the researcher verified the various transcripts with all the participants, and also made use of rich, thick description to convey the various findings of the study. Furthermore, the researcher tried to avoid bias regarding the findings or results of the study.

Dependability refers to the consistency of the research findings over time (Anney, 2014). Dependability was determined through the audit trail, stepwise replication and code-recode strategy. Transferability refers to “the extent to which qualitative results can be relocated to other contexts with other participants. It also refers to the degree to which the findings can be generalised (Anney, 2014). Transferability in this study was achieved through thick description of information and using judgement sampling to choose participants with sufficient knowledge on the topic under investigation. On the other hand, conformability relates to the extent to whether the findings can be confirmed by other researchers (Anney, 2014). It was determined through audit trail.

4.15 Measurement scale

A 5-point Likert scale was used as the measurement scale in this study. The response choice scoring weights were: Disagree =1; Strongly Disagree = 2; Neutral = 3, Agree =4, and Strongly Agree = 5.

4.16 Data Analysis

Since the study is a mixed method research, the quantitative data was analysed by statistical tools, while data gathered from in-depth interviews were transcribed and analysed through thematic presentations. Mixed analysis involves the use of both quantitative and qualitative analytical techniques within the same framework, which was guided either by a priori, posteriori, or iteratively (Onwuegbuzie & Combs, 2011:2). With respect to this approach, the qualitative data was the first to be analysed which should be followed by the quantitative data analysis.

4.16.1 Qualitative data analysis

Onwuegbuzie and Combs (2011) suggest that qualitative data analysis goes through several stages, namely: data reduction, data display and interpretation and conclusion. Researchers (Yin, 2016; Sekaran & Bougie 2013; Onwuegbuzie & Combs, 2011) argue that qualitative data analysis goes through a number of stages. Yin (2016) recommends that qualitative data analysis should go through seven stages such as compiling the data into a formal database, disassembling the data in the database, reassembling, interpreting the results and concluding.

There are several programmes or software that are available for qualitative researchers namely: ATLAS-ti7, NVivo10, MA Xqda11. NVivo 12 software should assist the researcher to enhance accuracy of qualitative studies. Therefore, the application of this software should help the researcher to generate and organise the various themes which emerged from the dataset.

There are two methods of conducting qualitative analysis, namely: thematic and content analysis. Content analysis refers to the technique which classifies written or oral materials into identified categories of similar meanings (Moretti, van Vliet, Bensing, Deledda, Mazzi, Rimondini, Zimmermann & Fletcher, 2011). Thematic analysis on the other hand was useful in analysing classifying and presenting themes/patterns which emerged from the information or data collected. NVivo 12 software was used to generate themes and sub-themes of the research constructs. The software was used to display the data in great detail and deals with diverse subjects via interpretations. The current study would employ the thematic analysis because of the advantages of the flexibility. Thematic analysis provides a flexible and useful research tool, which can potentially provide a rich and detailed information.

4.16.2 Quantitative data analysis

A quantitative data analysis involves the systematic approach to investigations where numerical data was collected and transformed into numerical data (Begum & Ahmed, 2015).

The Statistical Package for the Social Science (SPSS), version 24.0 was used to analyse the quantitative data. According to Begum and Ahmed (2015), SPSS was a versatile package that allows many different types of analyses, data transformations and forms of output.

Also, the study made use of both descriptive and inferential statistics for the interpretation of the results. Descriptive statistics such as mean, standard deviation, range, frequency and percentage were used. However, with regards to inferential statistics, there are two main tests that was used such as non-parametric and parametric test. The test of normality helped to determine the use of the parametric test. This statistical test should include one sample t-test, analysis of variance (ANOVA), Pearson's product correlation coefficient, factor analysis, Cronbach's alpha coefficient.

4.17 Ethical Considerations

This study takes into consideration the issue of privacy, confidentiality, informed consent and anonymity. Therefore, gatekeepers' letters were obtained from the four municipalities' authority showing their approval and interest to participate in this study. The gatekeepers' letters, research topic, research objectives, research questions and research methodology were sent to the Social Science Research Ethics Committee of the University of KwaZulu-Natal through the RIG system for ethical clearance and approval. In order to protect the interests of the participants, ethical considerations were taken by observing all the rules and guidelines in the informed consent. The participants were also allowed to read through the informed consent form to understand the purpose of the research before signing. The anonymity and confidentiality of the participants were ensured through the use of pseudonyms. The collected data for this study will be kept with the school management (College of Law and Management Studies Graduate School of Business & Leadership) and will be discarded after five years.

The Ethical Clearance Certificate was issued on 25 September 2019 with reference number HSSREC/00000462/2019. This study ensured that privacy, confidentiality, informed consent and anonymity of the participants were strictly protected.

4.17.1 Privacy and confidentiality

Privacy and confidentiality are important ethical issues to be considered in this study. A confidentiality clause was included in the covering letter to all the participants. In ensuring privacy and confidentiality, the researcher will ensure that all information elicited from the research participants are kept at a safe place in the University.

4.17.2 Informed consent

The permission to conduct the study was officially obtained from participating organisation as evident in the Gate Keeper's letter. Having obtained the permission and ethics approval, the researcher proceeded to approach the participants for participation in the study. A written informed consent form was given to each participant. They were requested to carefully read and sign consent form to confirm that they agreed to voluntarily participate in the study. All the participants were informed of the aims of the research and the researcher guaranteed them that the information gathered will be purely for academic use. Furthermore, the researcher sought the permission from participants to record their interviews prior to the data collection process. They were also given the opportunity to withdraw from the research if they so desire. Once the participants were agreeing to voluntarily participate in the study, the researcher did go ahead to conduct the interviews among them. During the interviews, sufficient time was given to the participants to think through the questions before answering.

4.17.3 Anonymity

Participant's anonymity was another important ethical issue to be addressed in this study. The anonymity of all the participants was guaranteed as well as misuse of data collected from the participants would be avoided. The researcher made certain that during and after the research process, the participants' names were withheld or not contained in any document relating to the study. Also, the participants' names were substituted with pseudonyms, their identities concealed within dissertation, oral presentations and subsequent publications.

4.18 Limitations of the Study

One of the limitations of this study was the limited scope of the study. This study did not take into consideration other merged municipalities from other provinces. Additionally, KwaZulu-Natal is one of the nine provinces in South Africa, however, findings from this research study may not be generalisable to the whole population in the country. However, the structured questions for data collection in this study covered most of the problems associated with policymaking in South Africa. Also, most of the participants are mainly from the city and the outcome of the research findings may give little or no voice to stakeholders from the rural areas. However, this study ensured that the problems of local stakeholders' engagement is addressed and advocated for grassroot stakeholder's inclusion in policymaking with regards to service delivery.

4.19 Conclusion

This chapter explored the various forms of research strategies adopted to achieve the research objectives. Some of the philosophical research assumptions were highlighted, and the pragmatic research worldview was found appropriate and discussed in this chapter. The research approaches were narrated before adopting the abductive research approach for this study. This chapter also justified the research design which include survey and case study research design. Proportional sampling technique, convenience sampling and judgment a l sampling method were the research sampling techniques adopted in this study. The statistical tools such as the SPSS version 25 were adopted for quantitative data analysis and NVivo 12 software was used to analyse qualitative data for thematic analysis. The next chapter presents the results of the study”.

CHAPTER FIVE: DATA ANALYSIS, PRESENTATION AND INTERPRETATION

5.1 Introduction

This research study aimed to investigate the roles of stakeholders in policymaking at the localised spheres of government in KwaZulu-Natal, South Africa. Therefore, data collection was done across four municipalities in KwaZulu-Natal province which were eThekweni Municipality, uMdoni Municipality, Dr Dlamini Zuma Municipality and Ray Nkonyeni Municipality. The analysis aimed to examine the impact of policymaking activities on community development. Furthermore, this study sought to identify some challenges facing municipalities during policymaking activities at the local spheres of government.

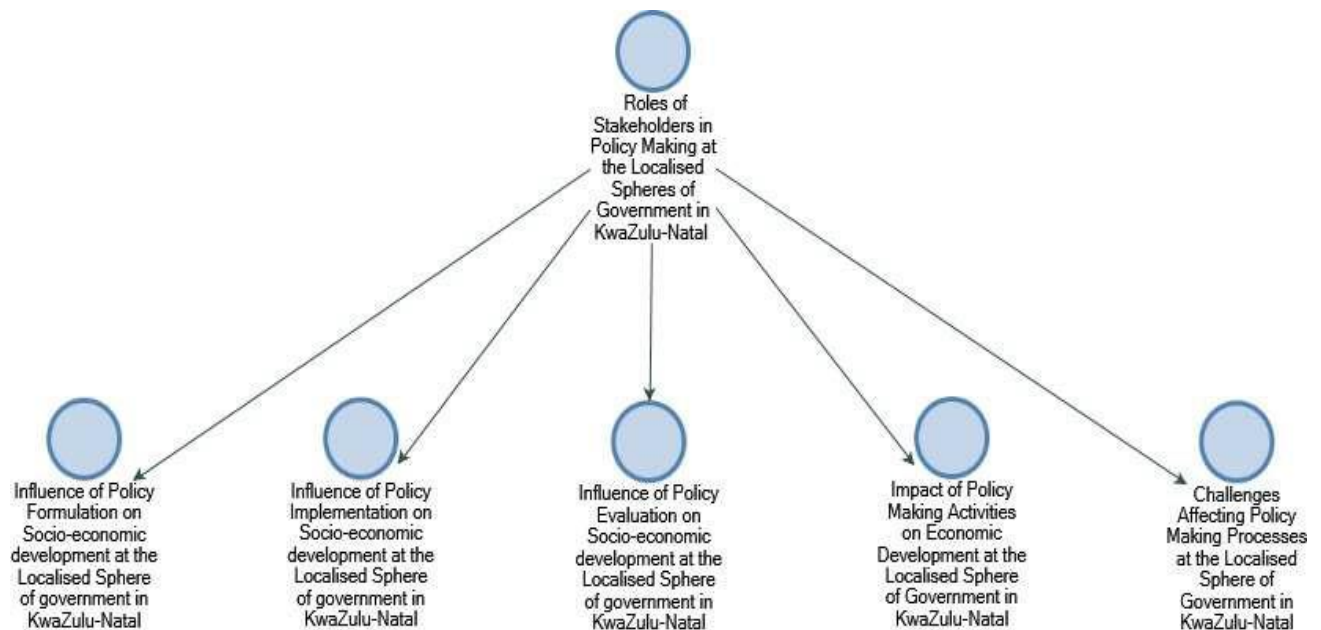
This chapter focuses on the data analysis and presentation of data using NVivo, versions 12, for the qualitative analysis and SPSS version 25 for the quantitative analysis. “The qualitative and quantitative analysis are structured to provide appropriate responses to all the research questions to achieve the research objectives. The research objectives are to examine the influence of policy formulation on socio-economic factors, to determine the influence of policy implementation on socio-economic development, to establish the impact of policy evaluation on socio-economic development, to establish the impact of policymaking activities on economic development and to identify challenges affecting policymaking processes. The summary of these research objectives is shown in figure 5.1 below.

Exploratory sequential mixed method was employed in this study. Therefore, in-depth interviews were conducted for qualitative data collection among top politicians within the municipalities. The interview process was preceded by the administration of questionnaire to administrative officials and community stakeholders within the selected municipalities for quantitative data collection. This mix-method approach allows for triangulation and remove the bias posed by either of the research approach. The transcribed information from the in-depth interviews was imported and coded into the NVivo 12 software to generate themes and sub-themes. The result of qualitative data will be presented in four models per question to reveal the outcome from the four municipalities and submission to each question will be stated below for comparison.

5.2 Presentation of the Qualitative Data

This section of the chapter presents the qualitative data as generated per each of the four municipalities of interest. The presentation is preceded by a graphical presentation (Figure 5.1) of the research objectives as a way of guiding the discussion and to avoid deviation from the set goals of the study.

Figure 5.1 Research Project Map



As noted at the beginning of this report (Chapter 1), the study was motivated by a concern that KwaZulu-Natal is ranked as the second province that is most likely to have service delivery protests by the body that monitors protests called Municipal IQ (2019). Moreover, scholars such as Ngcamu (2019) and Thondhlana, Shackleton and Bignaut (2015) identify a link between service delivery and non-participation of stakeholders in decision-making. These unsettling experiences with service delivery at the local sphere of government have serious socio-economic implications for those areas and the entire province. This may spill over to the entire country's economy. All these factors were taken as an indication that the area of governance in KwaZulu-Natal requires a thorough investigation. The next subsection presents the findings from each municipality among the four that were the focus of this study.

5.2.1 How policies are formulated

Literature suggests a positive link between stakeholder participation in policy formulation and successful implementation (Bučaitė-Vilkė & Krukowska 2020; Jayasuriya 2006; Bateye and Ogunyemi 2015; Kufi 2013). It is argued that when stakeholders participate in policymaking at the localised spheres there is a creation of awareness of the problem, consultation with other stakeholders, drafting of policy, presentation of policy, formulation of policy and implementation of policy (Nangoli, Namiyingo, Kabagambe, Namono, Jaaza and Ngoma, 2016; Madzivhandila & Maloka, 2014; Aminu, Tella & Mbaya, 2012; Kahane, Loptson, Herriman & Hardy, 2013). Hence, this subsection presents data on how policies are formulated within the selected municipalities of KwaZulu-Natal. The information is first presented graphically (Figure 5.2 – 5.5) before a discussion that serves to interpret the figures is provided.

Figure 5.2: How policies are formulated within the eThekweni Municipality

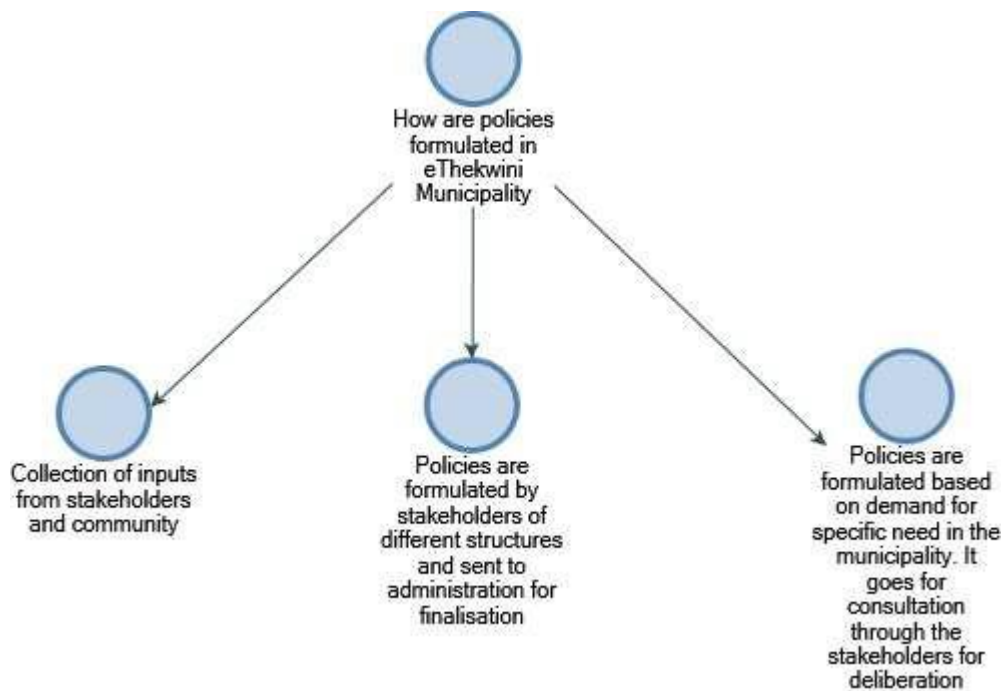


Figure 5.3. How policies are formulated in uMdoni Municipality

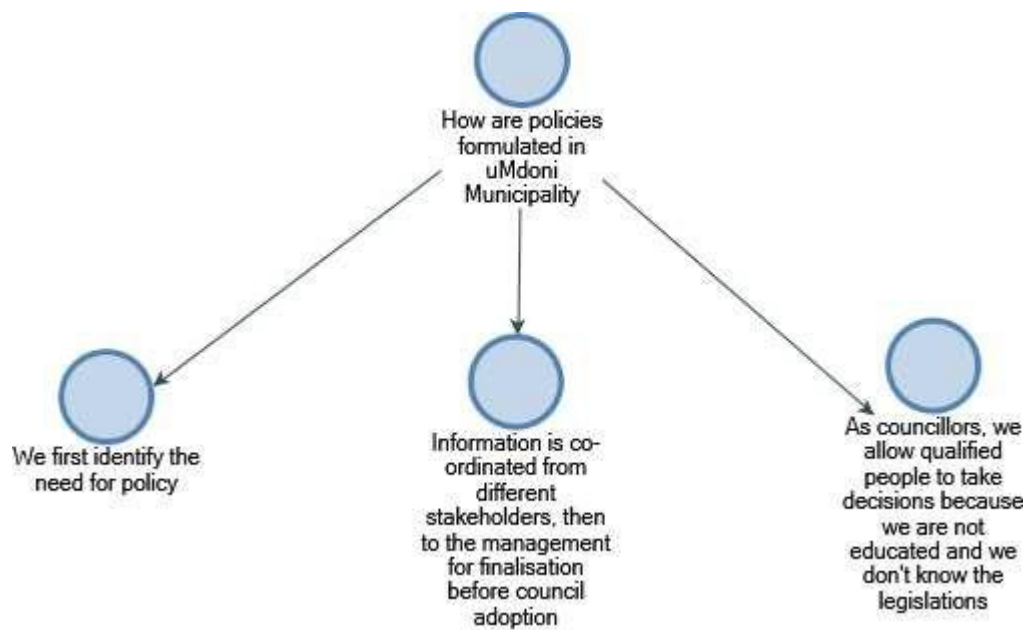


Figure 5.4. How policies are formulated in Dr Dlamini-Zuma Municipality

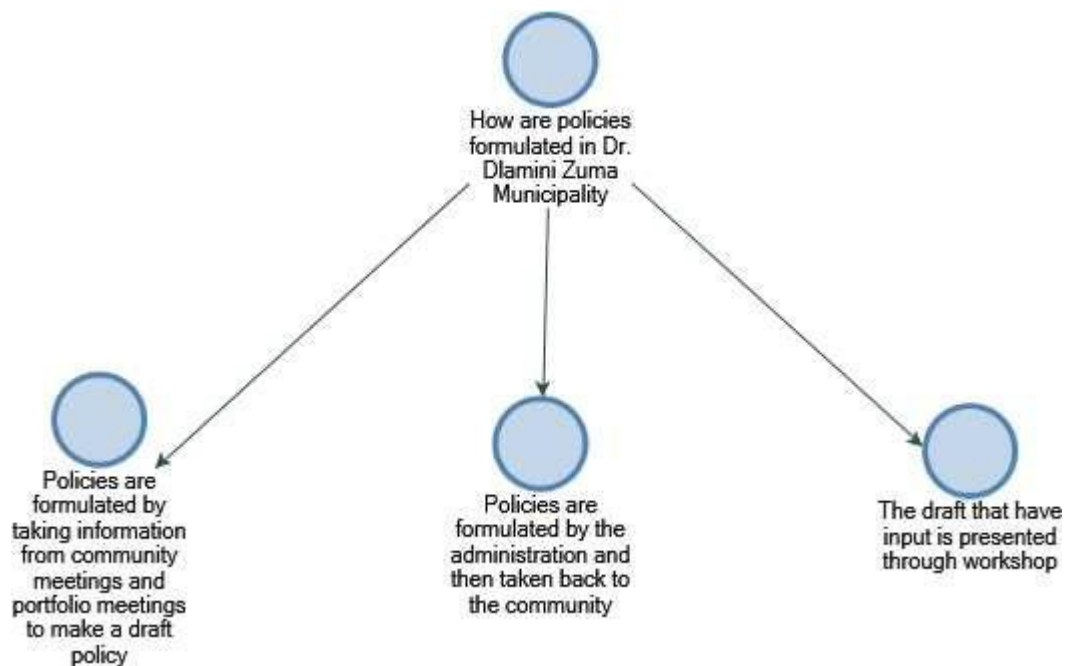
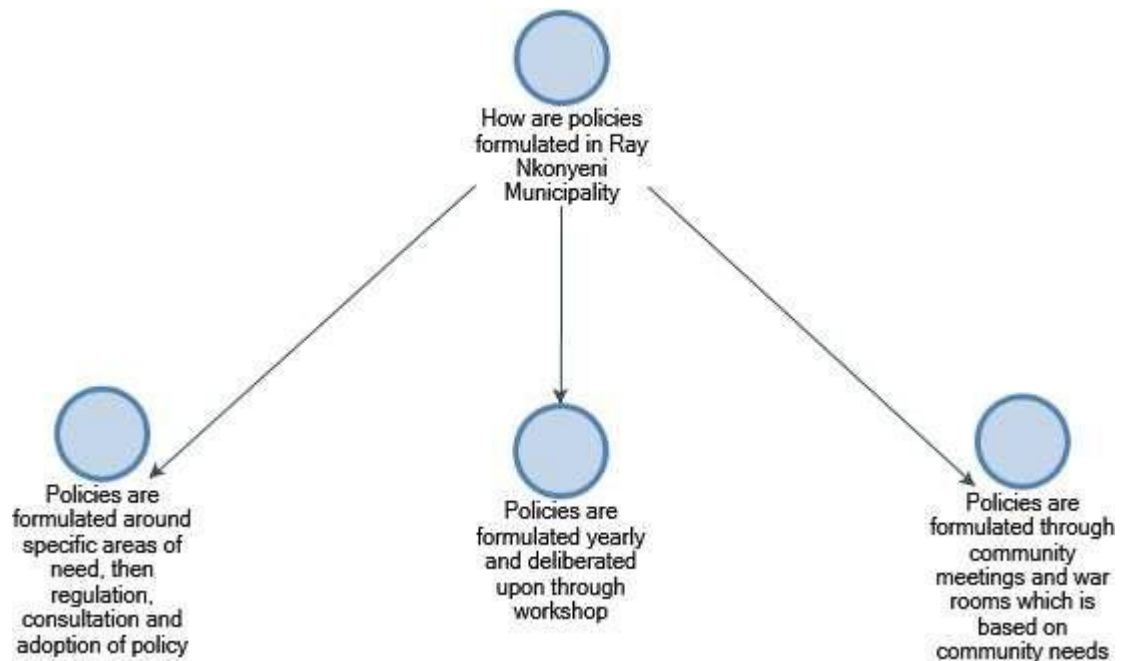


Figure 5.5. How policies are formulated in Ray Nkonyeni Municipality



Interpretation

As noted above, Figure 5.1 presents the shortened version of the objectives of the study which are detailed in Chapter 1. The discussion in this chapter is guided by these objectives to provide an indication of whether the study achieved what it set out to accomplish. The main objective is to assess the role of stakeholders at the local sphere of government in the formulation of policies. Hence, this sub-section presents what transpires at the four different municipalities that form the context of this study.

