

UNIVERSITY OF KWAZULU-NATAL

**INTEGRATED DEVELOPMENT PLANNING AS A MEANS TO FACILITATE
PUBLIC PARTICIPATION IN GEORGE MUNICIPALITY**

By

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2016

DECLARATION

I SANDILE WISEMAN NGQELE declare that

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DEDICATION

This thesis is dedicated to my late parents LUNGILE GLADSTONE NGQELE and MANTOMBI MARJORIE NGQELE, for laying a solid foundation for my achievements. May God rest your souls in peace.

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ABSTRACT

The study concentrates on integrated development planning (IDP process) as a means to facilitate public participation in the George Local Municipality, situated within the Eden District Municipality in the Province of the Western Cape. The study is divided into chapters, which form a logical and sequential whole, namely:

Chapter 1: the problem regarding insufficient public participation strategies and policies intended to achieve the highest degree of public participation in the local sphere of government is explained, and the broad research goal is stated, supported by specific study objectives. Certain key questions are posed; where after the research methodology is explained.

Chapter 2: investigates the theoretical premise of management in the context of public administration using the 'funnel method' of structuring a literature review. This includes a theoretical evolution of the management theory, strategic management as a component of management, a systems model/approach to policy-making as well as the new public management (NPM). A brief explanation of the concept 'philosophy' is provided. This is followed by a description of the various theoretical approaches to the subject of Public Administration, where after the origin, nature and place of public participation in relation to the Public Administration theory is explained.

Chapter 3: presents a review of literature which focuses on the integrated development planning (IDP) process and public participation within a South African context. Selected international perspectives on public participation are briefly articulated. The literature shows that the majority of South African municipalities continue to implement inappropriate public participation strategies during the IDP process and this translates into undesirable service delivery protests. For this reason, this gap is addressed in the study so as to gain an improved understanding of an appropriate combination of context-specific public participation strategies that South African municipalities can implement during the IDP process.

Chapter 4: provides an overview of the guiding framework that governs integrated development planning as well as the enhancement of public participation in local government affairs. This chapter seeks to provide an impetus in the quest for a

theoretical model aimed at improving integrated development planning in municipalities by developing an appropriate combination of context-specific public participation strategies. This chapter is meant to provide guidance to municipalities by providing a 'menu' of relevant legislation and literature in Public Administration as critical 'ingredients' in developing appropriate models to facilitate public participation in the IDP process.

Chapter 5: departs from the premise that the formulation of a plan (Integrated Development Plan) is not sufficient; adequate implementation is fundamental for the success of local government. This chapter reviews the literature on various dimensions of performance management aimed at improving the implementation of the IDP as well the acceleration of service delivery. The concept performance management is clarified including a statutory and regulatory framework governing performance management in Developmental Local Government. The measuring of municipal performance and municipal performance reporting will be explained. Lastly, performance management systems and performance management tools and techniques will be explored.

Chapter 6: describes and explains the research methodology employed as well as the theoretical basis for conducting the empirical research. Secondly, the survey questionnaire used for gathering the data needed for analysis and interpretation is explained.

Chapter 7: focuses on the interpretation and articulation of the results of statistical analysis. The empirical findings are presented in the form of tables and graphs, accompanied by an explanation of the relationship with the selected theoretical criteria found in the literature.

Chapter 8: in this chapter, summaries of the preceding chapters are briefly synthesised. Conclusions and recommendations with respect to the IDP process as a means to facilitate public participation, based on the empirical survey that was undertaken, are submitted. The final chapter is concluded with a conclusion subsection, indicating the progress that the research has made to alleviate the stated problem and recommendations for further research on the IDP process as a means to facilitate public participation in the discipline and practice of Public Administration.

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ABBREVIATIONS AND ACRONYMS

BAQF	Benefits Agency Quality Framework
CBP	Community-Based Planning
CDWs	Community Development Workers
DLG	Developmental Local Government
GGLN	Good Governance Learning Network
IAP2	International Association for Participation
IDP	Integrated Development Plan
IKS	Indigenous Knowledge Systems
KPAs	Key Performance Areas
KPIs	Key Performance Indicators
LED	Local Economic Development
LGNF	Local Government Negotiating Forum
MEC	Member of the Executive Council of a Province
MFMA	Local Government: Municipal Finance Management Act 56 of 2003
NDP	National Development Plan
NGOs	Non-Governmental Organisations
NPM	New Public Management
OECD	Organisation for Economic Co-operation and Development
PDPs	Personal Development Plans
PGWC	Provincial Government of the Western Cape
PMS	Performance Management System
POSDCORB	Planning, Organising, Staffing, Directing, Coordinating, Reporting and Budgeting
RSA	Republic of South Africa
SDBIP	Service Delivery and Budget Implementation Plan
UKZN	University of KwaZulu-Natal

CHAPTER 1

INTRODUCTION AND BACKGROUND TO THE STUDY

1.1 INTRODUCTION

The study places particular focus on integrated development planning (IDP process) as a means to facilitate public participation in the George Local Municipality, situated within the Eden District Municipality in the Province of the Western Cape. Public participation is an active process by which the public influences the direction and execution of a programme or project, with a view to enhancing their well-being in terms of income, personal growth, self-reliance or any other values they cherish (Hickey & Mohan, 2004:59-70). In the context of the study, public participation within integrated development planning is an opportunity to empower the local community by developing their communication skills and abilities enabling them to negotiate with the local municipality and make their own decisions in terms of their development needs and priorities (Theron, 2008:110).

The notion of Developmental Local Government (DLG) introduced integrated development planning as a key local development planning mechanism to be used by municipalities in facilitating service delivery in a co-ordinated manner. DLG is defined in the Local Government: White Paper on Local Government, 1998, as a local government committed to working with citizens and groups within the community in order to find sustainable ways to meet their social, economic and material needs, and to improve the quality of their lives. Integrated development planning is a process through which municipalities prepare a strategic development plan which extends over a five-year period (South African Local Government Association (SALGA), 2001a: 4).

The integrated development plan (IDP) is a product of the integrated development planning process. Section 35 (1) of the Local Government: Municipal Systems Act 32 of 2000 defines the integrated development plan (IDP) as the principal strategic planning instrument which guides and informs all planning and development, and all decisions with regard to planning, management and development in the municipality. The promulgation of the Local Government: Municipal Systems Act 32 of 2000 compelled all municipalities to use the IDP process as a means to facilitate grass-

roots development, as well as authentic and empowering public participation (Parnell, Pieterse, Swilling and van Donk, 2008:13-15). There are a number of benefits associated with undertaking the IDP process which are discussed later in the study.

Section 2 of the Local Government: Municipal Systems Act 32 of 2000 defines a municipality as –

- An organ of state within the local sphere of government exercising legislative and executive authority within an area determined in terms of the Local Government: Municipal Demarcation Act 27 of 1998;
- Consists of –
- The political structures and administration of the municipality; and
- The community of the municipality.

Municipal planning processes such as the IDP process require the structures, functionaries and administration of the municipality to act in partnership with the community of the municipality to meet their social, economic and material needs, and to improve the quality of their lives as envisaged in the Local Government: White Paper on Local Government, 1998. The on-going search for appropriate public participation strategies and policies is fundamental if the municipalities are to adopt the Core Values of the International Association for Participation (IAP2) and the Manila Declaration on People's Participation and Sustainable Development (1989). The IAP2 and the Manila Declaration on People's Participation and Sustainable Development (1989) are explained in detail later in the study. The above definition of 'municipality' and, by implication, of public participation in municipal planning requires a paradigm shift from prescriptive, top-down, blueprint-type thinking and planning to a more participatory planning approach. The local community as the beneficiaries of development should be the key actors in transforming and democratising local level development. This presupposes that the legitimate public management of local government (in this case, the George Local Municipality) will only be possible if local communities through their participation in the IDP process are in a position to "influence, direct, control and own their own development" (Davids & Theron, 2014:120).

The inception of the notion of DLG in South Africa is accompanied by a promise of public participation in municipal strategic planning processes as envisaged through the IDP process also encompassing the adoption of new public management (NPM) approaches for municipalities. Although public participation was introduced as an ideal in a plethora of legislation such as the Reconstruction and Development (RDP) Programme White Paper, 1994, the Constitution of the Republic of South Africa, 1996, the Local Government: White Paper on Local Government, 1998 and Local Government: Municipal Systems Act 32 of 2000 – this ideal now continues in the National Development Plan (2012) however the reality shows that the communities become more disillusioned with local government's poor service delivery. For instance, recent research results in the discipline of Public Administration (such as Mchunu, 2012; Tsheola, 2012; Mpehle, 2012) reveal that less meaningful public participation is a direct result of the violent protests. The recent service delivery protests in the George Local Municipality are an indication that public participation continues to be a challenge in the local sphere of government. The situational analysis of the George Local Municipality reveals that inadequate standards of service delivery, dissatisfaction of the community and weaknesses in governance and accountability are amongst the top institutional risks (George Local Municipality, 2013a).

The chapter provides a background to the study by articulating the research problem. Firstly, it contextualises the IDP process as a key opportunity to facilitate public participation in DLG to ensure effective and efficient service delivery. Secondly, the problem is identified; the background circumstances and research questions serve as the central point of departure and provide meaning for what the research aims to prove. Thirdly, the chapter is used to explain the scope of the research, the geographical area and theoretical framework for analysis, consequently describing the boundaries of the research and allowing the researcher to clearly articulate what the study entails and to situate the analysis within the discipline of Public Administration and its practice.

1.2 RESEARCH PROBLEM

According to Mouton (2011:48) the statement of the research problem should be a clear and unambiguous statement of the object of study and research objectives.

This section deals with the main research problem, followed by a number of sub-problems that emanate from the main research problem.

1.2.1 Main research problem

The main research problem underlying the study is as follows:

The current low levels of public participation in the IDP process of the George Local Municipality is a result of the inadequacy of the existing strategies and policies intended to achieve the highest degree of public participation in the local sphere of government.

Contributing to this main problem are the following sub-problems:

1.2.1.1 Sub-problem 1

The significance of the IDP process in facilitating public participation requires exploration. As a public participation vehicle, the IDP process is expected to integrate public views and aspirations (Mchunu & Theron, 2013:114).

1.2.1.2 Sub-problem 2

The selection of an inappropriate combination of public participation strategies in the IDP process often leads to confrontational approaches from the local community such as violent service delivery protests. The art of facilitating effective and efficient public participation depends on the selection of an appropriate combination of strategies (Davids, Theron & Maphunye, 2009:125-128).

1.2.1.3 Sub-problem 3

The level and degree of accountability by the George Local Municipality regarding public participation in the IDP process need closer scrutiny. An uninformed citizenry is likely to resort to protestation (Managa, 2012:2).

1.3 OBJECTIVES OF THE STUDY

The study analyses the IDP process as a means for authentic public participation in the effective and efficient provision of services to communities in a sustainable manner in the George Local Municipality. Linked to the research sub-problems stated above, are the specific research objectives, which are:

- a) To explore the significance of the IDP process in facilitating public participation on municipal-wide service delivery in the George Local Municipality;
- b) To explore the selection of public participation strategies in the IDP process in the George Local Municipality;
- c) To explore the level and degree of accountability regarding public participation in the IDP process in the George Local Municipality; and

The study concludes by recommending the implementation of an appropriate combination of context specific public participation strategies in the IDP process that can be used by South African municipalities in particular and the George Local Municipality in general.

1.4 KEY QUESTIONS PERTAINING TO THE STUDY

The study proceeds from a premise that the Local Municipality acts in municipal-wide functional capacity using the IDP process as a means to facilitate public participation for effective and efficient service delivery. The research questions are used to elucidate as precisely as possible what the study attempts to find out (Hofstee, 2010:85). The study proposes answers to the following questions:

The primary problem question is: What is the significance of the IDP process in facilitating public participation on municipal-wide service delivery in the George Local Municipality?

Associated to this primary problem question are the following sub-questions:

- Is the current selection of public participation strategies of the George Local Municipality appropriate for the IDP process?

- What is the level of accountability pertaining to the implementation of public participation in the IDP process of the George Local Municipality?
- Can the current approach to the research problem be improved?
- If the current approach to the research problem can be improved, how can it be done?

1.5 RESEARCH METHODOLOGY

In Chapter 1, only a brief overview of the research methodology is provided. A detailed description follows in Chapter 6.

The research methodology applied in this study included the following five main steps:

- Literature search;
- Empirical survey;
- Interpretation and articulation of the results of statistical analysis; and
- Submission of recommendations.

These five steps are briefly explained below.

1.5.1 Literature search

A literature search of relevant books, academic journals, scientific papers, relevant research, relevant legislation, regulations, consolidated instructions, procedural manuals, by-laws, circular letters, minutes of meetings, council resolutions, *inter alia*, was conducted in an effort to gain an improved understanding of the stated problem and the associated sub-problems.

1.5.2 Empirical survey

An empirical survey was conducted among the target population (sample), selected from senior municipal officials, ward councillors and ward committee members of the George Local Council, using a self-administered questionnaire containing the main sections as explained in Chapter 6 of this study.

1.5.2.1 Description of the research population

The research population was categorised into three components:

Description of the total possible research population.

- Identification of the randomly selected target research population (the sample), which, in collaboration with the study supervisors and the statistician, was a statistically acceptable percentage of the representative sample of the total research population mentioned above.
- A final response population figure was decided on in collaboration with the research supervisors and the statistician, which represents a given percentage of the target (sample) population and whose responses were the subject of the statistical analysis (the units of analysis).

1.5.2.2 Sampling

Purposive sampling was deemed suitable for the study due to its potential to allow for “selection on the basis of knowledge of the population, its elements and purpose of the study” (Patton, 2002:12). The research sample was selected from senior municipal officials, ward councillors and ward committee members of the George Local Municipality. The motivation behind the selection of the above research sample was based on the fact that they are legislatively mandated to facilitate and coordinate public participation in municipalities.

1.5.2.3 Statistical analysis

Appropriate response percentages were determined in collaboration with the resident University of KwaZulu-Natal (UKZN) registered statistician by determining relative values from the empirical data and transferring such values in a codified form to a computer database. The data thus analysed was interpreted by utilising selected statistical methods and analytical instruments in collaboration with the resident UKZN registered statistician. A description of the analysis methodology design is provided in this chapter. A five-point Likert scale was incorporated in the quantitative section of the questionnaire. A space was provided at the end of the questionnaire for

qualitative responses that were evaluated in terms of the value that they add to the empirical survey.

1.5.3 Interpretation and articulation of the results of statistical analysis

The data analysis was undertaken by the resident UKZN registered statistician and the interpretation of the results of the analysis was done by the researcher. This step consisted of the following:

- Organising and capturing the data emerging from the literature review and empirical survey and determining relevant and appropriate options;
- Interpreting the data obtained, using various descriptive methods of analysis (in the form of tables, charts and figures, followed by a brief textual explanation of each analysis event); and
- Articulation of the results of the statistical analysis performed in conjunction with the resident UKZN registered statistician.

The research followed a combined quantitative and qualitative research approach which is grounded in the positivist social science paradigm. Such a paradigm adopts a deductive approach to the research process. As such, it commences with theories or hypotheses about particular phenomena and gathers data from the real-world setting and then analyses the data to support or reject hypotheses (Jennings, 2001:20).

1.5.4 Submission of recommendations

In the final chapter of the study, summaries of the preceding chapters are briefly synthesised. Findings and recommendations regarding the use of the IDP process as means to facilitate public participation, based on the literature search and empirical survey that was undertaken, are presented. The final chapter is concluded with a conclusion sub-section, indicating the progress that the research has made to alleviate the stated problem and the associated sub-problems, and recommendations for further research on the IDP process as a means to facilitate public participation in the discipline and practice of Public Administration.

1.6 DELIMITATION OF THE STUDY

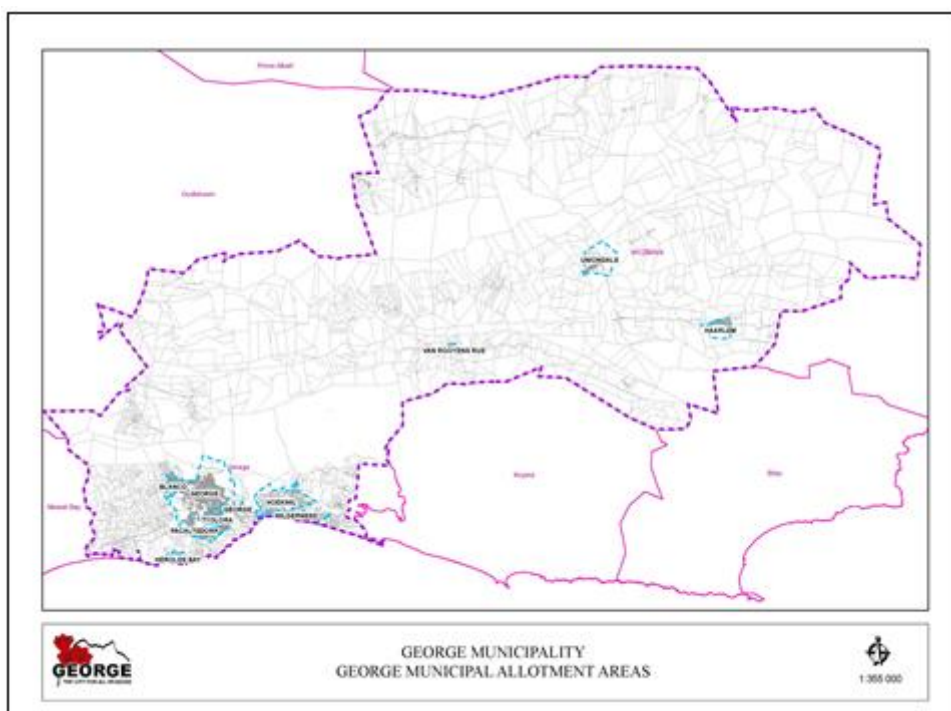
Limitations are inherent in academic work. According to Hofstee (2010:87) by stating explicitly what falls inside the thesis statement and what is outside, avoid any possible criticism of “Why didn’t you do x, y or z?”.

Research is time- and place-bound, it is therefore important that the delimitations should be clearly explained.

1.6.1 The study area

The study was concentrated in the George Local Municipality, situated within the Eden District Municipality in the Province of the Western Cape. The map of the George municipal area is shown below (see Figure 1.1)

Figure 1.1: George municipal area



Source: George Local Municipality: Annual Report 2012/2013 (2013a)

Local municipalities have been established in terms of the provisions of Chapter 7 of the Constitution of the Republic of South Africa, 1996. In terms of Sections 25 and 35 of the Local Government: Municipal Systems Act 32 of 2000 all municipalities must prepare and adopt IDPs to *inter alia* guide and inform all planning and development

in the municipality. Chapter 4 of Local Government: Municipal Systems Act 32 of 2000 further emphasises the importance of public participation in the development of IDPs. The George Local Municipality is classified as a category B municipality (a municipality that shares municipal executive and legislative authority in its area with a category C municipality within whose area it falls) (Constitution of the Republic of South Africa, 1996) and the Eden District Municipality is a category C municipality (a municipality that has municipal executive and legislative authority in an area that includes more than one municipality). In essence, the George Local Municipality, the area chosen for the study, co-exists and shares developmental responsibilities with the Eden District Municipality.

According to the 2012/2013 Annual Report of the George Local Municipality (2013a:50) the municipality is located on the south-eastern coast of South Africa, approximately 440 kilometres southeast of Cape Town. George enjoys the strategic advantage of being situated on the major transport routes between Cape Town in the south and Port Elizabeth in the east. The municipal area is 5190.43 square kilometres in extent and the municipal area is constituted by 25 wards (see Table 1.1).

Table 1.1: Wards of the George Local Municipality

WARD	AREAS
1	Blanco, Fancourt
2	Denneoord , Fernridge, Bo-dorp
3	Earls Court, Glen Barry, Heather Park, Heatherlands, Kingswood
4	Kleinkrantz, Kraaibosch, Wildernis, Hoekwil, Touwsrante
5	Le Vallia, Bergsig, Bo-dorp, Molenrivier-rif, Portion of Denneoord and Eastern Extension (1-5 th street)
6	Rosemoor, Protea Park, Urbansville, Portion of Le Vallia,
7	Lawaaikamp, Maraiskamp
8	Parkdene, Ballotsview
9	Themba lethu
10	Themba lethu
11	Themba lethu
12	Themba lethu

WARD	AREAS
13	Themba lethu
14	Erf 325 , Pacaltsdorp, Andersonville, Seaview, Europe, Noordstraat
15	Themba lethu
16	New Dawn Park
17	Conville, Rosemoor, Convent Gardens, Mary's View, Urbansville (Hurter Street)
18	Genevafontein, Loeriepark, Tweerivieren
19	George Central , George South, Dormehlsdrift, King George
20	Borchards
21	Themba lethu
22	Bo-dorp, Camphersdrift, Rural Areas, Diepkloof, Sinksabrug, Waboomskraal, Herold, Geelhoutboom, Hoogekraal
23	Delville Park, Groenewyde Park, Herolds Bay, Buffelsfontein, Oubaai, Hansmoeskraal, Syferfontein, Rooirivier, Le Grande, Bos en Dal
24	Haarlem, Ongelegen, Avontuur, Noll (including surrounding areas)
25	Uniondale, Ezeljacht, Rooirivier, (including surrounding areas)

Source: George Local Municipality: IDP 2012-2017 (2012b)

Demographic information provides relevant statistical information to government and policy decision-makers. It is also a key guide for informing service needs (social and economic); policy development and intervention; identifying targeted intervention programmes, their implementation and evaluation. The Eden District's total population is 574 265, representing 9.8 percent of the Western Cape Province total population of 5 822 734 million. The George Local Municipality has the largest population in the Eden District, the population was estimated at 193 672 in the 2011 Census, which represents a growth of 29.1 percent from 2001-2011 (George Local Municipality IDP, 2012b:70).

1.6.2 Theoretical boundaries of the study

The theoretical boundaries of the study are limited to the analysis of the utilisation of the IDP process as a means for authentic public participation in the effective and efficient provision of services to communities in a sustainable manner in the George Local Municipality within the discipline of Public Administration. George Local Municipality like many other municipalities in the country was recently faced with violent service delivery protests and among the concerns raised in the petition was

that the IDP-public (community) participation process did not have any direct influence on the multi-year budgets as it was based on pre-determined content which only required limited input from the local community.

The study is underpinned by the following theories which were aimed at supporting the objectives of the study, namely: Strategic Management, Systems Model / Approach to Policy-Making and New Public Management (NPM). These theories were used to analyse the IDP process and public participation in the discipline and practice of Public Administration. Even though the findings of the study do not claim to be exhaustive and final, the study provided an impetus for further research on the utilisation of IDP process as a means to facilitate public participation.

The contribution of the thesis to the existing corpus of knowledge in Public Administration lies in the field of understanding human behaviour in the process of public participation in the IDP process. Local communities tend to be suspicious, resentful and lethargic in the participation relationship with the governmental bodies more especially where the delivery of municipal services is concerned. There seems to be an element of negativity before the public participation process even starts and more antagonism than positive contributions from the side of the local community during the public meetings (Mchunu & Theron, 2013: 105).

In this thesis the factors leading to misunderstandings and resentment are analysed to create a normal relationship between the government authority and the local community. It provides an indication on how to create a productive participation relationship with the local community to contribute positively in their future as well as their real needs, desires and demands. It also creates a platform to engage on the shortcomings, inabilities and problems of the local government administration to deliver all the services for which demands are made. Some form of mutual understanding and partnership between the local community and the local government administration is recommended and should be adopted. In such a manner, a fruitful and constructive public participation process is deemed "authentic" and must be embraced by all stakeholders (Davids *et al.*, 2009:150).

A thesis embodying the results of the research will be made available in the form of a hardbound copy to the UKZN library. In addition, this thesis is accompanied by an unpublished manuscript arising from the research which has been submitted to an

accredited journal as required by the university regulations governing the submission of doctoral research reports.

1.7 CONFIDENTIALITY AND ETHICAL CONSIDERATIONS

According to Babbie (2013:90) anyone involved in social science research needs to be aware of the general agreements shared by researchers about what is proper and improper in the conduct of scientific inquiry. Remenyi (1998: 110) points out that there are three major ethical considerations to note when undertaking research. These are how the “information is collected”; how the “information is processed”; and lastly, “how the findings are used”. The prospective researcher declares that the proposed study will uphold all three major ethical considerations at all times during, and prior to, the interviews, the relationship will be open and honest. The researcher declared upfront the motivation for undertaking the research and showed how the results could best be used.

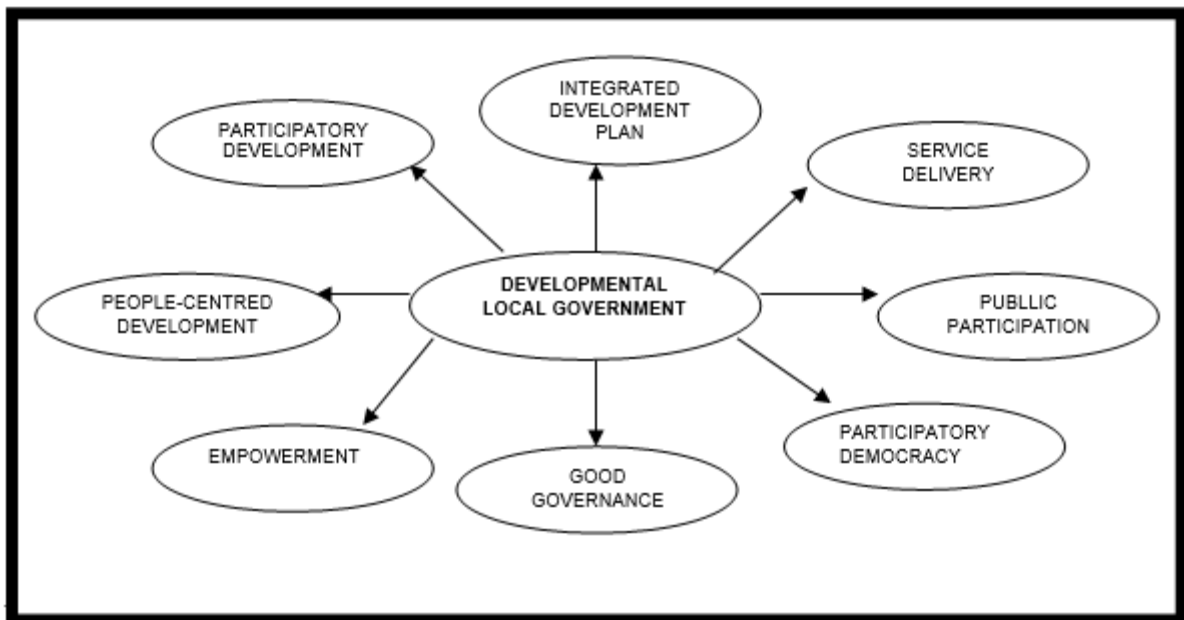
Confidentiality should be upheld at all times, in order to avoid potentially “unsatisfactory practices, which could endanger the respondents” (Remenyi, 1998: 114). To uphold these ethical considerations, the identity of all the respondents will be kept anonymous. The researcher realised that his position, as both the researcher and as an ‘insider’ in local government, could be problematic; therefore confidentiality was upheld as far as possible. All work and information gathered that was not the researcher’s own is acknowledged according to university-approved referencing methods. All interviews conducted strictly conformed to the UKZN Ethical Standards of Research Protocol.

1.8 DEFINITION OF KEY CONCEPTS

Brynard and Hanekom (2012:28) explain that it is important to define key concepts and terms to avoid ambiguities and obscurities. The key concepts defined for the research proposal will eventually form part of the list of terms clarified for the research report. To depict a clear relationship of key concepts in a research, Brynard and Hanekom (2012:28) suggest the use of a mind-map as it enables the researcher to identify topics (data) critical to the particular investigation; it helps to simplify the research for, and the collection of, topic-relevant data needed for in-depth analysis.

Although some of the key concepts were already clarified above, the same will be repeated to contextualise their connection and elucidate the mind-map holistically (see Figure 1.2).

Figure 1.2: Mind-map and the identification of key concepts



Source: Adapted from Brynard and Hanekom (2012:28)

In the study, the following concepts are used:

1.8.1 Developmental local government (DLG)

The Local Government: White Paper on Local Government, 1998 defines DLG as a local government committed to working with citizens and groups within the community in order to find sustainable ways to meet their social, economic and material needs, and to improve the quality of their lives.

1.8.2 Integrated development planning (IDP) process

Integrated development planning is a process through which municipalities prepare a strategic development plan which extends over a five-year period (SALGA, 2001a: 4). The integrated development plan (IDP) is a product of the integrated development planning process.

1.8.3 Integrated development plan (IDP)

In terms of Section 35 (1) of the Local Government: Municipal Systems Act 32 of 2000 an IDP is the principal strategic planning instrument which guides and informs all planning and development, and all decisions with regard to planning, management and development in the municipality.

1.8.4 Good governance

The official concept of local good governance is suggested in Chapter 7 of the Constitution of the Republic of South Africa, 1996, Local Government: White Paper on Local Government, 1998 and the Local Government: Municipal Systems Act 32 of 2000. The Good Governance Learning Network (GGLN) (2008:11) explains that from the perspective of development agencies and non-governmental organisations (NGOs), good governance attempts 'to capture the multitude of interactions that occur between citizens and the local state'.