In eThekweni Municipality (Figure 5.2), formulation of policy is done through collection of inputs from stakeholders and community members. Policies are also formulated through different structures of stakeholders and sent to the administration for finalisation. Specific demands from the municipality are also taken into consideration as the policy goes for consultation through the stakeholders for deliberation.

Policy formulation in uMdoni Municipality (Figure 5.3) starts with the identification of the need for policy. Information is also coordinated from different stakeholders, which then goes to the management for finalisation before council adoption. According to one of the

respondents, some of the uneducated councillors are not allowed to take part in policy formulation because they lack legislative knowledge. The respondent posited that:

As councillors, we allow qualified people to take decisions because we are not educated and we don't know the legislations.

In Dr Dlamini Zuma Municipality (Figure 5.4), policy formulation is conducted in three different ways. Firstly, policy formulation is preceded by the collection of information from community meetings and portfolio meetings which is then used to develop a draft policy. Secondly, policies are formulated by the administration and then taken to the community for input. Lastly, another respondent mentioned that the draft policies from the administration are presented through workshops.

Policy formulation in Ray Nkonyeni Municipality (Figure 5.5) is done around specific areas of need and followed by regulation, consultation and adoption. Policies are formulated yearly and deliberated upon through workshops. Lastly, policies are formulated through community meetings and war rooms which is based on community needs.

From the foregoing, it can be observed that in all the municipalities that policy formulation is initiated as a result of community demands and different stakeholders participate in the drafting of such policy. A common source of policy formulation is through community meetings and war rooms. Apart from Ray Nkonyeni Municipality community, other municipalities affirmed that policy formulation is finalised by the administration or management. This policy formulation process contradicts what happened in the doomed twelve-year consultative process on the development of the Red Location Museum complex in Nelson Mandela Bay where it appears that communities were left out as critical stakeholders, see Chapter 1, 1.3 (Gavin 2017).

5.2.3 How has policy formulation influenced socio-economic development?

This sub-section addresses the objective of the study that was directed at gaining an understanding on the impact of policy formulation on socio-economic development in the four municipalities of interest. It has been argued that poor policy formulation and implementation contribute to instability that can take the form of service delivery protests and termination of projects into which huge investments have been made (Gavin, 2019; Ngcamu, 2019; Thondhlana, Shackleton and Blignaut, 2015). This may in turn impact negatively on socio-

economic development. The discussion that follows presents the model of each municipality before the interpretation of the model is provided.

Figure 5.6 eThekweni Metropolitan Municipality policy formulation and socio-economic development

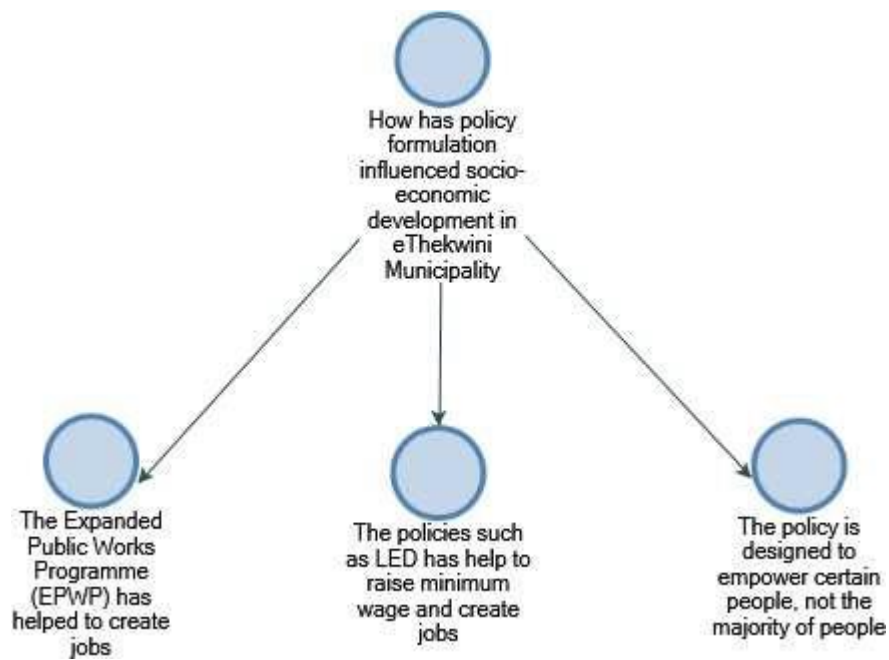


Figure 5.7. Umdoni Local Municipality policy formulation and socio-economic development.

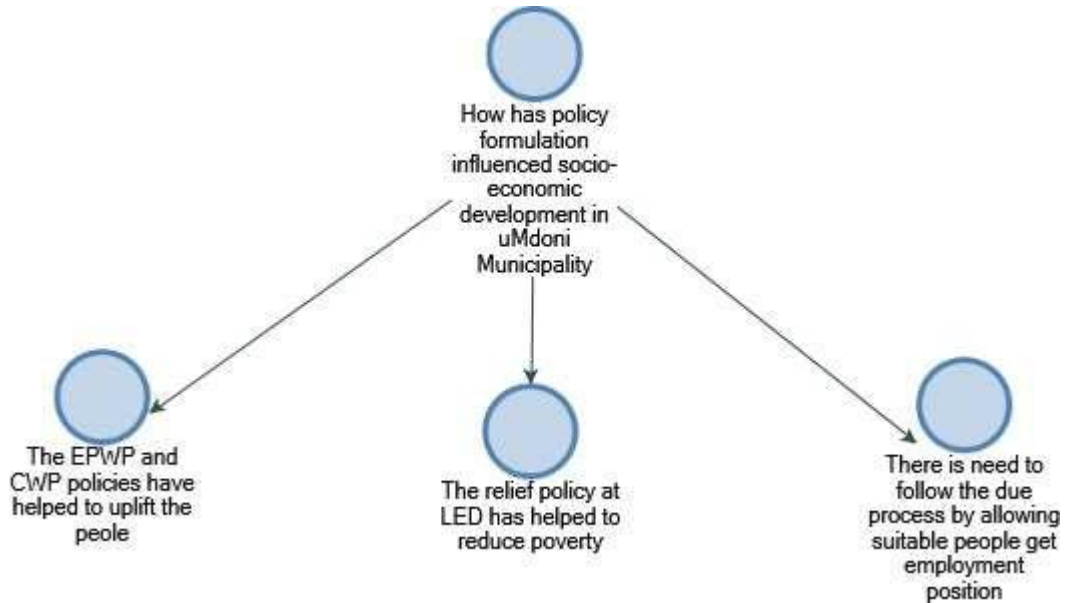


Figure 5.8. Dr Dlamini Zuma Municipality policy formulation and socio-economic development.

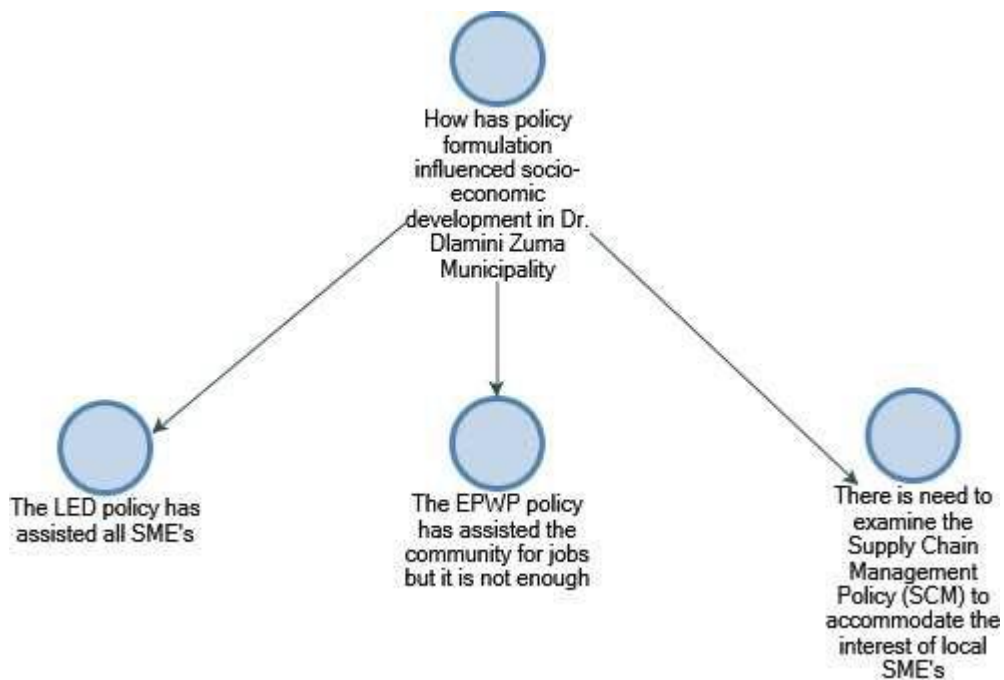
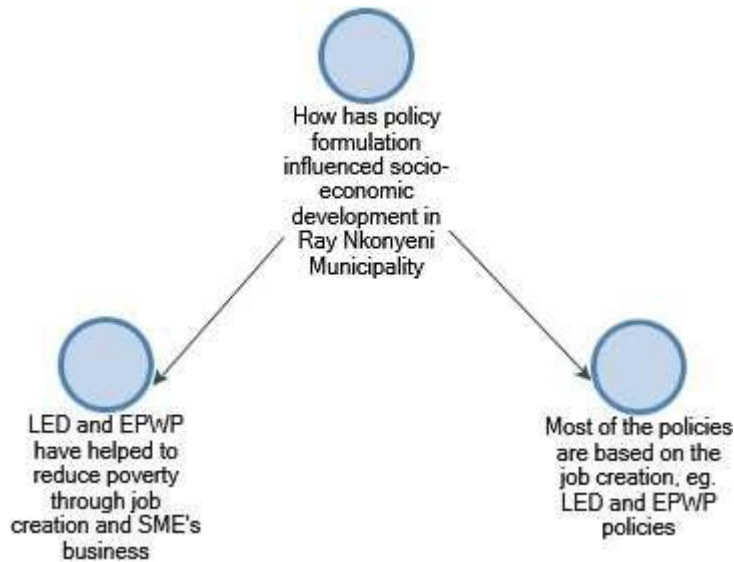


Figure 5.9. Ray Nkonyeni Municipality policy formulation and socio-economic development.



Interpretation

Regarding the influence of policy formulation on socio-economic development, findings from eThekweni Metropolitan Municipality (Figure 5.6) revealed that the Expanded Public Works Programmes (EPWP) and the Local Economic Development (LED) policies have helped the communities to create job opportunities and raise minimum wage of the local people. However, one of the respondents mentioned that the formulation of the policy is discriminatory, and few people benefited from it. The respondent stated that:

The policy is designed to empower certain people, not the majority of the people.

Similarly, perceptions from uMdoni Municipality (Figure 5.7) indicated that the EPWP, LED and CWP policies have assisted in the reduction of poverty and uplift the people. However, one of the respondents hinted that there is a need to allow qualified people to occupy employment position by following the due process.

There is need to follow the due process by allowing suitable people get employment position.

Findings from Dr Dlamini Zuma municipality (Figure 5.8) showed that the LED policy has helped all local Small and Medium Enterprises (SMEs) and the EPWP have assisted in the creation of jobs. Some of the respondents also commented that the policies are not addressing the problems. For instance,

The EPWP policy has assisted the community for jobs but it is not enough.

Another respondent posited that:

There is need to examine the Supply Chain Management policy to accommodate the interest of the local SME's

Research findings from Ray Nkonyeni municipality (Figure 5.9) revealed similar interest with other municipalities. However, one of the respondents raised a general concern about the policies.

Most of the policies are based on job creation e.g. LED, and EPWP policies.

The above assertion suggests that most of the formulated policies from the four municipalities mainly focused on job creation. This suggests that job creation is the main socio-economic factor that is influenced by the policies.

Research findings from all the four municipalities indicated that the major socio-economic formulated policies are the EPWP, CWP, SCM and LED policies. Perceptions from the respondents revealed that there is a positive linkage between policy formulation and socio-economic development in the area of job creation and SME's. It is instructive to note that other socio-economic development factors such as electricity, housing, water, waste management, schools and road projects were not identified.

5.2.4 How are policies implemented within the municipality?

Figure 5.9 eThekweni Municipality policy implementation

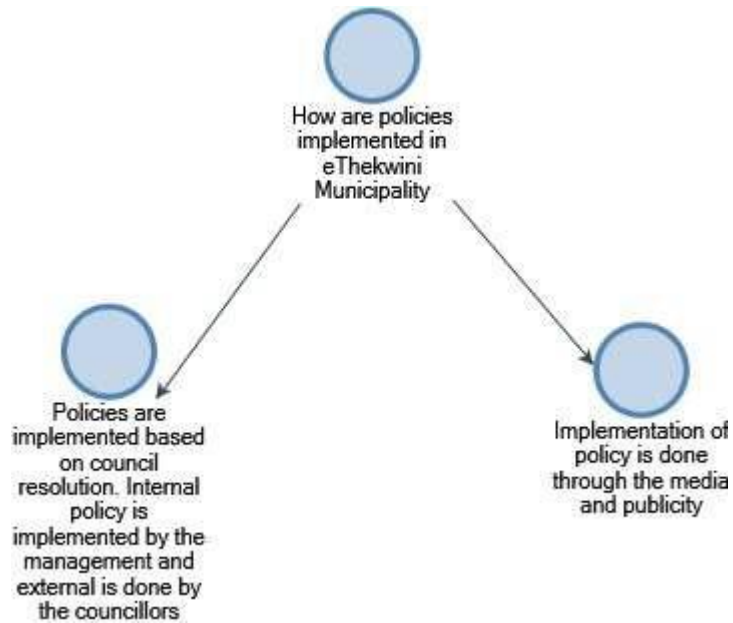


Figure 5.10 uMdoni Municipality policy implementation

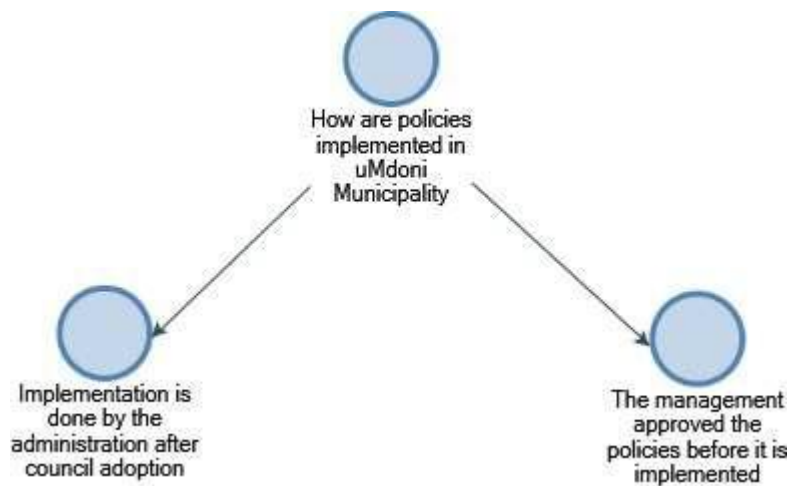


Figure 5.11 Dr Dlamini Zuma Municipality policy implementation

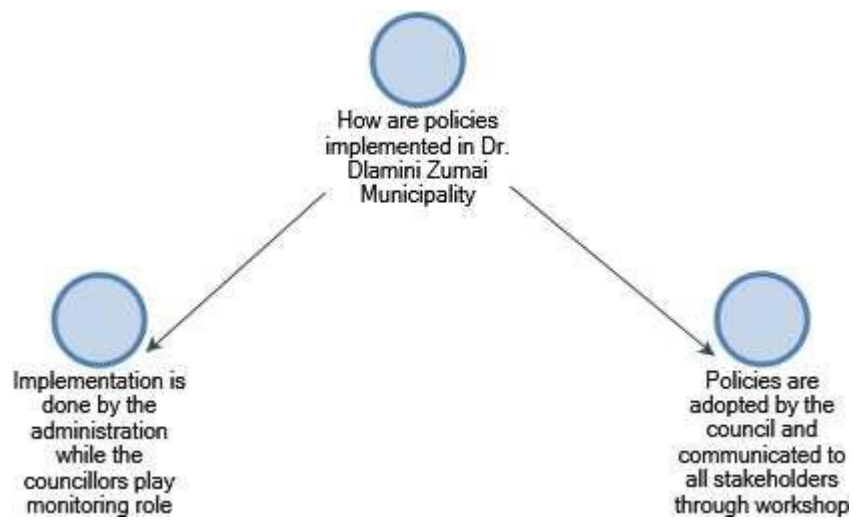
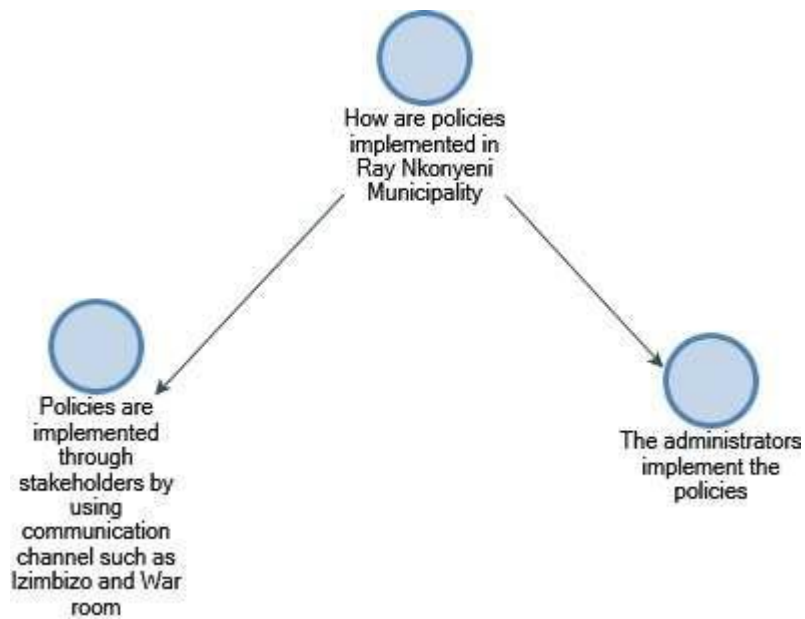


Figure 5.12 Ray Nkonyeni Municipality policy implementation



Interpretation

Outcome of the NVivo analysis in Figure 5.9 showed how policies are implemented in eThekweni Metropolitan Municipality”. Respondents revealed that policies are implemented based on council resolution, and implementation can be done through media publicity. It is important to note that implementation of policy may be internal or external as posited by one of the respondents:

Internal policy is implemented by the management and external policy is done by the councillors.

The model in Figure 5.10 also revealed that policy implementation in Umdoni Local Municipality is done by the administration or management after council adoption.

Respondents’ perceptions from Dr Dlamini Zuma municipality (Figure 5.11) showed that policy implementation is done by the administration while the councillors play monitoring role. Additionally, one of the respondents described the mode of policy implementation within the municipality:

Policies are adopted by the council and communicated to all stakeholders through workshops.

In similar vein, the implementation of policies in Ray Nkonyeni municipality (Figure 5.12) indicated that policies are done through different communication channels. The respondents opined that:

Policies are implemented through stakeholders by using different communication channels such as izimbizo and war room.

Findings from the selected municipalities showed that implementation of policies starts with council adoption. The implementation of policies is carried out by the administration or the management of the municipal, and this is communicated to the public through media publicity, workshops, izimbizo and war rooms.

5.2.5 How has policy implementation influenced socio-economic development in the municipality?

Figure 5.13 eThekweni Municipality development implementation

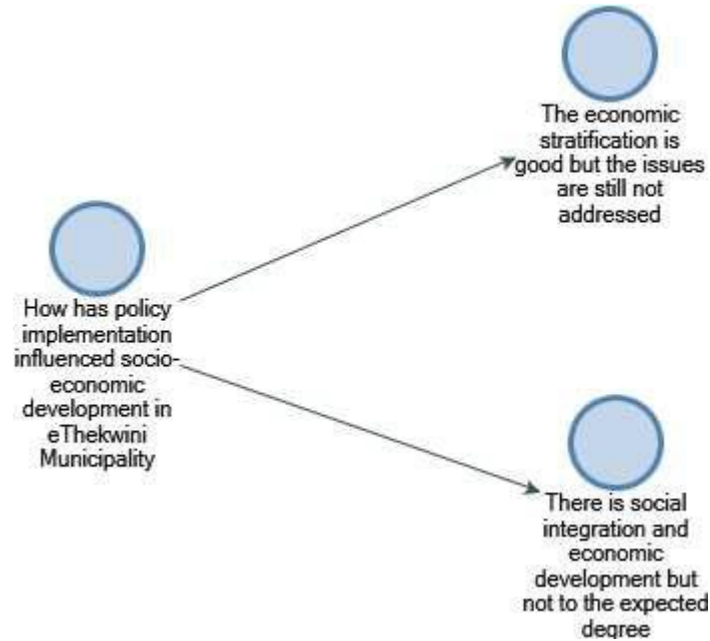


Figure 5.14. Umdoni Municipality development implementation

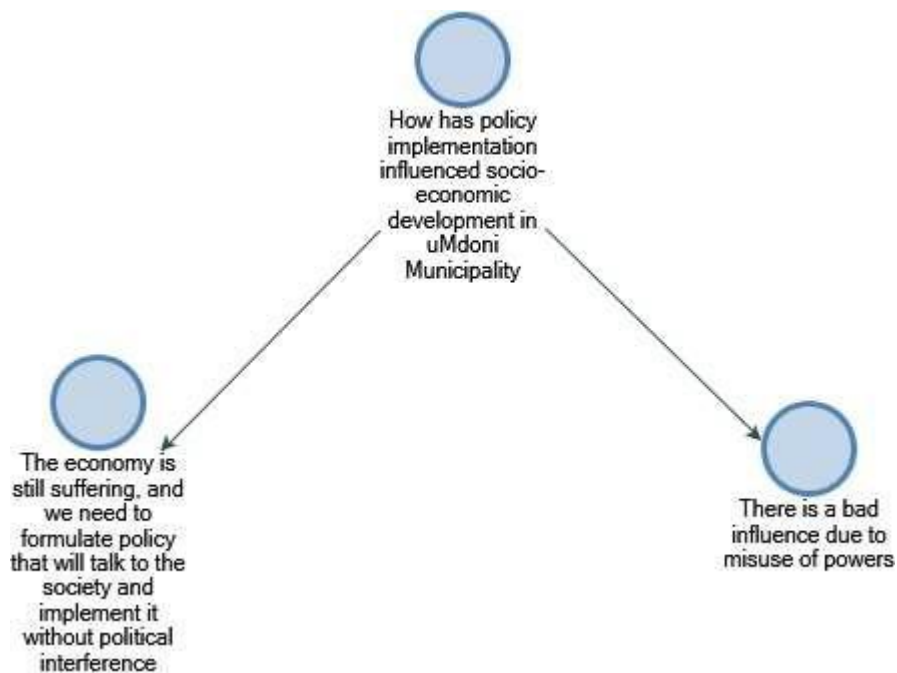


Figure 5.15. Dr Dlamini Zuma Municipality development implementation

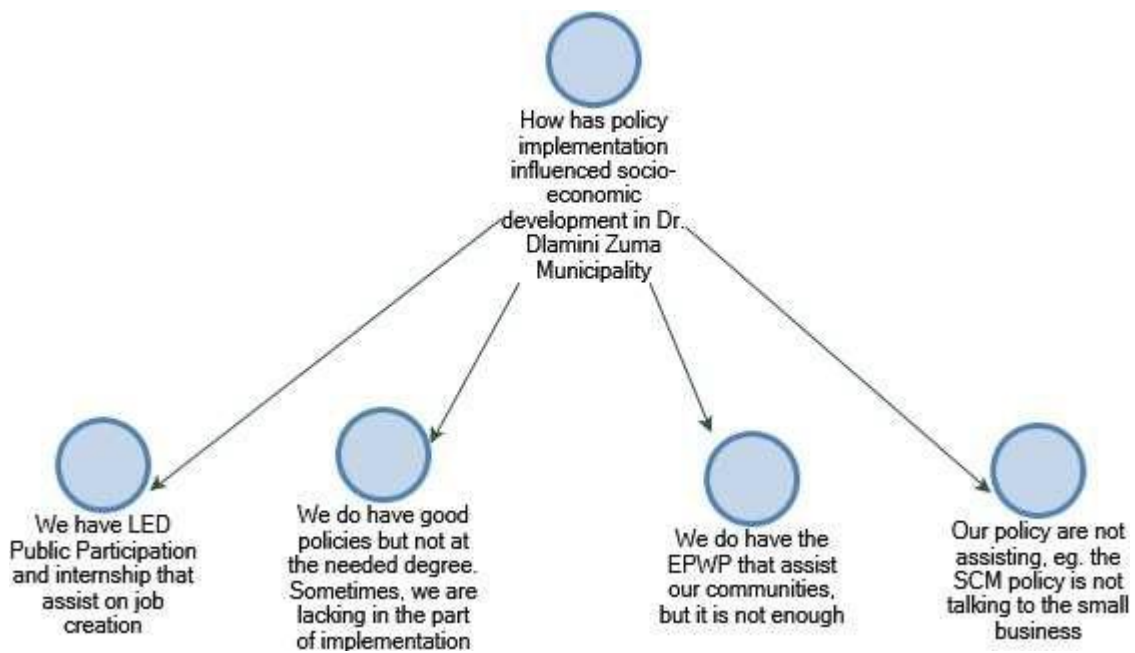
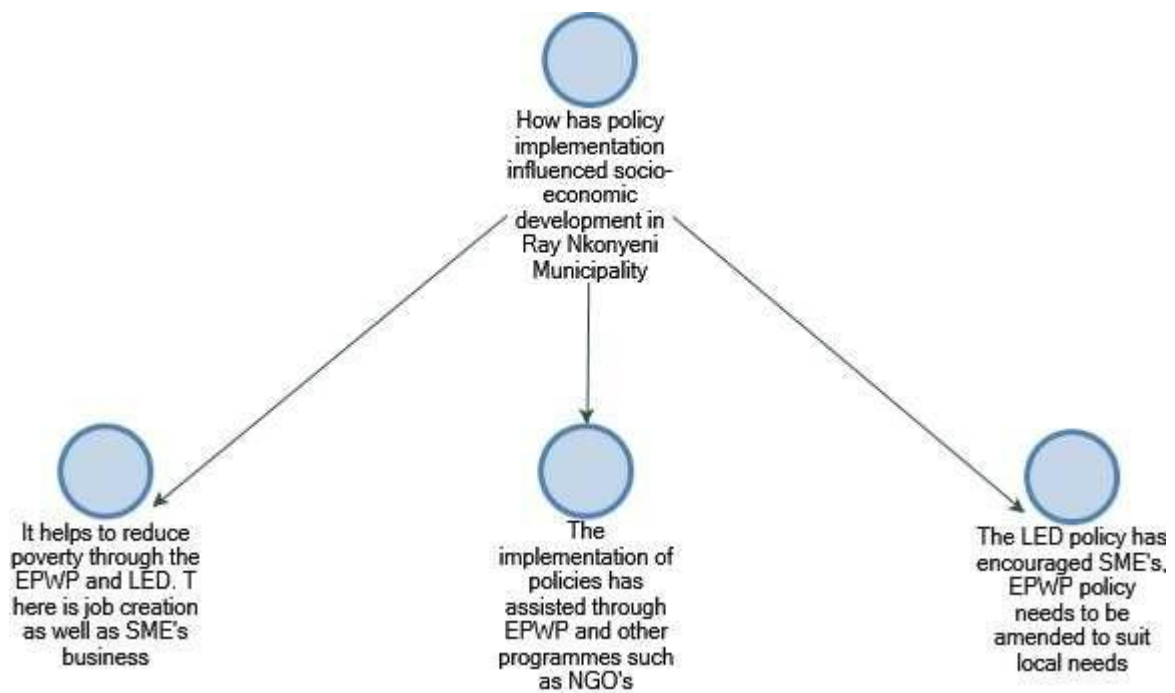


Figure 5.16. Ray Nkonyeni Municipality development implementation



Interpretation

In terms of the impact of policy implementation on socio-economic development, findings from the in-depth interviews in eThekweni Municipality (Figure 5. 13) showed that implementation of policies is yet to address community needs effectively. The respondents affirmed that there is economic viability within the municipality, but implementation of projects is still low. Some of their comments are stated below:

The economic stratification is good but the issues are still not addressed.

There is social integration and economic development but not to the expected degree.

Respondents from uMdoni Municipality (Figure 5. 14) also raised concerns regarding political interference, which affects socio-economic development within the municipality. The respondents opined that:

The economy is still suffering and we need to formulate policy that will talk to the society and implement it without political interference.

There is a bad influence due to misuse of power.

According to respondents from Dr Dlamini Municipality (Figure 5.15), the implementation of policies has assisted the community people in terms of job creation, but the impact of policy implementation has little or no effect.

We do have good policies but not at the needed degree. Sometimes we are lacking in the part of implementation

We do have the EPWP policy that assist our communities, but it is not enough

The above comment is further buttressed by another respondents.

Our policies are not assisting e.g. the SCM policy is not talking to the small business.

However, respondents from Ray Nkonyeni municipality are of different views. Some of the respondents identified the benefits of the policies to their socio-economic development.

It has helped to reduce poverty through the EPWP and LED. There is job creation as well as SME's business.

The implementation of policies has assisted through EPWP and other programmes such as NGO's.

One of the respondents asserted that *the LED policy has encouraged SME's. EPWP policy needs to be amended to suit local needs.*

Opinions “from the selected municipalities indicated that the implementation of policy has more benefits in some municipalities than others. Ray Nkonyeni municipality appears to benefit more in terms of implementation of policies compare to other municipalities, while political interference and abuse of power affect implementation of policy in Umdoni Local Municipality. Generally, there are many social and economic challenges facing most of these municipalities in KwaZulu-Natal.

5.2.6 How are policies evaluated

Figure 5.17 eThekweni Municipality policy evaluation

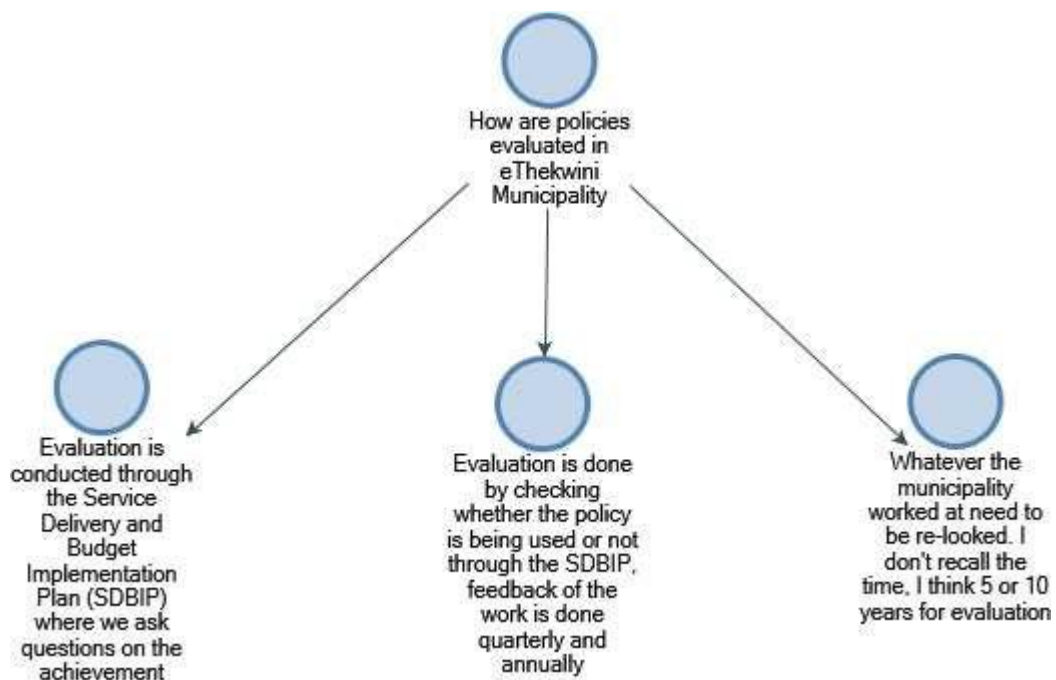


Figure 5.18 Umdoni Municipality policy evaluation

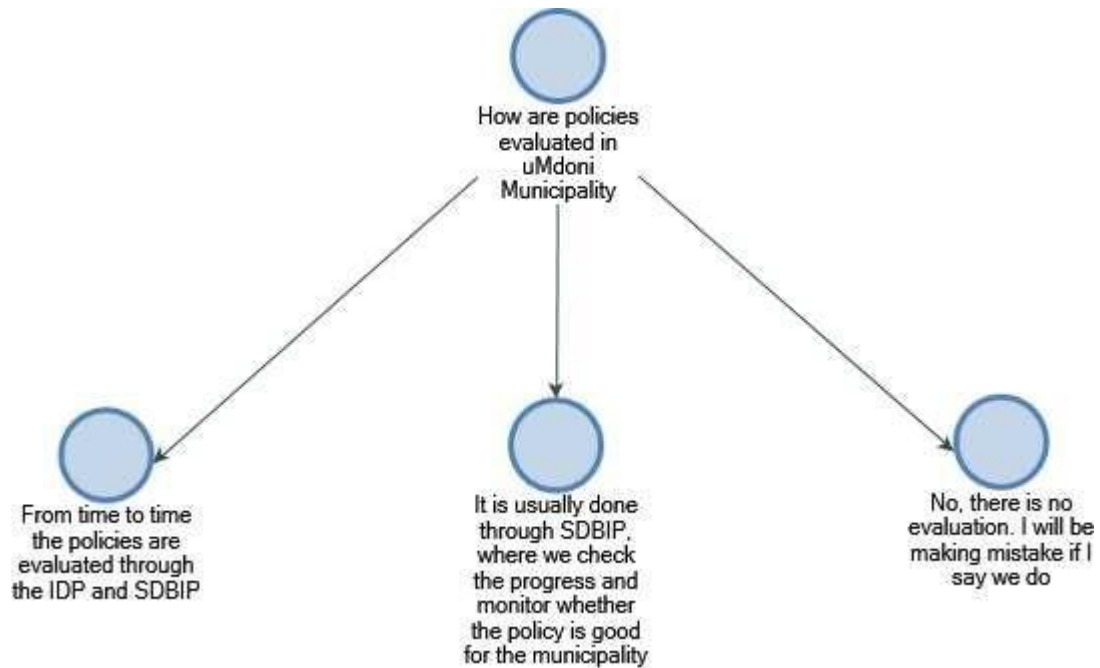


Figure 5.19 Dr Dlamini Zuma Municipality policy evaluation

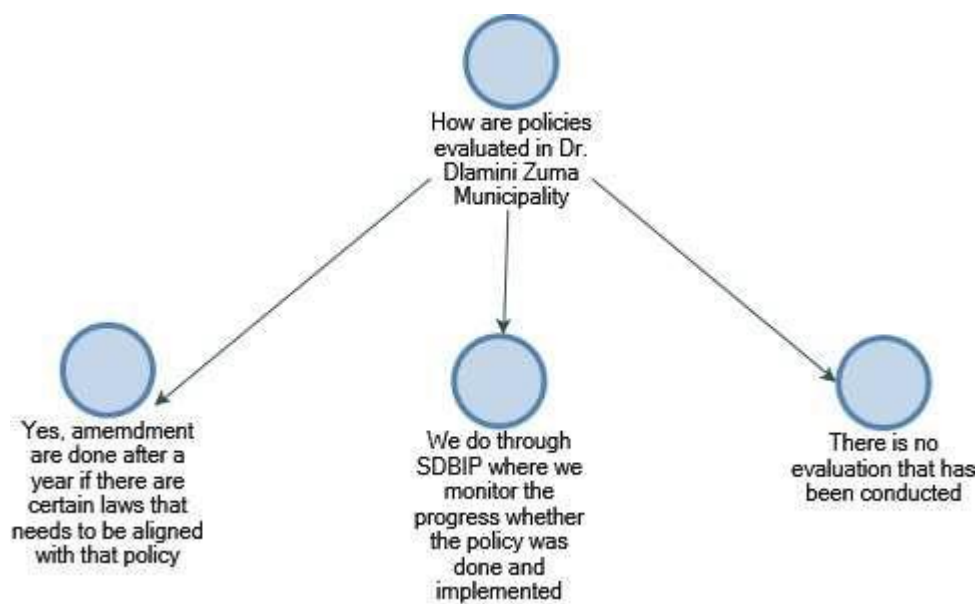
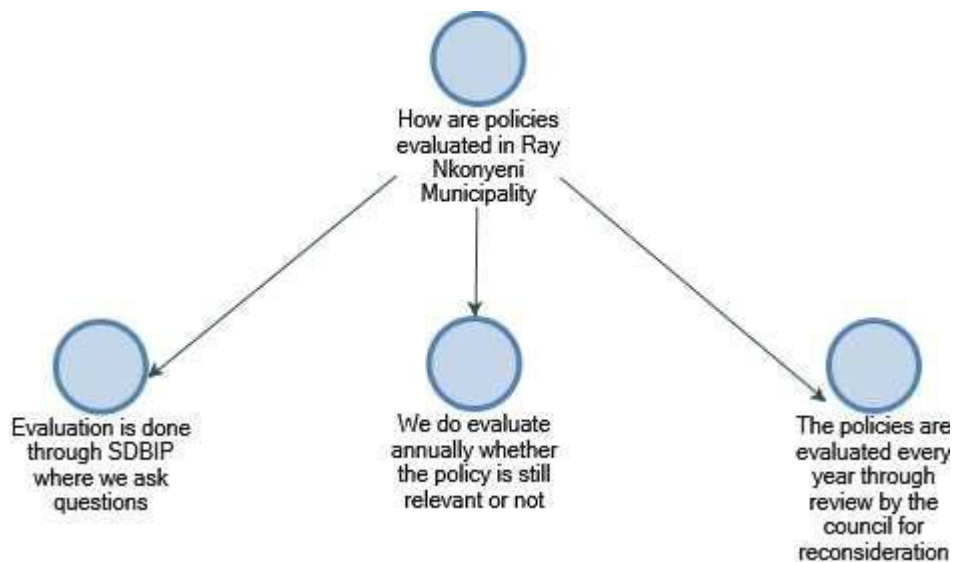


Figure 5.20 Ray Nkonyeni Municipality policy evaluation



Interpretations

The outcome of the research findings from eThekweni Municipality on how policies are evaluated revealed that policy evaluation is conducted through the Service Delivery and Budget Implementation Plan (SDBIP). According to the respondents, the SDBIP is a meeting session where questions are asked on past or on-going projects between municipality officials and contractors. Some of the respondents hinted that:

Evaluation is conducted through the Service Delivery and Budget Implementation Plan where we ask questions on the achievement.

Evaluation is done by checking whether the policy is being used or not through the SDBIP. Feedback of the work is done quarterly and annually.

In a contrary opinion, one of the respondents argued that evaluation is not a regular activity.

Whatever the municipality worked at, need to be re-looked. I don't recall the time; I think 5 or 10 years for evaluation.

The divided opinions in terms of evaluation of policies may suggest some sort of disagreement or political interest between the municipality officials with regards to the effectiveness of policymaking.

Research findings from uMdoni Municipality also revealed that policy evaluation is done through the SDBIP process, where the effectiveness of policies is monitored. Respondents posited that:

It is usually done through SDBIP where we check the progress and monitor whether the policy is good for the municipality.

Another municipality official hinted that evaluation of policy is done from time to time through IDP and SDBIP process.

From time to time, the policies are evaluated through the IDP and SDBIP

However, one of the respondents from the same uMdoni Municipality argued that:

No, there is no evaluation. I will be making a mistake if I say we do

The above assertions indicated that there is a division among the municipality officials as regards regularity of policy evaluation in uMdoni and eThekweni municipalities.

Participants from Dr Dlamini Zuma Municipality also affirmed that policy evaluation is conducted through the SDBIP, and this is done annually.

We do through SDBIP where we monitor the progress whether the policy was done and implemented

One of the respondents commented that policy evaluation is done after a year of formulating such policy to check if it aligns with relative laws.

Yes, amendments are done after a year if there are certain laws that needs to be aligned with that policy.

In contrast to the stated opinions, a respondent argued that there is no evaluation in the municipality.

There is no evaluation that has been conducted.

These contrary assertions further buttressed the situations in other municipalities.

Investigation from Ray Nkonyeni municipality showed agreement in the views of all the interviewees. The perceptions of the respondents are stated below:

Evaluation is done through SDBIP where we ask questions

We do evaluate annually whether the policy is still relevant or not

The policies are evaluated every year through review by the council for reconsideration.

As regard how policies are evaluated in the selected municipalities, there is a general consensus that the SDBIP is the policy mechanism for monitoring the efficacy, relevance and implementation of policies. Division of views is found among three of the selected municipalities (eThekweni, uMdoni and Dr Dlamini Zuma) regarding if policy evaluation is conducted or not, as well as the time frame. However, all the respondents in Ray Nkonyeni shared similar views on how policies are evaluated.