According to GGLN (2008:12) a useful starting point towards defining good governance is provided by the Organisation for Economic Co-operation and Development (OECD), which set out eight core characteristics of good governance; namely:

- Participation;
- Transparency;
- Effectiveness and efficiency;
- Responsiveness;
- Accountability;
- Consensus orientation;
- Equity and inclusiveness; and
- Rule of law.

1.8.5 Public participation

Public participation refers to empowering the local community by developing their communication skills and abilities so that they can negotiate with the local

municipality and make their own decisions in terms of their development needs and priorities (Theron, 2008:110).

1.8.6 People-centred development

People-centred development shifts the emphasis in the development action to people, rather than to objects and production, and to the enhancement of their capacity to participate in the development process (Kotze, 1997:36).

1.8.7 Participatory democracy

Participatory democracy is an ideal of democratic government which emphasises the importance of maximum direct participation in governmental affairs and decision-making by local citizens (Fox & Meyer, 1995:93).

1.8.8 Participatory development

Dauids, *et al.* (2009:120) defines participatory development by referring to it as a “self-sustaining process” - meaning a development process controlled by the local community.

1.8.9 Empowerment

According to Dauids *et al.* (2009:21) in a development context, empowerment is defined as the process by which people, organisations or groups who are powerless become aware of the power dynamics at work in their life context, develop the skills and capacity for gaining some reasonable control over their lives, exercise this control without infringing upon the rights of others and support the empowerment of others in the community.

1.8.10 Service delivery

Fox and Meyer (1995:118) define service delivery as the provision of public activities, benefits or satisfactions. Services relate both to the provision of tangible public goods and to intangible service themselves.

1.9 SUMMARY

This chapter provided a background to the study by articulating the research problem. Firstly, it contextualised the IDP process as a key opportunity to facilitate public participation in DLG to ensure effective and efficient service delivery. Secondly, the research problem was identified; the background circumstances and research questions serve as the central point of departure and provide meaning for what the research aims to prove. Thirdly, the chapter was used to explain the scope of the research, the geographical area, the theoretical boundaries of the research which allowed the researcher to clearly articulate what the study entails and to situate the analysis within the discipline of Public Administration and its practice.

The following chapter investigates various theories and approaches useful for developing reliable and systematic understanding of public participation strategies with specific reference to their application in a local municipality. In this chapter the role of philosophy in the social sciences is explored. This includes a philosophical basis for Public Administration; reference is made to the theoretical overview of South African local, as well as various viewpoints on the subject.

CHAPTER 2

THE ORIGIN, NATURE AND PLACE OF PUBLIC PARTICIPATION IN PUBLIC ADMINISTRATION

2.1 INTRODUCTION

This chapter investigates various theories and approaches useful for developing a reliable and systematic understanding of public participation strategies with specific reference to their application in a local municipality. The aim is to identify the main theories applicable to integrated development planning (IDP) as an important developmental strategy in Public Administration.

In this chapter the role of philosophy in the social sciences is explored. This includes a philosophical basis for Public Administration; reference is made to the theoretical overview of South African local, as well as various viewpoints on the subject.

For a theory to be accepted in the social sciences, such as in Public Administration according to Thornhill and van Dijk (2010:98), it should be tested against the following criteria:

- Any theory could only justify its existence only if it withstands concerted attempts to prove it wrong;
- Any theory should be able to explain a particular phenomenon or set of occurrences and predict a possible outcome should a process or system fail to comply with the generalised characteristics; and
- A theory should ultimately succumb to scrutiny and be discarded in favour of more valid or relevant findings such as the scientific management theory of Taylor.

2.2 THEORY: DEFINING MEANING

The concept 'theory' is derived from the Latin *theoria* and the Greek *theoro* meaning contemplation, speculation and sight (Hanekom & Thornhill, 1994:48). For the purposes of explaining the development of theory for scientific study, attention is

devoted to more relevant interpretations of the concept (Hanekom & Thornhill, 1994:48) such as:

- A frame of reference;
- A synonym for thoughts, conjectures or ideas;
- An abstracted generalisation or a kind of shorthand that may be used in lieu of facts or;
- A summary statement providing an explanation of a phenomenon or range of phenomena that co-varies under particular conditions.

A theory represents a mental view of a phenomenon or a system and will form the basis for a chain of reasoning (Thornhill & van Dijk, 2010:96). A theory would encompass one or more hypotheses (Kruger, Mitchell & Welman, 2010). This in turn would result in understanding a phenomenon, explaining its characteristics and even predicting particular outcomes.

According to Kruger *et al.* (2010:20) concepts are the building blocks of any theoretical model. Concepts are crucial in theory construction as they:

- Form the foundation of meaningful communication;
- Introduce a perspective on the object under discussion;
- Provide a means of classification and generalisation; and
- Serve as components of theories and concomitantly of explanations and predictions.

Kruger *et al.* (2010:21) state that definitions of such concepts indicate the unique attributes or qualities of the phenomenon being defined; are stated positively and contain the properties of the concepts being defined; and are stated in clear terms.

Thornhill and van Dijk (2010:97) state that in the search for theoretical bases for the study of Public Administration, it would be incumbent on the theoretician to consider the relationships among the variables. In the case of the social sciences, human behavioural relationships have to be identified concerning attitudes, problem-solving, political system, organisational culture and incumbent social strata. Theorising is an attempt to identify generalisations and common denominators, that is to a *universum* of phenomena and should enhance explanation and contribute to predictions

regarding human factors. A theory, to be universal, should be able to describe the phenomenon or activity; to explain why a particular activity has taken place or has been unsuccessful; and predict what could happen if a particular condition applies in regard to the phenomenon under scrutiny (Thornhill & van Dijk, 2010:97).

Public Administration is an applied science. The discipline has to relate any theory to the practical situations within which public administration is practised. This does not imply that theorising is superfluous; it is a precondition for scientific study (Thornhill & van Dijk, 2010:97-98). The justifications for the theorising could be summarised as:

- It facilitates the orientation of knowledge by explaining administrative phenomena and related activities;
- It provides a framework for ordering facts and values related to administrative phenomena;
- It provides a mechanism to transfer knowledge on the basis of scientifically tested grounds;
- It emphasises significant similarities and differences among related phenomena (for instance, human beings and social environment within which they work); and
- It generalises the causes of actions or attitudes and explains the circumstances causing the deviations from the norm (Thornhill & van Dijk, 2010:98).

It should be obvious that theory is an indispensable requirement for scientific study. Simultaneously it could contribute towards improving the quality of the practice of public administration by serving as warning sensors for the practitioner (Thornhill & van Dijk, 2010:98).

2.3 THE ROLE OF PHILOSOPHY IN THE SOCIAL SCIENCES

The concept 'philosophy' is derived from a Greek word that refers to love (*filos*) and from the word for wisdom or truth (*sofos*). Philosophy is the search for wisdom (truth) regarding man and his environment, or an explanation of man and the world in which he lives, or both (Hanekom & Thornhill, 1994:8).

It is generally accepted that a philosophy represents a way of thinking or doing, or both. Political ideology refers to a view of government, such as democracy or socialism or totalitarianism. Political ideology is studied by political scientists, who are interested also in the manifestation of those ideologies in the practice of government and in the executive organs of government. A philosophy of administration is a view of administrative concepts and practices as they are manifested in the executive organs of government (Hanekom & Thornhill, 1994:8).

According to Ferreira (1996:88) a number of philosophers hold the view that the major remaining task of philosophy is to study and develop critically the methodology of the sciences. Other philosophers view the proper task of philosophy as that of collecting the piecemeal results achieved by the special sciences, such as Economics, Psychology, Sociology, Political Science and Public Administration and to combine them into a unified account of reality as a whole, as perceived by a particular **social** science (Ferreira, 1996:88).

According to Ferreira (1996:88) the social sciences since developing as autonomous disciplines, have tended to re-examine their philosophical foundations only during periods of crisis, when familiar and trusted methods no longer seem to justify the faith originally invested in them. Other instances are when researchers lose confidence in the significance of their findings, and when formerly obvious and taken-for-granted principles no longer seem well-defined. It is during such periods that warnings about the 'coming crisis' are heard or pleas for a re-examination of social theory is voiced. Such periods force scholars to reconsider fundamentals and re-evaluate the philosophical foundations of their disciplines (Ferreira, 1996:88).

Ferreira (1996:89) refers to the lack of consensus within the social sciences as to whether they are sciences, pseudo-sciences, immature sciences, multi-paradigm sciences, or moral sciences. Since their appearance on the intellectual scene, they have failed to produce analyses of social life as convincing as the analyses produced by the natural sciences of the material world.

The above reflection on the concept of philosophy provided a foundation for the focus to be shifted towards a philosophical basis for Public Administration, as the fundamental discipline of concepts that are the subjects of this research.

2.4 THE PHILOSOPHICAL BASIS FOR PUBLIC ADMINISTRATION

According to Hanekom and Thornhill (1994:27) when considering the changing British foreign and colonial policy; the influence exerted by British officials appointed to the colonial service both in Britain and in the colonies (also to the British-held South African colonies), one reaches the conclusion that the colonies were forced to accept a system of government and administration that had the following characteristics:

- It was beneficial to the mother country and had as basis the creation of an Empire of which one has reason to be proud, which English statesmen will long continue to cherish, in which the inhabitants have personal and political freedom without stint legislative and administrative liberty to do almost as they please, of which every part of the Empire was equally dear to this country, and (which) this country, so long as the colonies retained their affection and allegiance to the Crown, was prepared to submit to any sacrifices rather than submit to the dismemberment of the Empire. It was considered a system which would build up a great Empire, and add prosperity, strength, and permanency to it and the Mother Country because whatever strengthened the Colonies must likewise strengthen the Empire. It was to be a system founded on European honesty and European civilisation, on considerations of convenience and public policy, in which the benefits of the British constitution could be given to the colonies because no position exists, or ever has existed, which combines the maximum of independence and of security as does a self-governing British colony (Hanekom & Thornhill, 1994:27).
- The system of government applied to, transferred to, and made applicable by law in the colonies was designed to ensure that there must be no doubt that the Sovereign Power of England is paramount that British interests in foreign countries were protected and developed, and that the real and practical relation between the Crown and the Colonies is a relation of patronage (Hanekom & Thornhill, 1994:27).
- The system of government and administration created for the colonies was founded upon justness, uniformity, the prevention of evil administrative practices, the discouragement of radical and political controversy, and the

promotion of the diffusion of civilisation and Christianity throughout Southern Africa (Hanekom & Thornhill, 1994:27).

- A specific approach was followed in the establishment of government and administration in the colonies – also in South Africa – by starting off with military government, followed by crown colony government with a nominated official element as point of departure, to which later on a nominated official element was added. Crown colony government was followed by representative government, until a system of full self-government (responsible government) involving party government was reached, resulting in that full measure of internal independence which the British Empire offers as a birth right to all its sons (Hanekom & Thornhill, 1994:27-28).
- Government institutions, such as Parliament, the municipal councils, and the Inter-colonial Council, were created not merely for administrative convenience, but in the hope that it might prove a step towards the federation of British South Africa. This was eventually achieved on 3 May 1910 by the unification of the four British colonies (the Cape Colony, Natal, the Orange River Colony, and the Transvaal) with the passing by the Imperial Parliament of the South Africa Act on 20 September 1909, with the approval of the British monarch (Hanekom & Thornhill, 1994:28).
- The educational system was founded upon the belief that education is not (to be) abused, that the school is not, by the suppression or distortion of facts in the teaching of history and geography, made the means of bringing up the future Boer population in hatred and contempt of British Government, British methods, and British men (Hanekom & Thornhill, 1994:28).
- Hanekom and Thornhill (1994:28) state that all the above instances have contributed towards the formulation of a South African philosophy of government and administration. The origin of guidelines or theoretical factors of South African public administration can be found in the approach and system created by the British government for their colonies – a system based upon the principles of democracy and political supremacy, and upon the guidelines of efficiency, justness, fairness, equality, honesty and Christianity, in which the administrative machinery operates on clearly defined lines according to legally prescribed procedures (Hanekom & Thornhill, 1994:28).

2.4.1 Development of Public Administration as an academic discipline

Hanekom and Thornhill (1994:31) classify the development of Public Administration as an academic discipline into two main distinct phases, namely the foundation phase and the development phase.

2.4.1.1 Foundation phase

Hanekom and Thornhill (1994:30) state that although steps were taken in various European states to study public administration formally, the discipline originated in the United States with the publication of an article in 1887 by Woodrow Wilson entitled "The Study of Administration". This article served as the point of departure for the formal study of public administration. Woodrow Wilson maintained that Public Administration was worth academic study and reasoned that "... it is getting harder to run a constitution than to frame one", meaning that the executive activities of government are so complex that it is impossible for a public official without specific training, equipped with only a lay knowledge of governmental activities, to cope successfully with executive functions, because "... mere unschooled genius for affairs will not save government from blunders of administration" (Hanekom & Thornhill, 1994:32).

Hanekom and Thornhill (1994: 32) cite that the development phase of Public Administration as an academic discipline can be broken down into four sub-phases, as described below.

2.4.1.2 Development phase

(a) Phase 1: Separation of politics and administration (1900-1926)

The year 1900 is identified as the starting point of the separation between politics and administration. In this year Frank J. Goodnow of the University of Columbia published his *Politics and Administration: A Study of Government*, a book that is regarded as one of the cornerstones of the public administration movement and later also of the politics-administration dichotomy, especially because Goodnow tried to make a definite separation between the then so-called corrupt and degraded political processes in the United States and the administrative processes, which it was

accepted could be executed with the integrity and precision of a science (Hanekom & Thornhill, 1994:32).

According to Hanekom and Thornhill (1994: 32) from Goodnow's book it is clear that he was of the opinion that public administration centred on the executive governmental institutions, the place where public administration was performed. The politics-administration dichotomy thus emphasised the *locus* of public administration. Public Administration as an academic discipline established itself between 1914 and the late 1920s, when formal training programmes in Public Administration started at various American universities. In 1926, the literature on Public Administration received a further impetus with the publication of the pioneering work of Leonard Dupee White: *Introduction to the Study of Public Administration*, the first textbook devoted exclusively to Public Administration. White reflected in his book the general attitude of the time by relating the politics-administration dichotomy to a value-fact dichotomy. As a result of White's view, it was again emphasised that policy-making did not form part of administration and should be studied by political scientists (Hanekom & Thornhill, 1994:33).

(b) Phase 2: Scientific management (1927-1937)

The second textbook devoted solely to Public Administration, entitled *Principles of Administration*, was published in 1927. The author, W.F. Willoughby heralded a new era in the study of Public Administration. It was influenced by the exponents of the "scientific management movement", which was propagated as far back as 1911 by Frederick Winslow Taylor and others, and held that there was "only one best method". It was claimed there were specific "scientific principles" that just had to be discovered; accordingly that there were specific "scientific principles of administration" that merely had to be discovered. Depending on the extent to which these principles were applied, they would determine the quality of the public service, or its efficiency and economy (Hanekom & Thornhill, 1994:33).

The highlight of this period was the publication in 1937 of the book *Papers on the Science of Administration* by Luther H. Gulick and Lyndall Urwick, two confidants and advisors of President Franklin D. Roosevelt. Gulick and Urwick formulated the well-known anagram POSDCORB, for Planning, Organising, Staffing, Directing, Coordinating, Reporting and Budgeting, which were supposed to be principles of

administration and hence the functions of those engaged in administration (Hanekom & Thornhill, 1994:33).

Hanekom and Thornhill (1994:33) state that the central theme of the second phase was the identification of subject matter for study purposes, in other words, a *focus* of Public Administration: the principles of administration as applied to the public sector. Positive results with respect to the application of the principles of administration led to the acceptance that the principles could be applied successfully anywhere, hence little debate was conducted on the *locus* (institutional abode) of public administration. A result of the “scientific management approach” to administration in the public sector was that a high premium was placed on trained public administrators. They were in high demand, also in the private sector, and Public Administration as an academic discipline reached optimum development (Hanekom & Thornhill, 1994:33).

(c) Phase 3: Own identity or an identity crisis? (1938 – 1970)

By the end of the 1930s Public Administration entered another period of intellectual activity and growth. The principles of administration were criticised by authors such as Chester I. Barnard, who in 1938 in his *Functions of the Executive* pointed out what the functions of leading officials ought to be. Barnard was followed in 1946 by Fritz von Morstein-Max with his *Elements of Public Administration*, where the question was posed whether politics and administration could be separated at all. He pointed out that administrators were involved in policy-making, in using discretionary power, and in political processes in general. Also in 1946, Herbert A. Simon published an article entitled “Proverbs of Administration” in the *Public Administration Review* in which he questioned the principles of administration. The article was followed in 1947 by his well-known *Administrative Behaviour: A Study of Decision-Making Process in Administrative Organisation*, in which the principles of administration were critically analysed and the conclusion was reached that for each “principle” of administration there was also a counter-principle. The very existence of the principles was thus questioned. Dwight Waldo in turn pointed out that the disagreement was with rigid separation between politics and administration and not with politics-administration itself (Hanekom & Thornhill, 1994:34).

The conclusions reached in books and articles by Morstein-Max, Simon and others such as Robert A. Dahl, John Gaus and Dwight Waldo had the effect that writers left

the field and Public Administration was bereft of an own identity. Afraid of academic isolation, students of Public Administration believed it is safer to remain under the protective wings and in the field of the mother discipline, Political Science. By this action, the conceptual linkages between Public Administration and Political Science were reinforced. The fear of isolation was strengthened by the possibility that Public Administration could further degenerate into a technique-oriented pure science without any contact with political and social realities. Fear of isolation induced students of Public Administration to remain within Political Science. There was, however, also an incentive to strengthen the conceptual linkages between Public Administration and Political Science, namely the public policy-making process: Public Administration was to study the policy-making process in the confines of governmental institutions in order to render services to the organised community, while Political Science was to study the pressure by the organised community that generated specific political and social change (Hanekom & Thornhill, 1994:34).

The “return” of Public Administration to Political Science led to a new definition of the *locus* of public administration: the executive governmental institutions. The result of the continuing alliance of Public Administration to Political Science was that Public Administration as an identifiable field of study began a downhill spiral’ to the extent that political scientists were indifferent or even hostile to Public Administration. Due to its challenges as an academic discipline they wanted to rid themselves of Public Administration. The uncertainty about the direction in which Public Administration was to develop led some intellectuals to investigate a viable alternative – an administrative science. This search for an administrative science provided a focus but not a *locus* for Public Administration. The search of an administrative science as an alternative to the linkage of Public Administration to Political Science failed to gain momentum and if administrative science alone was to be the basis, then public administration could be only a subsection of administrative science. As such, Public Administration was faced with the possibility of total absorption into other branches of administrative science, such as business administration (Hanekom & Thornhill, 1994:35).

(d) Phase 4: Synthesis (commencement date:1970)

Hanekom and Thornhill (1994:35) state that although it cannot yet be claimed that a pure science of Public Administration exists, clarity has at least been obtained as to the how and why of public activities as opposed to the narrow traditional approach of how public activities are supposed to take place. It is correct to identify public administration as a process that cannot be divorced from politics: policy making is an activity that falls within the sphere of the practice of public administration as well as within the context of the practice of government. Specific administrative processes or functions and auxiliary activities are identified as the subject matter (*focus*) of Public Administration (Hanekom & Thornhill, 1994:35).

In South Africa J.J.N. Cloete proposed in 1967 an analytical framework through the identification of a specific connection between the administrative processes or functions identified by various writers as the subject-matter of Public Administration. Cloete arranged these processes into six categories, which he referred to as the generic administrative functions: policy-making; organising; financing; personnel provision and utilisation; the determination of work procedures and the institution of control measures. With this analytical model, it was possible to move away from the previously barren description of public administration that used to be the focal point in the study of and training in the academic discipline (Hanekom & Thornhill, 1994:35). The model, however, has its shortcomings.

According to Ferreira (1996:95) the basis of criticism against the process approach to Public Administration of Cloete is his view that:

“...Administration takes place in every situation where two or more persons are busy working or playing together...”

This statement according to Ferreira (1996:95) is followed immediately by the following statement:

“...However, administration should not be confused with substance or the object of the activity with which two or more persons are occupied at a particular time...”

Ferreira (1996:95) states that Cloete maintains the concept administration is an encompassing composition of processes. A further criticism by Marais of Cloete's viewpoint is the fact that Cloete does not offer a definition for the term administration, but merely gives a description of the processes (Ferreira, 1996:95). In this context Ferreira (1996:95) concludes that Cloete equated Public Administration with administration, because Cloete used the administrative process approach to the exclusion of any other possible approach.

The majority of lectures in Public Administration at tertiary educational institutions in South Africa until recently were former students of Cloete, or were trained under this approach. Marais' and other academics' criticisms of Cloete's administrative process approach cannot necessarily be regarded as the basis to dispute Cloete's contribution to thinking in the field of Public Administration in South Africa as his works are still widely used at tertiary educational institutional institutions throughout the country (Ferreira, 1996:95).

2.5 THEORETICAL UNDERPINNINGS OF PUBLIC ADMINISTRATION

Hofstee (2010:113) cites that the research design section is where the researcher is expected to explain the overall approach that will be used to test the thesis statement. Within this context, the study adopted a theory development research design that Mouton (2011:176) defines as a study aimed at testing an aspect of an existing theory, refining it, or expanding its applicability and resulting in new theories. Theoretical studies create new ways of understanding (aspects of) the world that surrounds human beings, bring order out of chaos and give meaning to observations (Hofstee, 2010:130).

The final product of the study culminates in a set of recommendations aimed at improving the quality of integrated development planning in municipalities by developing an appropriate combination of context-specific public participation strategies. These recommendations emphasise a need for a rigorous situational analysis of the local dynamics and the authentic participation of the intended beneficiaries (local communities) as a prerequisite for implementation. In order to determine the theoretical underpinnings of Public Administration, this study followed a funnel method of structuring a literature review to illustrate a theoretical premise of

management in the context of public administration. This included a theoretical evolution of the management theory, strategic management as a component of management, a systems model/approach to policy-making as well as the new public management (NPM). Hofstee (2010:94) states that due to the number of works that literature reviews can contain and the importance of balance, a good structure of the literature review is non-negotiable. The funnel method brings order to the literature review and also makes it easier to write because it provides the researcher with a built-in structure.

2.5.1 Theoretical evolution of the management theory

Bedeian and Wren (2009:213) state that although Henri Fayol's training was in engineering, he realised that managing a geographically dispersed organisation with ten thousand employees required skills other than those he had studied. Fayol viewed management as more than devising systems and methods for increasing output. For Fayol, management involved all the activities associated with producing, distributing and selling a product. A manager needed to be able to formulate plans, organise plant and equipment, deal with people and much more. Such skills had never been taught by engineering schools. Fayol believed that a lack of a management theory made it more difficult to teach and practice management because managers' experiences were highly circumscribed and not easily understood by other managers or students of management. Fayol defined theory as "a collection of principles, rules, methods and procedures tried and checked by general experience (Bedeian & Wren, 2009: 213-215).

Fayol felt that management required special study apart from technical matters and could be taught in schools and universities as theory was developed and codified. Managerial ability, according to Fayol, depended on certain qualities and knowledge:

- Physical qualities: health, vigour, address (literally, manner of behaving);
- Mental qualities: ability to understand and learn, judgement, mental vigour and adaptability;
- Moral qualities: energy, firmness, willingness to accept responsibility, initiative, loyalty, tact and dignity;

- General education: general acquaintance which matters not belonging exclusively to the function performed;
- Special knowledge: that peculiar to the function, be it technical, commercial, financial, managerial, and so on;
- Experience: knowledge arising from the work and the recollection of lessons a person has derived from things (Bedeian & Wren, 2009:215-216).

Fayol contended that all employees, from foremen to work superintendents, should receive some managerial training. He believed schools and universities did not teach management because it was thought that experience was the only way to acquire managerial ability. Fayol used his experiences and observations to propose a body of knowledge that included principles as guides to thinking and practice and elements of management as a description of the functions managers performed. His goal was to start a general discussion from which a theory of management might emanate (Bedeian & Wren, 2009:216)

According to Fox, Schwella and Wissink (1991:8) when the evolution of theoretical approaches to the study of management is considered, two tendencies are clear. The first tendency is that there is a move away from a closed-systems perspective to an open-systems perspective. The closed perspectives of earlier origin investigated management phenomena in terms of their internal variables and very little attention was given to the effect of external variables shaping and influencing these phenomena. The second tendency that is evident is that earlier theoretical approaches tend to be involved in a search for a set of management principles which can be applied universally to management irrespective of context or circumstances (Fox *et al.*, 1991:8).

The literature on the development of management and organisation theory identifies four schools of thought that were used consecutively as models for the study of management and organisational phenomena.

2.5.1.1 The classical school

This school is rooted in the scientific management approach as well as in bureaucratic theory. This approach was based on a belief that rationality in structure

and process could be attained by building a theory around what was defined as 'one best way' of doing things. This school maintained that it was possible to devise a set of principles and these principles could be applied in any type of organisation. In the classical school the concern was how to build an organisation based on proper principles of functioning and the processing of information needed to carry out functions in the most efficient way. The tenets of this school are still useful and evident in modern management theory and practice (Fox *et al.*, 1991:9).

Fox *et al.* (1991:10) levels three major points of criticism against the approach of this school; namely:

- The school utilises a mechanistic and machine-like analogy for the studying of management and organisational phenomena. There is a narrow view of task performance and the human element is not effectively considered in the process,
- The school emphasises a search for universally applicable principles of management. The notion of universally applicable principles is not sustainable in the theory and practice of management,
- It largely focuses on internal efficiency and does not give significant attention to management environment and factors in this environment. It can be said that this school uses closed-system logic instead of open- system logic (Fox *et al.*, 1991:10).

2.5.1.2 The behavioural school

This school is composed of investigators from psychology, social psychology and sociology. The school aimed at enabling management to understand human behaviour in order to be capable of transforming it for the improved effectiveness of the organisation. The behavioural school emphasised the importance of studying people as behaving individuals in an organised setting (Fox *et al.*, 1991:10).

Fox *et al.* (1991:10) state that the behavioural school emphasises the argument that management cannot manipulate behaviour by using money as a sole motivator and by using the principles of scientific management. This approach does not sufficiently

consider the impact of the environment on management. As such, this school still uses closed-system logic in a similar way as the classical school.

2.5.1.3 The open-systems school

This school studies management and organisational phenomena as complex systems consisting of sets of interrelated variables and parts collaborating to reach objectives by using inputs from the environment. This approach emphasises the importance of the environment as a variable in the management of complex organisations. The notions of universal 'principles of management' and the 'one best way' that are applicable in all management situations, are rejected by this approach. The open-systems approach furnishes a framework for a macro perspective for the analysis and study of organisations. This enables theorists to consider the effect of environmental dynamics on the management of the organisation. The approach helps to provide the orientation needed to keep the organisation and its management in a state of dynamic equilibrium with its environment (Fox *et al.*, 1991:10-11). This orientation can be regarded as essential for modern management and the contemporary organisation.

2.5.1.4 The contingency school

According to Fox *et al.* (1991:11) the basis of this school is found in the open-systems approach. The essence of the approach is the argument that an organisation's relationship to other organisations as well as to its total environment depends on the situation it finds itself in. The tenets of the contingency school imply that managers should be adaptable, flexible, analytical and ingenious in their decision-making and management. It can be concluded that the trend in the evolution of management theory has been a shift from a closed-system approach searching for principles of management to an open-system approach selecting management strategies in relation to the particular situation within which the organisation finds itself (Fox *et al.*, 1991:11). According to Robbins (1980:209-217) a substantial body of empirical evidence in support of the contingency approach has been built up by researchers such as Burns and Stalker, Lawrence and Lorsch, Woodward and Aston and Perow.

2.5.2 The principles of management

Fayol recognised that the concept '*principles*' is often misunderstood. According to Bedeian and Wren (2009:216) to some observers, the concept suggests an unquestioned or rigid way of doing things, on the order of laws.

For this reason, Fayol was careful to explain what he meant by *principles*:

...principles are flexible and capable of adaptation to every need; it is a matter of knowing how to make use of them, which is a difficult art requiring intelligence, experience, decision and proportion. Compounded of tact and experience, proportion is one of the foremost attributes of the manager (Bedeian & Wren, 2009:216-217).

Fayol stressed that in advancing a list of principles of management, he was not suggesting that there is a limit to the number of principles that might apply in different situations. The principles that he chose to review were simply those he had found to be most useful in his own career (Bedeian & Wren, 2009:217). The fourteen principles of management on which Fayol concentrated were:

- Division of work;
- Authority and responsibility;
- Discipline;
- Unity of command;
- Unity of direction;
- Subordination of individual of individual interests to the common good;
- Remuneration of personnel;
- Centralisation;
- Scaler chain (line of authority);
- Order;
- Equity;
- Stability of personnel tenure;
- Initiative;
- Esprit de corps.