5.2.6 How has policy evaluation influenced socio-economic development in the municipality?

Figure 5.21. eThekweni Municipality policy evaluation and socio-economic development

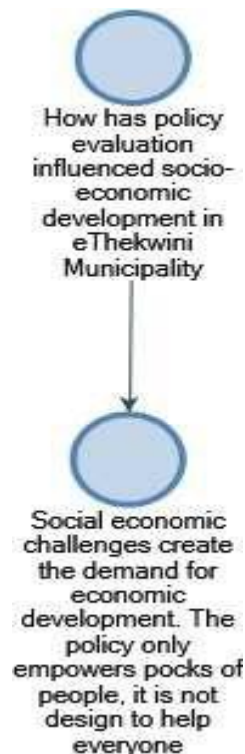


Figure 5.22. Umdoni Municipality policy evaluation and socio-economic development in

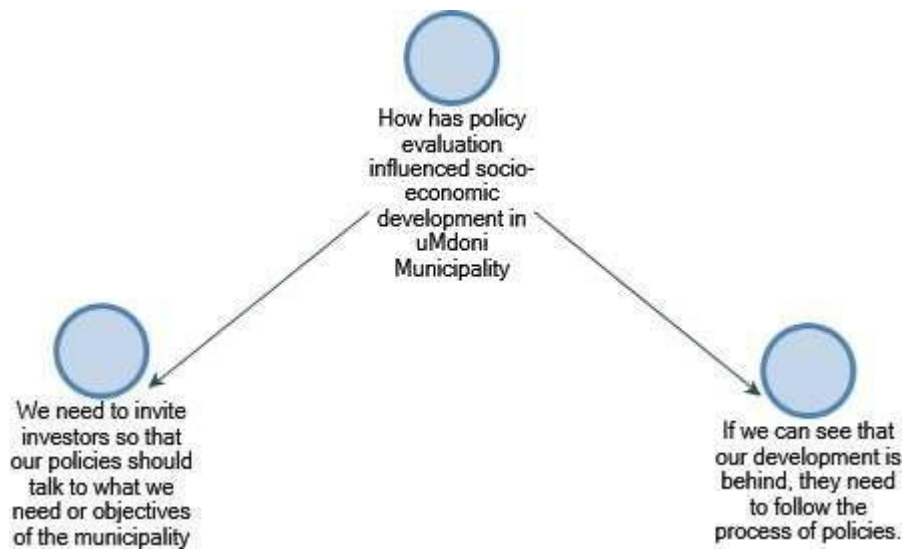
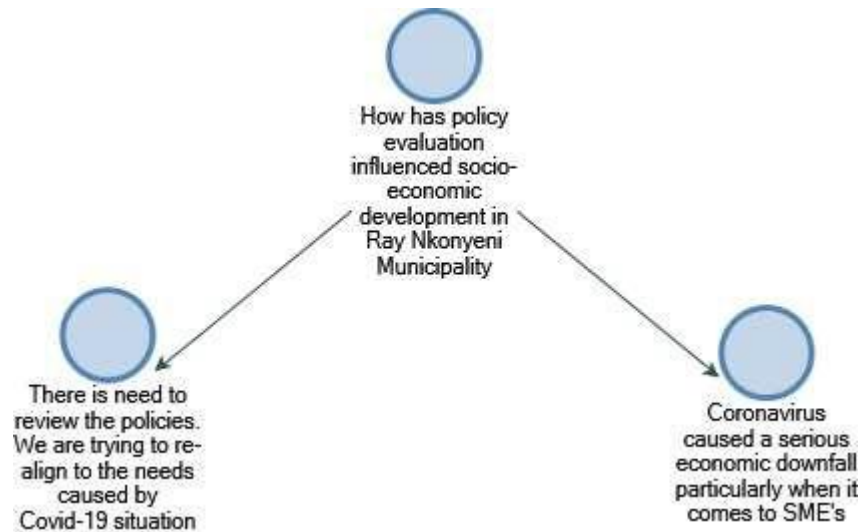


Figure 5.23. Dr Dlamini Zuma Municipality policy evaluation and socio-economic development



Figure 5.24. Ray Nkonyeni Municipality policy evaluation and socio-economic development



Interpretations

In response to how policy evaluation has influenced socio-economic development in eThekweni Municipality, only one sub-theme emerged from the NVivo analysis. The respondent stated that:

Socio-economic challenges create the demand for economic development. The policy only empowers pocks of people. It is not designed to help everyone.

The above comment did not reflect any significant impact of policy evaluation on socio-economic development.

In similar vein, one of the respondents from Umndoni Local Municipality affirmed that:

if we can see that our development is behind, they need to follow the process of policies.

Another respondent from Dr Dlamini Zuma Municipality revealed that political interference is a major hinderance to socio-economic development. The respondent stated that:

Politicians influence the policies; interference depends on councillors' benefit

Findings from Ray Nkonyeni Municipality is informed by the current global pandemic. The municipality seems to be more affected compared to other municipalities. Perceptions are as follows:

There is need to review the policies, we are trying to re-align to the needs caused by Covid-19 situation.

Coronavirus caused a serious economic downfall particularly when it comes to SME's.

Unfortunately, none of the respondents indicates the impact of policy evaluation on the socio-economic development in the four selected municipalities.

Perceptions from eThekweni and Dr Dlamini Municipalities showed that policymaking is designed with political interests which impedes socio-economic development, while non-alignment of policies with municipality needs hinders socio-economic development in uMdoni Municipality. But the current global pandemic is a major source of concern affecting socio-economic development in Ray Nkonyeni Municipality.

5.2.7 How have policymaking activities promote economic development?

Figure 5.25 eThekweni Municipality policymaking activities and economic development

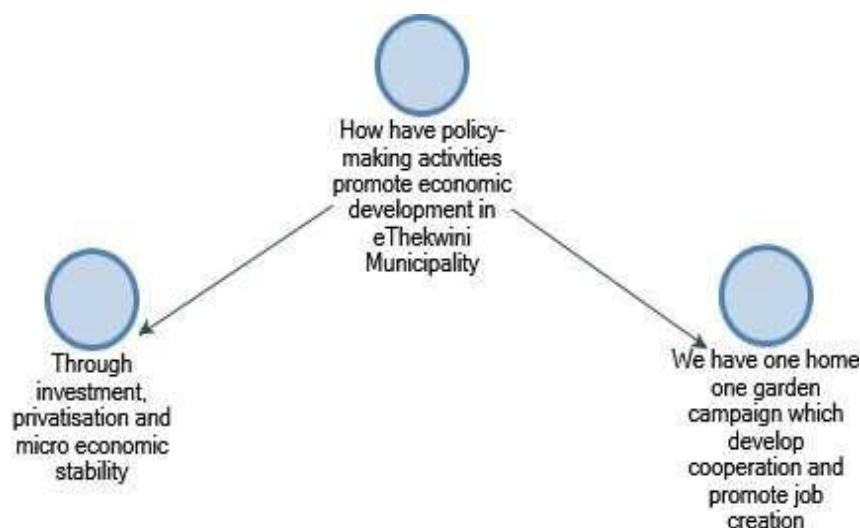


Figure 5.26 Umdoni Municipality policymaking activities and economic development

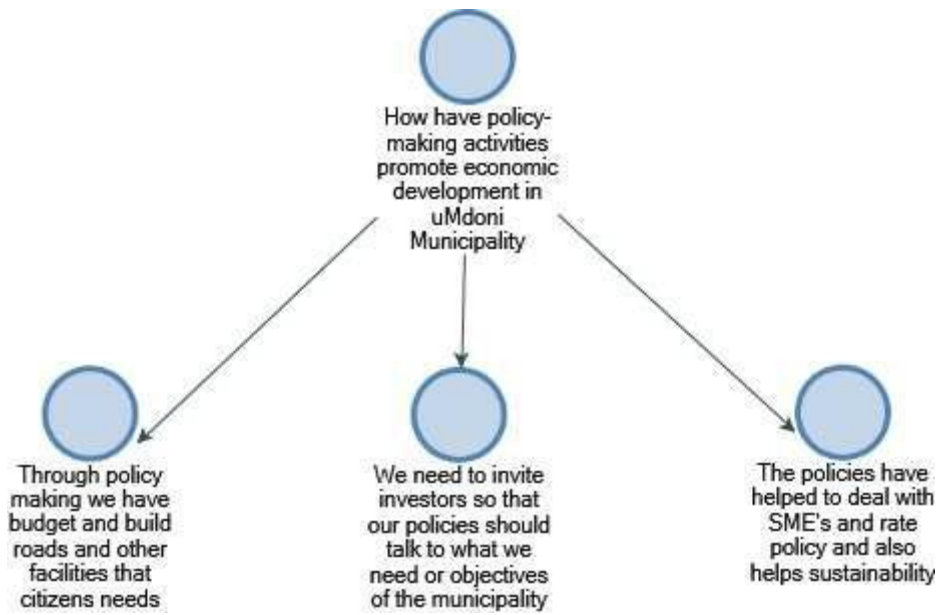


Figure 5.27 Dr Dlamini Zuma Municipality policymaking activities and economic development

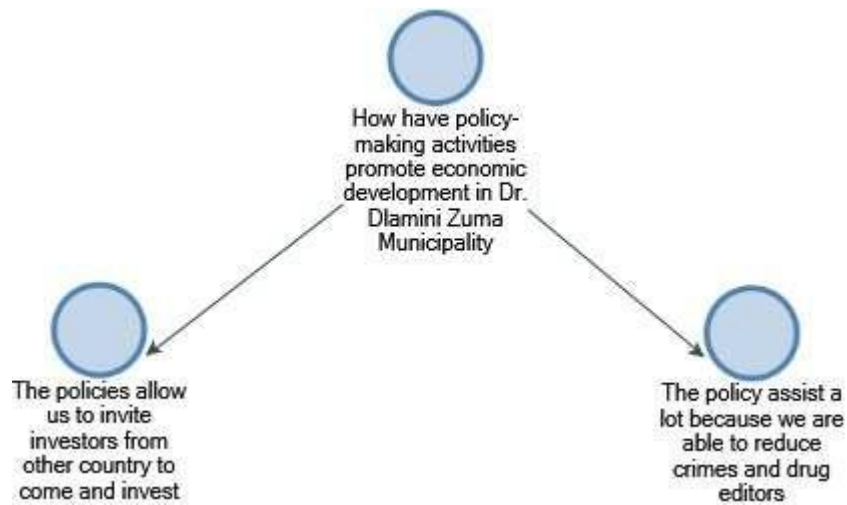
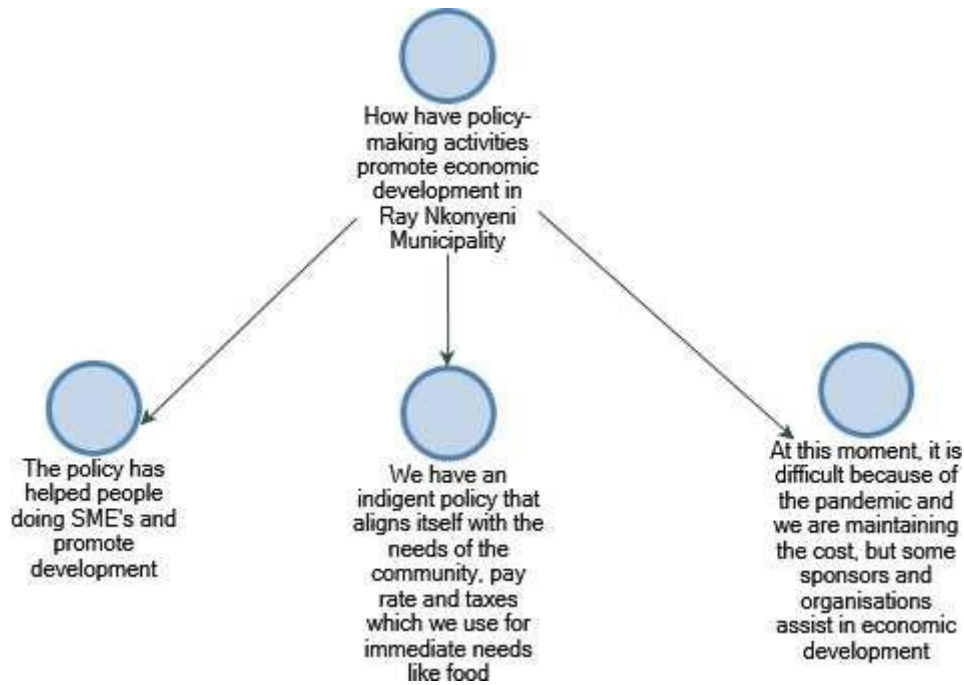


Figure 5.28 Ray Nkonyeni Municipality policymaking activities and economic development



Interpretations

Outcome of the NVivo analysis from eThekweni Metropolitan Municipality revealed that policymaking activities have significant impact on economic development through investment, privatisation and microeconomic stability. Additionally, one of the respondents commented that:

We have one home one garden campaign which develop cooperation and promote job creation.

Similarly, findings from Umdoni Local Municipality indicated that policymaking activities have helped in the area of budget a location, road projects, SME's, and rate policy. The opinions below represent the views of all the respondents in Umdoni Local Municipality.

Through policymaking, we have budget and build roads and other facilities that citizen's needs.

The policies have helped to deal with SME's and rate policy, and also helps sustainability.

However, one of the respondents suggested that there is need to align the policies to talk to the needs or objectives of the municipality by inviting more investors.

In similar vein, policymaking activities have had positive impact in Dr Dlamini Zuma municipality. Some of the views are stated below:

The policies allow us to invite investors from other countries to come and invest

The policy assists a lot because we are able to reduce crime and drug editors.

Perceptions from Ray Nkonyeni municipality also affirm the significant impact of policymaking activities. Respondents are of the views that policymaking activities have assisted in the areas of SME's by promoting development in the community. One of the interviewees hinted that:

We have an indigent policy that aligns itself with the needs of the community and pay rate and taxes which we use for immediate needs like food.

However, the devastating effect of the global pandemic was mentioned as an impediment to economic development.

At this moment, it is difficult because of the pandemic and we were maintaining the cost but some sponsors and organisations assist in terms of making sure that the economy is developed.

Research findings from the four selected municipalities showed that policymaking activities have significant impact on economic development. Some of the concerns as regards policymaking activities are non-alignment of policies to community needs and the problems of the global pandemic.

5.2.8 Challenges affecting policymaking processes at the localised sphere of government.

Figure 5.29 eThekweni Municipality policymaking challenges

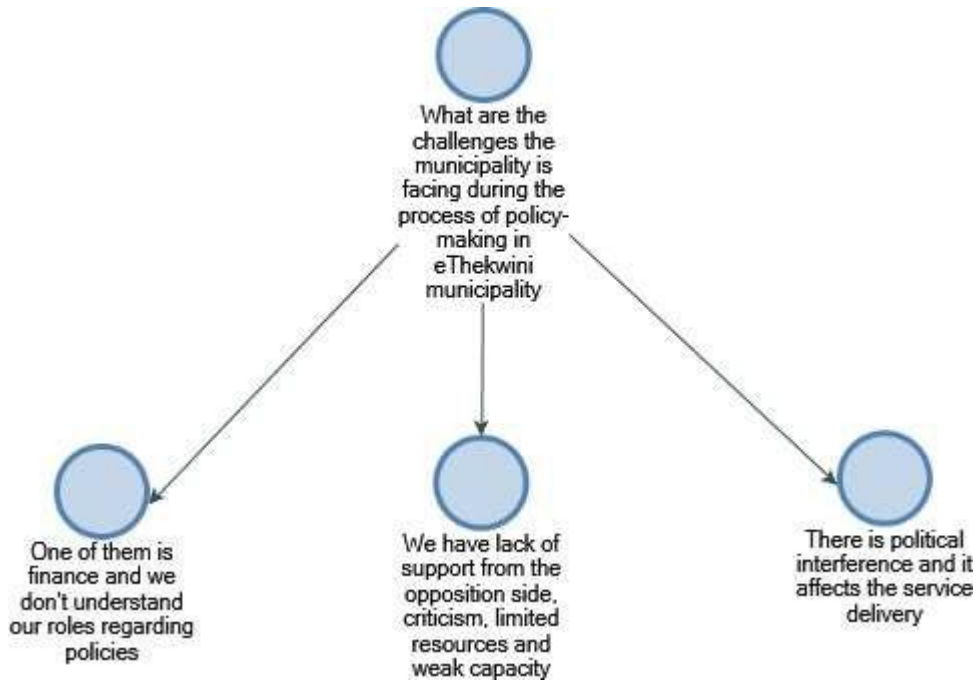


Figure 5.30 Umdoni Municipality policymaking challenges

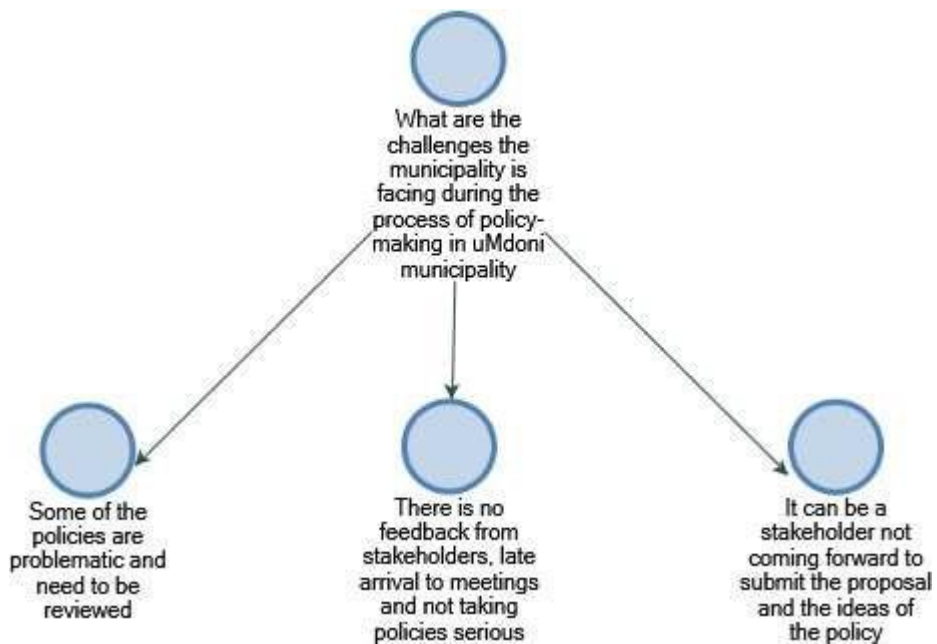


Figure 5.31 Dr Dlamini Zuma Municipality policymaking challenges

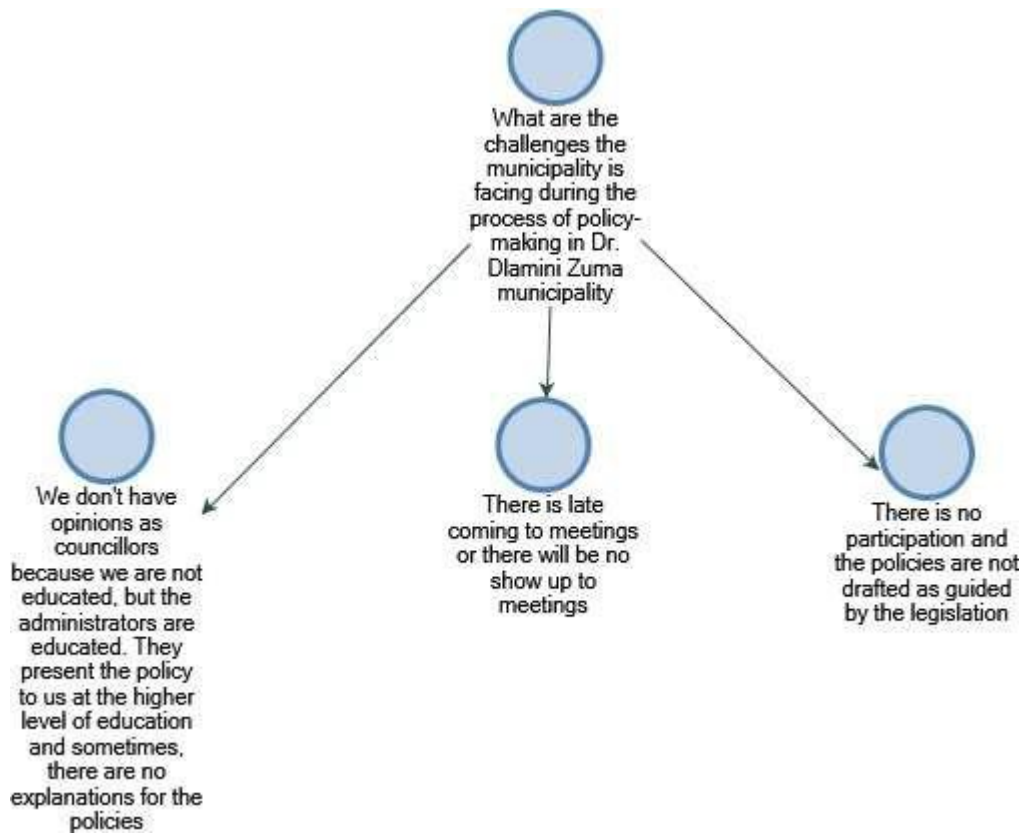
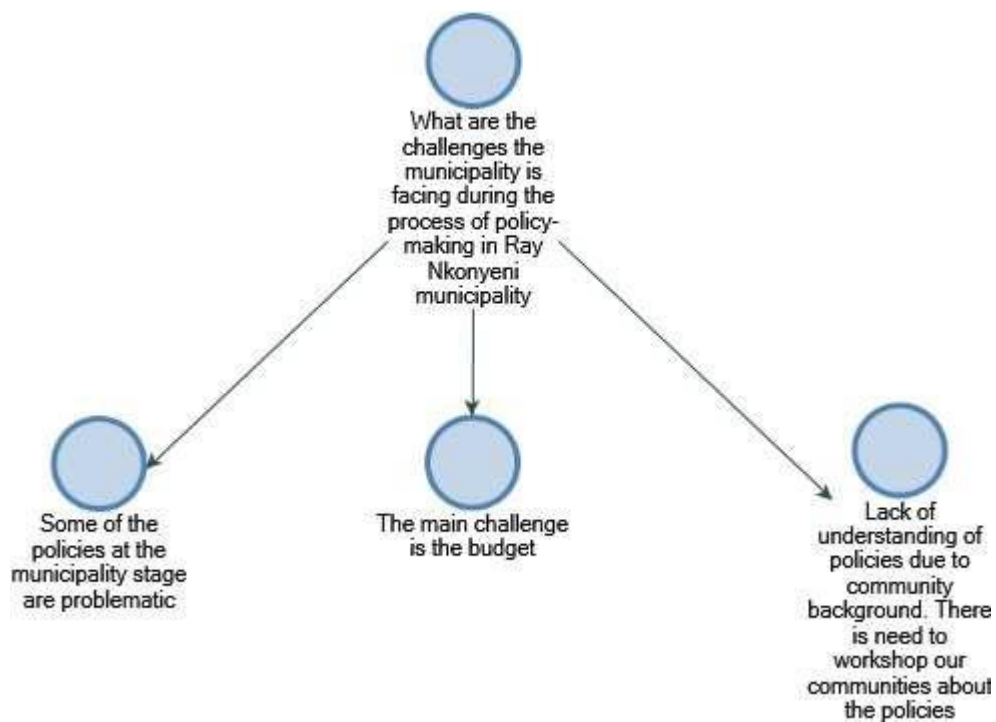


Figure 5.32 Ray Nkonyeni Municipality policymaking challenges



Interpretations

Some of the challenges facing the municipalities during policymaking processes have been identified. Respondents from eThekweni Metropolitan Municipality opined that finance, stakeholders' roles regarding policies, criticism from the opposition, lack of resources and political interference are some of the problems affecting the process of policymaking. The expressions below are the general views from eThekweni Municipality.