Fayol's fourteen principles of management are explained in detail below:

2.5.2.1 Division of work

According to Rodrigues (2001:880) this principle proposes that work can be performed more efficiently and more productively if it is divided into smaller elements and assigning specific elements to specific workers. The dominant thought in designing jobs was specialisation, each employee performing a specific task, as opposed to generalisation where each employee is performing multiple tasks.

2.5.2.2 Authority and responsibility

Managers require formal and/or informal authority to execute their managerial responsibilities – they require the authority, commensurate with responsibility, to give orders so that tasks will be accomplished. Organisations should exercise precautions against managers' abuse of power (Rodrigues, 2001:881).

2.5.2.3 Discipline

Rodrigues (2001:881) states that this principle suggests that, along with good supervisors at all levels; organisations require a set of (more or less) clearly defined rules and procedures aimed at attaining good employee discipline and obedience.

2.5.2.4 Unity of command

Bedeian and Wren (2009:218) state that “for any action whatsoever an employee should receive orders from one superior only”. Just as the biblical injunction advises: “No one can serve two masters”. According to Bedeian and Wren (2009:218) to Fayol, dual command was a threat to authority, discipline and stability.

2.5.2.5 Unity of direction

This principle proposes “one head and one plan for a group of activities having the same objective” (Bedeian & Wren, 2009:218). This principle provides the coordination necessary for focusing an organisation's efforts. Unity of direction

comes from a sound organisational structure and is essential to “unity of action” (Bedeian & Wren, 2009:218).

2.5.2.6 Sub-ordination of individual interests to the common good

The goals of the organisation must take precedence over the interests of individuals or groups of individuals in the organisation. Fundamentally, this principle proposes that employees must sacrifice their interests for the good of the organisation. Fayol’s observations in this respect represent an early expression of what agency theory refers to as “opportunism” meaning a form of self-interested behaviour. Fayol recognised that individuals or groups who serve only themselves are harmful to the interests of their fellow employees and the interest of the organisation in general (Bedeian & Wren, 2009; Rodrigues, 2001).

2.5.2.7 Remuneration of personnel

Compensation for work done should be reasonable to both the employee and the organisation, and it should be sufficiently motivational by rewarding effective performance (Bedeian & Wren, 2009; Rodrigues, 2001).

2.5.2.8 Centralisation

This principle suggests that too much centralisation leads to organisational ineffectiveness, and so does too much decentralisation. Organisations must attain a balance between centralisation and decentralisation. An approach used to attain the balance is to have upper-level managers establish broad strategic plans and policies and to have the interpretive decisions of the plans and policies made by lower-level managers in the form of tactical plans and procedures (Rodrigues, 2001:883).

2.5.2.9 Scaler chain

This principle, sometimes referred to as ‘the hierarchy principle’, suggests that communication in organisations should be basically vertical; that a single, uninterrupted chain of authority should extend from the highest level to the lowest position in the organisation. There should be horizontal communication only when the

need arises and permission from superiors has been obtained. Fundamentally, the principle aims to facilitate formal organisational controls (Rodrigues, 2001:883).

2.5.2.10 Order

One interpretation of this principle is that in organisations there should be a place for everything and everything should be in its place. Another interpretation is that an organisation's materials should be in the right place at the right time and its employees should be assigned to the jobs best suited to them. Basically, the principle provides a form of formal organisational control (Rodrigues, 2001:884).

2.5.2.11 Equity

Equity means fairness. The fairness that results from managers being kind and just toward their subordinates will lead to devoted and loyal service. Fayol took care to distinguish between equity and equality and, in doing so, anticipated modern equity theory – recognising the difficulty invoked in instilling a sense of equity at all levels of an organisation (Bedeian & Wren, 2009; Rodrigues, 2001:884).

2.5.2.12 Stability of personnel tenure

This principle sought to provide for orderly human resource staffing and establishing provisions to ensure that an organisation's employees possessed the requisite abilities for the work to be performed. Fayol recognised that it takes time for a manager and a group of employees to develop into a high-performing team. In particular, managers must get to know their employees to inspire their confidence and, from experience, Fayol knew that this could be a lengthy process (Bedeian & Wren, 2009:220).

2.5.2.13 Initiative

Organisations require managers who possess the ability to conceive new ideas as well as the ability to implement them. Fayol considered the "freedom to propose and execute" to be key aspects of initiative that were essential to subordinate satisfaction. Fayol realised that "...the initiative of all added to that of the manager and

supplementing it if need be, represents a great source of strength for an organisation” (Bedeian & Wren, 2009:221).

2.5.3 The public management environment

Botes, Brynard, Fourie and Roux (1996:297) state that management as function of dynamic leadership should occupy its rightful place in Public Administration, but it does not make sense to apply business management with all its philosophical principles. A single basic principle, namely that profit determines the continued existence of business enterprises simply cannot be applied in public and other government institutions where sacrifice and service are the norm.

If the importance of environment for the theory and practice of management is accepted on the basis of the arguments presented above, the following conclusion may be drawn: “management theory, practice and research prove that for the most successful functioning of the organisation, organisational structures and processes have to be adapted to influences emanating from the environment” (Fox *et al.*, 1991:14).

2.5.3.1 The nature of the public management environment

Fox *et al.* (1991:14) present the following differences between public and private organisations as well as some of his conclusions regarding the environment are reflected below:

- Regarding the degree of market exposure it is clear that public organisations are subject to less market exposure than private organisations. They rely to a great extent on budgetary appropriations for financing of their projects.
- Public organisations are subject to more legal and formal constraints introduced by the courts, the legislature and the executive and administrative hierarchy than private organisations. This results in;
 - more constraints on procedures and operations decreasing the autonomy of managers to make choices in this regard,
 - a greater tendency to proliferate formal specifications and controls,

- more external sources of formal influence and a greater fragmentation of those sources.
- Political influences are more pervasive for public organisations which means;
 - a greater diversity and intensity of external influences through public opinion, interest groups and bargaining on decisions; and
 - a greater need for support from relevant constituencies such as political groupings and formal authorities.
- Public organisations, their managers and the functioning of both are subject to constant public scrutiny. All their actions are monitored and evaluated. The public may use their political institutions to act if they are not satisfied with the actions of public organisations.
- Public organisations are expected to live up to unique public expectations regarding morality, fairness, responsiveness, accountability and honesty.
- Public organisations have complex objectives and evaluation and decision criteria. These factors influence, amongst others, the performance management of public organisations (Fox *et al.*, 1991:14-15).

These differences considered together with the theoretical views presented above, have particular implications for the theory and practice of public management.

2.5.3.2 Implications for public management

According to Fox *et al.* (1991:15) the distinctive nature of the public management environment holds certain implications for both the theory and practice of public management. At a theoretical level, Fox *et al.* (1991:15) cites the following implications:

- If it is accepted that there is no one best way of managing, but that the management environment has to be taken into account, and that the environment of public and private organisations differ significantly, there can be no generic management theory for the management of both public and private organisations;

- It has to be accepted that there are no easy and straightforward solutions for the challenges of public management. Ideas such as “public organisations should be managed like businesses” are a vast oversimplification not worthy of theoretical knowledgeable management experts;
- The theory of, and research and education in public management should take cognisance of the particular variables in the public management environment and an applicable management approach to public management should be developed (Fox *et al.*, 1991:15).

At a practical level, Fox *et al.* (1991:15) cite the following implications:

- Although public organisations should not be managed like businesses, they must be managed for performance. This will require a situation- specific approach to public management environment of the public organisation into account;
- Where environmental influences are minimal, there are techniques appropriate for both public and private sector managers. At policy level, differences are great and should be provided for. At levels in between, managers have to analyse the situation to take correct managerial decisions and action;
- Failure to recognise the particular challenges of public management will result in a high probability of management failure by public managers (Fox *et al.*, 1991:15).

2.5.4 Strategic management as a component of management

Strategic management has been extensively defined in the available literature. The definition provided by Wheelen and Hunger (1987) is regarded as relevant for this study. Wheelen and Hunger (1987:6) provide the following definition:

Strategic management is that set of managerial decisions and actions that determines the long-run performance of a corporation. It includes strategy formulation, strategy implementation, and evaluation and control. The study of strategic management emphasises the monitoring and evaluating of environmental opportunities and constraints in light of a corporation’s strengths and weaknesses.

Ring and Perry (1985:276) state that Wortman argued in 1979 that strategic management research was virtually non-existent in public management contexts. The principles of strategic management as developed for the private sector should be applied in public sector organisations because few public sector organisations are managed credibly. This view is authenticated by Muller who stresses that managers in the public sector will be compelled to become effective managers of resources and that the acquisition of strategic management skills would help the public sector manager to do so.

Ring and Perry (1985:285) warn about the wholesale adoption of the strategic management approach by public sector: "A strong case has been made that a number of research issues related to the strategic management process might profitably be explored before concluding that private sector models have general application in public sector organisations". According to Eadie and Steinbacher (1985:424) a failure to heed this warning could lead to a victory for sceptics in the public sector who argue that strategic management is just another "over-sold gimmicky management panacea".

Fox *et al.* (1991:222) states that it can be assumed that strategic management holds a definite promise as a management technique for use in the public sector. The successful introduction of it to the public sector should, however, be adapted for the situation and specific needs of the public sector context. This view, according to Fox *et al.* (1991:222) is in accordance with modern organisational theory and research.

From the above views on the distinctiveness of the public sector context the following implications can be drawn:

- Strategic management in the public sector may be extremely difficult (Ring & Perry, 1985:281);
- The distinctive constraints imposed by the public sector context require a significantly different set of behavioural responses from public strategic managers (Ring & Perry, 1985:282);
- Strategic management adapted to the circumstances of the public sector should be flexible and facilitate thinking about options, stimulate the

interchange of ideas and accept the processes of political negotiation (Rider, 1983:76);

- Strategic management should not be rigid and strategies must be capable of being modified as new situations develop (Rider, 1983:77); and
- Strategies in the public sector should be low on fixed, deliberate strategies and high on developing, changing and emergent strategies (Ring & Perry, 1985:282).

It is clear that the adaptation of management models for use in the public sector is challenged with complexity. Fox *et al.* (1991:232) state that strategic management in the public sector entails the management of discontinuity. Coalitions are unstable, political executives have short and uncertain tenure and agendas change constantly. For this, knowledge of the political climate, the skill to clearly define the management task and the ability to mobilise latent constituencies are important. A strong strategic management capability is essential because it provides both a short-term and a long-term sense of direction for a governmental agency relative to its internal and external environments, which could change continually. Changes in societal needs, political trends, intergovernmental relations, fiscal conditions and citizen expectations are likely to alter the mix of programmatic responsibilities and resource requirements facing municipalities. Anticipating these possible changes and adapting to them productively requires the type of forward-looking, flexible and effective responses that a strong strategic management capacity can help to provide (Poister & Streib, 1999: 309). The nature and implications of the public sector context implies that the strategic management process has to be adapted for the public sector context in general and specific organisational needs (Fox *et al.*, 1991:232).

2.5.5 A systems model/approach to policy-making

Cloete & de Coning (2012:51) state that this model is essential in portraying policy processes on a general and simplistic level and often identifies major subsystems and processes. Cloete & de Coning (2012:52) note that the value of the systems model also lies in the framework that it provides, which describes the relationships between the demands, the political system and the results or outputs in terms of stabilising the environment or triggering new demands. This model will inform future development and compilation of the IDP from a pure policy-making perspective.

According to Cloete & de Coning (2012:51) the systems model is related to the input-output model of David Easton focuses on the response by the political system to the demands and needs of interest groups. This approach to policy-making is depicted below (see Figure 2.1).

Figure 2.1: The Systems Approach to Policy-Making



Source: Adapted from Fox *et al.* (1991:31)

The systems approach has been chosen because of its “potential usefulness in analysing complexity. A system cannot be understood without a comprehensive study of the forces that affect it (Khalo, Nealer, Phutiagae, van der Walt, van Niekerk & Venter, 2013:82).

Bayat and Meyer (1994:84) hold the view that the systems approach only has real value when viewed in a less reductionist and ideologically predetermined manner. According to general systems theory, the typifying characteristic of the relationship between elements of systems is their propensity to maintain or restore a condition of equilibrium among all the elements. This characteristic, according to Bayat and Meyer (1994:88), may contribute to a distorted and possibly an iniquitous view of the world.

The causal linearity of a process comprising inputs, throughputs, outputs and feedback in dynamic interaction with a discernible environment fits in with the way the empirical world appears to function. In this manner, the systems theory brings hugely complex processes within the cognitive reach of researcher and practitioners. It does so by reducing those processes to a single, predictable, causal unilinear process. Because the system is assumed to exist, and because it is assumed to have an inherent inclination for equilibrium, systems theory enables the system to be

readily understood. If one of the elements of the system changes, it is assumed that all the other elements will respond in such a manner that equilibrium within the system will be maintained. However, Bayat and Meyer (1994:90), question the validity of the view that any society consists of several interrelated subsystems, and that such subsystems interact within an indeterminate cycle of mutual reciprocity that promotes and enables harmony and overall stability within the system.

Bayat and Meyer (1994:91-92) accede that because of the existence of assumptions and/or assertions that the systems theory is fallacious should not result in the whole systems approach being rejected. There can be little doubt that systems do exist, and that their elements are integrally related. Systems per se should, however, be viewed with a fundamental conceptualisation and empirically-driven consideration of the nature, limits, and usefulness of systems theory and its contributing concepts.

Bearing in mind the abovementioned inherent shortcomings of utilising a systems approach to explain phenomena, it is nevertheless proposed that the systems approach be used for the purpose of analysing phenomena, due to the lack of another suitable approach. This proposal is made considering the particular circumstances of the South African situation, where the adoption of an easily-understood approach that may yield relatively rapid results in the short term, is regarded as suitable to facilitate the understanding of complex social sciences.

2.5.6 New Public Management (NPM)

According to Mongkol (2011:35) the New Public Management (NPM) emerged to replace the traditional model of public management during the 1980s and 1990s in response to the inadequacies of the traditional model. Mongkol (2011:35) states that these reforms were “aimed at improving the quality of public services. Mongkol (2011:35) points out that the NPM ideals can be categorised into two main strands. The first strand emphasises managerial improvement and restructuring which includes decentralisation, disaggregation and downsizing. In this strand, NPM is described by Mongkol (2011:35) as “a good managerial approach”, contending that it is result-oriented (efficiency, effectiveness and service quality). The second strand emphasises markets and competition which include contracting out and adopting private sector styles of management practice. Mongkol (2011:36) states that in this

strand, NPM can be defined as a set of particular management approaches and techniques which are mainly borrowed from the private sector and applied in the public sector.

According to Parnell *et al.* (2008:325) the influence of the NPM is very apparent in the early formulation of the IDP, more especially with introducing a corporate culture to public sector management. The key elements of the IDP, such as performance management and goal-directed budgeting, are instruments of the NPM (Parnell *et al.*, 2008:325). According to Cameron (2009a:912) the NPM is generally inspired by the values and concepts of the private sector and viewed as a way of cutting through the red tape and rigidity associated with old-style public administration in order to improve efficiency and service delivery. The principles of the NPM are essential guidelines in shaping a people-centred local public administration.

Mongkol (2011: 38-41) highlights some of the criticisms that claim that NPM-oriented reforms would fail if applied in developing countries. These are *inter alia*:

- The NPM does not suit developing countries since governments in these countries may lack the necessary expertise and have unreliable information systems. Thus, it can be said that a state's capacity is a precondition for successful implementation of NPM in developing countries.
- The NPM is based on applying market principles into public policy and management. Developing countries often have little experience in the operation of markets.
- The NPM's commitment to privatisation may be difficult to manage in developing countries because those countries may not have the administrative capacity to undertake this complex task successfully.

The NPM provides a menu of choices which developing countries should explore. Hughes (2003:120) contends that it is possible for developing countries to select some of the items from the NPM menu in order to adopt managerial alternatives to the traditional model of public administration as it lacks efficiency under contemporary conditions (Mongkol, 20011:41).

2.6 MODELS OF PUBLIC ADMINISTRATION

A model is a representation of reality accomplished by abstracting concepts from a situation and depicting the way in which the concepts are related (Fox, Bayat & Ferreira, 2006:63). Various theoretical models were developed in an attempt to structure and organise the discipline of Public Administration. These models are explained in detail below.

2.6.1 Classical bureaucratic model

Osborne and Gaebler (1993:19) cite that the bureaucratic model has two basic components; namely:

- (a) Structure and design of an institution, and
- (b) Means by which persons and work are managed within the organisational design.

The general point of departure for understanding the structural aspects preoccupation with organisational diagrams (organograms) and how human resources fit into the descriptions, personnel classifications as well as salary scales is based on Max Weber's ideal type organisation (Osborne & Gaebler, 1993:19).

2.6.2 Neo-bureaucratic model

According to Osborne and Gaebler (1993:19) the neo-bureaucratic model emanates from the behavioural era in the social sciences. This model was named neo-bureaucratic because of the similarities with the values of the bureaucratic model. The bureaucratic model places particular emphasis on structural control and the 'principles of administration', with the unit of analysis being the work group, the section, and the department or the entire government. The neo-bureaucratic model views the decisions as the most common unit of analysis, with the process of decision-making being the central focus (Osborne & Gaebler, 1993:19).

Osborne and Gaebler (1993:19) state that the close similarities between the means-end analysis of the neo-bureaucratic model and policy-administration dichotomy of the bureaucratic model are evident.

2.6.3 Institutional model

The institutional model is the manifestation of the behavioural era, particularly sociology and political science. This model focuses more on the analysis and understanding of the existing bureaucracies as opposed to the design of efficient, effective or productive organisations (Osborne & Gaebler, 1993:19). In this context, this study seeks to ascertain how public participation impacts on the behaviour of policy makers.

2.6.4 Public choice model

According to Binza (2009a: 57) the public choice theory emerged in the early 1950s and focused on the study of taxation and public spending as government's responsibility. This theory was introduced to effectively deal with difficulties that were hampering service delivery. Shaw (1996:4) states that Public Administration scholars believe that this theory is used to "analyse people's actions in the market place and government institutions where policy decisions are made as a means to study their actions in collective decision making processes". In the context of Public Administration, public choice theory has some limitations such as its "lack of incentives for voters to monitor government effectively" (Downs, 1957:51).

2.6.5 Human relations model

The human relations model was borne out of a reaction to the classical bureaucratic and neo-bureaucratic models. The human relations model focuses on group dynamics, sensitivity training and organisational development. The values underlying the human relations model are worker and client participation in decision-making, reduction in status differentiation, reduction, reduction in personal competition and emphasis on transparency, honesty, self-actualisation and worker satisfaction (Osborne & Gaebler, 1993:19).

2.6.6 Entrepreneurial model

The entrepreneurial model focuses on the professionalisation of the public sector, in particular the delivery of services to the communities. This model encourages

government to be proactive in mitigating challenges and prefers market mechanisms than bureaucratic mechanisms. This model regards service delivery as everybody's business; therefore challenges are addressed collectively by government, private sector as well as the communities (Osborne & Gaebler, 1993:19).

2.7 THE THEORETICAL OVERVIEW OF SOUTH AFRICAN LOCAL GOVERNMENT

This section provides an examination of local government evolution in South Africa from 1652 up to post 2000. Nealer, Raga. Taylor and Tsatsire (2009:130) state that local government in South Africa owes its origin to the colonial history of the country, mainly from the Dutch and British influences. According to Cloete (1988:238) local authorities emerged at the Cape of Good Hope after Jan van Riebeeck representing the Dutch East India Company arrived in Table Bay by ship on 6 April 1652. The urban area known as Cape Town developed gradually from a hamlet into a town and eventually into a city. For many years there was no distinction between the government and administration of the settlement and that of the urban area. The whole settlement, including the urban area and surrounding unoccupied land, was governed by the commander (designated governor since 1691) who was the top official of the Cape of Good Hope. The commander was subject to directives from the Council of Seventeen, which directed the Dutch East India Company from its offices in the Netherlands. In the performance of his governmental and administrative functions, the commander had to take the decisions of his Council of Policy (*Politieke Raad*) into consideration. This Council of Policy consisted of a few top officials of the Dutch East India Company executing the duties under the supervision of the Commander / Governor of the Cape of Good Hope (Cloete & Thornhill, 2014:8).

According to Nealer *et al.* (2009:130) the foundations for a system of local government with an elected council, comparable with present-day city and town councils were laid when the Cape Municipal Ordinance 9 of 1836 took effect on 15 August 1836. The Landdrost (magistrate) system was introduced by the Dutch colonial government and the system consisted of local government groups, namely the College of Landdrost and the Heemraden or local court members, with Stellenbosch being the first seat of local government. This first college of Landdrost and Heemraden at Stellenbosch comprised the Landdrost, who acted as the

chairman, and the four Heemraden who did not receive a salary. The system of local government developed in the Cape Colony served as an example for the systems developed in the then provinces of Natal, the Orange Free State and the Transvaal (Nealer *et al.*, 2009:130).

When the Union of South Africa was established on 31 May 1910, the South African Act 1909 prescribed that the provincial councils were responsible for municipal and local authorities. It must be noted that this Act was an Act of the British Parliament as no South African ones existed at the time. The republican status was achieved by South Africa in terms of the Republic of South Africa Constitution Act 32 of 1961, which provided that the provincial authorities would continue to regulate municipal government affairs. At a later stage it was decided that local government matters for the White, Indian and Coloured populations would be 'own affairs' in terms of prescriptions contained in the Republic of South Africa Act 110 of 1983, which provided for a Tri-cameral system of government (Nealer *et al.*, 2009:132).

2.7.1 Local government and the policy of separate development

Racial segregation, the influx control of Blacks in urban areas and disenfranchisement of certain racial groups characterised the history of local government during the apartheid era (1948-1993). According to Nealer *et al.* (2009:133) local government in South Africa became the mechanism through which cultural groups were divided and kept separate. This was where laws separated communities in terms of race; as a result urban settlements were skewed, with Blacks being relegated to the so-called 'township' residential areas which were often located far from towns and areas of work (Reddy, 1996:53).

Policies perpetuated the differentiation of structures and systems according to population group. Nealer *et al.* (2009:134) state that White local authorities served the Whites, while management committees served the Coloureds and Indians (local affairs committees served the Indians in Natal Province). Black local authorities served the Blacks. These apartheid policies, according to Nealer *et al.* (2009:134) significantly influenced the development patterns of local authorities throughout the country, for example, by providing municipal services on a differential basis to local communities.

2.7.2 Black local authorities

The black local authorities were introduced after the inauguration of the Union of South Africa in 1910 and functioned in all four provinces. The main goals of local authorities were to maintain and strengthen the policy of segregation. Black local authorities were characterised by poor standards of management and administration of service delivery caused by a shortage of skills in all areas of management, insufficient financial resources, duplication and overlapping of activities, infrastructural backlogs, mismanagement of funds and corruption. This resulted in poor services being provided to black people which in turn resulted in the non-payment of services (Binza, 2005b:76).

According to Nealer *et al.* (2009:136) historically, local government revenue in urban South Africa was largely self-generated, mainly through property taxes and the delivery of basic public services to residents and businesses. This suited the White municipalities, which had small populations to serve and large concentrations of economic resources as well as property tax. Racial regulations barred most retail and industrial developments from Black areas. This situation forced residents and retailers to spend most of their money in White areas. Municipalities in Black areas were deprived of the means to meet the needs of local residents (Tsatsire, 2001a:28). Black local authorities were plagued with difficulties right from their inauguration. Firstly, they lacked political legitimacy among Blacks themselves. Secondly, they were beset with fiscal inadequacy problems, since they did not have a proper tax base. In essence, this meant that Black local authorities were rendering inferior and sub-standard services (Tsatsire, 2001a:28).

2.7.3 Indian and Coloured Management Committees

When the National Party came to power in 1948, municipal voting rights and eligibility were extended to Whites only in the Transvaal and Orange Free State Provinces. In the Cape and Natal Provinces, Coloureds and Indians had a similar legal recognition as the Whites and appeared on the same voters' roll as Whites in instances where they met the same voting qualifications. The system of electoral representation was based on property ownership of a certain value. Bayat, Ismail and Meyer (1997: 49) cite that in 1961 the Niemand Committee of Investigation was instructed to

investigate the development of local government for urban Coloureds. The Committee's recommendations resulted in the following:

- The creation of consultative committees consisting of nominated members with advisory powers only, functioning under the guidance of the White local authority of the area in which they were geographically situated;
- The establishment of management committees, with some members being elected and others nominated entrusted with advisory powers; and
- Granting fully-fledged municipal status to the management committees, equivalent to that of White local authorities (Bayat *et al.*, 1997:49).

Nealer *et al.* (2009:138) state that the areas of jurisdiction of both the local affairs and the management committees resembled those of the Black local authorities. They were characterised by little or no rates-generating commercial, industrial and mining areas, as well as low rateable, low-cost housing, a shortage of trained staff and ill-suited appointments in vacancies. Bayat *et al.* (1997:50) are of the view that this lack of financial viability and the widespread community resistance rendered these committees unworkable. Reddy (1996:5) states that since 1962 very few Indian and Coloured areas progressed to become fully-fledged local authorities.

2.7.4 Local government in South Africa, 1993 to 1998

According to Nealer *et al.* (2009:140) the year 1993 was marked by a number of fundamental political changes towards a democratic new South Africa. This process resulted in negotiations which led to the final date for a general election in April 1994 and the promulgation of the Interim Constitution of the Republic of South Africa Act 200 of 2003 on December 1993. The Interim Constitution of the Republic of South Africa Act 200 of 2003 redefined the role of local government in South Africa (Reddy, 1996:57). The process of transforming local government was managed through the Local Government Negotiating Forum (LGNF). The establishment of the LGNF was the first direct step towards establishing democratic local government in South Africa. This was followed by the establishment of a transitional arrangement, which was divided into three phases from 1993 to 1999. These transitional phases were known as the pre-interim, interim and final stages of the restructuring of local government (Reddy, 1996).

The Local Government Transition Act 209 of 1993 did not provide a blueprint for a new local system, but sketched a process for transformation. The Act emphasised the necessity for disjointed urban and rural communities to combine their efforts in forming non-racial local government institutions that could cope effectively with the diverse needs and aspirations of all citizens in its geographical jurisdiction areas. A focused strategy was developed and adopted to drive the change process in the local government sphere for each sphere during the transition period. According to Sefala (2009:1160) the final phase of the local government transition can be divided into three phases, namely:

- Establishment Phase (2000 -2001) in which newly amalgamated municipalities developed new organisations, systems and operating practices to manage the day- to-day business of municipalities. This phase was largely aimed at the stabilisation of municipalities with new boundaries.
- Consolidation Phase (2002-2004) where systems and practices of DLG were consolidated in municipalities. Change was driven through comprehensive programmes of the support and monitoring, by means of which national and provincial governments stimulated and guided local government towards a developmental approach.
- Sustainability Phase (2005 – to date) where the role of local government is enhanced with the strengthening of the capacity in each municipality and continued empowerment from national and provincial governments (Sefala, 2009:1160).

According to Nkuna and Sebola (2012:83) the advancement of the notion of DLG within the South African dispensation “created a need to realign the theoretical strand within public administration”. The principles governing public administration as contained in the Constitution of the Republic of South Africa, 1996 became the central point of departure “in the refinement of the discipline of Public Administration in South Africa” (Nkuna & Sebola, 2012:63). These principles serve as a foundation for the practice of South African public administration and DLG praxis (Nkuna & Sebola, 2012: 78).

2.7.5 Democratic theory and local government

According to Gildenhuis, Fox and Wissink (1991:122) the concept 'democracy' was first used and formulated by Aristotle in the context of city (local) government. Botes *et al.* (1996:195) assert that the concept 'democracy' is derived from the Greek word *demos*, which means "the masses", and *kratein* which means "to govern". Democracy literally means government by the people. Aristotle's proposition was that every citizen should participate in the affairs of the city by meeting to discuss matters of common interest and to propose solutions to their problems, and this constitutes the true meaning of the concept democracy. Aristotle's version represents what is currently referred to as participatory democracy, where each citizen has an opportunity of direct participation in the decision-making process (Gildenhuis *et al.*, 1991:122).

Gildenhuis *et al.* (1991:124) propose the following democratic values as guidelines for local government and management; namely:

- The first value is that the application of resources must satisfy to the optimum extent the collective needs of the local individuals. The sole purpose of local government is to serve communities. In democratic theory, local government exists for the sake of communities and not the other way round;
- The second value, based on the tenets of participatory democracy, is direct participation in decision-making by citizens. Direct or indirect public participation in decision-making is an imperative for democratic local government;
- Thirdly, from the tenets of democracy, one may deduce the value of responsibility and accountability. Councillors must be sensitive to public problems and needs, feel responsible for satisfying these needs and solving these problems, and realise their accountability to the public. This may be secured only through frequent interaction between councillors and the electorate (public);
- Satisfying needs establishes the fourth value, namely, responsibility of management for programme effectiveness. Programme effectiveness in an open democratic system means that programme execution must satisfy public needs.

- Lastly, and the most important value deduced from the tenets of democracy, is social equity. To attain the objectives of democracy, the machinery of local government should be organised in a way that will allow mutual deliberation and engagement. When steps are taken to satisfy the needs of citizens, caution will have to be exercised to ensure that the interests of one group are not unfairly prejudiced or those of another not unjustly favoured (Gildenhuys *et al.*, 1991:124-125).

The main attribute of social equity is the maintenance of high ethical and moral standards, and this requires councillors and officials with integrity. Integrity demands fairness, reasonableness, true honesty and the Rule of Law (Cloete, 1988:24-25).

2.8 SUMMARY

This chapter briefly investigated the theoretical premise of management in the context of public administration using the funnel method of structuring a literature review. This included a theoretical evolution of the management theory, strategic management as a component of management, a systems model/approach to policy-making as well as the new public management (NPM).

A brief explanation of the concept 'philosophy' was provided. This was followed by a description of the various theoretical approaches to the subject of Public Administration, where after the origin, nature and place of public participation in relation to a theory for Public Administration was explained.

In the next chapter the literature review on the IDP process and public participation within a South African context is presented. Selected international perspectives on public participation are briefly articulated. The literature examined focuses on authentic and empowering public participation strategies as envisaged in the relevant South African legislation.

CHAPTER 3

DEVELOPMENTAL LOCAL GOVERNMENT FROM A PUBLIC PARTICIPATION PERSPECTIVE

3.1 INTRODUCTION

The study deals with the evaluation of the integrated development planning (IDP process) particularly on how best is it utilised to facilitate public participation in municipalities. This study is located within the discipline of Public Administration. The chapter begins by explaining the key principles and characteristics of the current model of local government, that is. Developmental Local Government (DLG). Secondly, the characteristics and benefits associated with the implementation of the IDP process are explained. Thirdly, the nature and place of public participation in the discipline of Public Administration is evaluated. Fourthly, selected international perspectives on public participation as well as service delivery within the context of DLG are discussed. The chapter is concluded by an overview of service delivery within the context of DLG.

3.2 PRINCIPLES OF DEVELOPMENTAL LOCAL GOVERNMENT (DLG)

According to Albrecht, Raga and Taylor (2011:153) local government in South Africa, like any other sphere of government, is governed by principles and rules laid down in the Constitution of the Republic of South Africa, 1996. As the Constitution is the supreme law of South Africa, this highlights the importance accorded to local government in South Africa (Tsatsire, 2008b:72).

The broad principles underlying DLG are as follows:

- The Constitution of the Republic of South Africa, 1996 grants local government original powers. Local government is no longer a function of provincial government, or a third level of government. It has now become a sphere of government in its own right. It is part of a system of co-operative government and governance, which includes the provincial and national spheres;

- Local government is no longer a site for service delivery only, but a crucial site for social and economic development. Local government has to have a strong developmental focus to achieve this;
- Local government, within its constraints, has to appropriately contribute to both economic growth and social distribution;
- Local government is a key arena for the democratic participation of ordinary citizens;
- Municipalities constituting the new local government system have to be financially viable and sustainable; and
- Over time, through appropriate negotiations, more powers and functions can be devolved to local government (sacp.org.za).

The above principles must be institutionalised through implementation of innovative public participation strategies suitable to local conditions in municipalities.

3.3 CHARACTERISTICS OF DEVELOPMENTAL LOCAL GOVERNMENT

The Local Government: White Paper on Local Government, 1998 describes the following characteristics of DLG as interrelated, namely:

- Maximising social development and economic growth;
- Integrating and coordinating;
- Democratising development; and
- Leading and learning.

The four characteristics of developmental local government are further explained below:

3.3.1 Maximising social development and economic growth

The powers and functions of local government should be exercised so as to give effect to social development of communities, particularly in meeting the basic needs of the poor and stimulating the local economy. Through its traditional responsibilities (service delivery and regulation), local government exerts great influence over the social and economic well-being of local communities. According to Koma (2012:56)

social development and economic growth could be achieved at municipalities through practical implementation of local economic development (LED) strategies to support small, medium and micro-enterprise development and business retention, expansion and attraction. Local government is not directly responsible for creating jobs. Rather, local government is responsible for active steps to ensure that the overall economic and social conditions of the locality are conducive to the creation of employment opportunities (Local Government: White Paper on Local Government, 1998).

In terms of the Local Government: White Paper on Local Government, 1998 local government can also promote social development through functions such as arts and culture, the provision of recreational and community facilities, and the delivery of aspects of social welfare services. Municipalities have the constitutional power to provide child care facilities and may provide grants to associations. The empowerment of marginalised and disadvantaged groups is a critical contribution to social development.

3.3.2 Integrating and coordinating

The Local Government: White Paper on Local Government, 1998 states that developmental local government must provide a vision and leadership for all those who have a role to play in achieving local prosperity. Poor coordination between service providers could severely undermine the developmental effort. Municipalities should actively develop ways to leverage resources and investment from both the public and private sectors to meet developmental targets.

Greater coordination and integration can be achieved through integrated development planning (IDP) process which provides powerful tools for municipalities to facilitate integrated and coordinated delivery within their locality. It is clear that the establishment of sustainable and liveable settlements depends on the coordination of a range of services and regulations, including land-use planning, household infrastructure, environmental management, transport, health and education, safety and security and housing. Municipalities will therefore need to work closely with other spheres of government and service providers and assume an active integrating and coordinating role (Local Government: White Paper on Local Government, 1998).

3.3.3 Democratising development, empowering and redistribution

Municipal councils play a central role in promoting local democracy. In addition to representing community interests within the Council, municipal councillors should promote the participation of citizens and community groups in the design and delivery of municipal programmes. Municipalities must adopt inclusive approaches to fostering community participation, including strategies aimed at removing obstacles to, and actively encouraging, the participation of marginalised groups in the local community. The participatory processes must not become an obstacle to development and narrow interest groups must not be allowed to capture the development process. It is important for municipalities to find ways of structuring public participation which enhance, rather than impede, the delivery process (Local Government: White Paper on Local Government, 1998).

3.3.4 Leading and learning

Local government must find new ways to sustain their economies, build their societies, protect their environments, improve safety (in particular for marginalised groups) and eliminate poverty. Local government therefore has a key role to play in building social capital and to find local solutions for increased sustainability. Municipalities have a crucial role as policymakers, as thinkers and innovators and as institutions of local democracy. Municipalities should therefore, become learning organisations, mobilise a range of resources to meet basic needs and achieve developmental goals (Local Government: White Paper on Local Government, 1998).

3.4 DEVELOPMENTAL OUTCOMES OF LOCAL GOVERNMENT

The Local Government: White Paper on Local Government, 1998 outlines the following as the outcomes that developmental local government seeks to achieve; namely:

3.4.1 Provision of household infrastructure and services

Local government is constitutionally obliged to render household infrastructure and services, an essential component of social and economic development. This includes

services such as water, sanitation, local roads, storm water drainage, refuse collection and electricity. Apart from being a constitutional right, the provision of basic services is essential to enable people to support family life, find employment, develop their skills or establish their own small businesses. The starting point must be to prioritise the delivery of at least a basic level of services to those who currently enjoy little or no access to services. This can be achieved with the assistance of capital grants from the Consolidated Municipal Infrastructure Programme or by mobilising private investment in municipal infrastructure. It can also be facilitated by assisting groups within the community to establish their own delivery institutions (Local Government: White Paper on Local Government, 1998).

3.4.2 Creation of liveable, integrated cities, towns and rural areas

The spatial integration of settlements is critical. It will enhance economic efficiency, facilitate the provision of affordable services, reduce the costs households incur through commuting, and enable social development. Spatial integration is also central to nation-building, to addressing the locational disadvantages which apartheid imposed on the black population, and to building an integrated society and nation (Local Government: White Paper on Local Government, 1998).

3.4.3 Local economic development

Local government plays an important role in promoting job creation and boosting the local economy. Investing in the basics – by providing quality cost-effective services and by making the local area a pleasant place to live and work – is the key starting point. Municipalities must contribute to the activities of other agencies such as national departments and non-governmental organisations. A review of existing legislation which impedes local economic, such as planning and rating ordinances needs to be undertaken by both national and provincial government (Local Government: White Paper on Local Government, 1998).

3.5 CATEGORIES OF MUNICIPALITIES

According to Khalo *et al.* (2013:7) each municipality has a council where decisions are made, and municipal officials who carry out the work of the municipality. These

elected members, referred to as 'councillor', are elected by the people and only keep their positions if they are re-elected. According to Khalo *et al.* (2013:68) a municipal council is a deliberative body whose members are elected and whose legislative decisions are influenced by political considerations for which the council is politically accountable to the electorate. A municipal council is a legislative assembly that is legally instituted through its elected members to govern the municipality as an organ of state and legal entity, and that exercises its legislative and executive authority in collaboration with the local community.

In terms of Section 155 (1) of the Constitution of the Republic of South Africa, 1996 the current local government structure consists of three categories of municipalities; namely:

- Category A: A (metropolitan) municipality that has exclusive municipal executive and legislative authority in its area.
- Category B: A (local) municipality that shares municipal executive and legislative authority in its area with a category C municipality within whose area it falls. The George Local Municipality falls within this category.
- Category C: A (district) municipality that has municipal executive and legislative authority in an area that includes more than one municipality.

3.6 THE EMERGENCE OF INTEGRATED DEVELOPMENT PLANNING IN SOUTH AFRICA

The introduction of the Constitution of the Republic of South Africa, 1996 and other related legislative and policy frameworks for local government (discussed later in the study), redefined the role of local government. The IDP was introduced as a response to challenges facing the post-apartheid government in particular for municipalities to accelerate the execution of the constitutional mandate of the provision of services to communities in a sustainable manner and induce the participation of communities in municipal matters (Asha & Madzivhandila, 2012: 370). In terms of the Local Government: Municipal Systems Act 32 of 2000 the IDP must be prepared by local, district and metropolitan municipalities for a five-year period which coincides with the term of office of the elected Council. Both the Local Government: White Paper on Local Government, 1998 and the Local Government:

Municipal Systems Act 32 of 2000 are meant to provide valuable guidance and principles for the preparation of the IDPs and strengthen the case for the IDP as a key tool for Developmental Local Government which implies that it must be a product of extensive public participation.

3.6.1 Integrated development planning (IDP) process

This section provides an overview of the IDP process as well as its associated benefits.

3.6.1.1 Characteristics of an IDP process

The basic tenet of IDP is that it is a strategic planning model for local government. Each municipal council must adopt an IDP. Section 25 of the Local Government: Municipal Systems Act 32 of 2000 lists the following features of the IDP; namely:

- (a) Links, integrates and co-ordinates plans and takes into account proposals for the development of the municipality.
- (b) Aligns the resources and capacity of the municipality with the implementation of the IDP.
- (c) Forms the policy framework and general basis on which annual budgets must be based.
- (d) Is compatible with national and provincial development plans and planning requirements binding on the municipality in terms of legislation (Steytler & de Visser, 2013: 4).

3.6.1.2 Benefits of an IDP process

According to SALGA (2001a: 9-11) there are ten benefits associated with the IDP process; namely:

- (a) Focused and proactive management;
- (b) Institutional analysis;
- (c) Matching resources to needs;
- (d) Project management;

- (e) Performance management;
- (f) Realistic planning;
- (g) Unification and consensus building;
- (h) Empowerment of stakeholders;
- (i) Focused budgeting; and
- (j) Change agent.

The ten benefits associated with the IDP process are explained below:

(a) Focused and proactive management

Integrated development planning mobilises a municipality to focus itself, develop a future-directed vision and proactively position itself in a changing environment. Furthermore, it enables a municipality to gain a better understanding of changes it encounters and to identify effective methods to deal with such changes (SALGA, 2001a: 9).

By analysing the future, a municipality, its leaders, other stakeholders and civil society can anticipate future opportunities and threats. They can develop the ability to optimise opportunities, while controlling and minimising the threats. By identifying problems before they occur, a municipality can avoid being trapped in a cycle of crises management, which consumes valuable financial and human resources – resources which could have been used to take advantage of opportunities (SALGA, 2001a: 9).

(b) Institutional analysis

One of the key components of the IDP process is an internal organisational audit or analysis. Such analysis allows the municipality to know and understand its own internal operations. On the basis of this understanding, the municipality is in a better position to manage the changes which will be required in order to bring about the desired future (SALGA, 2001a: 9).

The aim of the analysis is to identify the municipality's strengths and weaknesses, including its structures, staff composition and deployment, financial situation and culture. The purpose is not to defend outdated and impractical structures, procedures and practices, but rather to establish an open-minded view of the organisation, to

recognise problems, shortcomings, limitations and imbalances and to identify ways to overcome it (SALGA, 2001a: 9).

The institutional audit also focuses on exposing the vulnerability of the municipality in terms of identified threats. It highlights the capacity of the municipality to optimise opportunities, and be proactive and future-directed.

(c) Matching resources to needs

Integrated development planning provides an opportunity to establish and prioritise the needs to be addressed by a municipality. It grants a municipality the opportunity to inform the community and all stakeholders about available resources, and to involve them in prioritising services and service levels. It enables the municipality to allocate resources – human and financial – in order of priority. It also allows for the design of alternative service delivery mechanisms, such as public/private partnerships (SALGA, 2001a: 9).

(d) Project management

The IDP may be defined as a holistic plan – the final product of the IDP process. It contains a range of projects, all designed to achieve specific development objectives. The IDP sets measurable development objectives and targets. For each of these objectives and targets a municipality assigns tasks – with set target dates – to specific persons or task teams. The municipality is then unable to monitor the course of each action and make adjustments where necessary to ensure that the intended objective is achieved (SALGA, 2001a: 9).

(e) Performance management

The IDP sets clear development objectives and targets, and provides direction to improve performance. It sets key performance indicators (KPI's) and the criteria for measuring performance – both for the overall IDP, and for specific projects. As such it enables management to align actions with set objectives (SALGA, 2001a: 10).

Customer satisfaction also serves as a performance measure. External stakeholders (the customers of municipal services) participate in identifying and prioritising needs, they are able to judge whether the objectives and targets have been successfully

achieved as planned. They are therefore an integral part of the monitoring process (SALGA, 2001a: 10).

(f) Realistic planning

The community may set an idealistic vision for the future. By ensuring the participation of all stakeholders in the planning process and empowering them with knowledge about the municipality's weaknesses and strengths, and its resources and responsibilities, the municipality is able to develop a realistic, achievable plan for future development. Stakeholders are also more likely to prioritise their needs and expectations realistically when they have participated in the planning process (SALGA, 2001a: 10).

(g) Unification and consensus building

Integrated development planning provides an opportunity for stakeholders with different needs, priorities and agendas to learn from each other, and to negotiate and compromise around their established viewpoints. The process is not without disagreement and conflict but, if well managed, it can promote consensus and allow compromises and agreements on common development objectives to be reached (SALGA, 2001a: 10).

Through the process, councillors and officials also gain a better understanding of the municipality and the respective roles they must fulfil. This can enhance team work and promote commitment towards achieving the development and operational objectives contained in the IDP (SALGA, 2001a: 10).

(h) Empowerment of stakeholders

Integrated development planning can also be termed 'participative planning', because it involves the participation of all stakeholders. Meaningful participation entails that the community and stakeholders have to be empowered with the necessary information and knowledge about all the issues that have to be addressed. This will ensure constructive, practical and achievable objectives (SALGA, 2001a: 10).

The IDP process is the medium through which knowledge is channelled to stakeholders, and through which they are empowered to participate in planning for the future. Informed participation enables the community to take shared responsibility for the destiny of the municipality and provides the benefit of greater commitment by stakeholders towards the IDP (SALGA, 2001a: 10).

(i) Focused budgeting

The IDP process facilitates budgeting in accordance with planning – it enables the budget to be linked to the IDP as required by the Local Government: Municipal Systems Act 32 of 2000. In particular, it provides for strategic management based on a budget, driven by the key development priorities. Stringent financial control and sound financial management are not possible unless there is a focused budget, based on specific objectives with no 'fat reserves' (unallocated resources). Integrated development planning, if correctly carried out, ensures that realism dictates the budget (SALGA, 2001a: 11).

(j) Change agent

Planning for future development also means planning for change. The IDP provides a tool for managing the change which automatically comes with development. Through the IDP process the mind-sets of people are changed to address the realities of the present and to embrace the opportunities the future holds. The process requires a new approach to management and planning, and determines the rules with which a municipality's structure and people must comply to develop a culture of change management (SALGA, 2001a: 10).

3.6.1.3 Status of an IDP

An IDP, once adopted, remains in force until amended or until a newly-elected Council adopts a new IDP. The IDP is the principal strategic planning instrument that guides and informs all planning and development, and all decisions with regard to planning, management and development, in the municipality (Steytler & de Visser, 2013: 5). In general, a municipality must give effect to its IDP and conduct its affairs in a manner that is consistent with it.

The importance of the IDP for the entire municipality is further underscored in the code of conduct for staff members. The Code provides that each staff member must obtain copies of or information about the municipality's IDP, and as far as possible within the ambit of the staff member's job description, seek to implement the objectives set out in it, and achieve the performance targets set for each performance indicator (Steytler & de Visser, 2013: 5).

The IDP legally binds the municipality in the exercise of its executive authority. No single executive decision may be in conflict with the IDP. The only exception occurs when there is inconsistency between the IDP and national or provincial legislation. In that case, the legislation prevails. The IDP has to be given legislative form before it can be the basis for any challenge to a municipal action (Steytler & de Visser, 2013: 5).

3.6.1.4 Components of an IDP

Section 26 of the Local Government: Municipal Systems Act 32 of 2000 and regulation 2 of the Local Government: Municipal Planning and Performance Management Regulations, 2001 list the items that must be included in the IDP; namely:

(a) Vision

The IDP must include a vision for long-term development. This vision must place special emphasis on the municipality's most critical development and internal transformation needs.

(b) Assessment of levels of development

The IDP must also include an assessment of the existing levels of development in the municipality. The assessment must include an identification of communities that have no access to basic municipal services.

(c) Inventory of development and investment programmes

An inventory of any investment and development initiatives, including infrastructure, physical, social, economic and institutional development in the municipality, as well

as all known projects, plans and programmes to be implemented within the municipality by any organ of state must also be included in the IDP.

(d) Development priorities and objectives

The council's development priorities and objectives for its elected term should be included in the IDP. Specific attention must be paid to local economic development and internal transformation.

(e) Development strategies

The development strategies dealing with the question of how the municipality intends to achieve the objectives it has set for those priorities will form the backbone of the IDP. These strategies must be aligned with national and provincial sector plans and planning requirements.

(f) Operational strategies

The IDP must be used as a basis to prepare action plans for the implementation of the strategies. The operational strategies of the municipality will outline how the municipality will internalise the development strategies and translate them into department-and unit-specific business plans. Furthermore, the IDP must identify the institutional framework (including an organogram) that is needed for the implementation of the integrated development plan and for addressing the municipality's internal transformation needs, as informed by the strategies and programmes set out in the integrated development plan.

(g) Financial Plan

The IDP rests on a financial plan, which must include a budget projection for at least the next three years. A municipality's integrated development plan must inform the municipality's annual budget, which in turn must be based on the development priorities, objectives and performance targets set by the municipality. In terms of the IDP regulations, this financial plan must at least indicate the financial resources available for capital project developments and operational expenditure. It must also include a financial strategy that defines sound financial management and expenditure control and identifies ways and means of increasing revenue and external funding for

the municipality and its development priorities and objectives. This strategy may address revenue-raising, asset management, financial management, capital financing, operational financing and general cost-effectiveness.

(h) Performance indicators and targets

The IDP must list the key performance indicators (KPIs) and targets that have been determined in the municipality's performance management system. Steytler and de Visser (2013: 7) define a KPI as a tool for determining how progress towards a target is to be measured. In other words, if information is collected on a key performance indicator, it provides an immediate assessment of progress on that indicator. As progress on a single indicator is not indicative of overall performance in a broader area, key performance indicators are usually grouped together in a key performance area.

(i) Spatial framework

The IDP must include a spatial development framework, which must in turn include basic guidelines for a land-use management system for the municipality. The IDP regulations add that the spatial development framework must give effect to the principles in Chapter 1 of the Development Facilitation Act 67 of 1995 and set out objectives that reflect the desired spatial form of the municipality. It should contain strategies and policies regarding the manner in which to achieve these objectives. These strategies and policies must indicate the desired patterns of land-use within the municipality address the spatial reconstruction of the municipality and provide strategic guidance in respect of the location and nature of development within the municipality. In addition, the spatial development framework must contain a strategic assessment of its environmental impact and set out a spatial development that must identify programmes and projects for the development of land within the municipality. It must be aligned with spatial development frameworks of the IDPs of neighbouring municipalities and provide visual representation of the desired spatial form of the municipality. The visualisation must indicate where public and private land development and infrastructure investment should take place. It should also show the desired utilisation of space in a particular area, and may delineate the urban edge. Areas where strategic intervention is required must be identified on the visual representation and areas where priority spending is required must also be indicated.

(j) Disaster management plans

The applicable disaster management plans should also form part of the IDP.

3.6.1.5 Procedural aspects of an IDP process

The following section focuses on the procedural aspects of an IDP process.

(a) The process

Within a prescribed period after the start of its elected term, a council must adopt and set out in writing a process to guide the planning, drafting, adoption and review of its IDP. The municipality must, through mechanisms, processes and procedures, create an opportunity for public participation before adopting the process. A council must give notice to the local community of particulars of the process it intends to follow (Craythorne, 2003:153).

(b) Management of the drafting process

The driving force behind the management of the drafting of the IDP must be the municipality's executive committee or the executive mayor. The executive must manage the drafting process, assign relevant responsibilities to municipal manager and eventually submit the draft for adoption to the council. If the municipality does not have an executive mayor or an executive committee, it must appoint a committee of councillors to drive the IDP process (Steytler & de Visser, 2013: 10).

(c) Provincial monitoring and support

The member of a provincial Executive Council (MEC) for local government may monitor the drafting process and assist municipalities in drafting, adopting and reviewing their IDPs. The MEC for local government may also facilitate the alignment of IDPs of different municipalities with one another (including the alignment of local and district IDPs) and the alignment of municipal IDPs with national and provincial programmes. The MEC may also take any appropriate steps to resolve disputes or differences related to an IDP between a municipality and the local community or between different municipalities (Steytler & de Visser, 2013: 13).

(d) Adoption of the IDP

Before submitting a final draft for adoption to the council, the local community must be given at least 21 days to comment on it. Within 14 days after the adoption of the IDP, the municipality must inform the public that the plan has been adopted and that copies are available for inspection. A summary of the plan must also be published, for instance, in the local newspaper (Steytler & de Visser, 2013: 12).

(e) Submission of IDPs to the Member of the Executive Council of a Province (MEC)

Within ten days after the approval of the IDP (or an amendment to it), the municipal manager must submit a copy to the MEC for local government. The IDP must be accompanied by a summary of the process plan and a statement that the process plan has been complied with, plus any explanations that may be necessary to amplify the statement. A copy of the relevant district framework must accompany the submission in the case of both a district and a local municipality (Steytler & de Visser, 2013: 14).

(f) The MEC's review

The purpose of the submission of IDPs to the MEC for local government is for the MEC to review them. The MEC is not empowered to veto, disapprove or amend a municipality's IDP. Instead, the Local Government: Municipal Systems Act 32 of 2000 gives the MEC the power to issue requests to a municipality to comply with certain aspects of the IDP framework. The issuing of such a request does not bind the municipality, but puts in motion a process of inter-governmental negotiation (Steytler & de Visser, 2013: 14).

3.7 THE NEED FOR PUBLIC PARTICIPATION IN SOUTH AFRICA

The rationale for direct public participation advocates public participation in formulating development plans at the formative stage, rather than after officials have become committed to particular choices. According to Bekker (2004: 44-45) specific objectives for community participation must be outlined, thereby encouraging participants to:

- Provide information to communities;
- Obtain information from and about the community;
- Improve public decisions, programmes, projects and services;
- Supplement public agency work;
- Alter political power patterns and resources allocation;
- Protect individual and minority group rights and interests; and
- Delay or avoid complicating difficult public decisions.

Public participation takes a variety of forms. People may participate in development activities by providing information about the community, taking part in identifying needs, problems, priorities, taking part in decision-making on developmental goals, policies and strategies, or assuming responsibility and accountability for development actions (Kotze, 1997:52). Public participation usually comprises one of three types of opportunities. Firstly, there is structured participation, which means the formal establishment of one or more citizen bodies with defined prerogatives and responsibilities, such as advisory committees and community forums. The members may be chosen by the municipalities themselves, or by some other stipulated process. Secondly, open opportunities exist, which are those set out by the municipality and in which any person or group may take part – though these are limited by time, place and procedure, and are usually focused on one or just a few issues. These include enquiries and hearings, and exhibitions with a chance to comment. Thirdly, there are the informal means that centre on the accessibility of local officials to citizen-initiated comments and advocacy (Bekker, 2004:45).

Structured participatory bodies can be effective only when they attain legitimacy and the means by which to function. (Bekker,2004:46) reasons that an accumulation of expertise is possible if these structured participatory bodies are not merely admitted to occasional participation, but additionally enjoy on-going participation in a wide range of municipal programmes. According to Putu (2006:11), protagonists of public participation provide several key reasons for its necessity. Firstly, it is argued that it provides an equal opportunity to influence the decision-making process; secondly, based on popular sovereignty, it ensures that the government is sensitive to the needs of the people; and, thirdly, it counteracts the sense of powerlessness in the poor.

Putu (2006:11) holds the view that public participation in local government is crucial in multi-dimensional and integrated development plans. This is in accordance with the community development principle (explained in Chapter 1 of the study) of ensuring that communities own the process of development and that the people are enabled to make a meaningful contribution to the development of their own lives. In addition, Putu (2006:12) argues, that: “community participation can be a learning process, only if the people really participate.” Participation does not mean that people should be brought into a project when physical labour is required. By that stage, people should already have been involved for a long time. There is no other stage for people to begin to participate than right at the start of the project. People should not only do so, but their right and ability to think, seek, discuss and make decisions should also be acknowledged. Similarly, Theron (2008: 114) writes that the debate on the pros and cons of public participation reached South Africa in the 1980s. In addition, a concerted effort to make the ideal of participatory development a reality only began in the late 1990s. The constitutional, legal and policy frameworks were intended to specifically create spaces for ordinary people to participate in the processes of governance and development policy-making.

Despite the agreement among politicians, practitioners and academics on the importance of public participation in relation to ‘good local governance’ and ‘sustainable local development’, implementing public participation in South Africa’s unique circumstances has proved to be a serious challenge. The idea of participatory developmental decision-making is by no means the subject of consensus. In the view of some, it is a blessing for the millions at the grassroots level who, for reasons that are well-known, were denied exposure to and experience in the practices that characterise a ‘culture of public participation’ (Cooke & Kothari, 2001).

Practically, the benefits of public participation are often discounted, in large measure because participatory processes (such as the IDP process) are often poorly implemented; they breed cynicism amongst the proponents, local government officials and beneficiaries alike. The impetus for forging democracy from below is faced by a myriad of challenges. It can be argued that the struggle for forging democracy from below requires conscientised, multi-skilled and empowered Municipal Officials and communities, if local government is to be transformed proactively and to effectively serve the diverse needs and challenges in partnership

with the people. It is evident that Municipal Officials still feel comfortable performing functions in the ways they used to do before the democratic dispensation. Such mind-sets inhibit constructive dialogue with the local communities they are supposed to serve. Public participation is one of the cornerstones for ensuring effective and accountable governance. Parnell *et al.* (2008:327-328) are deeply critical of post-apartheid planning, and even of the processes of public participation within planning, which he argues “are favoured because they are amenable to frictionless administration rather than the robust and messy world of real public mobilisation”. It is clear from the above argument that public management cannot be left squarely to the officials and authorities more especially if municipalities are to be ‘developmental’.

3.8 THE NATURE AND PLACE OF PUBLIC PARTICIPATION IN THE DISCIPLINE OF PUBLIC ADMINISTRATION

Brynard (1996: 39) asserts that public participation is an Achilles heel of public management in local government. An ideal situation is that public policies must be shaped and influenced by public opinion and participation by the public in matters which they believe will affect them directly. Cloete & de Coning (2012: 91-92) identify four steps on which authentic public participation must take place:

- The participation of legitimate democratically elected political representatives. These representatives act upon policy mandates in elections or exercise their discretion as elected representatives of the public. The representatives are expected to report back regularly to their voters and the broader public in order to obtain ratification of their decisions on behalf of the public.
- The participation of representatives of legitimate organisations which represent public interests (for example civic, cultural, religious, welfare and other organisations). This representation also entails regular feedback from the leaders to their constituencies in order to legitimise their actions.
- The participation of individual opinion leaders in the community. These individuals can influence opinions if they represent the will of the public.
- The direct participation of ordinary community members at grass roots

in mass activities (for example attendance at public meetings, participation in protest marches and consumer boycotts).

In assessing the above four-step strategy for securing public participation, Davids *et al.* (2009:127) ask whether public participation is a “myth or reality”. Whether the public participation ideal stays a myth or becomes a reality rests, at least in part, upon the following key issues:

- Whether municipal officials (IDP officials, community workers or project managers) are committed to the principle of working with communities as envisaged in the Local Government: White Paper on Local Government, 1998.
- Whether stakeholders share the commitment (that is through IDP) to work with communities.
- If municipal officials are both committed to this principle and activate it

In practice, can it be assumed that this will have a positive impact on service delivery?