One of them is finance and we don't know our roles regarding policy

we have lack of support from the opposition side, criticism, limited resources and weak capacity

There is political interferences and it affects the service delivery.

Some of the problems identified in uMdoni Municipality include problematic policies, lack feedback from stakeholders, late arrival to meetings and unserious attention towards policies.

Some of the policies are problematic and need to be reviewed.

There is no feedback from stakeholders, late arrival to meetings and not taking policies serious.

It can be a stakeholder not coming forward to submit the proposal and the ideas of the policy

According to the findings from Dr Dlamini Zuma Municipality, communication gap as a result of level of education was identified as a challenge between the councillors and administrator s. Late coming to meetings and non-alignment of policies with the national legislation were also reported as challenges facing policymaking processes within the municipality. Respondents commented that:

We don't have opinions as councillors because we are not educated, but the administrators are educated. They will present the policy to us at the higher level of education and sometimes there is no explanation for the policies.

It is important to note that the problem of illiteracy among the councillors was identified in uMdoni Municipality as regard policy formulation.

There is late coming to meetings or there will be no show up to meetings.

There is no participation and the policies are not drafted as guided by the legislation.

Stakeholders' views from Ray Nkonyeni Municipality also include problematic policies, budget problem and lack of understanding of the policies as a result of community background.

Financial challenges, problematic policies, budgetary allocation, lack of education among municipal officials, political interference, lackadaisical attitude towards policies and opposition criticisms were the major problems raised hindering the roles of stakeholders at the localised spheres of government in KwaZulu-Natal province.

5.2.9 Challenges facing policymaking processes in selected municipalities in KwaZulu-Natal

The figure below indicates the degree of word frequencies as regard challenges facing selected municipalities in KwaZulu-Natal, South Africa.

Figure 5.33 Word cloud of stakeholders' views



As shown in Figure 5.33, respondents from selected municipalities identified the issue of policies (formulation, implementation and evaluation) as the major challenge facing policy-municipalities at the localised sphere. This is followed by lack of capacity, lack of support, criticism, service delivery and lateness to meetings or absenteeism.

5.3 Quantitative analysis

The population size for this study is 2500, while the sample size is 144. Questionnaires were administered to all the 144 participants but only 60 were properly filled and returned making 41% response rate.

Table 5.2: Sociodemographic Characteristics of participants

Characteristics	Frequency (n=60)	Percentage (%)
Gender		
Male	41	68.3
Female	19	31.7
Total	60	100
Age		
26 – 30 years	2	3.3
31 – 40 years	19	31.7
41 – 50 years	34	56.7
51 – 60 years	5	8.3
Race		
African	52	86.7
Indian	7	11.7
White	1	1.6
Position occupied		
General manager	4	6.7
Corporate/DCM		
General manager	4	6.7
Community/DCM		

General manager		
Planning & Development/DCM	2	2.7
General manager		
Technical Services/DCM	7	11.7
Chief Executive		
Officer/DCM	8	13.3
Municipality manager	2	3.3
Councillor	5	8.3
Director/HOD/DD	17	28.3
Representative of		
Organised labour	6	10.0
worker	4	6.7
Tenure		
Contract	18	30.0
Part-time	5	8.3
Full-time	37	61.7
Work experience		
2 to 6years	4	6.7
6 – 10 years	14	23.3
11 – 15 years	19	31.7
16 – 20 years	21	35.0
21 years and above	1	1.7

Highest educational qualification

Diploma	7	11.7
Undergraduate	15	25.0
Honours	18	30.0
Masters	8	13.3
PhD	3	5.0
Others	9	15.0

Municipality

Ray Nkonyeni	12	20.0
uMdoni	12	20.0
Dr Nkosazana Dlamini-Zuma	9	15.0
eThekwini	27	45.0

Total	60	100.0
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Table 5.2 above indicated that most of the respondents were males (68.3%) and majority (56.7%) were between the ages of 41 to 50 years. “The black South Africans had the largest representation (86.7%) in terms of race. The highest (28.3%) proportion of the participants occupied the post of Director/HOD/DD, followed by the Chief Executive Officer/ DCM (13.3%), and General Manager Technical Services/DCM (11.7%). The employment conditions

showed that most of the participants (61.7%) were full-time workers, while 30% were on contract basis. The history of work experience indicated that a higher proportion (35%) of the participants were having between 16 – 20 years, and majority (30%) being graduates of honours degree. As revealed in Figure 5.2, most (45%) of the participants were from eThekweni metro municipality, followed by Ray Nkonyeni municipality (20%) and uMdoni Local Municipality (20%), while Dr Nkosazana Dlamini-Zuma municipality (15%) being the least represented.

5.3.1 Activities involved in policymaking

The major activities involved in policymaking include, policy formulation, policy implementation and policy evaluation.

Policy formulation

Table 5.3 Respondents perceptions on policy formulation

		Strongly disagree	Disagree	Neutral	Agree	Strongly Agree
1.1	I am satisfied that the policy-content is very clear	1 (1.7%)	1 (1.7%)	2 (3.3%)	45 (75%)	11 (18.3%)
1.2	I am satisfied the policies' goals and objectives are clear	0 (0%)	0 (0%)	6 (10%)	43 (71.1%)	11 (18.3%)
1.3	I am happy that the outcomes of the policies will benefit the communities	0 (0%)	0 (0%)	6 (10%)	43 (71.1%)	11 (18.3%)
1.4	I am satisfied that the policies articulated the relevant activities by which they will be achieved and measured.	0 (0%)	1 (1.7%)	5 (8.3%)	42 (70%)	12 (20%)

1.5	I am glad that the policy document is clear on the beneficiaries	0 (0%)	1 (1.7%)	5 (8.3%)	42 (70%)	12 (20%)
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Source: Field Survey (2020)

Respondents’ opinions in Table 5.3 revealed that majority 75% agreed, while 1.7% disagreed about being satisfied with the clarity of the policy content. 71.1% of the respondents agreed and satisfied that the goals and objectives of the policies were clear, 10% were neutral, and none of the respondents disagreed or strongly disagreed. 71.1% agreed, 10% were neutral and none of the respondents disagreed that the outcomes of the policies will benefit the communities. Also, 70% of the respondents were satisfied that the policies articulated the relevant activities by which it will be achieved and measured, while 1.7% disagreed and 8.3% were indifferent. A high proportion (70%) of the respondents agreed, 20% strongly agreed and 1.7% disagreed that the policy document is clear on the beneficiaries. This outcome suggests that most of the respondents were satisfied with the formulation of policies within the municipal level of government.

5.3.2 Policy implementation

Table 5.4 perceptions of respondents on policy implementation

		Strongly disagree	Disagree	Neutral	Agree	Strongly Agree
1.1	I am satisfied that the policymaking process has a strong leadership support	0 (0%)	3 (5%)	12 (20%)	29 (48.3%)	16 (26.7%)
1.2	I am satisfied with the planning and resources mobilization	0 (0%)	5 (8.5)	7 (11.9)	30 (50.8)	17 (28.8)
1.3	I am satisfied with the stakeholder involvement in the implementation process	2 (3.3%)	3 (5%)	10 (16.7%)	28 (46.7%)	17 (28.3%)

1.4	I am satisfied with the operations and services in my municipality	0 (0%)	6 (10%)	9 (15%)	23 (38.3%)	22 (36.7%)
1.5	I am satisfied that the policy considered social, political, and economic challenges	0 (0%)	4 (6.7%)	10 (16.7%)	24 (40%)	22 (36.7%)

Source: Field Survey (2020)

Table 5.3 above showed that 48.3% agreed, 26.7% strongly agreed, while 5% disagreed that policymaking process has a strong leadership support. 50.8% agreed, 28.8 strongly agreed, while 8.5 disagreed about being satisfied with the planning and resources mobilization. Perceptions on stakeholders’ involvement in the implementation process revealed that 46.7% agreed, while 5% disagreed on being satisfied. 38.3% agreed, 36.7% strongly agreed, while 6.7% disagreed with the operations and services in the municipality. 40% agreed, 36.7% strongly agreed, while 6.7% disagreed that the policy considered social, political and economic challenges. This outcome indicated that a high proportion of the respondents are satisfied with the implementation of policies within the municipal.

5.3.3 Policy evaluation

Table 5.5 Respondents’ opinions on policy evaluation

		Strongly disagree	Disagree	Neutral	Agree	Strongly Agree
1.1	I am satisfied with the feedback on the policy	1 (1.9%)	8 (14.8%)	9 (16.7%)	29 (53.7%)	7 (13%)
1.2	I am satisfied with the feedback process on the contribution of the stakeholders towards the policymaking process	0 (0%)	13 (21.7%)	12 (20%)	27 (45%)	8 (13.3%)

1.3	I am glad that the evaluation report clearly states that the requirements for the implementation were met	0 (0%)	13 (21.7%))	12 (20%))	26 (43.3%))	9 (15%)
1.4	I am satisfied with the feedback that there was no conflict of interest among the stakeholders	0 (0%)	14 (23.3%))	11 (18.3%))	26 (43.3%))	9 (15%)
1.5	I am satisfied with the procedures of monitoring and evaluation of the policy	0 (0%)	11 (18.3%))	13 (21.7%))	28 (46.7%))	8 (13.3%))

Source: Field Survey (2020)

As shown above in Table 5.5, 53.7% were in agreement, 13% strongly agreed, 14.8% disagreed, while 1.9% strongly disagreed with feedbacks on policies within the municipal. As regard being satisfied with feedback process on the stakeholders' contribution towards the policymaking process, 45% agreed, 13.3% strongly agreed, 21.7% disagreed, while 20% were neutral. 43.3% agreed, 15% strongly agreed, 21.7% disagreed, while 20% were neutral that evaluation process clearly states that the requirements for the implementation were met. Concerning feedback without conflict of interest among the stakeholders, 43.7% agreed, 15% strongly agreed, 23.3% disagreed, while 18.3 were neutral. A high proportion (46.7%) of the respondents agreed, 13.3% strongly agreed, 18.3% disagreed, while 21.7% were neutral that the procedures of monitoring and evaluating policies are satisfactory. These findings suggest that many of the respondents were satisfied with the policy evaluation processes.

5.3.4 Socio-economic development

Table 5.6 Respondents' views on policies and socio-economic development

		Strongly disagree	Disagree	Neutral	Agree	Strongly Agree
1.1	I am satisfied that the policies implemented addressed the interest of the target group	0 (0%)	9 (15%)	5 (8.3%)	29 (48.3%)	17 (28.3%)
1.2	I glad that the policies have addressed the social norms of the communities, societies and the country	0 (0%)	10 (16.7%)	5 (8.3%)	30 (50%)	15 (25%)
1.3	I satisfied that policies will help resolve unemployment, crimes, discrimination and racism in the workplaces	7 (11.7%)	9 (15%)	2 (3.3%)	26 (43.3%)	16 (26.7%)
1.4	I am satisfied that the policies accommodated culture practices in the communities, societies and country	4 (6.7%)	9 (15%)	4 (6.7%)	27 (45%)	16 (26.7%)

Source: Field Survey (2020)

As revealed in Table 5.6, 48.3% were in agreement, 28.3% strongly agreed, but 15% disagreed, while 8.3% of the respondents were neutral that policies implemented addressed the interest of the target group. Similarly, 50% of the respondents agreed, 25% strongly agreed, 16.7% disagreed, while 8.3% were neutral that the policies have addressed the social norms of the communities, societies and the country. In the same vein, 43.3% agreed, 26.7% strongly agreed, but 15% disagreed, while 3.3% of the respondents were indifferent that policies will help

resolve unemployment, crimes, discrimination and racism in the workplaces. 45% of the respondents were in agreement that the policies accommodated cultural practices in the communities, societies and country, 26.7% were also in strong agreement, however, 15% disagreed, 6.7% strongly disagreed, while 6.7% remained neutral. The outcome of this analysis suggests that about 75% of the respondents agreed that the policies have significant impact on the socio-economic development of the local communities.

5.3.5 Service delivery

Table 5.7 Perceptions on service delivery and policies

		Strongly disagree	Disagree	Neutral	Agree	Strongly Agree
1.1	I am convinced that the policies support the establishment of hospitals	11 (18.3%)	7 (11.7%)	8 (13.3%)	21 (35%)	13 (21.7%)
1.2	I am satisfied that the policies implemented will contribute to the development of infrastructure in the transport sector	5 (8.3%)	10 (16.7%)	5 (8.3%)	27 (45%)	13 (21.7%)
1.3	I am glad that the policies will encourage people to own property	7 (11.7%)	14 (23.7%)	4 (6.8%)	22 (37.3%)	12 (20.3%)
1.4	I am happy that the policies implemented by the municipality will contribute to the expansion of infrastructure in the education sector	9 (15%)	10 (16.7%)	9 (15%)	21 (35%)	11 (18.3%)

Source: Field Survey (2020)

The composition in Table 5.7 revealed that 35% agreed, 21.7% strongly agreed, but 11.7% disagreed and 18.3% strongly disagreed that the policies will support the establishment of hospitals. In addition, 45% of the respondents agreed, 21.7% strongly agreed, but 16.7% disagreed and 8.3% strongly disagreed that policies implemented will contribute to the development of infrastructure in the transport sector. However, 8.3% of the respondents were neutral. Similarly, 37.3% of the respondents agreed and 20.3% were of strong opinion that policies will encourage people to own property, however, 23.7% disagreed, and 11.7% strongly disagreed, while 6.8% remained indifferent. Also, while 35% of the respondents agreed, 18.3% strongly agreed, 16.7% disagreed and 15% strongly disagreed that implemented policies by the municipality will contribute to the expansion of infrastructure in the education sector. This outcome indicated that about 65% of the respondents were of the view that implemented policies by the municipality will improve infrastructural facilities in the education sector.

5.4 Analysis of scales

The reliability test and the test for sampling adequacy were checked to determine if all the measured scales meet the required threshold.

5.4.1 Analysis of scale for policy formulation

Principal Component Analysis (PCA) was conducted to determine the Kaiser-Meyer-Olkin measure of sampling adequacy and Bartlett's test of sphericity. The KMO value of 0.749 was obtained which indicated a high suitability, and the Bartlett's test was significant at $p < 0.05$. This indicated that the sample from which the data was collected is satisfactory. A reliability test was conducted to determine the reliability and sufficiently measure the impact of policy formulation on socio-economic development. The Cronbach's alpha value of 0.896 obtained indicated that the internal consistency for the items in the construct is higher than the 0.6 minimum threshold. Item-total-correlations revealed that all the items are greater than 0.3 threshold.

The component matrix was further performed to determine the most correlated item(s) of the dataset for policy formulation. Through the rotated component matrix, item 2 and 3 were found not to be suitable in measuring the impact of policy formulation on socio-economic development and service delivery. Therefore, the items were dropped. Table 5.8 below revealed the composition of the KMO, Cronbach alpha, and item-total-correlations of the component.

Table 5.8 Item-total-correlations

Item-total-correlations	
Policy formulation 1	0.788
Policy formulation 2	0.715
Policy formulation 3	0.715
Policy formulation 4	0.866
Policy formulation 5	0.676
KMO	0.749
Bartlett's test	p<0.0001
Cronbach alpha	0.896

Source: Author's compilation (2020)

5.4.2 Scale analysis for policy implementation

The Kaiser-Meyer-Olkin measures obtained for the scale was 0.758, which means that the sample from which the data were collected from is adequate. The Bartlett's test of sphericity also indicated a statistically significant outcome at $p < 0.05$. This means that the sample adequacy is satisfactory. The reliability test that was conducted revealed 0.940, which is higher than the minimum recommendation of 0.6 threshold. Additionally, the item-total correlations for all the items surpassed the minimum requirement of 0.3 value. This indicated that the scale meets the required criteria for acceptability.

Additionally, the component matrix revealed that all the items were above the threshold of 0.4, which suggests that the component is suitable to determine the impact of policy implementation on socio-economic development and service delivery. The composition below indicates the item-total-correlations for the component.

Table 5.9 Item-total-correlations

Item-total-correlations	
Policy implementation 1	0.822
Policy implementation 2	0.907
Policy implementation 3	0.830
Policy implementation 4	0.805
Policy implementation 5	0.848
KMO	0.758
Bartlett's test	p<0.0001
Cronbach alpha	0.940

Source: Author's compilation (2020)

5.4.3 Scale analysis for policy evaluation

The Kaiser-Meyer-Olkin measures for KMO for the scale indicated 0.811, which means that the sample adequacy is suitable. The Bartlett's test of sphericity was also statistically significant at $p < 0.05$. This means that sampling adequacy is satisfactory and acceptable. The reliability of the scale obtained through a Cronbach alpha test at 0.956 revealed that all items have internal consistency to measure the impact of policy evaluation on socio-economic development. The item-total-correlation were all greater than the minimum of 0.30 threshold.

Also, the component matrix showed that all the items surpassed the minimum recommendation of 0.4. Thus, all the items were retained. As shown in Table 5.10 below, the item-total-correlations shows a higher correlation value with the construct for subsequent suitability.

Table 5.10 Item-total-correlations

Item-total-correlations	
Policy evaluation 1	0.805
Policy evaluation 2	0.905
Policy evaluation 3	0.910
Policy evaluation 4	0.866
Policy evaluation 5	0.898
KMO	0.811
Bartlett's test	p<0.0001
Cronbach alpha	0.956

Source: Author's compilation (2020)

5.4.4 Scale analysis for socio-economic development

The Kaiser-Meyer-Olkin obtained for the scale indicated 0.752, which means the source from which the data is collected is adequate. Bartlett's test of sphericity is significant at $p < 0.05$. Therefore, the measure of sampling adequacy is satisfactory. The items-total-correlations for the scale were all higher than the minimum required value of 0.3.

The reliability test was conducted and the Cronbach alpha value indicated 0.950. This means that the internal consistency of the scale is higher than the recommended value of 0.7. All the items were retained because they produced factor loading values higher than 0.4. The composition in Table 5.11 revealed the item-total-correlations of the construct.

Table 5.11 Item-total-correlations

Item-total-correlations	
Socio-economic development 1	0.847
Socio-economic development 2	0.938
Socio-economic development 3	0.862
Socio-economic development 4	0.926
KMO	0.752
Bartlett's test	p<0.0001
Cronbach alpha	0.950

Source: Author's compilation (2020).

5.4.5 Scale analysis for service delivery

Through the Principal Component Analysis, a KMO and Bartlett's test was carried out to determine the suitability of service delivery dataset for a factor analysis. The KMO value of 0.848 obtained indicated a relative suitability. The Bartlett's test showed that the sampling adequacy is significant at $p < 0.05$. The reliability test revealed 0.963, which is higher than the minimum recommendation value of .06. Also, the item-total correlations were all greater than the required 0.3 value.

The component matrix also revealed that all the items produced a factor loading greater than the 0.4 threshold. Therefore, all the items were retained. Table 5.12 below depicts the item-total-correlations conducted through the principal component analysis.

Table 5.12 Item-total-correlations

Item-total-correlations	
Service delivery 1	0.929
Service delivery 2	0.890
Service delivery 3	0.859
Service delivery 4	0.956
KMO	0.848
Bartlett's test	p<0.0001
Cronbach alpha	0.963

Source: Author's compilation (2020).

5.5 Factor analysis

For the purpose of dimension reduction, an exploratory factor analysis was performed to have a more parsimonious representation that will be useful for composite measure in subsequent analysis. The principal component extraction with varimax rotation was adopted in conducting the factor analysis. Reliability was examined using Cronbach's alpha and 'Cronbach's alpha if item deleted'. The table below shows the factor loading results of all the constructs, with the reliability values, Eigenvalues, mean and standard deviation. Table 5.12 below depicts the factor loadings of all the retained items.

Table 5.12 Factor analysis of scales

Items	Items					Cronbach's α if item deleted
	1	2	3	4	5	
Pol form-4	0.937					0.846
Pol form-5	0.927					0.894
Pol form-1	0.905					0.863

	0.944		
Pol imp-2	0.903		0.915
Pol imp-5	0.897		0.925
Pol imp-3	0.886		0.929
Pol imp-1	0.875		0.931
Pol imp-4			0.934
		0.945	
Pol eval-3	0.941		0.939
Pol eval-2	0.937		0.940
Pol eval-5	0.915		0.942
Pol eval-4	0.872		0.947
Pol eval-1			0.957
		0.972	
Soc-eco-2		0.956	0.923
Soc-eco-4		0.920	0.920
Soc-eco-1		0.917	0.947
Soc-eco-3			0.949
			0.976
Serv dev-4		0.962	0.936
Serv dev-1		0.938	0.944
Serv dev-2		0.919	0.965

Serv dev-3						0.965
Cronbach's α	0.896	0.940	0.956	0.950	0.963	
Eigenvalue	3.590	4.061	4.252	3.546	3.602	
Mean	9.50	10.10	12.48	8.98	10.51	
Std. deviation	2.548	4.080	4.571	4.268	5.056	

Pol form= policy formulation; Pol imp= policy implementation; Pol eval= policy evaluation; Soc eco= socio-economic development; Serv dev= service delivery.