According to Putu (2006:55), public participation in local government entails *inter alia* salient elements, such as:

- A basis of elected representation;
- Caring and working for the prosperity and development of all citizens;
- A universal right of appeal against administrative and governmental or political decisions and actions;
- The acceptance that the welfare of the public ought to enjoy precedence over the interests of any special group;
- Acknowledging that the right to criticise presupposes that any criticism will be informed and objective.

The above elements are based on the presumption that for democratic local government to exist, the public must govern, or at least actively participate in governance issues. The South African local government legislation (such as the Constitution of the Republic of South Africa, 1996, the Local Government: Municipal Structures Act 117 of 1998 and the Local Government: Municipal Systems Act 32 of 2000) is meant to provide an opportunity for communities to participate in local government affairs in a meaningful manner.

The Ward Committee Resource Book (2005:11) requires that a structured public participation includes the need *inter alia*:

- For the process of participation to be meaningful and to be seen as meaningful;
- For both parties – the municipality and the public – to listen to each other;
- To make it clear at the outset who makes the final decision. For example, if the views of the community are different from those of the Council, whose views will prevail?
- For resources to support the process – in all examples of good practice, public participation must be funded;
- To ensure that information relevant to the participative process is conveyed in a manner that is relevant and understandable to the communities participating. This may require the use of different languages;
- To provide feedback on the participation process and the final decision that emerges;
- To include officially elected councillors in the participatory process;
- To ensure that policies exist that guide municipal staff in the manner and the reasons for their participation;
- To recognise that meetings are only one form of participation and unless properly managed, bias input could be in favour of those that are vocal and/or more articulate.

The benefits of public participation include, but are not limited, to the following:

- They must help to address the concerns of all interested and affected parties;
- They must encourage citizen-focused service delivery;
- They must bring citizens closer to the designing and shaping of local public service;
- They must develop a clear sense of direction for communities;
- They must facilitate the utilisation of a whole range of resources in the community;
- They must identify alternatives to be considered when addressing issues;

- They must improve municipal credibility with the public;
- They must reduce levels of misconception or misinformation about a project; and
- They must create a better understanding of any project and its objectives (Ngqele, 2010:27).

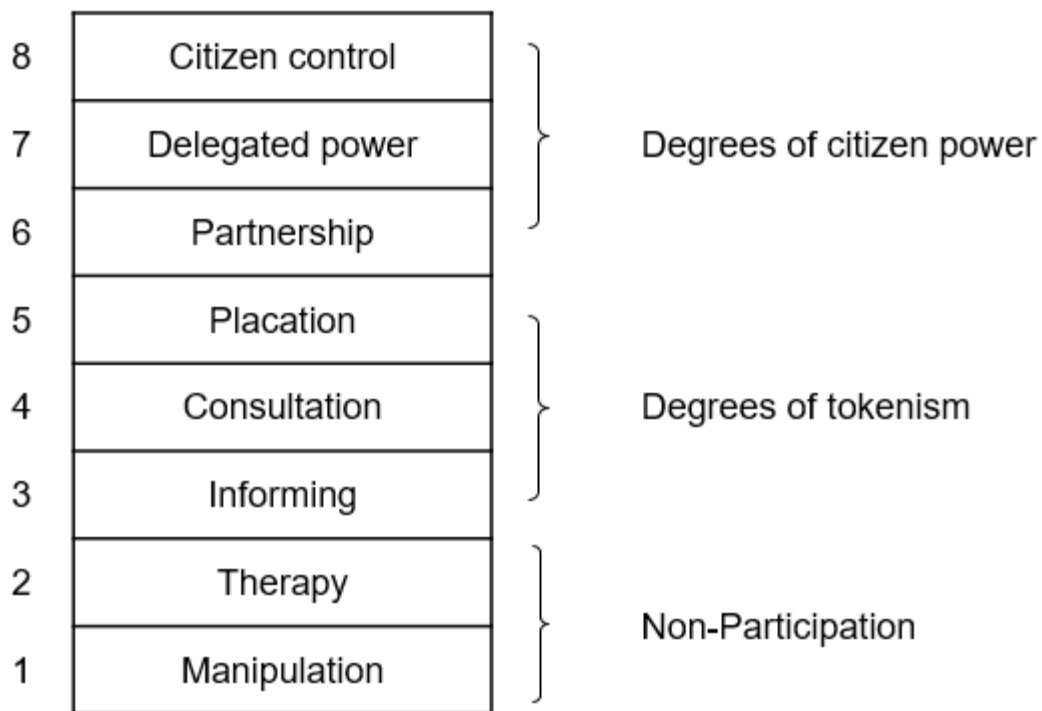
Implementing public participation in development planning is not an easy exercise, as the form which participation takes is influenced by the overall circumstances and the unique social context in which any particular action is being undertaken. SALGA (2001a) highlights some of the realities to be considered when undertaking public participation, namely:

- Public participation is a costly exercise and a time-consuming process. It may necessitate the commitment of a wide range of an organisation's staff members over a long period of time;
- Due to the unpredictability of human behaviour, problems may develop at any time, despite proper planning and good intentions;
- Stakeholders may raise old, unresolved issues that have necessarily been extended to the current initiative;
- Stakeholders may use public participation as a platform to further their own agendas;
- It is likely that issues of a different focus will be raised and this could result in conflict. The way in which this conflict is managed will determine its effect on the public participation process. The conflict may be turned into a positive energy that aims at resolving issues, both those related to, and some beyond, the focus of the initiative;
- The outcome of a public participation process cannot be pre-determined, because people are unpredictable. The process must be flexible in order to adapt to unforeseen circumstances. It is not always possible to satisfy everyone and this could result in some people not approving of the initiative.
- Public participation can lead to the realisation that the initiative is not feasible in practice.

In undertaking public participation, municipalities - in particular the George Local Municipality - should always consider the above realities, in order to understand their

nature. Consequently, they should not regard public participation as an obstacle to development, but rather as a means of achieving local development. Participatory democracy represents frameworks for direct democracy; where procedures for political participation are used to provide real possibilities for the enrichment of local political and administrative life, as well as for improvements in the responsiveness of public services to the needs of citizens. Mbambo and Tshisonga (2008: 769) argue that in participatory democracy, people participate directly in making decisions. This is not the case in municipalities, such as the George Local Municipality. Municipal officials and Councillors consider 'consultation' and 'involvement' to be the appropriate levels of engagement for the IDP process. The public continue to feel excluded from the exercise of real political power; and this renders future participatory development interventions problematic. This argument fits well with Midgley's anti-participatory and manipulative modes (Mbambo & Tshisonga, 2008: 769). From the anti-participatory model the state is labelled as disinterested in the poor; and therefore unable to provide strong support for public participation. The focus is more on the elite and the accumulation of power. While in the manipulative model, the state supports public participation, but it has its own agenda, whereby the few selected are co-opted into pursuing the State agenda. Similarly, Arnstein (1969) has provided the ladder of citizen participation illustrated below (see Table 3.1) as a measure that impacts on public participation in democratising development and democratic processes.

Table 3.1: Ladder of citizen participation



Source: Adapted from Arnstein (1969: 217)

It is evident from Arnstein's ladder (1969) that those who pay lip service to the notion of public participation subjugate communities in consulting, informing, as well as in therapeutic and manipulative modes of public participation. This erodes any idea of public participation and critical engagement and further uses people to 'rubber stamp' any decisions that have already been made. In South African context, the implementation of public participation principles and strategies is surrounded by confusion relating to Arnstein's (1969) level 5, 'consultation' (Davids & Theron, 2014:117). As can be seen from Arnstein's (1969) ladder of citizen participation above, 'consultation' is nothing more than a degree of tokenism. According to Davids and Theron (2014:117) level 5 is often the point of departure in South Africa for public participation, particularly with regard to the IDP process. Mbambo and Tshisonga (2008:773) argue, for democracy from below to benefit the poor South African majority, structures such as Ward Committees should be accompanied by linking public participation activities to actual development initiatives. Despite public participation being institutionalised through legislation, this remains one of the challenges to South African local government.

Dauids *et al.* (2009:131) reveal that the success or failure of public participation sometimes depends on the challenges which emerge from philosophical, theoretical, strategic, and managerial and policy issues which require closer attention by Municipal Officials and Councillors. These challenges may be summarised as follows:

- Clarifying, however irrelevant it may sound, the definition of what a 'community' is or means;
- Clarifying the confusion surrounding the concept of public participation;
- Identifying the so-called 'authentic' public stakeholders, clients, concerned individuals, interested and affected parties, beneficiaries, role-players, lead authorities and proponents in the public participation debate and process;
- Deciding at which levels (national, provincial or local government) public participation engagement and intervention will be consolidated (whose responsibility is it?);
- Identifying the role of the IDP Office and Officer as change agents in relation to public participation; pinpointing who is 'in-charge' of public participation;
- Compiling, at local government level, an inter-disciplinary public participation team (possibly located in the IDP Office) of local government change agents and stakeholders in the community who possess indigenous knowledge and people skills to collaboratively plan for public participation;
- Re-orienting the public, after more than 40 years of apartheid social engineering, on how to function within a top-down, system, maintaining a rigid culture of non-participation, to provide the opportunity to engineer their own destiny by making decisions which will affect their lives and empower them; and
- Re-training and re-orienting local government officials to become change agents, in a manner that assists them to shift from a top-down to a bottom-up planning approach (Dauids *et al.*, 2009:131).

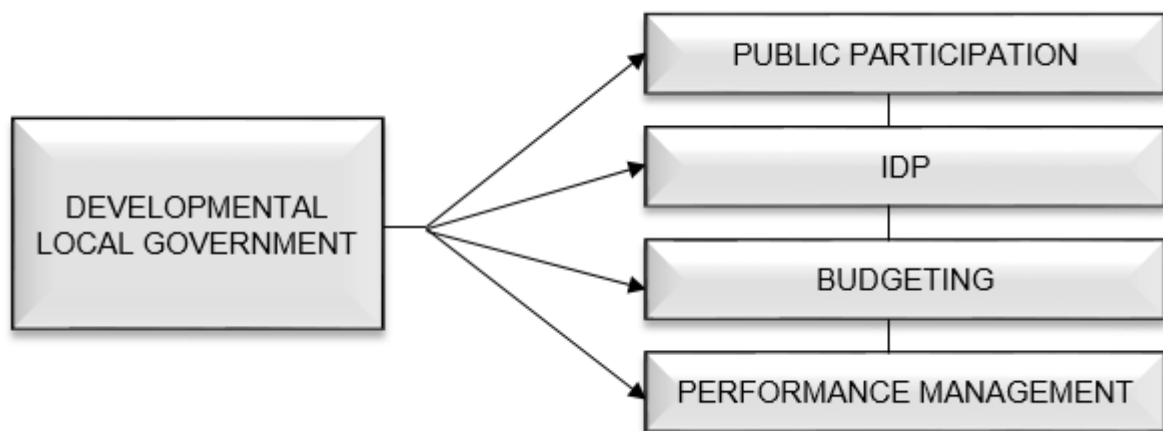
3.9 LOCATING PUBLIC PARTICIPATION IN THE IDP PROCESS

The Local Government: White Paper on Local Government, 1998 recognises the building of local democracy as the central role of DLG (Sefala, 2009:1169). This goes beyond information giving, involvement and consultation; it involves facilitating and encouraging the fullest possible participation of communities. DLG is uniquely positioned to promote active public participation and by being developmental in approach to service delivery. The Local Government: White Paper on Local Government, 1998 puts forward three interrelated approaches that can assist municipalities in becoming more developmental; namely:

- (a) Integrated development planning and budgeting.
- (b) Performance management.
- (c) Working together with local citizens and partners.

These approaches and their interrelatedness are shown below (see Figure 3.1).

Figure 3.1: Developmental approaches to service delivery



Source: Adapted from the Local Government: White Paper on Local Government, 1998

Linked to the discussion of developmental approaches to service delivery reflected above, Davids and Theron (2014:118 -121) identify five building blocks of people-centred development; namely:

- Public participation;
- Social learning process approach;
- Capacity building;

- Empowerment; and
- Sustainable development.

The five building blocks of people-centred development are discussed in detail below.

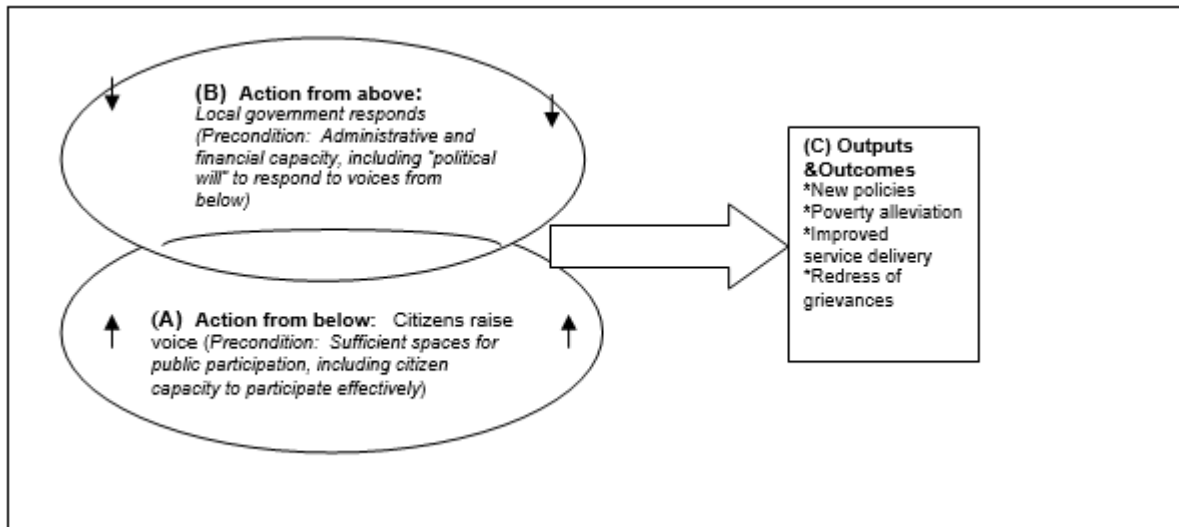
3.9.1 Public participation

According to Davids and Theron (2014:119) the process of public participation is as complex as human nature because it is an integral part of human development. This is based on the assumption that public participation is one of the basic human needs that should be satisfied through the development process. The establishment of a culture of public participation is supported in various pieces of legislation relevant to DLG as stated above.

Kotze (1997:36) points out that public participation is linked to the people-centred approach in development planning and management. The Local Government: White Paper on Local Government, 1998 shifts the emphasis in development facilitation to the public. Bryant and White (1982:120) support this approach by impressing that beneficiaries must through their participation in development initiatives (such as the IDP process) “share in, belong to, influence and direct the process” and establish dignity and self-esteem.

Davids and Theron (2014:143) confirm that the crux of the relationship between the public and the State (in this case, the local municipality) relates to how the IDP acts as a framework for mobilising the public in the delivery of services. Davids (2005:19) states that in the context of South African municipalities, the ideal would be an environment in which citizens have the capacity to claim their space as equal partners in development and governance by making their ‘voice’ heard, and where local government has the administrative and financial capacity (as well as the ‘political will’) to respond to ‘voiced’ concerns. In a situation where this ideal is realised, ‘voice’ becomes ‘influence’. Thus, for ‘voice’ to be translated into influence, there has to be action ‘from below’ and ‘from above’ (see Figure 3.2).

Figure 3.2: Translating 'voice' into 'influence'



Source: Adapted from Davids (2005:19)

Authentic public participation at the municipal level should result in transformed municipalities and a citizenry with real influence over public policy decisions. The impact of authentic public participation will emerge as local government's actions ('from above') in response to the community's voiced concerns ('from below') start producing tangible outputs and outcomes such as new policies, poverty alleviation, redress of grievances and improved service delivery (Ngqele, 2010:2).

3.9.2 Social learning process approach

Kotze (1997:41) states that the social learning process approach has its origin in the concept of the learning organisation. According to Davids and Theron (2014:120) through the social learning process approach, municipal officials in particular IDP Process Managers should adopt a "learning-in-partnership" approach with local communities who are beneficiaries of development initiatives. According to Kotze (1997:44) the social learning process takes place in three stages; namely:

- For social learning to be effective: a work programme or project is developed at grassroots with participation from a team of experts, as well as the community beneficiaries. Knowledge and capacity are developed, team learning facilitated, skills integrated and boundaries set (Davids & Theron, 2014:120).

- For social learning to be efficient: the first stage leads to the conversion of the most important activities into routine procedures. An analysis is made of the abilities of the organisation's resources (Davids & Theron, 2014:120).
- **For social learning to expand and reach self-reliance:** this stage focuses on orderly expansion. The focus is on continued evaluation and refinement of the organisation's resources (Davids & Theron, 2014:120).

3.9.3 Capacity-building

Capacity-building means the strengthening of personal and institutional ability to undertake tasks. Capacity-building rests on the premise that people can lead their own change processes. This can be achieved by adopting a learning-process approach aimed at capacitating the beneficiaries of development to eventually take control of their own development (De Beer & Swanepoel, 2011:26).

3.9.4 Empowerment

According to Bryant and White (1982:122) public participation and empowerment in the planning process for service delivery are central to sustainable development. Oakley (1991:35) identifies two basic views of empowerment. The first views empowerment as the development of skills and abilities which enables the public to manage and negotiate better with the development delivery system. The second views empowerment as a process that equips the public to decide on and take action regarding their development process (Oakley, 1991:35). Empowering the beneficiaries through public participation strategies ensures early and meaningful decision-making at policy, programme and project levels (Davids & Theron, 2014:121).

3.9.5 Sustainable development

As argued above, public participation should lead to sustainable development. The World Commission on Environment and Development (1987:170) defines sustainable development as "development that meets the needs of the present without compromising the ability of future generations to meet their own needs". According to Davids and Theron (2014:121) public participation and sustainability encompass

local choice because communities are the local experts, in line with the idea of an indigenous knowledge systems (IKS) approach to public participation. Municipalities should begin to view local communities as equal partners in developmental planning processes such as the IDP process if they are to embrace the notion of DLG. To secure effective public participation in development efforts, the public, as local experts, should have access to decentralise institutions which will honour their priorities.

Municipal IDP Process Managers should recognise that there is a “direct and functional relationship among the five building blocks of development” (Theron, 2008:17). In designing a planning framework such as the IDP process, these building blocks should ideally become part of the planning cycle.

3.10 TOOLS AND MECHANISMS FOR ENHANCING PUBLIC PARTICIPATION

SALGA (2013b:8) proposes guidelines and mechanisms that municipalities can use to enhance public participation processes. The mechanisms listed below are generic, but each municipality must develop a public participation policy and procedures that will ensure effective public participation in its municipality, taking into account the local dynamics as well as the needs of vulnerable groups, such as people who cannot read and write, people with disabilities, women and other disadvantaged groups.

3.10.1 Ward committees

A ward committee can be defined as follows:

- A committee of the council, which is required to be transparent and accountable to the community as a whole;
- A community-based structure inclusive of all organisations, sectors and independent individuals in the community;
- A facilitating forum representing community interests and communicating these to the council;
- A voluntary structure where ideas and issues related to local governance and information are shared; and

- A link between the community and the council (Ngqele, 2010:23).

Ward committees are established to increase the participation of residents in a ward in all municipal democratic decision-making processes. Section 72 (1) of the Local Government Municipal Structures Act 117 of 1998 stipulates that only metropolitan and local municipalities of certain types may have committees. In addition, Section 72 (3) of the Local Government: Municipal Structures Act 117 of 1998 outlines the object of a ward committee as being to enhance participatory democracy in local government. The main role of the ward committee is to make sure that voters participate in decisions that affect their respective wards. The promotion of local democracy is a central role for any municipal government (Local Government: White Paper on Local Government, 1998). According to SALGA (2013b:8) municipalities must always endeavour to effectively institutionalise ward committees in their respective governance models.

3.10.2 Participation of members of the public in oversight or municipal public accounts committee (MPAC)

The processes for council oversight of the IDP, budget, annual report and preparing an oversight report may be complex for many municipal councils, in particular where resources to support the functioning of the council are limited. For example, reviewing an annual report within full council meetings may not be practicable and may restrict the effectiveness of the analysis and discussions. Thus councils need to establish appropriate mechanisms to enable all councillors and the public to fully digest and discuss the annual report contents. Once the annual report is tabled the council effectively has two months in which to consider the report, invite public submissions and to finalise its oversight report. Given there are a number of steps and many stakeholders the review can be made more manageable if a committee process is established breaking it down into more easily managed parts. An oversight committee must be established under Sections 33 and 79 of the Local Government: Municipal Structures Act 117 of 1998. Such a committee may receive and review representations made by the public and also seek inputs from other councillors and council portfolio committees. The oversight committee should be made up of only non-executive councillors and representatives of the local community and can be formed each year to deal with the annual report (National Treasury, 2006:4).

3.10.3 Public participation policy

Institutionalisation of plans and approaches towards public participation by adopting a public participation policy in the municipality provides the function of public participation with legitimacy to mainstream public participation in overall municipal planning and budgeting. Without institutionalisation, the integrity of public participation in a locality is thus challenged as there would be no formal institutional commitment to it (SALGA, 2013b:9).

Local communities need to be allowed to participate in the development of the public participation policy, which should be discussed at ward level and must be communicated through the media to ensure that adequate input is provided. Submission made on the policy should be submitted to the council or a committee for consideration prior to the adoption of the policy (SALGA, 2013b:9).

The policy has to comply with the requirements contained in the Local Government: Municipal Systems Act 32 of 2000 and must provide for the mechanisms of public participation that will be used by the municipality (SALGA, 2013b:9).

3.10.4 Identification of interest groups

Councillors with the assistance of the ward committees must establish a database of all interest groups and civil society groups present in their wards and must ensure that interest groups are represented in the ward committee. If certain groups are not represented, the ward committee must ensure that it liaises with such groups on matters in the ward where the interests of the groups are affected. Interest groups may include *inter alia* school governing bodies, sport clubs, child welfare institutions, and institutions caring for abused women and children. In addition to the participation of the said interest groups in the activities of the ward committees, the municipality can establish dedicated processes to address the needs and participation of specific interest groups, such as focus groups. This can be a very valuable tool to address the needs and interests of vulnerable groups (SALGA, 2013b:9-10).

3.10.5 Language policy

While it is widely accepted that public participation is one of the key elements of democracy and that it can function as a tool for preventing any form of marginalisation, it seems that municipalities are not meticulous about responding to the different language needs of their local communities. There is an acknowledgement of the cost implications in developing a multi-language policy especially for smaller municipalities. Municipalities must as far as possible adopt a language policy that will allow all local communities to be able to access municipal documents in a language that they understand and participate in council processes and proceedings. The policy should be informed by the needs of the local community in the specific municipality in terms of language preference. Special attention needs to be given to illiterate members of the local community to ensure that they are not marginalised (SALGA, 2013b:10).

3.10.6 Public participation resources

Beyond political commitment, promoting public participation requires an investment and this must be in the form of institutional systems, financial and human resources dedicated to public participation (SALGA, 2013b:10). Municipalities must within their financial abilities make available a dedicated budget and staff for all forms of public participation.

3.10.7 Location and functioning of the public participation function

Public participation is a cross-cutting issue and needs to be placed strategically at a level that can oversee and coordinate the inter-departmental responses to public participation. Public participation must be embedded on all municipal activities, approaches and policies (SALGA, 2013b:10). The Local Government: Municipal Systems Act 32 of 2000 requires of both the political and administrative leadership to ensure that local communities participate in municipal policies, planning and any decision that affects them. For example, Section 55 (1) (n) of the Local Government: Municipal Systems Act 32 of 2000 states that among other responsibilities, the municipal manager is responsible for facilitating participation by the local community

in the affairs of the municipality. It is ideal that the function of facilitating public participation should be located at senior political and administrative level.

3.10.8 Skills development for officials responsible for facilitating public Participation

Engaging with communities requires multiple skills, *inter alia* facilitation, negotiation, management, coordination and an understanding of the context and environment where services are to be rendered. It requires skills to manage a healthy communication lifecycle for community participation and responding to local community inputs. Without proper skills being developed for municipal officials, public participation could be an unprofitable and at worst a destructive exercise. The latter could possibly lead to participation apathy (where communities view the engagement sessions as a waste of time) or protests due to frustrations. Staff members in the municipality responsible for public participation should be assisted and encouraged to develop the skills required in facilitating public participation (SALGA, 2013b:10).

3.10.9 Community-based planning

Community-based planning (CBP) is a process of development planning that is rooted and driven at a ward level. This process involves the active participation of all stakeholders in the ward and is not only limited to ward committees. This planning system is critical in how resources are allocated, especially the budgets of municipalities. Unless poor people can influence these budgets, the ability to promote sustainable livelihoods for poor people will be limited, as will the impact of local democracy (Department of Provincial and Local Government, 2005a:10). CBP allows for participatory planning that sets out to:

- Improve the quality of plans;
- Improve the quality of services;
- Improve the community's control over development; and
- Increase community action and reduce dependency.

On community level CBP ensures that:

- Local communities, especially poor people are active in managing their own development claiming their rights and exercising their responsibilities as citizens;
- The presence of a responsive, active and accessible network of local service providers, comprising community-based, private sector and government (Department of Provincial and Local Government, 2005a:11).

On a local government level CBP ensures that services are facilitated, provided and promoted effectively and responsively (Department of Provincial and Local Government, 2005a:11).

3.10.10 Functionality of the IDP representative forum

The IDP is central to a municipality's ability to plan, budget and deliver on its mandate. It is recognised as the business plan for the municipality and determines projects that a municipality plans to undertake in a given financial year. Thus the IDP formulation process is required to be a transparent and inclusive one and the content of the IDP must be reflective of the needs and aspirations of all interest groups in each of the wards. An IDP representative forum is one of the vehicles utilised to promote inclusivity and transparency during the IDP process. This forum should be inclusive of all stakeholders in the ward and should serve as a platform for stakeholders to advance and defend the inclusion of their interests in the IDP. This forum can also be used to provide continued feedback to communities on the implementation of the SDBIP on a quarterly basis, thereby ensuring continuous feedback to communities and regular interaction, thus not limiting interaction with communities to the IDP preparation process (SALGA, 2013b:12).

3.10.11 Structured public participation in municipal processes

In addition to establishing structures and forums for public participation, municipalities are expected to create other platforms for broad community engagement. This may not be through structures but rather ad hoc and spontaneous invitations to local communities to contribute in municipal decision-making regarding various municipal processes. In this regard, municipalities may publish proposed decisions on various issues through mediums such as utility bills, websites, and

newspapers and invite local communities to offer their inputs. Structured forums for public participation in municipal processes can also include dedicated forums for specific interest groups, such as developers' forum, business forum and a municipal sports council (SALGA, 2013b:12-13).

3.10.12 Feedback to communities

Various methods can be used to provide feedback to communities on the activities of the municipal council and municipalities in general. Municipalities can use media announcements, public notices, ward committees and ward meetings to provide feedback to communities. Messages on utility bills can also be very effective. Mayoral and ward councillor reports can also be used. Municipalities can also use community radio stations to provide information to the community on a regular basis and in a specified time slot. With the wide range of technology available, municipalities should invest in electronic communication methods and can establish a database of cellular telephone numbers as well as e-mail addresses of community members. A bulk short message service (sms) or e-mail system can be used effectively to disseminate information to members of the community. Regular news flashed via e-mail or sms can be a very effective method for communicating messages and ensuring immediate access to such messages (SALGA, 2013b:13).

3.10.13 Feedback from communities

The municipality should also allow members of the community to provide feedback to the municipality. A municipality can place suggestion boxes at frequently used customer care centres for community feedback. A dedicated complaints office should also be identified, in order to address complaints from the local community. The municipality can establish a formal complaints handling process and publicise the process in order for the local community to understand how complaints are handled. This might lessen frustration by community members awaiting a response from the community (SALGA, 2013b:13).

3.10.14 Effective municipal communication with local communities

Continuous communication is one of the critical elements of public participation. Mechanisms that municipalities use to communicate with members of the public have a potential to either promote or limit public participation. Municipalities can use municipal newsletters/magazines and mayoral imbizos to communicate with communities as well as municipal accounts, the local media, posters, customer satisfaction surveys and public notice boards. The municipality must determine the most effective way of communication with local communities, given its unique circumstances, but in the process it must ensure that vulnerable groups are included in the effective communication processes. The municipality must also determine which method of communication is preferred by the local community (SALGA, 2013b:13).

3.11 SELECTED INTERNATIONAL PERSPECTIVES ON PUBLIC PARTICIPATION

This section presents an overview of selected international perspectives on public participation.

3.11.1 International Association for Public Participation

According to Theron (2008:117), the International Association for Public Participation (IAP2) has contributed to the practice of public participation by offering seven 'core values' that practitioners and others should expect of processes that are intended to make the public more effective partners in official policy-making. From these values a range of five forms or 'degrees' of public participation have been proposed, while scores of strategies have been identified and considered.

In South Africa local governments are keen to promote 'consultation' in connection with developmental planning. Davids (2005:13) argues that 'consultation' should only be regarded as a limited form of public participation that may invite referendum-like approval of a plan or decision, or may structure dialogue in a limited way. For many ordinary South Africans 'consultation' denotes a pseudo-process in which people are asked to give input, but the Municipal Officials ultimately define both the problem and its solution. Hence, 'consultation' does not imply that the intended beneficiaries in the

community will share in any decision-making, even to the modest extent of being provided with 'feedback on how public input has influenced the decision' (Davids, 2005:13). As indicated above, Table 3.2 below presents an illustration of the IAP2 public participation spectrum.

Table 3.2: The IAP2 Public Participation Spectrum

INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
Public Participation Goal				
To provide the public with balanced and objective information to assist them in understanding the problems, alternatives and/or solutions.	To obtain public feedback on analysis, alternatives and/or decisions	To work directly with the public throughout the process to ensure that public issues and concerns are consistently understood and considered	To partner with the public in each aspect of the decision-making process, including the development of alternatives and the identification of the preferred solution	To place final decision-making in the hands of the public
Promise to the Public				
We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and provide feedback on how public input influenced the decision.	We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will look to you for direct advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you have decided.
Example Tools				
Fact sheets Web sites Open houses	Public comment Focus groups Surveys Public Meetings	Workshops Deliberate polling	Citizen advisory committees Consensus-building Participatory decision-making	Citizen juries Ballots Delegated decisions

Source: International Association for Public Participation

According to Davids *et al.* (2009:124), in the eyes of many ordinary South Africans, 'involvement' does not mean (as outlined by the IAP2) "working directly with the public to ensure that public concerns and aspirations are consistently understood and considered" and are "directly reflected in the alternatives developed". It goes without saying that such interpretations contribute to mistrust in the system of local-level development planning in South Africa.

3.11.2 IAP2 Core Values and the IDP process

According to Theron (2008:117), the IAP2's seven Core Values are applicable to the IDP process in South Africa. These principles are internationally recognised and applied in planning towards participatory settings. These principles are discussed in detail below:

- There is a broad agreement in South Africa that, as a general proposition, "the public should have a say in decisions about actions that could affect their lives" (IAP2's Core Value 1). According to Theron (2008:117), most of the time, the 'say' that the beneficiaries enjoy relates to IAP2's Spectrum of Participation level 1 ('inform' participants) and level 2 ('consult' participants). 'Informing' and 'consulting' strategies, as interpreted through the IDP process, neither lead to authentic and empowering public participation, nor do they allow the beneficiaries of development (in a particular project) to 'direct' or become the 'owners' of a particular project.
- According to Theron (2008:117), there is an understanding, as IAP2 Core Value 2 states, that "public participation includes the promise that the public's contribution will influence the decision" in a particular programme or project. This is a contentious issue, since the public often have no 'say' in IDP project management, which then obviously makes their level of 'influence' in a programme/project very low. The public's low level of 'say' and 'influence' in IDP often leads to frustration among the intended beneficiaries. Poor public participation by beneficiaries and poor project legitimacy sometimes spills over into protest and violence, for example on the housing issue in South Africa.

- Core Value 3 states that “public participation promotes sustainable decisions by recognising and communicating the needs and interests of all the participants, including the decision-makers” (Theron, 2008:118). The communication process underlying public participation in the IDP process still builds on a top-down, prescriptive and control-oriented foundation – the IDP officials make most of the decisions related to a project, but argue that they know the needs of the people and use participatory strategies.
- According to Theron (2008:118), Core Value 4 calls for ‘public participation to seek out and facilitate the involvement of those potentially affected by or interested in a decision’. The manner in which ‘participatory strategies’ are employed in the IDP process does not contribute to establishing a culture of public participation. Top-down planning and implementation methodologies continue to be employed. The ‘involvement’ of beneficiaries boils down to potential participants being ‘informed’ about a project via what IAP2 refers to as ‘techniques to share information.’
- Core Value 5 calls for “public participation to seek input from the participants in designing how they will participate” (Theron, 2008:118). In the South African context, people will participate only if they interpret the process (for public participation in planning and implementing a project) as being beneficial to them personally. Existing processes, however, are perceived by the public as window-dressing for top-down decisions and as being highly prescriptive.
- Core Values 6 and 7 state, respectively, that “public participation provides participants with the information they need to participate in a meaningful way”; and public participation communicates to participants how their input has affected the decision. The IDP process is currently not structured in this manner. On paper, the IDP serves as a multi-dimensional strategic framework to correct many of the wrong-doings of the previous government system. This can be attributed to the fact that municipal councillors and officials are not given training that could help them understand and appreciate the immense social and political gain that participatory developmental planning could contribute.

3.11.3 Manila Declaration on people's participation and sustainable development, 1989

There is need for a fundamentally different development model based on an alternative development. Authentic development enhances the sustainability of the community. It must be understood as a process of economic, political and social change. A people-centred development model calls for active mutual self-help among people, working together in their common struggle to deal with their common problems (Manila Declaration, 1989).

People's capacity for participation in the creation of sustainable communities must be strengthened through efforts to expand people's organisation and awareness. Governments must be encouraged and assisted in creating a policy environment for citizen action (Manila Declaration, 1989).

3.12 SERVICE DELIVERY WITHIN THE CONTEXT OF DEVELOPMENTAL LOCAL GOVERNMENT

This section provides an exposition of the local government service delivery mandate within the context of developmental local government.

3.12.1 Local government service delivery mandate

One of the constitutional objects of local government is "to ensure the provision of services to communities in a sustainable manner" (Constitution of the Republic of South Africa, 1996). Section 153 (a) of the Constitution of the Republic of South Africa, 1996 places a particular developmental responsibility on municipalities by stipulating that a municipality must "structure and manage its administration and budgeting and planning processes to give priority to the basic needs of the community". In essence, this meant that municipalities had to plan and implement the provision of various basic services such as water, waste management, electricity reticulation, sanitation, roads, storm-water drainage, land use planning and control, and transport planning through the adoption of IDPs (Parnell *et al.*, 2008: 321-337).

3.12.2 Integrated development plan (IDP): an instrument to address service delivery in local government

For developmental local government to become more effective in addressing poverty at grass roots level, it must be more innovative and creative in solving social problems (Asha & Madzivahandila, 2012:372). The key instrument for enhancing the required innovative capacity of local municipalities is the IDP. The IDP is a “local development planning tool that helps local municipalities to develop a comprehensive and long-term plan to advance development and services in their areas of jurisdiction” (Asha & Madzivahandila, 2012:372).

3.12.3 Public participation in local government service delivery

According to Asha and Madzivahandila (2012:373) local communities must be key actors in local development processes. The motives and rationale behind public participation in development are as follows:

- It helps government to address the basic needs of poor community members;
- It ensures an improved sense of ownership of community development projects and builds self-confidence by breaking the so-called ‘dependency mentality’;
- It allows active participation of various stakeholders such as government, development agencies, private sector organisations and non-governmental organisations to alleviate poverty;
- It is a vehicle for promoting and instilling a culture of good governance in the local sphere of government;
- It enhances accountability and transparency in development projects at grassroots level (Asha & Madzivahandila, 2012:374).

The low levels of public participation in major decisions related to local development initiatives, especially in the provision of services, continue to be a serious challenge throughout the country. It is therefore imperative to note that the translation of the above participatory principles into practice for the benefit of local communities will require a serious commitment from municipalities. As an effort by local government to

establish a plan for short-, medium- and long-term service delivery goals, municipalities must work in partnership with civil society for inclusive and representative participation of all residents and stakeholders for the delivery of adequate services (Asha & Madzivahandila, 2012:376).

According to Davids and Theron (2014:122) the debate about whether the public participation ideal remains a myth or becomes a reality rests *inter alia* on the following key issues:

- Whether municipal IDP Process Managers are committed to the principle of working with communities.
- Whether stakeholders share the commitment (through the IDP process) to work with communities.
- If municipal IDP Process Managers are both committed to this principle and activate it in practice, can it be assumed that they are delivering sustainable development? Municipal IDP Process Managers should critically reflect upon their facilitation strategies and the lessons learned.
- Claims to have facilitated a process of public participation made by facilitators, municipal IDP Process Managers and others are often treated with caution, simply because they are conducted soon after project implementation. Due to the complex nature of development, success or failure can only be assessed after a substantial part of a programme or project has been completed.
- Claims to have consulted or involved the community may be questionable in that there may be an implicit assumption that the public is a homogeneous group of like-minded people. Most communities are made up of a range of individuals with differing interests and values. A claim to have involved, consulted or negotiated with the local community would imply that all the different interests and values are represented in the planning process. This is impossible and should be better appreciated in development planning (Davids & Theron, 2014:122).

According to the Local Government: White Paper on Local Government, 1998 in choosing the delivery options for their areas, municipalities should be guided by the following principles:

i. Accessibility of services

Municipalities must ensure that all citizens – regardless of race, gender or sexual orientation – have access to at least a minimum level of services. Imbalances in access to services must be addressed through the development of new infrastructure, and rehabilitation and upgrading of existing infrastructure. The Consolidated Municipal Infrastructure Programme has been established to provide capital grants to assist municipalities in funding bulk and connector infrastructure for low-income households and so extend access to services. Accessibility is not only about making services available, but also about making services easy and convenient to use. Municipalities should particularly aim to ensure that people with a disability are able to access municipal services and amenities (Local Government: White Paper on Local Government, 1998).

ii. Affordability of services

Accessibility is closely linked to affordability. Even when service infrastructure is in place, services will remain beyond the reach of many unless they are financially affordable to the municipality. The municipality can ensure affordability through:

- Setting tariffs which balance the economic viability of continued service provision and the ability of the poor to access services.
- Determining appropriate service levels. Services levels which are too high may be economically unsustainable and jeopardise continued service provision. Inadequate service levels may perpetuate stark spatial divisions between low, middle or high income users (particularly in urban areas) and jeopardise the socio-economic objectives of the council.
- Cross-subsidisation (between high and low-income users and commercial and residential users) within and between services (Local Government: White Paper on Local Government, 1998).

iii. Quality of products and services

The quality of services is difficult to define, but includes attributes such as suitability for purpose, timeliness, convenience, safety, continuity and responsiveness to service-users. It also includes a professional and respectful relationship between service-providers and service-users (commercial and residential users) within and between services (Local Government: White Paper on Local Government, 1998).

iv. Accountability for services

Whichever delivery mechanism is adopted, municipal councils remain accountable for ensuring the provision of quality services which are affordable and accessible to commercial and residential users within and between services (Local Government: White Paper on Local Government, 1998).

v. Integrated development and services

Municipalities should adopt an integrated approach to planning and ensuring the provision of municipal services. This means taking into account the economic and social impacts of service provision in relation to municipal policy objectives such as poverty eradication, spatial integration and job creation through public works (Local Government: White Paper on Local Government, 1998).

vi. Sustainability of services

On-going service provision depends on financial and organisation systems which support sustainability. Sustainability includes both viability and the environmentally sound and socially just resources (Local Government: White Paper on Local Government, 1998).

vii. Value-for-money

Value in the public sector is both a matter of the cost of inputs, and of the quality and value of the outputs. The above principles require that the best possible use is made of public resources to ensure universal access to affordable and sustainable services (Local Government: White Paper on Local Government, 1998).

viii. Ensuring and promoting competitiveness of local commerce and industry

The job-generating and competitive nature of commerce and industry must not be adversely affected by higher rates and service charges on industry and commerce in order to subsidise domestic users. Greater transparency is required to ensure that investors are aware of the full costs of doing business in a local area (Local Government: White Paper on Local Government, 1998).

ix. Promoting democracy

Local government administration must promote the democratic values and principles enshrined in the Constitution of the Republic of South Africa, 1996, including the principles provided by Section 195 (1) (Local Government: White Paper on Local Government, 1998).

3.13 SUMMARY

This chapter presented the literature review on the IDP process and public participation within a South African context. Selected international perspectives on public participation are briefly articulated. The literature examined focused on authentic and empowering public participation strategies as envisaged in the relevant South African legislation. The literature shows that the majority of South African municipalities continue to implement inappropriate public participation strategies during the IDP process and this translates into undesirable service delivery protests. For this reason, this gap is addressed in the study so as to gain an improved understanding of an appropriate combination of context-specific public participation strategies that South African municipalities can implement during the IDP process.

The literature review in this chapter has shown that there is research interest on public participation in South African municipalities. However, there is a dearth of studies that specifically investigated the appropriateness of public participation strategies that are implemented in South African municipalities. This study not only seeks to develop a set of recommendations to improve integrated development planning in municipalities by developing an appropriate combination of context-specific public participation strategies, but also seeks to comprehend factors that

may have impeded the actualisation of authentic and empowering public participation in the IDP process.

Finally, the review of previous studies has identified an evolving trend in investigating the implementation of public participation strategies in the IDP process, which utilises mainly cognitive theories. These theories include *inter alia* the Participatory Learning Approach Theory, the People-Centred Development Theory, and others. The major weakness of theories informing studies on implementation of public participation strategies in the IDP process is that they often explore the individual cognitive processes leading to the disillusionment of the local communities. This study is underpinned by *inter alia* strategic management, systems model/approach to policy-making and new public management theories and aims to move away from the cognitive tendency of understanding influences to the disillusionment of the local communities, towards a rigorous analysis that addresses the local dynamics and the authentic participation of the intended beneficiaries in the municipal IDP process.

The next chapter provides an overview of a legislative framework governing public participation and integrated development planning in South Africa.

CHAPTER 4

OVERVIEW OF A GUIDING FRAMEWORK GOVERNING PUBLIC PARTICIPATION AND INTEGRATED DEVELOPMENT PLANNING IN SOUTH AFRICA

4.1 INTRODUCTION

The conceptualisation of the IDP and public participation process in the local sphere of government must be contextualised within the plethora of legislative and policy provisions intended to guide the integrated community development planning operations in municipalities. This chapter provides an overview of the guiding that governs integrated development planning as well as the enhancement of public participation in local government affairs.

4.2 DEVELOPMENT FACILITATION ACT 67 OF 1995

The Act is aimed mainly at encouraging efficient and integrated land development, by promoting the integration of social, economic, institutional and physical aspects of development. The IDP process is regarded as the main organising device for encouraging municipalities to identify key delivery targets, such as land development objectives (Khalo *et al.*, 2013:97). In identifying key service targets, municipalities are expected to create an opportunity for local communities to participate.

4.3 LOCAL GOVERNMENT TRANSITION ACT 97 OF 1996

This Act requires all municipalities to prepare IDPs as part of the municipal government planning process. It sets out the specific financial and budgeting requirements, as well as institutional arrangements and review procedures (Khalo *et al.*, 2013:97).

4.4 CONSTITUTION OF THE REPUBLIC OF SOUTH AFRICA ACT 108 OF 1996

The Constitution is a crucial component of the legal system of South Africa and of the legal-institutional framework within which development has to take place. The

Constitution of the Republic of South Africa, 1996 (Section 152) puts in place a vision for DLG and contains the following objectives for DLG:

- To provide democratic and accountable government for local communities.
- To ensure the provision of services to communities in a sustainable manner.
- To promote social and economic development.
- To promote a safe and healthy environment.
- To encourage the participation of communities and community organisations in the affairs of local government.

Section 153 (a) of Constitution of the Republic of South Africa, 1996 further instils the culture of 'people and development centred' municipalities by stipulating that – “ A municipality must structure and manage its administration and budgeting and planning processes to give priority to the basic needs of the community, and to promote the social and economic development of the community.” In essence, municipalities are mandated to ensure all citizens receive the services they need to satisfy their basic needs. Municipalities must also promote the Bill of Rights, which reflects the nation's values regarding human dignity, equality and freedom, and uphold the principles enshrined in the Constitution of the Republic of South Africa, 1996.

Chapter 10 of the Constitution of the Republic of South Africa, 1996 encourages the creation of opportunities for public participation in public administration by identifying the basic values and principles governing public administration as follows:

“195. (1) Public administration must be governed by the democratic values and principles enshrined in the Constitution, including the following principles:

- (a) A high standard of professional ethics must be promoted and maintained.
- (b) Efficient, economic and effective use of resources must be promoted.
- (c) Public administration must be development-oriented.
- (d) Services must be provided impartially, fairly, equitably and without bias.
- (e) People's need must be responded to, and the public must be encouraged to participate in policy-making.
- (f) Public administration must be accountable.

- (g) Transparency must be fostered by providing the public with timely, accessible and accurate information.
 - (h) Good human-resource management and career-development practices, to maximise human potential, must be cultivated.
 - (i) Public administration must be broadly representative of the South African people, with employment and personnel management practices based on ability, objectivity, fairness, and the need to redress the imbalances of the past to achieve broad representation.
- (2) The above principles apply to –
- (a) Administration in every sphere of government;
 - (b) Organs of state; and
 - (c) Public enterprises.

The Constitution of the Republic of South Africa Act, 1996 provides a fundamental foundation for local government to create opportunities for local communities to participate meaningfully in matters affecting their lives. Therefore, municipalities can adopt policies that are in line with the Constitution of the Republic of South Africa, 1996.

4.5 WHITE PAPER ON TRANSFORMING PUBLIC SERVICE DELIVERY, 1997

According to Khalo *et al.* (2013:40-41) as the sphere of government closest to the people, municipalities are the focal point of public service delivery. The White Paper on Transforming Public Service Delivery, 1997 (better known as the Batho Pele White Paper) promotes mechanisms to enable the state machinery to optimise the provision of services to all citizens. The Batho Pele White Paper spells out eight principles for transforming public service delivery which will be explained in detail in Chapter 5 of this study. The following four principles have a direct bearing on public participation:

- Consultation – citizens should be consulted about the level and quality of services they receive, and should be given a choice about the services that are offered, if possible.

- Service standards – citizens should be told what level and quality of services they will receive so as to know what to expect.
- Information – citizens should be given full, accurate information about the services they are entitled to receive.
- Openness and transparency – citizens should be told about how service departments are run, how much they cost and who is in charge (Khalo *et al.*, 2013:41).

Municipal councils should institutionalise all eight principles, and they should form part of any municipal capacity-building programme.

4.6 LOCAL GOVERNMENT: WHITE PAPER ON LOCAL GOVERNMENT, 1998

The basis for DLG in South Africa is founded on provisions set out in the Local Government: White Paper on Local Government, 1998. Linked to the definition of DLG provided in Chapter 1 of this study is the emphasis on ‘partnerships with all role players in order to contribute to sustainable development’ thereby improving the quality of life of the people served by municipalities. According to the Local Government: White Paper on Local Government, 1998, developmental local governance should ultimately result in the following outcomes:

- The provision of household infrastructure and services.
- The creation of liveable, integrated cities, towns and rural areas.
- The local economic development.
- Community empowerment and redistribution.

To achieve these outcomes, the Local Government: White Paper on Local Government, 1998 puts forward three interrelated approaches that can assist municipalities to fulfil their developmental mandate:

- Integrated development planning.
- Performance management.
- Working together with local citizens and partners.

With regard to public participation, the Local Government: White Paper on Local Government, 1998 stipulates that municipalities should encourage civil society participation through:

- Forums initiated within or outside municipalities to allow organised formations to initiate policies and/or influence policy formulation, as well as participate in monitoring and evaluation activities.
- Structured stakeholder participation in certain council committees.
- Participatory budgeting initiatives aimed at linking community priorities to capital investment programmes.
- Focus-group participatory action research to generate detailed information about a wide range of specific needs and values.
- Support for the organisational development of associations, in particular in poor, marginalised areas where the skills and resources for participation may be less developed.

Integrated development planning is therefore central to realising the developmental local government vision. It is viewed as a mechanism to enable prioritisation and integration in municipal planning processes and to strengthen the links between the developmental (external) and institutional (internal) planning processes.

According to the Local Government: White Paper on Local Government, 1998, municipalities requires active participation by citizens at four levels:

- As voters – to ensure maximum democratic accountability of the elected political leadership for the policies they are empowered to promote.
- As citizens who express, via different stakeholder associations, their views before, during and after the policy development process in order to ensure that policies reflect community preferences as far as possible.
- As consumers and end-users, who expect value-for-money, affordable services and courteous and responsive service.
- As organised partners involved in the mobilisation of resources for development via for-profit businesses, non-governmental organisations and community-based institutions.

4.7 LOCAL GOVERNMENT: MUNICIPAL STRUCTURES ACT 117 OF 1998

This Act gives district municipalities the responsibility for integrated development planning for district municipality as a whole, including framework for IDPs for all local municipalities within areas. They therefore have a responsibility for inter-local co-ordination and for links with provincial and national departments. While each local municipality and the district municipality produce their own IDP and conduct their own participatory processes, the role of the district municipality is to ensure that there is a joint district strategy, and that the IDPs within the district are aligned with another and the district IDP.

The Local Government: Municipal Structures Act 117 of 1998 is designed to regulate the internal systems, structures and office bearers of municipalities, and to provide for appropriate electoral systems. Chapter 4, Part 4 of the Act deals with the establishment, functions and powers of ward committees. The ward participatory system of municipal government allows for the establishment of ward committees to facilitate public participation in the matters of local government. Ward committees can also improve communication between the municipal council and local communities, and play a role in identifying community needs and fine-tuning municipal programmes to accommodate local circumstances.

4.8 LOCAL GOVERNMENT: MUNICIPAL SYSTEMS ACT 32 OF 2000

The Local Government: Municipal Systems Act 32 of 2000 was published to establish a framework for planning, performance management systems, effective use of resources and organisational change (Khalo *et al.*, 2013: 41). It provides for the core principles, mechanisms and processes that are necessary to work in partnership with the community.

Chapter 4 of the Local Government: Municipal Systems Act 32 of 2000 deals with the development of a culture of community (public) participation, mechanisms, processes and procedures for community participation, communication of information concerning community participation, public notice of council meetings, and communication between council and the local community. These mechanisms for

public participation must also be appropriate for the preparation, implementation and review of the IDP.

4.9 LOCAL GOVERNMENT: MUNICIPAL FINANCE MANAGEMENT ACT 56 OF 2003

This Act aims to modernise budget and financial management practices by placing local government finances on a sustainable footing. It serves to maximise the capacity of municipalities to deliver services to all their residents, customers, users and investors. One of the most significant reforms is the new budget process and its link to the IDP (Khalo *et al.*, 2013:99).

Section 21 of the Local Government: Municipal Finance Management Act 56 of 2003 emphasises the importance of a platform for public participation in the IDP and budget process. This process must be carried out as a single and integrated process, as opposed to a separate IDP process followed by a budget process.

Furthermore, Section 130 of the Local Government: Municipal Finance Management Act 56 of 2003 stipulates *inter alia*; that the meetings of a municipal council at which a report is to be discussed or at which decisions concerning an annual report are to be taken, must be open to the public.

4.10 IDP GUIDE PACKS

According to Khalo *et al.* (2013:41) IDP Guide Packs were issued by the erstwhile Department of Provincial and Local Government in 2000 to assist municipalities in the formulation and implementation of IDPs. In Section 4 of the IDP Guide Packs, mechanisms and procedures for public participation are highlighted. Their purpose is to provide guidance on what each municipality needs to consider when developing a public participation strategy for its IDP process.

Two recurring themes can be identified from the above legislation: firstly, the importance of promoting grass-roots participation in a democratic planning process; and secondly, that the responsibilities of municipalities, as the sphere of government closest to the people, should be expanded from the dominant role of service providers to becoming key players in the development process.

4.11 NATIONAL DEVELOPMENT PLAN (NDP): VISION 2030

The National Development Plan (NDP) aims to eliminate poverty and reduce inequality by 2030 (NDP, 2012:14). It is an ambitious plan aimed at resolving the current deficiencies within the local system of integrated development planning and progressively develops the governance and administrative capability to undertake planning at all scales (NDP, 2012). The state must actively support and incentivise citizen engagement and citizens should:

- Actively seek opportunities for advancement, learning, experience and opportunity.
- Work together with others in community to advance development, resolve problems and raise the concerns of the voiceless and marginalised.
- Hold government, business and all leaders in society accountable for their actions (NDP, 2012:27).

The NDP (2012:27) recognises the fact that more work needs to be done to emphasise the responsibilities that citizens have in their own development and in working with others in society to resolve tensions and challenges. The refrain, 'sit back and the state will deliver' must be challenged – it is neither realistic nor is it in keeping with the principles of DLG.

4.12 DRAFT NATIONAL POLICY FRAMEWORK FOR PUBLIC PARTICIPATION, 2005

The Draft National Policy Framework for Public Participation builds on the commitment of the democratic government to deepen democracy, which is embedded in the Constitution of the Republic of South Africa, 1996 and above all in local government, as comprising the municipality and the community (RSA, 2005:1). Public participation must be promoted for four main reasons; namely:

- It is a legal requirement.
- To make development plans and services more relevant to local needs and conditions.
- To hand over responsibility for services and promote community action.

- To empower local communities to have control over their own lives and livelihoods (RSA, 2005:1).

4.13 WESTERN CAPE THIRD GENERATION IDP DISCUSSION DOCUMENT 2011 – 2016

This document emphasises three main areas for improving the IDP process in the Western Cape; namely:

- **IDP process must be owned by local leadership, municipal management and community.** The development and annual review process of the IDP should allow local leadership, development experts and an experienced municipal management team to jointly sit down with the necessary information at their disposal (PGWC, 2009c:7).

Each municipality must consider how it will improve community ownership of the IDP process through appropriate ward-based participation methods. This includes improving access to the participation process and information that impact on their development and be able to actively participate in a municipal-wide or ward-based opportunity (PGWC, 2009c:8).

- **IDP must contain long-term development strategy, with investment in specific geographical areas.** The IDP must contain a clear long-term development agenda which briefly describes the underpinning trends, the limited list of key interventions, key programmes required, clear targets and indicators that will measure how service delivery and key interventions will be changed from the current development reality (PGWC, 2009c:8).

Any other planning instruments such as a spatial development framework, integrated human settlement plan, local economic plan applied in the municipality must reflect on how it supports the development strategy and key interventions contained in the IDP (PGWC, 2009c:8).

- **IDP as an investment plan for national, provincial and local government and non-governmental stakeholders.** The inter-governmental architecture for engagement should enable joint planning and resource alignment in

support of implementing the development strategy in the IDP on an annual basis. The use of inter-governmental structures should enable structured annual engagement on IDP priorities and related resourcing across government spheres. Each municipality must consider how to capture and reflect upon the investment of non-governmental stakeholders in a municipal area, including the private sector and other social partners (PGWC, 2009c:8).

4.14 GEORGE LOCAL MUNICIPALITY'S PUBLIC PARTICIPATION POLICY, 2007

The George Local Municipality's Public Participation Policy (2007c) seeks to develop a culture of municipal governance that complements formal representative government with a system of participatory governance. The George Local Municipality's Public Participation Policy (2007c) is based on the following assumptions; namely:

- Public participation is designed to promote the values of good governance and human rights.
- Public participation acknowledges a fundamental right of all people to participate in the governance system.
- Public participation is designed to narrow the social distance between the electorate and elected institutions.
- Public participation requires recognising the intrinsic value of all people, investing in their ability to contribute to governance processes.
- People can participate as individuals, interest groups or communities more generally (George Local Municipality, 2007c:5).

4.15 GEORGE LOCAL MUNICIPALITY'S IDP AND BUDGET PROCESS PLAN

The George Local Municipality's IDP and Budget Process Plan 2012-2017 (2012d) is developed in accordance with Section 28 of the Local Government: Municipal Systems Act 32 of 2000 which stipulates the following:

- (i) Each municipal council, within a prescribed period after the start of its elected term, must adopt a process set out in writing to guide the planning, drafting, adoption and review of its integrated development plan.

- (ii) The municipality must through appropriate mechanisms, processes and procedures established in terms of Chapter 4, consult local community before adopting the process.
- (iii) A municipality must give notice to the local community of particulars of the process it intends to follow.

To ensure that the IDP process is effectively managed, the George Local Municipality assigns the following internal roles and responsibilities (see Table 4.1 below).

Table 4.1: Distribution of internal roles and responsibilities in the IDP process

ROLE PLAYER	ROLES AND RESPONSIBILITIES
George Municipality	<ul style="list-style-type: none"> • Prepare and adopt a Process Plan • Undertake the overall management and co-ordination of the planning process which includes ensuring that: <ul style="list-style-type: none"> - All relevant role-players are appropriately involved; - Appropriate mechanisms and procedures for public consultation and participation are applied; - The planning events are undertaken in accordance with the time schedule; - Planning process is related to the real burning issues in the Municipality, that it is a strategic and implementation – oriented process; - The sector planning requirements are satisfied. • Adopt and approve the IDP. • Adjust the IDP in accordance with the MEC for Local Government’s proposal. • Ensure that the annual business plans, budget and land use management decisions are linked to and based on the IDP.

ROLE PLAYER	ROLES AND RESPONSIBILITIES
Local residents, communities and stakeholders (civil society)	<ul style="list-style-type: none"> • Represent interests and contribute knowledge and ideas in the IDP process by participating in and through Ward Committees to: <ul style="list-style-type: none"> - Analyse issues, determine priorities and provide input; - Keep their constituencies informed on IDP activities and their outcomes; - Discuss and comment on the draft IDP; - Check that annual business plans and budget are based on and linked to the IDP; and - Monitor performance on the implementation of the IDP.