Source: Author's compilation (2020).

The composition in Table 5.12 depicts the retained items for the five factors after stages of dimension reduction from the factor analysis. The entire measures indicate suitable internal consistency for reliability of all the extracted factors in this study given that the Cronbach's alpha coefficient of all the factors are between 0.896 to 0.963. The Principal Component Analysis (PCA) was helpful in using the rotated varimax to determine the Eigenvalue for the first factor which measures policy formulation as 3.590 and explains 71.799% variance from the scale. The second factor which measures policy implementation indicated an Eigenvalue of 4.061 which predicts 81.218% variance from the scale. The Eigenvalue for the third factor which measures policy evaluation has 4.252 with a variance of 85.047% from the scale. The fourth factor which measures socio-economic development has an Eigenvalue of 3.546 with a variance of 88.659% from the scale. The fifth factor which measures service delivery has an Eigenvalue of 3.602 which accounts for 90.048% variance from the scale.

Amongst all the scales, policy evaluation appears to be the top-rated scale with mean = 12.48 and SD = 4.571. The second rated scale is service delivery with mean = 10.51 and SD = 5.056. This is followed by policy implementation where mean = 10.10 and SD = 4.080. the next top-rated scale is policy formulation where mean = 9.50 and SD = 2.548. The least rated scale is socio-economic development, where mean = 8.98 and SD = 4.268.

Test of normality

The next measure is to conduct the test of normality to help determine the adoption of either parametric or non-parametric statistical tools to be used. Therefore, the Kolmogorov-Smirnov and Shapiro-Wilk test was conducted to determine whether the population is from a normal

distribution or not. The three independent variables (policy formulation, policy implementation, and policy evaluation) were tested on the two dependent variables (socio-economic development, and service delivery).

Table 5.13 Kolmogorov-Smirnov and Shapiro-Wilk test for Socio-economic development

	Socio- Economic	Statistic	df	Sig.	Statistic	df	Sig.
Pol form	.06	.255	6	.200*	.862	6	.196
	.07	.	4	.	.	4	.
	.13	.260	2	.			
	.25	.513	20	.000	.330	20	.000
	1.00	.345	15	.000	.719	15	.000
Pol imp	.06	.236	6	.200*	.866	6	.211
	.07	.306	4	.	.761	4	.048
	.13	.260	2	.			
	.25	.437	20	.000	.457	20	.009
	1.00	.452	15	.000	.592	15	.000
Pol eval	.06	.343	6	.026	.625	6	.091
	.07	.376	4	.	.718	4	.019
	.13	.260	2	.			
	.25	.239	20	.004	.808	20	.156
	1.00	.309	15	.000	.713	15	.000

Source: Author's compilation (2020).

Table 5.14 Kolmogorov-Smirnov and Shapiro-Wilk test for service delivery

	Service delivery	Statistic	Df	Sig.	Statistic	Df	Sig.
Pol form	.04	.385	3	.	.750	3	.000
	.05	.286	5	.200*	.791	5	.068
	.06	.305	6	.086	.892	6	.329
	.08	.337	5	.066	.676	5	.005
	.17	.385	3	.	.750	3	.000
	.25	.535	15	.000	.284	15	.013
	.50	.260	2	.			
	1.00	.355	9	.002	.700	9	.001
Pol imp	.04	.385	3	.	.750	3	.000
	.05	.286	5	.200*	.791	5	.068
	.06	.288	6	.130	.792	6	.050
	.08	.324	5	.094	.816	5	.108
	.17	.385	3	.	.750	3	.009
	.25	.488	15	.000	.419	15	.000
	.50	.260	2	.			
	1.00	.471	9	.000	.536	9	.000
Pol eval	.04	.385	3	.	.750	3	.000
	.05	.366	5	.027	.687	5	.007
	.06	.262	6	.200*	.795	6	.053
	.08	.404	5	.008	.768	5	.044

.17	.385	3	.	.750	3	.036
.25	.311	15	.000	.795	15	.003
.50	.260	2				
1.00	.335	9.	.004	.667	9	.001

Source: Author's compilation (2020).

From Table 5.13 and Table 5.14 above, the Kolmogorov-Smirnov and Shapiro-Wilk test revealed that some of the summated constructs were different from a normal distribution ($p < 0.0001$), while some key constructs indicated degree of normal distribution ($p > 0.0001$). Ghasemi and Zahediasl (2012:486) argued that the parametric test could withstand some degree of non-normality. Therefore, the parametric test will be performed where necessary.

5.6 Analysis of research questions

To examine the influence of the independent variables on the dependent variables and provide answers to the research questions, the Pearson Product Moment Correlation, which is a parametric statistical tool, was adopted. Further, the group wise correlation was helpful to understand the correlation outcome from the four different municipalities. This was conducted to comprehend the variance in policymaking perceptions from the selected municipalities.

5.6.1 Research objective one: Influence of policy formulation on socio-economic development

The research question was stated to examine the relationship between policy formulation and socio-economic development at the localised sphere of government.

Table 5.15 Pearson Correlation

eThekwini Metropolitan Municipality		Mean	Std.Dev.
Variables			1
Policy formulation	0.30	0.345	
Socio-economic development	0.42	0.454	0.674**
Umdoni Local Municipality			
Variables			
policy formulation	0.15	0.111	0.973**

Socio-economic development	0.28	0.232
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Dr Nkosazana Dlamini Municipality

Variables			
Policy formulation	0.20	0.165	
Socio-economic development	0.31	0.258	-0.289

Ray Nkonyeni Municipality

Variables			
Policy formulation	0.40	0.436	
Socio-economic development	0.48	0.384	0.997**

Correlation is significant at the 0.01 level (2tailed)

The composition in Table 5.15 revealed the outcome of the Pearson correlation on the influence of policy formulation on socio-economic development in the four selected municipalities in KwaZulu-Natal. The correlation coefficient as shown in Table 5.15 revealed that there is a positive and significant correlation between policy formulation and socio-economic development in eThekweni metro municipality, where $r = 0.674$, and $p < 0.01$. Positive and significant association was also found between policy formulation and socio-economic development in Umdoni Local Municipality and Ray Nkonyeni municipality, where $r = 0.973$, $p < 0.01$ and $r = 0.997$, $p < 0.01$ respectively. This suggests that the formulated policies in the aforementioned municipalities have significant influence on socio-economic development. However, a negative and non-significant association was found between policy formulation and socio-economic development in Dr Nkosazana Dlamini municipality, $r = -0.289$, $p > 0.01$. this means that the formulated policies in Dr Nkosazana Dlamini municipality do not influence socio-economic development”. This may be due to other extraneous factors that are not considered in this study.

5.6.2 Research objective two: Influence of policy implementation on socio-economic

development

Research question two was stated to determine the impact of policy implementation on socio-economic development. The questions for both scales were adapted from literatures.

Table 5.16 Pearson Correlation

eThekwini Metropolitan Municipality		Mean	Std.Dev.
Variables			1
Policy implementation	0.55	0.448	
Socio-economic development	0.42	0.454	0.633**
Umdoni Local Municipality			
Variables			
Policy implementation	0.17	0.288	
Socio-economic development	0.28	0.232	0.228
Dr Nkosazana Dlamini Municipality			
Variables			
Policy implementation	0.11	0.231	
Socio-economic development	0.31	0.258	0.101
Ray Nkonyeni Municipality			
Variables			
Policy implementation	0.31	0.346	
Socio-economic development	0.48	0.384	0.806**

Correlation is significant at the 0.01 level (2tailed)

Table 5.16 depicts the Pearson correlation result between policy implementation and socio-economic development. “Positive and significant association was found between policy implementation and socio-economic development in eThekwini metro municipality and Ray

Nkonyeni municipality, where $r = 0.633$, $p < 0.01$ and $r = 0.806$, $p < 0.01$ respectively. This means that implementation of policies has significant impact on socio-economic development. However, findings from uMdoni Municipality and Dr Nkosazana Dlamini Municipality indicated that a non-significant relationship exists between policy implementation and socio-economic development at $r = 0.228$, $p > 0.01$, and $r = 0.101$, $p > 0.01$ respectively.

5.6.3 Research objective three: Influence of policy evaluation on socio-economic development

Research question three was aimed determining the association between policy evaluation and socio-economic development. The questions for the scale were adapted from literatures.

5.17 Pearson Correlation Coefficient

eThekweni Metropolitan Municipality

		Mean	Std.Dev.
Variables			1
Policy evaluation	0.21	0.337	
Socio-economic development	0.42	0.454	0.609**

Umdoni Local Municipality

Variables			
Policy evaluation	0.08	0.050	
Socio-economic development	0.28	0.232	0.279

Dr Nkosazana Dlamini Municipality

Variables			
Policy evaluation	0.07	0.073	
Socio-economic development	0.31	0.258	-0.329

Ray Nkonyeni Municipality

Variables			
Policy evaluation	0.32	0.409	
Socio-economic development	0.48	0.384	0.925**

Correlation is significant at the 0.01 level (2tailed)

As presented in Table 5.17, the Pearson correlation coefficient revealed a positive and significant association between policy evaluation and socio-economic development in eThekweni metro municipality and Ray Nkonyeni Municipality. where $r = 0.609$, $p < 0.01$ and $r = 0.925$, $p < 0.01$ respectively. However, an insignificant relationship was found between policy evaluation and socio-economic development in uMdoni Municipality, where $r = 0.279$ and $p > 0.01$. Additionally, a negative association was found between policy evaluation and socio-economic development in Dr Nkosazana Dlamini Municipality, where $r = -0.329$ and $p > 0.01$. This may be due to other procedural factors influencing policymaking activities within the municipality.

To further establish the influence of policy formulation, policy implementation and policy evaluation on socio-economic development, correlation matrix was conducted on the aggregate with selected municipalities.

Table 5.18 Pearson Correlation Coefficient

Variables	Mean	Std. Dev	1	2	3
Policy formulation	0.28	0.319	1		
Policy implementation	0.36	0.401	0.424**	1	
Policy evaluation	0.18	0.300	0.875**	0.585**	1
Socio-economic development	0.39	0.378	0.722**	0.582**	0.633**

Correlation is significant at the 0.01 level (2-tailed).

Author's compilation

As presented in Table 5.18 above, a statistically significant relationship exists between policy formulation, policy implementation and policy evaluation, and socio-economic development at

the selected municipality in KwaZulu-Natal.

5.6.4 Research objective four: The level of impact of policymaking activities on service delivery

Research question four was stated to establish the level of impact of policymaking activities on service delivery. To achieve this, multiple regression analysis was conducted to comprehend the degree of impact of the independent variables on the dependent variable.

Regression analysis

To be able to respond to the research question, the three independent variables (policy formulation, policy implementation and policy evaluation) were regressed on the dependent variable (service delivery). The outcome of the analysis is presented in Table 5.18 below.

Table 5.19: Policymaking activities as predictors of service delivery (eThekweni Metropolitan Municipality)

Variables	R	R square	Adjusted R square	F	Beta	T	P
Constant	0.578	0.334	0.243	3.682		-0.476	0.027b
Pol. form					0.936	2.540	0.019
Pol imp					0.392	1.894	0.071
Pol eval					-0.700	-1.742	0.095

Predictors: Pol. Form, Pol. Imp, Pol. Eval

Dependent variable: Service delivery

Author's compilation

The regression model presented in Table 5.19 revealed R square of 0.334 with an Adjusted R square of 0.243. This implies that policymaking explains 24.3% of the variations in service delivery. In other words, policymaking activities predict the service delivery in eThekweni Metropolitan Municipality. The standardised beta value of policy formulation, policy implementation and policy evaluation of ($\beta = 0.936, p > .005$), ($\beta = 0.392, p > .005$) and ($\beta = -1.742, p > .005$) indicated that policy formulation contributed more to service delivery compared to policy implementation and policy evaluation.

Table 5.20: Policymaking activities as predictors of service delivery (Umdoni Local Municipality)

Variables	R	R square	Adjusted R square	F	Beta	T	P
Constant	0.715	0.511	0.218	1.744		1.162	0.273b
Pol. form					0.431	0.485	0.648
Pol imp					0.326	0.327	0.757
Pol eval					-0.064	-1.51	0.886

Predictors: Pol. Form, Pol. Imp, Pol. Eval

Dependent variable: Service delivery

Author's compilation

The result of the inferential statistics as shown by the regression model in Table 5.20 above revealed R square of 0.511 and Adjusted R square of 0.218. This suggests that policymaking activities predicted 21.8% variations in service delivery in uMdoni Local Municipality. The standardised Beta value of policy formulation, policy implementation and policy evaluation revealed ($\beta = -0.431, p > .005$), ($\beta = -0.326, p > .005$) and ($\beta = -0.064, p > .005$) respectively. This means that policy formulation contributed more to the model in comparison to other variables.

Table 5.21: Policymaking activities as predictors of service delivery (Dr Nkosazana Dlamini municipality)

Variables	R	R square	Adjusted R square	F	Beta	T	P
(Constant)	0.937	0.877	0.804	11.905		3.816	0.010c
Pol. form					0.268	1.451	0.206
Pol imp					-0.191	-1.153	0.301
Pol eval					0.812	4.231	0.008

Predictors: Pol. Form, Pol. Imp, Pol. Eval

Dependent variable: Service delivery

Author's compilation

The coefficient of the regression model as presented in Table 5.21 above revealed R square as 0.877 and Adjusted R square as 0.804. This implies that policymaking activities predicted

80.4% variance in the service delivery in Dr Nkosazana Dlamini municipality. The standardised Beta value of policy formulation, policy implementation and policy evaluation revealed ($\beta = 0.268, p > .005$), ($\beta = -0.191, p > .005$) and ($\beta = 0.812, p > .005$) respectively. This suggests that policy evaluation is the most impactful variable on the model.

Table 5.22: Policymaking activities as predictors of service delivery (Ray Nkonyeni municipality)

Variables	R	R square	Adjusted R square	F	Beta	T	P
Constant	0.807	0.651	0.442	3.113		2.142	0.127b
Pol. form					-1.067	-0.971	0.376
Pol imp					0.468	0.323	0.760
Pol eval					1.184	0.519	0.626

Predictors: Pol. Form, Pol. Imp, Pol. Eval

Dependent variable: Service delivery

Author's compilation

The coefficient of analysis from Table 5.22, otherwise known as R square shows 0.651, while Adjusted R squared suggests 0.442. This means that policymaking activities (formulation, implementation and evaluation of policies) explain 44.2% variations in service delivery at Ray Nkonyeni municipality. Standardised Beta value of policy formulation, policy implementation and policy evaluation indicated ($\beta = -1.067, p > .005$), ($\beta = -0.468, p > .005$) and ($\beta = 1.184, p > .005$) respectively. This suggests that policy implementation contributed more to service delivery in Ray Nkonyeni municipality.

On the aggregate, regression analysis was performed to establish the level of impact of policymaking activities on service delivery at the selected municipalities in KwaZulu-Natal.

Table 5.23: Policymaking activities as predictors of service delivery at the selected municipalities.

Variables	R	R square	Adjusted R square	F	Beta	T	P
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Constant	0.512	0.262	0.442	5.789		2.142	0.002b
Pol. form					0.466	1.813	0.076
Pol imp					0.234	1.523	0.134
Pol eval					-0.109	-0.383	0.703

Predictors: Pol. Form, Pol. Imp, Pol. Eval

Dependent variable: Service delivery

Author's compilation

As shown in Table 5.23 above, the regression outcome revealed an R square of 0.262 and Adjusted R square of 0.442. This implies that policymaking activities (policy formulation, policy implementation and policy evaluation) predicted 44.2% of the variations in service delivery at the selected municipalities in KwaZulu-Natal. The relationship depicts a Beta value of ($\beta = 0.466$, $p > .005$), ($\beta = 0.234$, $p > .005$) and ($\beta = -0.109$, $p > .005$) respectively. This may mean that the formulated policies on service delivery are more aligned with community demands than the implementation and evaluation of policies.

As shown from Table 5.19 to Table 5.23 above, this study found that, despite the level of variations on service delivery, all of the independent variable showed insignificant relationship with service delivery at the selected municipalities in KwaZulu-Natal. This may be as a result of some of the challenges identified in the qualitative analysis.

5.7 Conclusion

This chapter illustrated the thematic analysis of the qualitative data. It presents the descriptive data analysis as well as the Pearson correlation coefficient and multiple regression analysis for the quantitative data". The next chapter presents the discussion of findings and triangulation of both quantitative and qualitative outcome.

CHAPTER SIX: DISCUSSION OF THE RESULTS

6.1 Introduction

The previous chapter presented and analysed the qualitative and quantitative results from the study. This chapter proceeds with the discussion of the primary findings that were obtained from the study. The discussion is conducted as per the research objectives, namely: to examine the influence of policy formulation on socio-economic development at the localised sphere of government in KwaZulu-Natal; to determine the influence of policy implementation on socio-economic development at the localised spheres of government in KwaZulu-Natal; to establish the impact of policy evaluation on socio-economic development at the localised spheres of government in KwaZulu-Natal; to determine the effect of policymaking activities on service delivery at the localised spheres of government in KwaZulu-Natal; and, to identify challenges constricting policymaking activities at the local spheres of government in KwaZulu-Natal.

6.2 Objective 1: Influence of Policy Formulation on Socio-Economic Development

Objective one investigated the influence of policy formulation on socio-economic development within the localised sphere of government in KwaZulu-Natal. “This objective was investigated and achieved via the qualitative and quantitative research. The overall findings showed a significant influence of policy formulation of socio-economic development. The qualitative findings showed that in eThekweni Municipality, policy formulation was done through collection of inputs from stakeholders and community members. Policies are also formulated through different structures of stakeholders and sent to the administration for finalisation. Specific demand from the municipality, which goes for consultation through the stakeholders for deliberation. Policy formulation in uMdoni Municipality started with the identification of the need for policy. Information was also coordinated from different stakeholders, which then went to the management for finalisation before council adoption. In Dr Dlamini Zuma Municipality, policy formulation was done by taking information from community meetings and portfolio meetings to make a draft policy.

Regarding the influence of policy formulation on socio-economic development, findings from eThekweni Metropolitan Municipality revealed that the EPWP and LED policies have helped the communities to create job opportunities and raise minimum wage of the local people. Findings from Dr Dlamini Zuma Municipality showed that the LED policy has helped all local

SMEs and the EPWP have assisted in the creation of jobs. Research findings from Ray Nkonyeni Municipality revealed similar interest with other municipalities.

Concerning the quantitative study, the correlation coefficient revealed that there was a positive and significant correlation between policy formulation and socio-economic development ($r = 0.674$, and $p < 0.01$) in eThekweni Municipality. Moreover, positive and significant association was also found between policy formulation and socio-economic development ($r = 0.973$, $p < 0.01$; and $r = 0.997$, $p < 0.01$) in uMdoni Municipality and Ray Nkonyeni Municipality respectively.

The findings from this study are supported by previous studies. Imurana et al. (2014) postulate that policy formulation is the second phase of policy process where the policymakers propose courses of action to address the agenda issues. Imurana et al. (2014) assert that policy formulation goes through a number of processes or stages. Juma and Onkware (2015) claim that policy formulation involves the design and acceptable proposed actions of resolving public problems. Kayode et al. (2014) effective policy formulation to aid agriculture, entrepreneurship, education system and the power sector can help address socio-economic challenges such as unemployment and poverty in Nigeria. Zhou and Zvoushe (2012) review the how the interplay of socio-economic dimensions influenced policy decisions in Zimbabwe. The authors demonstrated that the spirit and mindset of policy decisions reflect the prevailing macro dynamics. In South Africa, Bayat et al. (2014) empirically investigated the impact of socio-economic factors on the performance of high school learners in Western Cape Province. The study indicates that socio-economic factors, such as, household level factors, neighbourhood factors, safety and security and hunger are the collective factors playing major roles in the underperformance of schools. Based on the findings, he calls for policy reforms on the educational system, to improve the quality of education in the country. Hill and Varone (2017) contend that to address societal problems, support governmental institutions and encourage active citizenship, public policies are required. Moreover, extant literatures have shown how policymaking has helped to reduce the level of poverty in European countries such as Poland, Latvia, Hungary, Romania, Scotland and Slovakia (Dwyer, 2008; Anderson, 2013; Simler, 2016). These findings underscore the importance of policy formulation in addressing socio-economic challenges.

Contrary to the above findings, Ndalamba (2019) argues that although policies and laws of socio-economic reform have been introduced in democratic South Africa, socio-economic transformation still remains a challenge. Brynard (2011) concurs that despite several policies (Broad Based Black Economic Empowerment, Accelerated and Shared Growth Initiative of South Africa) were formulated by the South African government to address unemployment since the transition to democracy in 1994, unemployment has about doubled since 1994.

6.3 Objective 2: Influence of Policy Implementation on Socio-Economic Development

Objective two analysed the influence of policy implementation on socio-economic development in the localised sphere of government in KwaZulu-Natal. This objective was determined and achieved through both the qualitative and quantitative research. The findings from the qualitative and quantitative phase suggested a positive significant of the influence of policy implementation on socio-economic development in the localised sphere of government in KwaZulu-Natal. The qualitative findings suggest that policy implementation in South Africa varies from one municipality to another. For instance, in Ray Nkonyeni Municipality, that policies are implemented based on council resolution and implementation can be done through media publicity. In uMdoni Municipality, evidence revealed that policy implementation was done by the administration or management after council adoption. In Dr Dlamini Zuma Municipality, the findings showed that policy implementation was done by the administration while the councillors play monitoring role. Findings from the selected municipalities showed that implementation of policies starts with council adoption.

In terms of the impact of policy implementation on socio-economic development, findings from the in-depth interviews in eThekweni Municipality showed that implementation of policies was yet to address community needs effectively. In uMdoni Municipality concerns were raised regarding political interference, which affected socio-economic development within the municipality. In Dr Dlamini Municipality, the implementation of policies has assisted the community people in terms of job creation, but the impact of policy implementation has little or no effect.