Source: George Local Municipality: IDP and Budget Process Plan 2012-2017 (2012d)

4.16 SUMMARY

This chapter provided an overview of the legislation that governs integrated development planning as well as the enhancement of public participation in local government affairs. This study seeks to provide an impetus in the quest for an empirically proven knowledge aimed at improving integrated development planning in municipalities by developing an appropriate combination of context-specific public participation strategies. This chapter is meant to provide guidance to municipalities by providing a 'menu' of relevant legislation and literature in Public Administration as critical 'ingredients' in developing appropriate mechanisms to facilitate public participation in the IDP process.

The following chapter reviews the literature on various dimensions of performance management aimed at improving the implementation of the IDP as well as the acceleration of service delivery.

CHAPTER 5

MANAGING MUNICIPAL PERFORMANCE

5.1 INTRODUCTION

The Constitution of the Republic of South Africa, 1996 provides broad guidelines on how municipalities should structure their administrations to give effect to the vision of DLG. IDPs being the tools to realise the vision of DLG through the provision of services to local communities in a sustainable manner are only as effective in so far as they provide “guidance to municipal management to improve and fast-track delivery and development” (Local Government: Municipal Systems Act 32 of 2000, Section 35). The performance of municipalities is constantly under scrutiny by a wide variety of stakeholders such as local communities, interest and pressure groups (Khalo *et al.*, 2013:110).

Municipalities must create a platform for its stakeholders to participate in the development of a performance management system to evaluate progress in the delivery of services. This will ensure collective ownership of the system and consensus on expected level and standard of services. Khalo *et al.* (2013:110) argue that the performance – or the lack thereof – of municipalities is more visible to public enquiry because of their closeness to the communities they serve. This closeness reveals the extent of service delivery, because local communities can, for instance see houses being constructed, water supplies being provided and electricity being provided and connected.

This chapter reviews the literature on various dimensions of performance management aimed at improving the implementation of the IDP as well the acceleration of service delivery. The concept performance management is clarified including a statutory and regulatory framework governing performance management in DLG. The measuring of municipal performance and municipal performance reporting will be explained. Lastly, performance management systems and performance management tools and techniques will be explored.

5.2 FOUNDATIONS OF PERFORMANCE MANAGEMENT

According to Khalo *et al.* (2013:110) a substantial body of knowledge management as a science has developed since the late 1970s; encompassing concepts such as performance measures, performance indicators, performance appraisal and review, value for money and, more recently, the total quality management. The planning framework for local government is based on the notion that the formulation of a plan (IDP) is not sufficient; adequate implementation is fundamental for the success of local government. The Local Government: White Paper on Local Government, 1998 states that performance management is crucial to ensuring that plans are being implemented and have the desired development impact, and the resources are used efficiently.

5.2.1 Definitions of performance management

There are several definitions relating to performance management which are relevant to this study. These definitions are cited below:

Armstrong (1994:23) defines performance management as “A method of establishing shared understanding about what is to be achieved, and an approach to managing and developing people in a way that increases the probability that defined outputs will be achieved in both the short and longer terms”.

The Service Delivery Review (2003) states performance management is viewed as: “... the systematic, data-oriented approach to managing people at work that relies on positive reinforcement as the major way to maximise performance”.

From the above definition, the following three components can be noted:

- Systematic (clear processes and procedures);
- Data-oriented (if you cannot measure it, you cannot manage it); and
- Positive reinforcement (the system is used in a positive, progressive manner).

The overall objective of performance management is to establish an organisational culture in which individuals and teams take responsibility for the continuous

improvement of the organisation, and own their own skills and contributions to desired results (Pillay & Subban, 2007:56).

5.2.2 Objectives of a performance management system

According to SALGA (2003c:72) the objectives of implementing a performance management system in municipalities are to:

- Achieve sustainable improvements in service delivery to the community;
- Develop constructive and open relationships between managers/supervisors and employees;
- Encourage and reward good performance;
- Link the IDP to team and individual performance;
- Enable individuals to develop their abilities, increase their job satisfaction and achieve their full potential so that both the employee and the municipality benefit; and
- Fulfil the requirements of the Local Government: Municipal Systems Act 32 of 2000.

5.2.3 Principles of performance management

Pillay and Subban (2007:59) state that the principles of performance management can be summarised as follows:

- It translates corporate goals into individual, team, departmental and divisional goals;
- It is a continuous and evolutionary process, in which performance improves over time;
- It relies on consensus and co-operation rather than control or coercion;
- It creates a shared understanding of what is required to improve performance and how this will be achieved;
- It requires a management style that is open and honest, and encourages two-way communication between superiors and subordinates;
- It requires continuous feedback;

- Feedback loops enable the experiences and knowledge gained on the job by individuals to modify corporate objectives;
- It measures and assesses all performance against jointly agreed goals; and
- It should apply to all staff and is not primarily concerned with linking performance to financial reward (Pillay & Subban, 2007:59).

According to Pillay and Subban (2007:59) the underlying rationale behind these principles is to review and remove blockages to service delivery. Khalo *et al.*, (2013:116) add that it is generally agreed that performance management has seven key principles that should be applied in designing an effective performance management system (PMS). These are as follows:

- Clarity of purpose: Performance management is a means to obtain management information for monitoring purposes, but, most importantly, to focus management attention on areas where change is needed. There may be different information needs for different functional managers, and therefore appropriate measures must be set to ensure that everybody benefits (Khalo *et al.*, 2013:116).
- Focus: Performance management should primarily focus on the strategic objectives of their institution, reflecting both the core issues of the institution and the priority areas for improvement (Khalo *et al.*, 2013:116).
- Balance: Performance management should provide a holistic view of performance across the institution, reflecting the latter's main systems, processes and activities. It is therefore appropriate to set a number of key operational measures, in addition to the strategic objectives, to ensure that all significant areas are covered (Khalo *et al.*, 2013:116).
- Ownership: Managers on all levels of the institution must take ownership to ensure that performance management is more than a paper exercise. Experience suggest that performance management systems that are imposed from senior levels are unlikely to be as helpful or accurate as those that are owned and understood by the managers who will be responsible for collecting and analysing the data (Khalo *et al.*, 2013:116).
- Scrutiny: Scrutiny is important to analyse the focus of the performance management system and to ensure the accuracy, reliability and validity of data

collected. On-going scrutiny is necessary to ensure that the measures remain relevant and that the information generated is useful (Khalo *et al.*, 2013:117).

- On-going development: Performance management must continuously develop to adapt to changing circumstances (externally and internally). Changing systems, processes and activities; new government priorities and legislation; or advances in technology might make a measure irrelevant. The measures should therefore be improved or alternative measures be developed (Khalo *et al.*, 2013:117).
- Continuous improvement: Performance measures will be most useful if they are incorporated in a system of continuous review that includes regular monitoring and remedies for low levels of performance. It is necessary to establish monitoring and reporting mechanisms within the institution so that clear lines of accountability are put in place. Responsibility for achieving the measures needs to be assigned to the appropriate level (Khalo *et al.*, 2013:117).

5.3 MUNICIPAL PERFORMANCE IN CONTEXT

Khalo *et al.* (2013:112) states that measuring performance in municipalities is not a simple task, since various qualitative and sometimes unquantifiable variables have to be considered. These qualitative aspects can be complex and even intangible, such as the general welfare of a community, and hence can make performance improvement and productivity measurement extremely difficult (Khalo *et al.*, 2013:112). Municipalities are required to address a range of objectives, some of which may be in conflict. Matters are further complicated by the fact that there is no single dimension of performance that is paramount in the public sector, and different stakeholders may have widely different interpretations of success and failure (Carter, Klein & Day, 1995:87). According to Khalo *et al.* (2013:112) institutional performance in general and municipal performance in particular are multi-faceted: they are influenced by various issues and factors. Khalo *et al.* (2013:112) reviews these multi-faceted dimensions of performance in the context of public sector and isolates five conceptual categories:

- Outputs;

- Efficiency;
- Effectiveness;
- Responsiveness; and
- Democratic outcomes.

Viewed from a systems theory perspective, outputs as the first dimension refer to the quantity and quality of services provided by municipalities, such as water provisioning, housing and sewerage systems. The achievement of outputs should lead directly to the realisation of outcomes or objectives defined in response to municipal policy (Khalo *et al.*, 2013:112).

Efficiency, the second dimension, is concerned with cost per unit of outputs (for example, cost per house constructed), and effectiveness refers to the achievement of objectives specified per service delivery output. The relationship between outputs and outcomes is what is referred to as effectiveness. Efficiency is a relative concept that goes hand in hand with productivity. Productivity is a technical measure that is expressed as a ratio of inputs to outputs. It is useful to define productivity targets in a given period in advance in order to assess efficiency, although this can be done retrospectively. From a cost perspective, cost-effectiveness relates to the relationship between the outcomes and the costs of producing or achieving those (Khalo *et al.*, 2013:112).

The responsiveness dimension of performance is more complex, since it involves the perceptions of recipients of services (communities). The higher the level of satisfaction with services received, the more responsive municipalities are seen to be. Democratic outcomes, the fifth dimension, according to Khalo *et al.* (2013:112) are about accountability, probity and participation. This is the most difficult dimension to measure, since desired outcomes are only observable after a considerable period of time. For example, levels of community satisfaction, the level of demand for a particular municipal service or the effect/impact of certain policy programmes may only be measurable after weeks or even months. The last two dimensions could be regarded as more subjective measures of performance, while the first three are more objective, since they are relatively easily quantifiable. Performance management is about operationalisation, measurement and continuous improvement of these

dimensions. A comprehensive perspective is necessary to incorporate all five dimensions (Khalo *et al.*, 2013:112-113).

While performance by municipalities in general – including good performance – must be constantly improved to meet the needs of communities and improve their quality of life, it is poor performance in particular that needs to be improved. In order to do this, it is important that the causal and contributory reasons for poor municipal performance be analysed. Poor performance according to Khalo *et al.* (2013:113) may arise out of:

- Poor systems and processes;
- Inappropriate institutional structure;
- Lack of skills and capacity;
- Absence of appropriate strategies; and
- Inappropriate institutional cultures.

5.4 STATUTORY AND REGULATORY REQUIREMENTS RELATED TO PERFORMANCE MANAGEMENT

Khalo *et al.* (2013:113) state that municipal decision-makers should ensure that “they adhere to both the requirements and stipulations and the spirit of all relevant legislation, regulatory requirements and official guideline documentation when they manage the performance of their municipalities”. The section below provides an exposition of some of the most significant statutory and regulatory requirements dealing with municipal performance management.

5.4.1 Constitution of the Republic of South Africa Act 108 of 1996

Chapter 7 of the Constitution of the Republic of South Africa, 1996 establishes key principles for the municipal legislative framework (Jessa & Uys, 2013:109). The Constitution gives municipalities the power to administer their own affairs, placing an obligation on municipalities to ensure public participation, ethical governance, accountability and transparency (Baatjies, 2009:11).

As explained in the previous chapter of this study, Section 152 of the Constitution of the Republic of South Africa, 1996 sets out the “objects of local government”, which imbed five measureable key performance areas (KPA) for successful municipal performance: (i) its democratic and accountable values and culture, (ii) its services to communities, (iii) socio-economic development, (iv) safety and environmental health, and (v) community participation in the affairs of the municipality. These key performance areas place a premium on the effective, efficient and economic use of resources to address the needs of local communities. The Constitution of the Republic of South Africa, 1996 also sets the scene for accountable, outcomes-based and good local government. This can be achieved by implementing a municipal performance management system.

5.4.2 White Paper on Transforming Public Service Delivery, 1997

The White Paper on Transforming Public Service Delivery, 1997 – better known as Batho Pele White Paper extends the principles of developmental local government, as stipulated in Section 152 of the Constitution of the Republic of South Africa, 1996. It advocates that municipalities are the “focal point of public service delivery” and requires the active participation of the wider community (Jessa & Uys, 2013:109).

Khalo *et al.* (2013:113) state that municipalities need constant feedback from the recipients of services if they are to improve their operations. Through the establishment of local partnerships (public-private partnerships), a service culture can be created. Local businesses, community-based organisations or non-governmental organisations, for example, may assist with the establishment of a customer help desk, providing information about specific services, identifying service gaps or conducting customer satisfaction surveys (Khalo *et al.*, 2013:113).

Municipal performance systems should be based on the eight principles of improved service delivery as outlined in the Batho Pele White Paper, 1997, namely:

- Consultation – citizens should be consulted about the level and quality of the public services they receive and, wherever possible, should be given a choice about the services that are offered.

- Service standards – citizens should be told what level and quality of public services they will receive so that they are aware of what to expect.
- Access – all citizens should have equal access to the services to which they are entitled.
- Courtesy – citizens should be treated with courtesy and consideration.
- Information – citizens should be given full, accurate information about the public services they are entitled to receive.
- Openness and transparency – citizens should be told how national and provincial departments are run, how much they cost, and who is in charge.
- Redress – if the promised standard of service is not delivered, citizens should be offered an apology, a full explanation and a speedy and effective remedy; and when complaints are made, citizens should receive a sympathetic, positive response.
- Value for money – public services should be provided economically and efficiently in order to give citizens the best possible value for money.

5.4.3 Local Government: White Paper on Local Government, 1998

The Local Government: White Paper on Local Government, 1998 compels performance management at municipalities to ensure that “plans are implemented” and that “resources are used efficiently” (Jessa & Uys, 2013:109). The Local Government: White Paper on Local Government, 1998 particularly states that “integrated development planning, budgeting, performance management, and working together with local citizens and partners are powerful tools which can assist municipalities to develop an integrated perspective on development in their area”.

According to Khalo *et al.* (2013:113) the Local Government: White Paper on Local Government, 1998 provides a broad framework for municipalities to focus on priorities within an increasingly complex and diverse set of demands. This framework further enables municipalities to direct resource allocations and institutional systems to a new set of development objectives. The Local Government: White Paper on Local Government, 1998 adds that providing an opportunity for public participation in the development of municipal key performance indicators increases the accountability of the municipality. By municipalities being open, transparent and

participatory, communities should participate in setting key performance indicators, and municipalities must establish mechanisms to report back to communities on performance. In this way, responsiveness and public trust in the municipality will be enhanced.

5.4.4 Local Government: Municipal Structure Act 117 of 1998

The Local Government: Municipal Structures Act 117 of 1998 has significance for municipal performance management as it establishes and regulates the structures, functions, objectives and responsibilities of the municipal council, the internal audit and performance committee and ward committees (Jessa & Uys, 2013:110).

5.4.5 Local Government: Municipal Systems Act 32 of 2000

The Local Government: Municipal Systems Act 32 of 2000 provides the most detailed requirements with respect to municipal performance management. Chapter 6 of the Local Government: Municipal Systems Act 32 of 2000 prescribes mechanisms, processes and procedures to be followed in implementing municipal performance management. Section 41 of the Local Government: Municipal Systems Act 32 of 2000 particularly prescribes the following core components of a municipal performance management system:

- (a) The setting of key performance indicators as yardsticks for measuring performance;
- (b) The setting of measurable performance targets with regard to each of those development priorities and objectives;
- (c) The monitoring, measurement and reviewing of performance once per year;
- (d) The taking of steps to improve performance; and
- (e) The reporting on performance to relevant stakeholders.

Sections 42-48 of the Local Government: Municipal Systems Act 32 of 2000 deal with community participation necessary to ensure the development, implementation and review of the municipality's performance management system and the manner in which the Minister responsible for local government should establish appropriate key performance indicators that can be applied to local government in general.

5.4.6 Performance Management Guide for Municipalities, 2001

The Performance Management Guide for Municipalities, 2001 is intended to serve as a set of simple, user-friendly non-prescriptive guidelines that will assist municipalities in developing and implementing their legislatively required performance management system. This guide is designed to enable municipalities to develop and implement such a system within their resource constraints, suited to their circumstances and in line with the priorities, objectives, indicators and targets contained in the IDP (Department of Provincial and Local Government, 2001b:6).

The Performance Management Guide for Municipalities, 2001 is aimed at local government councillors, managers, officials, community-based organisations and members of the public. The guide presents guidelines on the development and implementation of an organisational performance management system while highlighting some of the linkages to an employee or personnel management system.

5.4.7 Local Government: Municipal Finance Management Act 56 of 2003

The principles of honesty, integrity, transparency, accountability and quantification of resources and outputs constitute the 'spirit' of the legislation in the Local Government: Municipal Finance Management Act 56 of 2003. The Local Government: Municipal Finance Management Act 56 of 2003 makes provision for the alignment of the IDP and budget through the Service Delivery and Budget Implementation Plan (SDBIP). Section 1 of the Local Government: Municipal Finance Management Act 56 of 2003 defines the SDBIP as a detailed plan approved by the mayor of a municipality in terms of Section 53 (1) (c) (ii) for implementing the municipality's delivery of municipal services and its annual budget and which must indicate –

(a) Projections for each month of –

(i) Revenue to be collected, by source; and

(ii) Operational and capital expenditure, by vote;

(b) Service delivery targets and performance indicators for each quarter; and

(c) Any other matters that may be prescribed.

In terms of Circular No.13 of the Local Government: Municipal Finance Management Act (MFMA) 56 of 2003 (issued on 31 January 2005) an SDBIP constitutes a 'contract' between the administration, council and community expressing the goals and objectives set by the council as quantifiable outcomes that can be implemented by the administration over the next twelve months. The SDBIP provides the vital link between the mayor, council (executive) and the administration, and facilitates the process for holding management accountable for its performance. The SDBIP is a management, implementation and monitoring tool that will assist the mayor, councillors, municipal manager, senior managers and community. It enables the municipal manager to monitor the performance of senior managers, the mayor to monitor the performance of the municipal manager, and for the community to monitor the performance of the municipality. The SDBIP should therefore determine (and be consistent with) the performance agreements between the mayor and the municipal manager and the municipal manager and senior managers determined at the start of every financial year and approved by the mayor (MFMA, Circular No. 13, 31 January 2005).

The SDBIP comprises two layers. The SDBIP should be seen as a dynamic document that may (at lower layers of the plan) be continually revised by the municipal manager and other top managers, as actual performance after each month or quarter is taken into account. However, the top-layer of the SDBIP and its targets cannot be revised without notifying the council, and if there is to be changes in service delivery targets and performance indicators, this must be with the approval of the council, following approval of an adjustments budget. This council approval is necessary to ensure that the mayor or municipal manager do not revise service delivery targets downwards in the event where there is poor performance (MFMA, Circular No. 13, 31 January 2005).

5.4.8 Local Government: Municipal Performance Regulations

The significance of the Local Government: Municipal Performance Regulations for Municipal Managers and Managers accountable to Municipal Managers, 2006 to

municipal performance management is the quest to create uniformity with respect to how the performance of top municipal officials is measured, monitored and improved. Consequently, “this would ideally entail a report from the internal performance audit committee, the community, actual performance outcomes and the results from programmes and projects evaluated” (Jessa & Uys, 2013:111).

Steytler and de Visser (2013) state that the Local Government: Municipal Planning and Performance Management Regulations, 2001 “clarify strategic and planning objectives, indicator development for inputs, outputs and outcomes in the execution of the IDP and SDBIP”.

5.4.9 George Local Municipality’s Performance Management Policy Framework, 2011

The purpose of this performance management policy framework is to serve as a guideline to assist George Local Municipality in implementing and maintaining a performance management system (PMS). This policy provides a framework for the implementation of the PMS, as well as the procedures and processes of maintaining the PMS. The primary objective of implementing this policy is to assist George Local Municipality in achieving its strategic objectives as articulated in the IDP, and in so doing improve the quality of life of its community by enhanced delivery of services in an effective and efficient manner (George Local Municipality, 2011e)

5.5 MUNICIPAL SERVICE EXCELLENCE

Municipal service delivery entails the actual production and provision of goods and services to the local community. This must be conducted in accordance with integrated development and strategic plans, and within the allocated budgetary funds approved by the council of a municipality. To ensure that this happens, municipal decision-makers should ensure that all systems that support the implementation of the IDP and budget are effectively in place. These systems include human resource management systems, procurement systems, financial management and control systems, and information systems. Actual performance should thus be independently

and objectively evaluated against original plans reported on in order to achieve continuous improvement (Khalo *et al.*, 2013:114-115).

Municipal service excellence through performance management is an attempt to balance institution-centeredness (meaning the focus on the maintenance of bureaucratic systems and processes) with a customer-orientation (outward focus), and it incorporates issues such as productivity (outputs over inputs), quality, accountability and outcomes. This will only be possible if the quality of municipality is properly managed and improved (Khalo *et al.*, 2013:115).

5.6 MEASURING MUNICIPAL PERFORMANCE

According to Stewart and Carpenter-Hubin (2002:56) performance measurement is seen as an administrative control mechanism to assign accountability both externally and internally. Carman and Conrad (2000:91) state that performance measurement should also be considered to be a feedback loop to improve institutional performance, not just a mechanism for assigning 'praise or blame'. It should serve to improve employees' understanding of the municipality's core business and its commitment to achieving developmental goals and mandates.

Khalo *et al.* (2013:116) state that a successful performance management system should cause a municipality to reassess how it operates, in light of its priorities and on the basis of objective information. For local government, performance measures also provide a tool to drive forward a transformation agenda by requesting municipalities to consider their own objectives in light of the national government's stated transformation priorities.

A municipality's performance is difficult to measure. This is particularly true for the outcome of the municipality's activities or the final effect envisaged. In spite of this difficulty, performance measurement can perform a number of functions. These functions should lead to positive outcomes, both for the institution as a whole and the people who manage it (Khalo *et al.*, 2013:117). These outcomes include the following:

- Transparency: Through performance measurement, an institution (such as a municipality) can communicate the services and products it supplies, as well as the costs involved. Transparency may then result in various forms of rationalisation. Critical questions could be asked about the effectiveness, efficiency and economy of processes, and how various activities contribute to the institutions performance (Khalo *et al.*, 2013:117).
- Accountability: Through performance reviews, municipal councils are able to demonstrate that rates and taxes are being directed to priority areas, in line with the council's development planning commitments. Municipal departmental performance targets are included in annual reports, reinforcing accountability to the public. Performance reporting also enables provincial treasuries to hold municipalities accountable for increased spending and inappropriate resource allocations (Khalo *et al.*, 2013:117).
- Learning: A municipality should use performance measurement to learn on a continuous basis: learn from mistakes; learn from best practices; and learn through improved systems, processes and behaviour changes. The transparency created may teach an institution what it does well and where improvements are possible (Khalo *et al.*, 2013:117).
- Incentive for increased output: Performance measurement should reward increased and improved output (that is services and products) (Khalo *et al.*, 2013:117). There seems to be a direct correlation between the introduction of performance management systems and a rise in an institution's output (Khalo *et al.*, 2013:117).

Performance measures should express, usually in quantifiable terms, how well a municipality delivers on its constitutional mandate and obligations. Measures may be applied to municipal services as a whole or to the processes involved in delivering a particular service. Municipal councils should assess the economy, efficiency and effectiveness of the municipality. Performance measures and targets should enable them to do so (Khalo *et al.*, 2013:117).

According to Khalo *et al.* (2013:118) the three basic aspects of a municipal service that may be measured are:

- The inputs (financial, human, material) that are used to produce a service;
- The outputs achieved (for example, the number of municipal council houses built); and
- The outcomes achieved (for example, a decrease in property levels and increased economic growth).

Municipalities must set indicators to capture the functionality of their institutions (Carman & Conrad, 2000:92). Boland and Fowler (2000:419) define performance indicators as instruments or criteria that indicate whether progress is being made in achieving specific goals. They provide a framework for gathering data for measurements and performance reporting. Carman and Conrad (2000:92-93) differentiate among various types of indicators to measure performance, as shown in Table 5.1 below.

Table 5.1: Indicators to measure performance

Type of indicator	Explanation
Input indicators	These are indicator that measure economy and efficiency in purchasing material to deliver services without compromising quality. The economy indicators are usually expressed in unit cost terms, while efficiency indicators may be the amount of time, money or number of workers it took the municipality to, for example, build one house.
Output indicators	These are effectiveness indicators to measure whether municipal processes and activities generate the desired output. They are usually expressed in quantitative terms, such as the number of households connected to the water supply system as a result of a municipal water provisioning programme.
Outcome indicators	Outcome indicators measure the quality and impact or long-term effects or results of the output. Outcome indicators are associated with policy and programme objectives.
Cost, input, process, output and outcome indicators	These sets of different indicators relate to the processes, activities, results and effects of municipal processes.

Type of indicator	Explanation
Composite indicators	Municipal functions can have a variety of outcomes that need to be measured. The danger of this is that councils can end up with a long list of indicators that becomes difficult to manage and communicate. In response to this problem, a set of composite indicators for each sector (for example, transport, water, sanitation, electricity, public participation, housing, and so forth.) could be used. Composite indices combine a set of different indicators into one index by developing a statistical relationship among them.
Baseline indicators	These are indicators that show the <i>status quo</i> or the current situation, and are generally in the planning phase to indicate the gap between the existing and desired performance.

Source: Carman and Conrad (2000)

In setting performance indicators, Khalo *et al.* (2013:119) caution that there is usually an apprehension that by developing indicators, municipal officials will provide top management with ‘weapons to be used against themselves’. This aspect, namely the human and behavioural dimension of performance management, will be explained below.

5.7 MANAGING PEOPLE PERFORMANCE

People such as municipal officials, municipal managers, administrative assistants and councillors are the life blood of municipalities (Khalo *et al.*, 2013:119). It does not matter how effective systems, processes and procedures are, if people do not have the right mind-set, skills and level of commitment (typically influenced by the factors such as rewards, working conditions and leadership), or a pleasant work environment, things will not be done effectively and efficiently (Khalo *et al.*, 2013:117).

It is important to determine whether the aim of measurement is to assess performance outcomes or behaviour. Khalo *et al.* (2013:119-120) believes that performance is behaviour and should be distinguished from the outcomes, because the latter can be corrupted by the system factors, which may be outside the control of the performer. It can be deduced from Campbell’s argument that performance measurement can only focus on an individual’s/group’s final output, if system factors

(that is the municipal context) are controllable. Top management can therefore, only expect officials to perform well if a good work environment exists. Khalo *et al.* (2013:120) strongly agree with this position by stating that traditional approaches to people performance associate variations in performance with personal factors, when, in fact, they could actually be caused in part or entirely by situational or systemic factors.

Khalo *et al.* (2013:120) regards people performance management as an integrated set planning and review procedures, which cascade down through the institution to provide a link between each individual and overall strategy of the institution. It is thus a process that links people and jobs to the strategy and objectives of the institution. Khalo *et al.* (2013:120) state that this linkage requires people to:

- Have greater clarity about what their institution is trying to achieve;
- Understand what is expected of them in their job;
- Be entitled to regular feedback on how well they are doing;
- Have continuous support from their managers; and
- Have an opportunity to assess their overall performance achievements over a given period.

Khalo *et al.* (2013:120) state that municipal employees should fully understand what they must actually do. This requires adequate job descriptions and specifications.

5.7.1 Factors affecting people performance

Performance is affected by a number of factors, all of which should be taken into account when managing, measuring, modifying and rewarding people's performance (Khalo *et al.*, 2013:120). These factors are listed below:

- Personal factors: the individual's experience, competencies, confidence, motivation and commitment;
- Leadership factors; the quality of vision, encouragement, guidance and support provided by the managers and team leaders;
- Team factors: the quality of support provided by co-workers;

- System factors: the system of work and facilities (instruments of labour) provided by the institution; and
- Contextual (situational) factors: internal and external environmental pressures and changes (Khalo *et al.*, 2013:120).

5.7.2 Performance contracting and agreements

Municipal employees are appointed in accordance with Section 57(1) (a-b) of Local Government: Municipal Systems Act 32 of 2000. When employing someone, municipalities must conclude an annual performance agreement with that person. The purpose of such an agreement is to specify objectives and targets established for the employee and to communicate the employer's expectations regarding the official's performance expectations and accountabilities. This agreement must also enable management to monitor and measure the employee's performance against set targeted outputs. Furthermore, the agreement must assist management to assess the suitability of the employees for permanent employment and to appropriately reward them for good performance (Khalo *et al.*, 2013:120).

5.7.3 Performance appraisals

The purpose of performance appraisal is to identify the quality of an individual's job performance. If performance levels are unacceptable, it is important to realise that appraisals should be a non-punitive, 'discipline-without-punishment' approach when mentoring and coaching fail to solve problems such as absenteeism, low levels of performance and poor attitudes (Khalo *et al.*, 2013:121).

Performance appraisal should be the primary method used to establish a service excellence ethos. Appraisals should change a municipality's focus from best-effort practices (employees doing the best they can, however inadequate that may be) to create a results-driven climate (employees achieving specific results) (Khalo *et al.*, 2013:121). One of the significant developments in the technology of performance management has been the identification of specific 'core competencies' by institutions. Competencies define for all members of the institution the behaviours, skills, attributes, performance factors and proficiencies that every member of the

organisation is expected to possess and display. Khalo *et al.* (2013:121) states that the performance appraisal system that is used should play several roles. Firstly, it is the mechanism that helps the institution to emphasise and communicate the number of critically important behaviours and skills against which every single employee will be assessed. In addition, creating a performance appraisal system may assist the institution to define what attributes or factors are at its core. Finally, the appraisal system can guarantee that these core competencies are fully understood and institutionalised (Khalo *et al.*, 2013:121)

5.7.4 Personal development plans (PDPs)

Khalo *et al.* (2013:121) cite that the Guidelines for Personal Development Plans (PDPs) issued by the Department of Provincial Government and Local Government on 24 May 2006 specify that a municipality should be committed to:

- The continuous training and development of its employees in order to achieve its vision, mission and strategic objectives, and empower employees; and
- Managing training and development according to the requirements of the relevant national policies and legislation.