The quantitative results showed a positive of influence of policy implementation on socio-economic development in the localised sphere of government in KwaZulu-Natal. Positive and significant association was found between policy implementation and socio-economic

development ($r = 0.633, p < 0.01$; $r = 0.806, p < 0.01$) in eThekweni metro municipality and Ray Nkonyeni municipality respectively. This means that implementation of policies has significant impact on socio-economic development. However, findings from uMdoni Municipality ($r = 0.228, p > 0.01$) and Dr Nkosazana Dlamini Municipality ($r = 0.101, p > 0.01$) indicated that a non-significant relationship exists between policy implementation and socio-economic development.

Based on the perspective of the system theory, implementation of the policy formula ted becomes the output or the feedback to the society (Ayuba et al., 2012). The systems theory suggests that for any government to be able to govern, the greatest possible number of society's needs must be met, in other words, public administration must take place (Du Toit & van der Waldt, 1999). Systems theory is about government's responsibility and accountability towards meeting demands that are articulated by the people. South Africa has a bad history of human rights violation, racial domination, social injustice, political oppression, economic exploitation, gender discrimination and judicial repression, and all these required the present government to respond through the legislating of the Constitution which protects the rights of the citizens (National Action Plan for the Promotion & Protection of Human Rights, 1998; Constitution, 1996). Fox et al. (2006:42) argue that the systems theory is a response by the political system to the goals, problems, needs, wants and demands of society compromising both individuals and interest groups. This theory allows for debates, proposals, counterproposals, adaptations, consensus on public policy, review of implementation and feedback.

Policy implementation is regarded as the hub of policy process. It involves translating a policy into a plan of action or putting policies into action (Abas & Wee, 2014). Likewise, Ugwuanyi and Chukwuemeka (2013) argue that policy implementation is the important stage in policy process because it ensures that the plan is put into action. Yaro et al. (2017) recommend that policy implementation occurs when the policy decisions as contained in the documented priorities are put into action. Abas and Wee (2014) assert that policy implementation is the complex aspect of planning, coordination and promotion needed to achieve policy objectives. Ajaegbu and Eze (2010) contend that the activities which go into policy implementation are not limited but include issuing and enforcing directives, disbursing fund, signing contracts, data collection and analysing problems, hiring and assigning personnel and forming committees.

Liu, Fang and Li (2013) investigate key issues of land use in China. The authors found that current land policies are addressing specific issues but with parallel implementation. In similar

vein, Kayode et al. (2014) explore the rising rate of unemployment in Nigeria, the socio-economic and political implications. The authors found that socio-economic problems such as corruption, poverty, infrastructural decay, and lack of good governance are the predominant factors causing unemployment. The authors suggest effective policy formulation and implementation to aid agriculture, entrepreneurship, education system and the power sector. These findings underscore the relevance of policy implementation in addressing socio-economic challenges.

According to Roux (2002), for public institutions to survive, grow productively and render quality services to the public, the ability to effectively formulate policies for change and on a continuous basis also assess or analyse such policy initiatives, is of paramount importance. Ham and Hawkins (2003) claim that the implementation of policies help improve services in the health sector. Hoeyi and Makgari (2021) claim that South Africa has evolved new policies and legislations to renew the governance and administrative systems of the country in the wake of multiparty democracy. However, public institutions, including the South African Police Service (SAPS), are still criticised for poor service delivery. Given the challenges confronting the SAPS, Hoeyi and Makgari (2021) sought to assess the perceptions of personnel at SAPS in Northern Cape province on the SCM policy's impact on service delivery and the challenges thereof. The findings revealed that the SCM policies implemented by SAPS had some positive impact on service delivery.

Moreover, extant literatures have shown how policymaking, which include policy implementation has helped to reduce the level of poverty in European countries such as Poland, Latvia, Hungary, Romania, Scotland and Slovakia (Dwyer, 2008; Anderson, 2013; Simler, 2016). Roets *et al.* (2012) explore the logic of user participation in anti-poverty policymaking in public policy in Belgium. The study found that the use of participatory strategy in implementing and monitoring anti-poverty policy improves high quality services to users including those living in poverty (Roets *et al.*, 2012).

Government of various countries adopt policy instruments as the drive to accelerate infrastructural development. Previous research studies exist on the impact of policymaking on infrastructural development. For instance, Liu and Jayakar (2012) conducted a comparative analysis of the telecommunication policymaking process in China and India. The study found that China's telecommunication decision-making is significantly affected by macro-level political arrangement, while India is characterised by incremental policymaking.

In South Africa, studies on employment and policy are well documented (Faulkner *et al.*, 2013; Vermeulen, 2017). Vermeulen (2017) investigates inflation and unemployment in South Africa, in which the author found that inflation hampers employment creation. For instance, Faulkner *et al.* (2013) examine policy options for employment growth in South Africa. Their study reveals that investment and prudent use of capital by skilled workforce, as well as reduction in skilled constrain will lead to higher productivity growth. Given the magnitude of research on policy formulation and socio-economic challenges, however, limited literature exists on how policy implementation influence employment at the localised spheres of government in South Africa.

6.4 Objective 3: Impact of Policy Evaluation on Socio-Economic Development

Objective 3 explored the impact of policy evaluation on socio-economic development in the localised spheres of government in South Africa. The objective was determined and achieved via both the qualitative and quantitative phase.

When it comes to policy evaluation, the outcome of the qualitative research findings from eThekweni Metropolitan Municipality on how policies are evaluated revealed that policy evaluation is conducted through the SDBIP. The SDBIP is a meeting session where questions are asked on past or on-going projects between municipality officials and contractors. Research findings from uMdoni Municipality also revealed that policy evaluation is done through the SDBIP process, where the effectiveness of policies is monitored. The findings from the Dr Dlamini Zuma Municipality also affirmed that policy evaluation is conducted through the SDBIP, and this is done annually.

In response to how policy evaluation has influenced socio-economic development in eThekweni Metropolitan Municipality, only one sub-theme emerged from the NVivo analysis. The findings did not reflect any significant impact of policy evaluation on socio-economic development in the eThekweni Metropolitan Municipality. The findings from the Dr Dlamini Zuma Municipality revealed that political interference is a major hinderance to socio-economic development. Findings from Ray Nkonyeni Municipality is informed by the current global pandemic. The municipality seems to be more affected compared to other municipalities. From the above findings, it could be concluded that the qualitative findings established no influence of policy evaluation on socio-economic development.

When it come to the quantitative phase, the Pearson correlation coefficient revealed a positive

and significant association between policy evaluation and socio-economic development in eThekweni Metro Municipality and Ray Nkonyeni Municipality, where $r = 0.609$, $p < 0.01$ and $r = 0.925$, $p < 0.01$ respectively. However, an insignificant relationship was found between policy evaluation and socio-economic development in uMdoni Municipality, where $r = 0.279$ and $p > 0.01$. Additionally, a negative association was found between policy evaluation and socio-economic development in Dr Nkosazana Dlamini Municipality, where $r = -0.329$ and $p > 0.01$.

Anderson (2017) posits that policy evaluation is an activity to determine if a policy is achieving its objectives, or accomplishing its essence, as well as possible consequences. Policy evaluation helps to identify who is advantaged or disadvantaged, are there new problems or demand for changes in the policy. Stern (2009) argues that the European institutions spent approximately 45 million Euros per year on policy evaluation. Hojlund (2015) believes that the European Commission alone employs 140 staff to manage it, which translates into socio-economic development. Policy evaluation contributes fundamentally to sound public governance. It helps governments improve the design and implementation of public policies that can, in turn, lead to prosperity for their country and well-being for its citizens. Additionally, it promotes public accountability, learning and increased public sector effectiveness through improved decision-making (Peña-López, 2020). Similarly, Bundi (2016, 2018) observes that policy evaluation helps to account for results vis-à-vis stakeholders. From the standpoint of social mechanism, policy evaluation helps to promote governance through the system of accountability. In view of the principal-agent theory, public sector organizations are expected to provide feedback about their functioning and the results of their policies. Boswell (2018) contends that policy evaluation helps politicians signal their commitment to achieving certain goals, which can be useful to generate political trust. This can, in turn, help to mobilise political support and bolster the credibility of politicians.

However, Hayward (2014) argues that policy evaluation in the United Kingdom fails because of the interference at earlier stages in the evaluation process. Moreover, Pleger and Sager (2016), in their study, also confirmed the existence of these dynamics in other countries. In a similar vein, Stame (2004: 504) concluded that evaluation in Europe suffers from being too constrained by the demands of those who commission evaluations, and by the regulations that are put in place.

6.5 Objective 4: Effect of Policymaking Activities on Service Delivery

Objective four determined the effects of policymaking activities on service delivery in the South African municipalities. This objective was also determined and achieved through the qualitative and quantitative phases. In terms of the qualitative study, the findings from eThekweni Municipality revealed that policymaking activities have significant impact on economic development through investment, privatisation and microeconomic stability.

Similarly, findings from uMdoni Municipality indicated that policymaking activities have helped in the area of budget allocation, road projects, SMEs and rate policy. Perceptions from Ray Nkonyeni municipality also affirm the significant impact of policymaking activities. Research findings from the selected municipalities showed that policymaking activities have significant impact on economic development.

The quantitative results indicated that policymaking activities predict the service delivery in eThekweni Municipality. The standardised beta value of policy formulation, policy implementation and policy evaluation of ($\beta = 0.936, p > .005$), ($\beta = 0.392, p > .005$) and ($\beta = -1.742, p > .005$) indicated that policy formulation contributed more to service delivery compared to policy implementation and policy evaluation. The results of the regression analysis suggested that policy formulation contributed more to the model in comparison to other variables. Moreover, it has been found that policy implementation contributed more to service delivery in Ray Nkonyeni Municipality. Additionally, the results revealed that formulated policies on service delivery are more aligned with community demands than the implementation and evaluation of policies.

The constitution and the Reconstruction and Development Programme policy gave directive to all local government in South Africa to meet the basic needs and reallocate capital expenditure to poor communities (Powell, 2012). This is monitored through the strict alignment of local government policy with the intergovernmental fiscal policy, which gave policy control power to the national government. This in turn led to a reduction of expenditure on service delivery at the local sphere (Powell, 2012). The poor formulation and implementation of developmental policies by the intergovernmental structure may have a great impact on provision of basic needs of livelihood and projects development in most local communities in South Africa.

Masuku and Jili (2019) argued that poor service delivery is attributed to the politicisation of administrative structures in municipalities. The authors advocated for integrative approach

between the key municipalities stakeholders and local stakeholders to ensure efficient and effective service delivery (Masuku & Jili, 2019).

6.6 Objective 5: Challenges Constricting Policymaking Activities

Objective five investigated the challenges associated with policymaking activities within the at the local spheres of government. The objective was investigated and achieved via the qualitative method. The findings demonstrated that policymaking activities in the South African municipalities was hampered by several factors, including finance, stakeholders' roles regarding policies, criticism from the opposition, lack of understanding of the policies, non- alignment of policies with the national legislation, lack of resources and political interference. These findings agreed with previous research.

Liu *et al.* (2013) examined key issues in land use policy in China. The authors found that all current land-use policies addressing different public problems, and policies are implemented in parallel. Liu *et al.* (2013) recommend a policy framework to integrate all policies with interconnected system of addressing land use problems in China. In a study conducted in Denmark by Zuiderwijk and Janssen (2013) on the impact of implementation of open data policies, the authors found that, environment and context, policy content, performance indicators and public values are the factors influencing the effectiveness of policy implementation. Tey and Brindall (2012) investigated the adoption of precision agricultural technology policy in developing countries, and found that socioeconomic factors, institutional factors, behavioural factors, informational factors, agro-ecological factors and informational factors are the hinderances to farmers adopting the PAT policy. Weible *et al.* (2014) state that cognitive characteristics and contextual factors are the key factors that shape policy processes.

A study conducted in Nigeria by Aminu *et al.* (2012) reveals that the factors influencing policy formulation and implementation are stakeholders' involvement, specific target group and political will. According to Aminu *et al.* (2012), in formulating a public policy, the policy formulators require a good and thorough understanding of the local needs and problems of the people. The authors suggest that in policymaking, stakeholders should be first approached, considering their interests. Aminu *et al.* (2012) advocate that the policy should target specific groups, should aim at improving the lives of the target group/s.

The sustenance and development of policy depends on the political will of the government. Political will or political commitment has been described as one of the major factors to make

resilience achievable (Lassa *et al.*, 2019). According to Abdullahi and Abdullah (2014), political will determines the success or failure of a policy which include the funds invested into the system, and the contributions of the stakeholders. Abdullahi and Abdullah (2014) note that the sustainability of political will is determined by the healthy interaction between the public and the private sector through awarding of contracts, public procurement, and tax collection. However, the lack of political will has been identified as one of the constricting factors of good governance (Gillette, 2012) particularly in South Africa (Reddy, 2016). Baker *et al.* (2018) explored drivers of political commitment for nutrition for the United Nations. The scholars found 18 factors that can stimulate political commitment. Further, the authors conclude that political commitment is a key actor that can be created strategically and backed by actions. Masuku and Jili (2019) investigated the political influence of public service delivery in South Africa and found that public service delivery at the local sphere of government is characterised by politicisation of administrative components in municipalities.

6.7 Conclusion

The chapter discussed the qualitative and quantitative results that emerged from the study". The findings showed that policy formulation, implementation and evaluation positively impacted socio-economic development in South Africa. Moreover, the findings showed that policymaking is impacted by several factors, such as finance, stakeholders' roles regarding policies, criticism from the opposition, lack of understanding of the policies, non-alignment of policies with the national legislation, lack of resources and political interference.

CHAPTER SEVEN: CONCLUSION AND RECOMMENDATIONS

7.1 Introduction

This chapter highlights the conclusion and recommendations of the study. As reflected in the previous chapter, the conclusion and recommendations are aligned with the findings obtained from the study. The chapter also outlines the limitations and directions for future research. All the objectives that guide the study were duly investigated and achieved. These objectives are: to examine the influence of policy formulation on socio-economic development at the localised sphere of government in KwaZulu-Natal; to determine the influence of policy implementation on socio-economic development at the localised spheres of government in KwaZulu-Natal; to establish the impact of policy evaluation on socio-economic development at the localised spheres of government in KwaZulu-Natal, to determine the effect of policymaking activities on service delivery at the localised spheres of government in KwaZulu-Natal, and to identify challenges constricting policymaking activities at the local spheres of government in KwaZulu-Natal.

7.2 Conclusion of the Study

The following are the conclusions of the study.

7.2.1 Objective 1: Influence of policy formulation on socio-economic development

Objective one investigated the influence of policy formulation on socio-economic development within the localised sphere of government in KwaZulu-Natal. “This objective was investigated and achieved via the qualitative and quantitative research. The overall findings showed a significant influence of policy formulation on socio-economic development. The qualitative findings showed that policy formulation impacted socio-economic development in the three municipalities. The findings from the eThekweni Municipality revealed that the EPWP and LED policies have helped the communities to create job opportunities and raise minimum wage of the local people. Furthermore, findings from Dr Dlamini Zuma Municipality showed that the LED policy has helped all local SMEs and the EPWP have assisted in the creation of jobs. From the Ray Nkonyeni Municipality, the findings revealed similar interest with other municipalities.

Concerning the quantitative study, the correlation coefficient revealed that there was a positive and significant correlation between policy formulation and socio-economic development ($r =$

0.674, and $p < 0.01$) in eThekweni Metro Municipality. Moreover, positive and significant association was also found between policy formulation and socio-economic development ($r = 0.973$, $p < 0.01$; and $r = 0.997$, $p < 0.01$) in Umdoni Local Municipality and Ray Nkonyeni municipality respectively.

7.2.2 Objective 2: Influence of policy implementation on socio-economic development

Objective two analysed the influence of policy implementation on socio-economic development in the localised sphere of government in KwaZulu-Natal. This objective was determined and achieved through both the qualitative and quantitative research. The findings from the qualitative and quantitative phase suggested a positive significant of the influence of policy implementation on socio-economic development in the localised sphere of government in KwaZulu-Natal. In terms of the impact of policy implementation on socio-economic development, findings from the in-depth interviews in eThekweni Municipality showed that implementation of policies was yet to address community needs effectively. In uMdoni Municipality, concerns were raised regarding political interference, which affected socio-economic development within the municipality. In Dr Dlamini Municipality, the implementation of policies has assisted the community in terms of job creation, but the impact of policy implementation has little or no effect.

On the other hand, the quantitative results showed a positive of influence of policy implementation on socio-economic development in the localised sphere of government in KwaZulu-Natal. Positive and significant association was found between policy implementation and socio-economic development ($r = 0.633$, $p < 0.01$; $r = 0.806$, $p < 0.01$) in eThekweni metro municipality and Ray Nkonyeni Municipality respectively. This means that implementation of policies has significant impact on socio-economic development. However, findings from Umdoni Local Municipality ($r = 0.228$, $p > 0.01$) and Dr Nkosazana Dlamini municipality ($r = 0.101$, $p > 0.01$) indicated a non-significant relationship exists between policy implementation and socio-economic development.

7.2.3 Objective 3: Impact of policy evaluation on socio-economic development

Objective 3 explored the impact of policy evaluation on socio-economic development in the localised spheres of government in South Africa. The objective was determined and achieved via both the qualitative and quantitative phase. In response to how policy evaluation has influenced socio-economic development in eThekweni Municipality, only one sub-theme emerged from the NVivo analysis. The findings did not reflect any significant impact of policy

evaluation on socio-economic development in the eThekweni Municipality. The findings from the Dr Dlamini Zuma Municipality revealed that political interference is a major hinderance to socio-economic development. Findings from Ray Nkonyeni Municipality was informed by the current global pandemic. The municipality seems to be more affected compared to other municipalities.

When it come to the quantitative phase, the Pearson correlation coefficient revealed a positive and significant association between policy evaluation and socio-economic development in eThekweni metro municipality and Ray Nkonyeni Municipality, where $r = 0.609$, $p < 0.01$ and $r = 0.925$, $p < 0.01$ respectively. However, an insignificant relationship was found between policy evaluation and socio-economic development in uMdoni Municipality, where $r = 0.279$ and $p > 0.01$. Additionally, a negative association was found between policy evaluation and socio-economic development in Dr Nkosazana Dlamini Municipality, where $r = -0.329$ and $p > 0.01$.

7.2.4 Objective 4: Effects of policymaking activities on service delivery

Objective four determined the effects of policymaking activities on service delivery in the South African municipalities. This objective was also determined and achieved through the qualitative and quantitative phases. In terms of the qualitative study, the findings from eThekweni Municipality revealed that policymaking activities have significant impact on economic development through investment, privatisation and microeconomic stability. Similarly, findings from uMdoni Municipality indicated that policymaking activities have helped in budget allocation, road projects, SMEs and rate policy. Perceptions from Ray Nkonyeni Municipality also affirm the significant impact of policymaking activities. Research findings from the selected municipalities showed that policymaking activities have significant impact on service delivery.

The quantitative results indicated that policymaking activities predict the service delivery in eThekweni Municipality. The standardised beta value of policy formulation, policy implementation and policy evaluation of ($\beta = 0.936$, $p > .005$), ($\beta = 0.392$, $p > .005$) and ($\beta = -1.742$, $p > .005$) indicated that policy formulation contributed more to service delivery compared to policy implementation and policy evaluation. The results of the regression analysis suggested that policy formulation contributed more to the model in comparison to other variables. Moreover, it has been found that policy implementation contributed more to service delivery in Ray Nkonyeni Municipality. Besides, the results revealed that formulated policies on service delivery are more aligned with community demands than the implementation and

evaluation of policies.

7.2.5 Objective 5: Challenges constricting policymaking activities

Objective five investigated the challenges associated with policymaking activities within the at the local spheres of government. The objective was investigated and achieved via the qualitative method”. The findings demonstrated that policymaking activities in the South African municipalities was hampered by several factors, including finance, stakeholders’ roles regarding policies, criticism from the opposition, lack of understanding of the policies, non- alignment of policies with the national legislation, lack of resources and political interference. These findings agreed with previous research.

7.3 Recommendations of the Study

Based on the findings, the following recommendations are required.

7.3.1 Adequate budgetary allocation

Finance is a major factor affecting policymaking worldwide. “This study also confirmed that policymaking in South African municipalities was impacted by inadequate funding. Against this background, the study recommends adequate budgetary allocation to all the municipalities in South Africa. Moreover, the budgetary allocation must be done on timely basis to ensure its effectiveness.

7.3.2 Stakeholder participation

Stakeholders are organisations, group of individuals who impact or are impacted by decisions and regulations by other organisations. The essence of stakeholder participation is to shape policymaking. Unfortunately, this study found that policymaking in South Africa is hampered by stakeholder participation. For this reason, the study recommends the need for stakeholder participation in the policymaking process. Government policies and regulations should be flexible to allow the stakeholders to actively participate in the policymaking process.

7.3.3 Strong political will

The sustenance and development of policy depends on the political will of the government. Political will or political commitment has been described as one of the major factors to make resilience achievable. Political will determines the success or failure of a policy which include the funds invested into the system, and the contributions of the stakeholders. It is the commitment of government, civil society, private organisations, non-governmental organisations, and religious leaders in the process of development. Moreover, it determines the

healthy interaction between the public and the private sector through awarding of contracts, public procurement, tax collection Nevertheless, this study identified political interference as one of the factors affecting public policymaking in South Africa. Given the findings, this study recommends a strong political will towards public policymaking.

7.3.4 Alignment of policies with the national legislation

For any policy to be effective, it must be aligned to the national regulation. The study found that the policymaking in the selected municipalities was not aligned with the national legislation. For this reason, the study proposes that policies be aligned with the national legislation or laws.

7.5 Limitations and Directions for Future Research

The scope of the study is limited to municipalities in KZN. By implications, the findings of the study can only be limited to the localised sphere of government in KZN. Therefore, future research on policymaking and socio-economic development should be extended to more than one province. Moreover, the scope of the study is limited to only the employees and official at the localised sphere of government in KZN. The study excluded the stakeholders such as the community and civil society or non-profit organisations. Against this background, future studies should include other stakeholders who are part of the policymaking process in localised sphere of government.

7.6 Conclusion

The chapter highlighted the key findings obtained from the study. Moreover, the recommendations for the study are also outlined in the chapter. It concluded with the limitations and directions for future research. The overall findings showed a significant influence of policy formulation of socio-economic development. The qualitative findings showed that policy formulation impacted socio-economic development in the three municipalities. The findings from the eThekweni Metropolitan Municipality revealed that the EPWP and LED policies have helped the communities to create job opportunities and raise minimum wage of the local people. Furthermore, findings from Dr Dlamini Zuma Municipality showed that the LED policy has helped all local SMEs and the EPWP have assisted in the creation of jobs. From the Ray Nkonyeni municipality, the findings revealed similar interest with other municipalities. Concerning the quantitative study, the correlation coefficient revealed that there was a positive

and significant correlation between policy formulation and socio-economic development in eThekweni metro municipality. The findings from the qualitative and quantitative phase suggested a positive significant of the influence of policy implementation on socio-economic development in the localised sphere of government in KwaZulu-Natal. In terms of the impact of policy implementation on socio-economic development, findings from the in-depth interviews in eThekweni Municipality showed that implementation of policies was yet to address community needs effectively. In uMdoni Municipality, concerns were raised regarding political interference, which affected socio-economic development within the municipality. In Dr Dlamini Municipality, the implementation of policies has assisted the community people in terms of job creation, but the impact of policy implementation has little or no effect. In response to how policy evaluation has influenced socio-economic development in eThekweni Metropolitan Municipality, only one sub-theme emerged from the NVivo analysis. The findings did not reflect any significant impact of policy evaluation on socio-economic development in the eThekweni Metropolitan Municipality. The findings from the Dr Dlamini Zuma Municipality revealed that political interference is a major hinderance to socio-economic development. Findings from Ray Nkonyeni municipality was informed by the current global pandemic. The municipality seems to be more affected compared to other municipalities. When it come to the quantitative phase, the Pearson correlation coefficient revealed a positive and significant association between policy evaluation and socio-economic development in eThekweni metro municipality and Ray Nkonyeni municipality, respectively. Moreover, the findings demonstrated that policymaking activities in the South African municipalities was hampered by several factors, including finance, stakeholders' roles regarding policies, criticism from the opposition, lack of understanding of the policies, non-alignment of policies with the national legislation, lack of resources and political interference.

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Appendix A: Informed Consent Form

UKZN Humanities and Social Sciences Research Ethics Committee (HSSREC)

Application for Ethics Approval For research with human participants

Information Sheet and Consent to Participate in Research

Greetings,

My name is Bongiwem Mbatha. I am a DBA student at University of KwaZulu-Natal in the Graduate School of Business and Leadership with the student number 211559637. My contact number is 076 531 5952 and my email address is bongiwem@umdoni.gov.za. Dr TH Nzimakwe is my supervisor and Dr E Mutambara is my co-supervisor who is located at the Graduate School of Business and Leadership, Westville campus of the University of KwaZulu-Natal and his email is: nzimakweth@ukzn.ac.za and mutambarae@ukzn.ac.za and Tel number is: +27 82 959 2635 or 074 561 5083

You are being invited to consider participating in a study that involves research into the role of stakeholders regarding policymaking in the localised sphere of government in KwaZulu-Natal. The aim and purpose of this study to investigate the role of stakeholders regarding policy formulation and implementation in the localised sphere of government in KwaZulu-Natal. Aside this, the study also aims at examining how policies are formulated and implemented in the localised sphere of government in KwaZulu-Natal. The proposed study will include about 333 respondents as the sample size, comprising General Manager Corporate, Community, Planning & Development, Technical Services, Chief Executive Officer and Municipal Managers), Councilors, organised labour (South African Municipal Workers Union [SAMWU], Independent Municipal Alliance Trade Union (IMATU), workers and Executive Council from the department. With respect to the qualitative study, a sample size of 30 participants will be selected from the top management positions (Mayor, Deputy Mayor, Speaker, Chief Whip) in the four municipalities. However, with regards to the quantitative

study, the remaining sample size of 303 will be selected for participation. The study will follow procedures such as approval from our municipalities, including Ray Nkonyeni Local Municipality, Umdoni and eThekweni Metropolitan Municipality and Dr Nkosazana Dlamini-Zuma Local Municipality and UKZN Humanities & Social Sciences Research Ethics Committee. Thereafter the permission has been granted, the researcher will contact all the respondents and ask for their voluntary participation in the study. She will proceed to distribute the written informed consent form to all the respondents and appeal to them to sign the form in order to identify their readiness to participate in the study. Having sort the voluntary participation of this study, the researcher proceed further to administer the questionnaires and the interviews. The duration of your participation if you agree to participate and remain in the study is will be approximately two months. The study is not funded by individuals, groups or organisations.

There is no risk or discomfort that is contained in this study. The proposed study will create the following benefits to the participants: it helps will provide the participants with fair idea and knowledge on policymaking in South Africa; it will assist the participants to identify the contribution of stakeholders in policymaking; it will enable the participants to suggest ways and means on improving policymaking process in South Africa. This study when completed will provide the following benefits: it will add to existing literature on policymaking in the global context; it will help to address and minimise service delivery protests in South Africa; it will help the government and other municipalities to address the challenges of their constituents; it will offer practical recommendations to the government on how policymaking should be conducted in South Africa.

This study has been ethically reviewed and approved by the UKZN Humanities and Social Sciences Research Ethics Committee (approval number).

In the event of any problems or concerns/questions you may contact the researcher at University KwaZulu-Natal on Tel. +27 31 260 2784 or email: mutambarae@ukzn.ac.za or UKZN Humanities & Social Sciences Research Ethics Committee, contact details as follows:

HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION
Research Office, Westville Campus

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

Your participation in the study is voluntary and by participating, you are granting the researcher permission to use your responses. You may refuse to participate or withdraw from the study at any time with no negative consequence. Your anonymity will be maintained by the researcher and the School of Management, I.T. & Governance and your responses will not be used for any purposes outside of this study. If the participant requires any feedback from the outcome of the study they can be emailed

All data, both electronic and hard copy, will be securely stored during the study and archived for 5 years. After this time, all data will be destroyed.

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

Sincerely

.....

Bongiwe Mbatha

CONSENT TO PARTICIPATE

I have been informed about the study entitled the role of stakeholders regarding policymaking in the localised sphere of government in KwaZulu-Natal by Bongiwe Mbatha.

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

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

I have been informed about any medical treatment if injury occurs to me as a result of study-related procedures.

If I have any further questions/concerns or queries related to the study I understand that I may contact the researcher at University of KwaZulu-Natal on Tel 031 260 2784 or email: mutambarae@ukzn.ac.za

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

HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION

Research Office, Westville Campus

Govan Mbeki Building

Private Bag X 54001
Durban
4000

KwaZulu-Natal, SOUTH AFRICA

Appendix B: Questionnaire

University of Kwazulu-Natal

Graduate School of Business and Leadership

College of Law & Management Studies

Westville Campus

Title: Role of Stakeholders Regarding Policymaking in the Localised Sphere of Government in KwaZulu-Natal

Section A: Demographic information

This section of the questionnaire deals with information on the biographical characteristics of the participants in terms of gender, race, age, educational qualification, work experience, employment status and position

Please put an X in the most appropriate box which relates to your biographical characteristics

A.1 Gender

Male	
Female	
Other	

A.2 Race

African	
Coloured	
Indian	

White	
Other	

A.3 Age

20-25 years	
26-30 years	
31-40 years	
41-50 years	
51-60 years	
61 year and above	

A.4 Educational qualification

Diploma	
Undergraduate	
Honours	
Masters	
PhD	
Other	

A.5 Years of experience in policymaking

2-5 years	
6-10 years	
11-15 years	
16-20 years	
Above 20 years	

A.6 Tenure

Contract	
Part-time	
Full-time	
Other	

A.7 The municipality you belong

Ray Nkonyeni Local Municipality	
Umdoni	
Dr Nkosazana Dlamini- Zuma Local Municipality	
eThekweni Metro Municipality	

A.8 Position occupied

General Manager Corporate/DCM	
General Manager Community/DCM	
General Planning & Development/DCM	
General Manager Technical Services/DCM	
Chief Executive Officer/DCM	
Municipal Manager	
Councilor	
City Manager	
Director /Head of Department/DD	
Mayor	
Speaker	
Deputy Mayor	
Representative of Organised Labour	
Executive Council	
Worker	
Other	

Section B: Role of stakeholders in policymaking

The first objective is to investigate **role of stakeholders in policymaking**. Please indicate with a cross (X) in the appropriate which relate to each question or item using 5 the 5 point Likert scale below: The response choice scoring weights are: Strongly Disagree (SD) = 5; Disagree (D) = 4; Neutral (N) = 3; Agree (A) = 2; and Strongly Agree (SA) = 1.

No.	Statement	5	4	3	2	1
		SD	D	N	A	SA
Consultation						
B9	I am satisfied that the municipality has approached me ahead of the policymaking process					
B10	I am satisfied about the dialogue among all the parties in during the policymaking process					
B11	I am happy that prior to the policymaking the municipality has informed me about the purpose and objective for the meeting					
B12	I am satisfied with issues requiring special attention in the policymaking process					
B13	I am reliably informed about how results of the process be captured					
Awareness and communication						
B14	I am happy that the municipality has sent notice to inform me about my participation in the policymaking					
B15	I am satisfied that the municipality has used the right medium to inform all stakeholders about the meeting on policymaking process					

B16	I am satisfied with the information shared by the municipality in relations to my participation in the policymaking process					
B17	I am satisfied with the information received on the policymaking process					
B18	I am happy that information I received is very detailed					
Decision-making						
B19	I am satisfied that the right decisions were taken during the policymaking process					
B20	I did not regret the choices that were made in the policymaking process					
B21	I am satisfied that I would go for the same choice if I had to do it over again					
B22	I am glad that the decisions taken will be of great interest to the municipality and the communities					
B23	I am satisfied that wise decisions were taken by the stakeholders					

C: Activities involve in policymaking

No.	Statement	5	4	3	2	1
		SD	D	N	A	SA
Policy formulation						
C24	I am satisfied that the policy-content is very clear					
C25	I am satisfied the policy-s goals and objectives are clear					
C26	I happy that the outcomes of the policies will benefit the communities					

C27	I am satisfied that the policies articulated the relevant activities by which they will be achieved and measured.					
C28	I am glad that the policy document is clear on the beneficiaries					
Policy implementation						
C29	I am satisfied that the policymaking process has a strong leadership support					
C30	I am satisfied with the planning and resources mobilization					
C31	I am satisfied with the stakeholder involvement in the implementation process					
C32	I am satisfied with the operations and services in my municipality					
C33	I am satisfied that the policy considered social, political, and economic challenges					
Policy evaluation						
C34	I am satisfied with the feedback on the policy					
C35	I am satisfied with the feedback process on the contribution of the stakeholders towards the policymaking process					
C36	I am glad that the evaluation report clearly states that the requirements for the implementation were met					
C37	I am satisfied with the feedback that there were no conflict of interest among the stakeholders					
C38	I am satisfied with the procedures of monitoring and evaluation of the policy					

Section D: Factors influencing policymaking

No.	Statement	5	4	3	2	1
		SD	D	N	A	SA
Political will						
D39	I am satisfied that the policymaking process is not interrupted by politicians					
D40	I am happy that the political parties have supported policymaking process					
D41	I am glad that the political parties have accepted the policies formulated and implemented					
D42	I am satisfied with the contribution of the political parties towards the policymaking process					
D43	I am satisfied that change in government will not affect the policies					
Socio-economic challenge						
D44	I am satisfied that the policies implemented addressed the interest of the target group					
D45	I glad that the policies have addressed the social norms of the communities, societies and the country					
D46	I satisfied that policies will help resolve unemployment, crimes, discrimination and racism in the workplaces					
D47	I am satisfied that the policies accommodated culture practices in the communities, societies and country					
Leadership support/commitment						
D48	I am happy with the resources allocated for the policymaking process					

D49	I am satisfied with the accountability in the municipality in putting the policies into practice					
D50	I am glad that the leaders are deeply involved in the policymaking process					
D51	I am satisfied with the contribution of the leaders towards the policymaking process					
D52	I am glad that the leadership at the municipality has provided a good atmosphere for the policymaking process to take place					

Section: Importance of policymaking

No.	Statement	5	4	3	2	1
		SD	D	N	A	SA
Employment						
E53	I am satisfied that the policies implemented will help to create more job in the municipality					
E54	I am happy that the policies will help to accommodate different groups like disables, women and other disadvantaged people in the municipality					
E55	I am satisfied that the policies implemented will influence investors to invest in the country					
E56	I am convinced that the policies implemented will create opportunities for companies to expand					
E57	I am confident that the policies implemented protect the local business against foreign competition					
Poverty						

E58	I am confident that the policies implemented will improve the lives of people in the country					
E59	I am satisfied that the policies will increase the earnings of the citizens					
E60	I am convinced the policies implemented will enable the poor to afford decent accommodation or houses					
E61	I am satisfied that the policies will encourage people to invest in the right businesses					
E62	I am confident that the policies will provide social support for the poor in the society					
Development						
E63	I am convinced that the policies support the establishment of hospitals					
E64	I am satisfied that the policies implemented will contribute to the development of infrastructure in the transport sector					
E65	I am glad that the policies will encourage people to own property					
E66	I am happy that the policies implemented by the municipality will contribute to the expansion of infrastructure in the education sector					

Thank you very much for your cooperation

Researcher!!

Appendix C: Interview Grid

University of Kwazulu-Natal

Graduate School of Business and Leadership

College of Law & Management Studies

Westville Campus

**Title: Role of Stakeholders Regarding Policymaking in the Localised Sphere of
Government in KwaZulu-Natal**

Section A: Demographic information

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Umdoni Local Municipality	
Dr Nkosazana Dlamini- Zuma Local Municipality	
EThekwini Metropolitan Municipality	

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General Planning & Development/DCM	
General Manager Technical Services/DCM	
Chief Executive Officer/DCM	
Municipal Manager	
City Manager	
Director/Head of Department/DD	
Mayor	
Deputy Mayor	
Councilor	
Representative of Organised Labour	
Speaker	
Chief Whip	
Executive Council	
Worker	
Other	

Section B: Policy-formulation

B.9 Role of stakeholders in policymaking

- Could you please describe how the stakeholders do their consultation to each other during the policymaking process?
- Could you please explain how the stakeholder create awareness and communicate? their policymaking process?
- Can you explain how decisions are taken during the process of policymaking?
- Could please explain also on how policies are presented during the policymaking process?

B10 Activities involve in policymaking

- Can you please describe on how policies are formulated?
- Could you please explain how policies are implemented after formulation?
- I would be glad if you could describe how policies are your evaluated within your municipality?

B11 Factors influencing policymaking

- Could you please explain how political stakeholders affect policymaking within the municipality?
- Can you please describe how the leadership support the policy –making within the municipality and their commitment on those policies?
- Could you explain how social and economic challenges influence policymaking within the municipality?

B12 Importance of public policymaking

- I would be glad if you could explain how public policymaking helps in job creation.
- Could you please explain to me how policymaking would help to reduce poverty in South Africa?
- Could you explain how policymaking promote development?

B13 Challenges that associated with policymaking

- Could you explain what challenges the municipality is facing during the process of policymaking
- I would be glad if you can explain why you have those challenges
- Can you please indicate how to address those challenges

Appendix D: Ethical Clearance Approval



25 September 2019

Miss Bongiwe Judith Mbatha (211559637)
Grad School Of Bus & Leadership
Westville Campus

Dear Miss Mbatha,

Protocol reference number: HSSREC/00000462/2019

Project title: Role of stakeholders regarding policy-making in localised sphere of government in KwaZulu-Natal

Full Approval — Expedited Application

This letter serves to notify you that your application received on 12 September 2019 in connection with the above, was reviewed by the Humanities and Social Sciences Research Ethics Committee (HSSREC) and the protocol has been granted FULL APPROVAL

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

This approval is valid for one year from 25 September 2019.

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

Yours sincerely,



Dr Rosemary Sibanda (Chair)/spm

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

Founding Campuses;

Edgewood

Howad Colege

Medical School

Pietermaritzburg West WUe

INSPIRING GREATNESS



UMDONI MUNICIPALITY

THE J.E.W.E.L OF THE SOUTH COAST

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PO Box 19
Scottburgh
4180

Physical Address:
Cnr Bram Fischer & Williamson Street
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4180

Tel: 039 – 976 1202
Fax: 039– 976 2044

OFFICE OF THE MUNICIPAL MANAGER

Tel: 039 978 4365

Delivered: By Fax & Email: masis@umdoni.gov.za

Date: 23 July 2019

Enquiries: Masi Stokwe

Ms B Mbatha

Dear Madam

REQUEST FOR PERMISSION TO CONDUCT RESEARCH AT UMDONI MUNICIPALITY

Your above request refers.

Please be advised that your request to conduct research by "questions" at Umdoni Municipality: Kwa Zulu Natal, for the purpose of your research towards your DBA, has been approved.

Please be advised that you will treat the information derived from your research at Umdoni Municipality for the execution of your research as completely anonymous and confidential. Furthermore, the information will not be used for the purposes of victimizing Umdoni Municipality in any way. In addition, you must at all times be obliged to safeguard the confidential information in pursuant of your research. It must also be emphasized that no information must be used, reproduced, disclosed or disseminated to any organ of state, firm, corporation, person, including third parties, except with the express prior consent of Umdoni Municipality.

Furthermore, no data may be modified or merged with any other data, used for any commercial purpose or to do any other thing that may in any manner whatsoever, affect the integrity, security or confidentiality of such data. You are further not to permit any third party to read, copy or use the data other than may be specifically required in the terms of your request.

There can be no publication of articles in any journal or book or the like based on your research without the final approval of Umdoni Municipality. The research and its findings are to be made available to Umdoni Municipality.

We trust that above is in order.

Yours faithfully

A black rectangular redaction box covering the signature of the Municipal Manager.

Dr V Tsako

Municipal Manager



The Game changer of South Coast development

10 Connor Street

P.O. Box 5

Port Shepstone, 4240

Telephone: 039 688 2000

Fax: 039 682 0327

OFFICE OF THE HEAD OF DEPARTMENT: CORPORATE SERVICES

Enquiries: NB Thabatha
Contact No: (039) 688 2071
Fax no: (039) 682 0327

Email: Fundiswa.Cele@mnm.gov.za

08 February 2019

ATTENTION: MS BONGIWE MBATHA

Dear Ms Mbatha


PERMISSION TO CONDUCT RESEARCH STUDY

The above matter bears reference.

Kindly note that your request is granted. The contact person will be Ms Fundi Cele who will assist with coordination.

Hoping you will find the above in order.


NB THABATHA
HOD: CORPORATE SERVICES

Follow us on  Ray Nkonyeni Municipality

www.rnm.gov.za



Main Street
Creighton, 3263

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Email: mailbox@ndz.gov.za

A Better Place for All

OFFICE OF THE MUNICIPAL MANAGER

RE: GATE KEEPERS LETTER

27 February 2019

TO WHOM IT MAY CONCERN

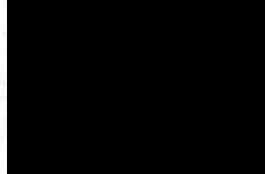
Permission is hereby granted to Ms Bongiwe Mbatha to conduct research at Dr Nkosazana Dlamini Zuma LM.

The topic for her research will be "The role of stakeholders regarding policy making in the localised sphere of Government in Kwazulu-Natal".

Permission is granted to her to conduct interviews with the public and staff members on her chosen topic.

Hoping you will find this in order.

Thanking you in advance



MunicipalManager

A Better Place for All



Pod 1, Second Floor, Intuthuko Junction, 750 Mary Thipha Street, Umkhumbane, Cato Manor, Durban 4001.
Tel: 031 322 4513, Fax: 031 261 3408, Fax to email: 086 265 7160, Email: mile@durban.gov.za, Website: www.mile.org.za

For attention:
Chair of Ethics Committee
College of Law and Management Studies
Graduate School of Business and Leadership
University of KwaZulu Natal
Westville Campus
Durban
4001

22 February 2019

RE: LETTER OF SUPPORT TO Ms B.MBATHA, STUDENT NUMBER 211559637 - GRANTING PERMISSION TO USE ETHEKWINI MUNICIPALITY AS A CASE STUDY

The Research and Policy Advocacy Unit and eThekweni Municipal Academy (EMA), have considered a request from Ms Bongive Mbatha to use eThekweni Municipality as a research study site leading to the awarding of a Doctoral degree. The dissertation title is noted as *"Role of Stakeholders regarding policy making in the localized sphere of the government in Kwa Zulu Natal."*

We wish to inform you of the acceptance of her request and hereby assure her of our utmost cooperation towards achieving her academic goals; the outcome which we believe will help our municipality improve on its service delivery outcome. In return, we stipulate as conditional that she contacts Collin Pillay, Program Manager at MILE (collin.pillay3@durban.gov.za) to present the results and recommendations of this study to the related unit/s on completion of her research study, accompanied by her academic supervisor.

Wishing Ms Mbatha all the best in her studies.

Dr S. Mbatha
Sen. Manager: RAPA
eThekweni Municipality

Dr M. Ngubane
Head: eThekweni Municipal Academy
eThekweni Municipality

I BONGIVE MBATHA hereby accept as conditional that I will comply fully as per the conditions stipulated above.

Signe

Date:

12/03/2019