The aim of compiling PDPs is to identify, prioritise and implement training needs. These plans ensure the alignment of individual performance objectives with the municipality's strategic objectives, and that training and development needs can be identified through performance management and appraisal. PDPs are compiled for individual employees, and the data collated from all employees in the municipality forms the basis for all training and education activities in the municipality in a specific financial year (Khalo *et al.*, 2013:121).

5.8 MUNICIPAL PERFORMANCE REPORTING

As a key component of accountable, outcomes-based and good governance, municipalities are expected to report on (give account of) their performances during each financial year. Reports need to be generated regularly to ensure that problems are detected early. In general, reports should be produced annually, quarterly and

monthly. The information reported must cover financial information and also non-financial performance information. The focus should be on actual performance, as compared to planned performance, and actions that will be taken to address problems encountered. A general weakness in public service reporting is a failure to refer back to plans as a framework for assessing performance (Khalo *et al.*, 2013:122).

5.8.1 Performance budgeting

Performance budgeting is the key to linking strategic plans and budgets with service delivery projects. It is concerned with the linking of plans with resources used in service delivery to produce planned outputs for the achievement of long-term outcomes or objectives. Although legislation in South Africa recognises the need to provide information on non-financial performance, it does not specifically require public institutions to adopt performance budgeting. The Local Government: Municipal Finance Management Act 56 of 2003 requires accounting officers to submit measurable objectives for each main division of the budget vote; it does not mandate public institutions to express their budgets in terms of activities and outputs (Khalo *et al.*, 2013:122).

5.8.2 Annual performance reports

Municipal annual performance reports are prepared in accordance with Section 46(1) of the Local Government: Municipal Systems Act 32 of 2000 which stipulates that “a municipality must prepare for each financial year a performance report reflecting –

- (a) The performance of the municipality and of each external service provider during that financial year;
- (b) A comparison of the performances referred to in paragraph (a) with targets set for and performances in the previous financial year; and
- (c) Measures taken to improve performance”.

Annual performance reporting requires municipalities to consider the priorities of councils and their performance objectives, indicators, targets, measurements and

analysis, and presents this information in a simple and accessible format for review (Khalo *et al.*, 2013:122).

Khalo *et al.* (2013:122) suggest that a series of public hearings can be held to report to communities on municipal performance and engage communities in a review of past performance and the identification of future priorities. The ideal would be to have a hearing in each municipal ward. This will require municipalities to establish mechanisms for meaningful participation and input (Khalo *et al.*, 2013:122).

5.9 DEVELOPING A PERFORMANCE MANAGEMENT SYSTEM FOR MUNICIPALITIES

The performance management system (PMS) should be the primary mechanism to plan for performance management, monitor, review and improve the implementation of a municipality's IDP. The PMS should provide the municipality's political leadership and management with diagnostic signals of the potential risks likely with the implementation of the IDP (Khalo *et al.*, 2013:124).

In setting clear and tangible objectives, Khalo *et al.* (2013:125) state that a municipality needs to:

- Carefully consider the results it wants to achieve;
- Review the precise wording and intention of the objectives;
- Avoid overly broad result statements;
- Be clear about the scope and nature of any changes it wants; and
- Ensure that objectives are focused on outcomes and impacts.

Khalo *et al.* (2013:125) adds that performance monitoring is an on-going process that runs parallel to the implementation of the IDP. It should be designed in a manner that it:

- Enables the municipality to detect early indications of under-performance;
- Provides for corrective measures where under-performance has been identified; and

- Facilitates the comparison between current performance and performance during the previous financial year.

5.9.1 Conducting performance reviews

A performance review is a process where a municipality, after measuring its own performance assesses whether it is making any progress in addressing its objectives (Local Government: Municipal Planning and Performance Management Regulations, 2001). Khalo *et al.* (2013:125) cites that there are a number of ways to conduct performance reviews:

- The first is to look at whether the current level of performance is better than that of the previous year, using baseline indicators. This assessment is necessary, since a municipal council can only determine whether its performance is improving by comparing current performance levels with past performance levels.
- The second method is to look at municipality's performance by comparing it with a similar category and size of municipality. This may be done through benchmarking activities.
- The third method is to look at what the people who are served by the municipality perceive the municipal performance across a range of services. This is crucial, since municipalities are only as good as the communities that they serve think they are. This may be done through customer satisfaction surveys or other community feedback mechanisms.

5.9.2 Improving performance

While good and excellent performance must be constantly improved to meet the needs of communities and improve people's quality of life, it is poor performance in particular that needs to be improved as a priority (Carman & Conrad, 2000). This can be done by analysing the causal and contributory reasons for poor performance. According to Carman and Conrad (2000:130) poor performance may arise out of:

- Poor systems and processes;

- Inappropriate municipal institutional structures;
- Lack of skills and capacity;
- An inappropriate institutional culture (that is a culture of non-performance); and
- The absence of an appropriate strategy for achieving service excellence.

Stewart and Carpenter-Hubin (2002:38) state that poor performance is assumed to be the result of a prevalent 'non-performance culture'. Khalo *et al.* (2013:126) cite that improvement within the performance management framework requires municipal management and politicians to identify so-called 'drivers for change' that can function at the level of personal responsibility.

The Performance Management Guide for Municipalities, 2001 provides guidance in terms of practical implementation of performance management systems. This guide proposes the following steps:

- Step 1: Planning for performance;
- Step 2: Monitoring performance;
- Step 3: Measuring performance;
- Step 4: Reviewing performance;
- Step 5: Reporting on performance;
- Step 6: Auditing and quality; and
- Step 7: Improving performance (Department of Provincial and Local Government, 2001b).

5.10 PERFORMANCE MANAGEMENT MODELS, TOOLS AND TECHNIQUES

Khalo *et al.* (2013:126) state that the expansion of the body of knowledge of performance management resulted in the development of a wide variety of performance management models, tools and techniques that institutions and organisations could use to implement the actual process of performance management. The main purpose of such models, tools and techniques is to effectively manage efforts to assess and improve performance. Table 5.2 below

provides a summary of the most significant performance management tools and techniques as it is not feasible to provide a comprehensive overview of all.

Table 5.2: Summary of performance management tools and techniques

Model, tool or technique	Main attributes
3-Es	This tool refers to the measurement of economy, efficiency and effectiveness. These three aspects are important interdependent elements of monitoring and measuring service delivery and performance.
ISO 9000 Forum and Assurance System	The quality assurance system DIN ISO 9000-9004 is an internationally recognised benchmark for quality management. The ISO 9000 Forum has access to a worldwide network of performance expertise to assist institutions with information and support services for the implementation of the ISO 9000 standards. It provides institutions with guidelines on how to develop quality management and quality assurance systems.
Business Excellence Framework and Model	The Business Excellence Model (which is based on the Benefits Agency Quality Framework – BAQF) is a generic model that allows a holistic approach to the management of institutional quality systems. The BAQF strives towards the search for excellence and distribution of benchmarks and best practices. It is based on the premise that self-assessment can improve the overall institution's performance.
South African Excellence Model	The South African Excellence Model is a generic plan that can be applied to both the public and private sectors. The model provides a framework and guidelines for the establishment of a performance and customer-oriented culture.
Citizens' Charters	To promote a civil society that is assertive, vocal and critical of government's ability to provide services, municipalities could use Citizens' Charters to facilitate meaningful debate and participation in setting standards and levels of services. Such charters can be regarded as a performance and social contract entered into with the community.
Quality awards	Various provinces have, for example, Premier Awards for the best performing department or municipality in the province.

Source: Khalo *et al.* (2013:127)

Due to emphasis being placed on the use of the Balanced Scorecard by *inter alia*, SALGA and the wide-spread use of this tool in municipalities across South Africa, special focus is given to it below.

Kaplan and Norton's Balanced Scorecard framework introduced change to performance measurement in the 1990s (1992:71). The scorecard idea was born out of the need for an alternative to managing institutional performance exclusively through financial measures. The concept 'balanced' is at the centre of the Balanced Scorecard technique. It implies that a number of core activities must be carried out effectively at the same time for an institution to achieve its goals. Kaplan and Norton (1992:72) illustrated the principle of balance by a circular diagram divided into four sectors: financial, customer, internal business process, and learning and growth.

In setting performance measures for an individual service, a municipality should use a combination of the different types of measures to ensure a holistic picture of its services. The balanced scorecard technique suggests that any service may be measured according to a number of perspectives, for example, the service user/customer perspective, taxpayer's perspective, internal municipal process perspective, financial perspective and continuous improvement perspective. A 'basket' of indicators may be developed to capture the performance of service from each of these perspectives (Stewart & Carpenter-Hubin, 2002:39).

Kaplan and Norton (1992:73) believe that the Balanced Scorecard's enduring contribution to measuring and managing performance lies in the concise, holistic picture of the institution it provides. From a practical point of view, Kaplan and Norton (1992:75) suggest using the scorecard at the strategic level of an institution initially, and letting the benefits cascade down to its departments, groups and individuals. This involves completing scorecards for these subgroups to determine the extent of their contribution to the institution's performance.

5.11 SUMMARY

This chapter provided an exploration of the various dimensions of performance management in municipalities. This contributed to an understanding that performance is a prerequisite for service excellence and that South Africa has an

established statutory and regulatory framework to govern the application of performance management systems. Lastly, the implementation of performance management systems and the use of performance management tools and techniques were explored.

Performance management cannot be adopted directly from another organisation or copied from a text book. The implementation of a performance management system must be viewed as a learning process, where the George Local Municipality continuously improve the way the system works to fulfil the objectives of the system and address the emerging challenges arising from a constantly changing environment. It is therefore important that the George Local Municipality takes ownership of its performance management system with the help of experts.

The following chapter describes and explains the research methodology employed as well as the theoretical basis for conducting the empirical research.

CHAPTER 6

RESEARCH METHODOLOGY

6.1 INTRODUCTION

In pursuit of economic, effective and efficient public administration, public sector institutions such as municipalities are expected to make important decisions about optimum utilisation of scarce resources to satisfy public needs. This undertaking requires adequate strategy and policy formulation as well as policy analysis processes which are informed by meaningful participation of local communities. Policy analysis is the systematic analysis of the dimensions and variables influencing public policy and it is an indispensable part of policy management. Policy management is a deliberate way of dealing with policy issues and processes from start to finish (Cloete & Wissink, 2000:3-4). In order to ensure that decisions made by public sector institutions are based upon objective, reliable and valid knowledge, it is necessary to utilise the research process. According to Fox *et al.* (1991:296) the research process is concerned with obtaining and evaluating knowledge about reality.

The aim of this chapter is to describe and explain the research methodology employed as well as the theoretical basis for conducting the empirical research. Secondly, the survey questionnaire used for gathering the data needed for analysis and interpretation is explained.

6.2 OVERVIEW OF RESEARCH METHODOLOGY

Ferreira (1996: 285) describes 'method' as the Latin concept *methodus* and the Greek concept *methodos* combined as *meta + hodos* as the way by which the scientific researcher must select a method permitting access to the phenomenon. The method is determined to a large extent by the nature of the phenomenon or by the sphere of investigation. Method implies a systematic procedure in analysing the phenomenon. According to Brynard and Hanekom (2012:36) the research methodology necessitates a reflection on the planning, structuring and execution of the research in order to comply with the demands of truth, objectivity and validity.

The research problem and its sub-problems, and the research question raised in the study, affected the nature and approach to the research. For this particular reason, the qualitative and quantitative research approaches are preferred as they have the potential to capture the imagination in the process of understanding how the IDP process is currently utilised in the George Local Municipality to facilitate public participation. The advantage of using a mixed method research approach is that it enables triangulation to take place by observing something from several angles or viewpoints than to look at it in only one way (Neuman, 2000:124). Babbie (2013:90) explains that exploratory studies are most typically done for three purposes; namely:

- to satisfy the researcher's curiosity and desire for better understanding;
- to test the feasibility of undertaking a more extensive study; and
- to develop the methods to be employed in any subsequent study.

The study focuses on a single case: public participation strategies within the IDP process of the George Local Municipality. This approach enabled the researcher to do an in-depth analysis of the IDP process as a means to facilitate effective and efficient public participation within the George Local Municipality. The study draws on local experiences (that is. ward committee members, ward councillors and key local municipal officials), perceptions and interpretations of the implementation of public participation strategies utilised in the IDP process and any possible factors that may have impeded the actualisation of effective and efficient public participation in the George Local Municipality.

An overview of research methodology is provided below.

6.2.1 Literature search

Kruger *et al.* (2010:38) write that by compiling a review of research findings on a particular topic that has already been published, researchers may become aware of inconsistencies and gaps that may justify further research. Such a review enables researchers to indicate exactly where their proposed research fits in. Kruger, *et al.* (2010:38) add that there are several other reasons why a literature search is important and these are *inter alia*:

- A review of related literature can provide the researcher with important facts and background information about the subject under study;
- Such a review also enables the researcher to avoid duplicating previous research;
- If a study on the same topic has been conducted before, a review provides the researcher with information about aspects of the problem which have not been investigated or explored before;
- A review can also help a researcher develop various parts of the study;
- Insights regarding the weaknesses and problems of previous studies can be gained;
- The researcher can get ideas on how to proceed with the investigation; and
- Findings and conclusions of past studies can be accessed which the researcher can relate to his own findings and conclusions (Kruger *et al.*, 2010:38-39).

As explained in Chapter 1, a literature search of relevant books, academic journals, scientific papers, relevant research, relevant legislation, regulations, consolidated instructions, procedural manuals, by-laws, circular letters, minutes of meetings, council resolutions, *inter alia*, was conducted in an effort to gain an improved understanding of the research problem and the associated sub-problems as stated in Chapter 1 of the study. Hofstee (2010:91) confirms this by stating that a good literature search must show; *inter alia*:

- That there is a theory base for the proposed work;
- How the proposed work fits in with what has already been done (provides a detailed context for the proposed work);
- That the proposed work has significance and,
- That the proposed work will lead to new knowledge.

6.2.2 Empirical survey

The research title specifies that the study was to be undertaken at the George Local Municipality. Written permission was received from the Municipal Manager of the George Local Municipality on 22 September 2014 (see Annexure A).

An empirical survey was conducted among the target population (sample) (selected from senior municipal officials, ward councillors and ward committee members of the George Local Municipality) using a self-administered questionnaire containing the main sections as explained in the following paragraphs of this chapter. The main sections of the self-administered questionnaire were predetermined in collaboration with the resident UKZN registered statistician. Consent was also sought from the respondents in writing, explaining the purpose of the research (see Annexure B). The target (sample) population was randomly selected from the total research population in collaboration with the resident UKZN registered statistician.

6.3 METHODS OF DATA COLLECTION

Brynard and Hanekom (2012:38) state that the most frequently used techniques of data collection in Public Administration and Management are the scrutiny of relevant literature, interviews, questionnaires and observation. As explained above, for the purpose of this research an empirical survey was conducted using a self-administered questionnaire.

6.3.1 Elements of questionnaire and design

Self-administered questionnaires are a major resource in data collection. According to Brynard and Hanekom (2012:46) it is important to provide respondents with standardised instructions on how to complete the questionnaire and to explain what is expected from them (see Annexure B). In recommending the questionnaire as a viable scientific research instrument Brynard and Hanekom (2012:46) cite that “questionnaires allow respondents to think about the answers to the questions or statements in the questionnaire”.

The final questionnaire which was used in this research is a culmination of a careful process of thought and discussion among the researcher, the two research supervisors, the resident UKZN registered statistician as well as selected municipal officials of the George Local Municipality. Kruger *et al.* (2010:174-180) state that when designing a research questionnaire, the following should be taken into account; namely:

- Choose judiciously between closed-ended and open-ended questions;
- Take the respondents' literacy level into consideration;
- Be careful not to offend;
- Be brief and focused;
- Maintain neutrality;
- Use a justified sequence;
- Be sure the question or statement is appreciable to all respondents; and
- Pay attention to layout (Kruger, *et al.*, 2010:174-180).

For the purpose of this study, the above requirements were taken into account when the research questionnaire was designed; namely: confidentiality was assured through the covering letter, the questionnaire was not biased in order to influence a particular response and the questionnaire contained fully structured statements.

English is one of the languages used as a medium of communication and of doing business in the George Local Municipality. It was decided to use English as the only language, to accommodate all respondents and also improve the response rate.

According to Kruger, *et al.* (2010:148) when a questionnaire is developed, it is useful to "test it out" before administering it to the actual sample. This process of 'testing out' is done by means of a pilot study, which entails administering the instrument to a number of prospective respondents from the same population as that for which the eventual project is intended. The pilot study is a 'dress rehearsal' for the actual research investigation. Kruger, *et al.* (2010:148) summarise the purpose of a pilot study as follows:

- To detect possible flaws in the measurement procedures;
- To identify unclear or ambiguously formulated items; and
- An opportunity for researchers and assistants to notice non-verbal behaviour.

A pilot survey relating to the research problem and its objectives was conducted amongst the selected respondents who were representative of the research population to test the appropriateness and the feasibility of the study. This helped to detect the weaknesses of the selected research design and main research methods and provided proxy data for probability sampling. The targeted population for the pilot

survey comprised of senior municipal officials, ward councillors and ward committee members of the George Local Council. The pilot study was conducted to test the credibility and reliability of the questionnaire, where after it was streamlined in collaboration with the resident University of KwaZulu-Natal (UKZN) registered statistician as a viable scientific research instrument.

6.3.2 Variables

Kruger *et al.* (2010:16) state that a variable is an empirical property that takes two or more values and is subject to change. It is characteristic of an attribute of the study object. Independent and dependent variables are the two relevant variables in this study. The empirical survey of ward committee members, ward councillors and key local municipal officials was achieved by the distribution of self-administered questionnaires, which consisted of dependent and independent variables.

6.3.2.1 Independent variable

According to Kruger *et al.* (2010:16) an independent variable is that factor which the researcher selects and manipulates in order to determine its effect on the observed phenomenon (the problem that is being investigated). This variable is considered to be independent because the researcher is interested in how it affects the other variable(s) being studied. In other words, the researcher seeks to find a cause and a resultant effect relationship, if it is present.

6.3.2.2 Dependent variable

Kruger *et al.* (2010:17) define the dependent variable as that factor which the researcher observes and measures to determine how it was affected by the independent variable. It is therefore the factor which appears, disappears, or varies as the researcher introduces, removes, or varies the levels of the independent variable. The dependent variable changes as a result of variations in the independent variable and it is considered to be dependent because its value is assumed to depend upon the values of the levels of the independent variable.

In this survey, independent variables used included age group, home language, gender, highest qualifications and designation. Dependent variables included facilitation of public participation, public participation strategies and level of accountability in the IDP process.

The questionnaire used, was divided into three main sections as follows:

Section A: (independent variables) requesting biographical particulars from the respondents, including age group, home language, gender, highest qualifications and designation.

Section B: (dependent variables) pertaining to administrative and institutional capacity to facilitate public participation through the IDP process, public participation strategies and level of accountability in the IDP process. This was presented in the form of statements to test the attitudes of respondents.

Section C: this related to perceptions with regard to the IDP process as means to facilitate public participation in the George Local Municipality.

A five-point Likert response scale was decided upon and used as the measuring instrument in consultation with the two study supervisors and the resident UKZN registered statistician. In this method, “a respondent’s attitude score is represented by his or her individual ratings” (Zimbardo & Ebbeson, 1969:125). The attitude per statement to be tested is rated on a five-point Likert scale and was adapted for the dependent variable statements in the following manner:

- 1 = Strongly disagree
- 2 = Disagree
- 3 = Neutral
- 4 = Agree
- 5 = Strongly agree

6.4 VARIOUS APPROACHES TO RESEARCH METHODOLOGY

This section explains various approaches to research methodology; namely:

6.4.1 Qualitative approach

Qualitative approach refers to research that produces descriptive data – generally the respondent's own written or spoken words pertaining to their experience or perception (Brynard & Hanekom, 2012:37). Qualitative research explores relationships and perceptions held by affected persons and communities. In this approach, the researcher is concerned with understanding, rather than explaining. Qualitative methodologies allow the researcher to know people personally, to see them as they are, and to experience their daily struggles when confronted with real-life situations. This enables the researcher to interpret and describe the actions of people. Qualitative methodology, therefore, has a point of departure: in the human sciences the human being is the object of the study. As such, the exact same methods used for natural sciences research cannot be used in human sciences research (Brynard & Hanekom, 2012:37). In qualitative research, methods such as case studies, in-depth interviewing of key respondents, participant-observation, questionnaires and perusal of documents) are used. Qualitative, historical and descriptive researches go hand-in-hand. The individual researcher should determine which of the two approaches would be the better choice for the envisaged research project, or whether a combination of the two methodologies would not provide better insight into the research problem (Brynard & Hanekom, 2012:37-38).

6.4.2 Quantitative approach

The aim of a quantitative research method is to test pre-determined hypotheses and produce generalisable results. Brynard & Hanekom (2012:37) states that quantitative methodology is associated with analytical research, and its purpose is to arrive at a scientifically proven statement. In quantitative methodology, the researcher assigns numbers to observations. By counting and measuring things or objects, data is produced. Quantitative research is underpinned by a distinctive theory as to what should pass as warrantable knowledge (Brynard & Hanekom, 2012:37). It requires

methods such as experiments and surveys to describe and explain phenomena. The methods could include techniques such as observation, preliminary investigations, quantitative analysis and questionnaires (Brynard & Hanekom, 2012:37).

6.4.3 Triangulative approach

Triangulation is about the use of multiple research methods which complements each other in providing richer, more valid and reliable findings in research. Vos (2004:341) confirms this view by stating that a multiple-method approach fulfils an important function of cross-checking the reliability of data collected and supporting the validity of the findings. Patton (2002:135) adds that a multiple-method approach is more trustworthy than single sources of information. Leedy (1989:156) states that triangulation has a significant role in research methodology to prove the research as an important, viable and widely accepted source of empirically proven knowledge. It helps researchers to choose relevant data collection methods, minimises uncertainty reducing bias on the research findings.

6.5 APPROACH FOLLOWED FOR THIS RESEARCH

Different types of research are often associated with a specific field or academic discipline (for example Public Administration, business management, education and sociology) or with the technique or activity involved in the research process (Brynard & Hanekom, 2012:8). The following two principal research methodologies were used in this research project to meet the objectives of the research:

- **Historical research method** is appropriately applied to data that is in literary form or documentary by nature and is undertaken when the researcher attempts to provide a rational explanation for, or the causes of, a particular event. The researcher also provides a logical interpretation of the effect of such an event on the individuals and the society involved (Brynard & Hanekom, 2012:8).

Primary and secondary sources were consulted; as a result, the role of philosophy in the social sciences, the philosophical basis for Public Administration and the

theoretical overview of South African local government were investigated. The use of the historical method assisted to provide a theoretical base for this research project (see Chapter two).

- **Descriptive research method** according to Leedy (1989:160) is appropriate for data that are derived from observational situations and which may lie buried deep within the minds, attitudes, feelings/opinions, or reactions of people.

For the purpose of this study, the self-administered questionnaire was developed to obtain more appropriate data about public participation in the IDP process of the George Local Municipality.

Ferreira (1996:288) furnishes the following as a basic rule that governs the descriptive survey method:

...Nothing comes out at the end of a long and involved study which is any better than the care, the precision, the consideration and the thought that went into the basic planning of the research design and the careful selection of the population. The results of a survey are no more trustworthy than the quality of the population or the representativeness of the sample. Population parameters and sampling procedures are of paramount importance and become critical as factors in the success of the study...

Based on this basic rule, Ferreira (1996:289) identifies four salient characteristics of the descriptive research method that require attention in the research design stage. These characteristics are described below:

- **Collecting the data (1)** - the technique of observation is the principal means of collecting the data in this type of survey situation.
- **The population and the sample** - the population for the research survey must be carefully chosen and clearly defined. In addition measurable or quantifiable limits must be determined in order to set distinct limits on the population.

- **The introduction of bias** - there is a susceptibility to distortion of the data through the introduction of bias into the research design, thus particular attention should be given to the methodology to safeguard against such bias. Brynard and Hanekom (2012:45) cite that the following points serve as a guideline to eliminate bias. These include *inter alia*:
 - (a) The interviewer should avoid leading questions, that is questions in which a desired answer is implied;
 - (b) The interviewer should have a properly selected sample of interviewees;
 - (c) The interviewer should pose specific, detailed questions and check and recheck conflicting data (Brynard & Hanekom, 2012:45).
- Organisation and presentation of data - the collected data must be organised and presented systematically depending on the research objective(s) so that valid and accurate conclusions may be drawn from them.
- **Collecting the data (2)** - the questionnaire is the usual measuring instrument used in order to ensure the collection of reliable structured data needed for analysis and interpretation in a research study. It records and preserves the facts that are part of the observation.

6.6 SUMMARY

The overall objective of this chapter was to lay a foundation for the interpretation, articulation and presentation of the results of statistical analysis. This was achieved through the following:

Firstly, by providing a theoretical exposition of research methodology. This chapter described and explained the research methodology employed as well as the theoretical basis for conducting the empirical research. Secondly, the survey questionnaire used for gathering the data needed for analysis and interpretation was explained. It is important to note that a pilot survey relating to the research problem and its objectives was conducted amongst the selected respondents who were representative of the research population to test the appropriateness and the feasibility of the study. This helped to detect the weaknesses of the selected

research design and main research methods and provided proxy data for probability sampling.

The following chapter focuses on the interpretation and articulation of the results of statistical analysis.

CHAPTER 7

STATISTICAL ANALYSIS OF THE RESULTS OF THE EMPIRICAL SURVEY

7.1 INTRODUCTION

This chapter presents the statistical analysis as well the interpretation of the research findings. The researcher utilised a mixed research method consisting of quantitative and qualitative approaches. The statistical analysis was conducted in collaboration with the resident UKZN registered statistician, who performed the analysis and provided interpretable data.

This chapter begins with an overview of statistics, followed by the presentation and interpretation of the research findings.

7.2 AN OVERVIEW OF STATISTICS

According to Willemse (1990:1) statistics refers to numerical information. The word 'statistics' also refer to the science of collecting and processing of data to produce information. Willemse (1990:1) states that statistics are concerned with the development and application of methods for:

- Collection;
- Classification;
- Analysis;
- Presentation of comparable numerical data; and
- Drawing valid conclusions and making reasonable decisions when necessary.

The following concepts are essential in the interpretation of research findings.

7.2.1 Inferential statistics

According to Kruger *et al.* (2010:236-237) inferential statistics is the type of statistics which deals with making conclusions. They relate to the procedure of drawing predictions and conclusions about the given data which is subjected to the random

variations. This type of statistics is being utilised in order to make estimates and test the hypothesis using given data. There are two major divisions of inferential statistics:

- Confidence interval:

The confidence interval is represented in the form of an interval that provides a range for the parameter of given population.

- Hypothesis test:

Hypothesis tests are also known as tests of significance which tests some claim for the population by analysing sample (Kruger, *et al.*, 2010:237).

7.2.2 Descriptive statistics

Kruger *et al.* (2010:231) state that descriptive statistics are concerned with the description and/or summary of the data obtained for a group of individual units of analysis. Descriptive statistics help to describe the data in a meaningful way. The descriptive statistics provide summaries of the given sample as well as the observations done.

7.2.2.1 Distribution values

It is critical to compare the distribution of values for variables.

Before utilising a variety of statistical tests, it is necessary to determine the distribution of values for variables containing quantifiable data.

The kinds of measure that are used with descriptive statistics are:

7.2.2.2 Measurement of central of tendency

The measure of central tendency describes the data which lies in the centre of a given frequency distribution. The main measures of central tendency are the median, mean and mode.

- The median

Willemse (1990:42) states that the median refers to the value that occupies the middle position of a group or numbers in a numerical order. According to Tsatsire (2008b:237) the median is the middle value when the data is arranged in order, and is established in two steps:

- (a) Place the observation in ascending order (lowest to highest); and
- (b) When the number of observations is odd, the median is the middle value; when the number of observations is even, there is a pair of middle values. The mean of two middle values will be the median.

- The mean

Kruger *et al.* (2010:233) state the mean is the arithmetical average of a set of scores. The mean is computed by adding a list of scores and then dividing the total by the numbers of scores. According to Willemse (1990:42) the mean is the commonly used measure of central tendency. It is also known as the average.

The standard deviation refers to a measure of the spread of scores about the mean. The larger the spread, the further the scores are spread from the mean. A normal distribution is a distribution which is perfectly symmetrical about its mean (Kruger *et al.*, 2010:237).

- The mode

According to Tsatsire (2008b:238) the mode is the value of the variable that materialises most often. To establish the mode, an examination of the number of items or the percentage of items in each category as well as the selection of the category with the largest number or percentage must be undertaken (Tsatsire, 2008b:238).

7.3 INTERPRETATION, ARTICULATION AND PRESENTATION OF THE RESULTS OF THE STATISTICAL ANALYSIS

The objective of the empirical survey was to test attitudinal response to aspects such as the facilitation of public participation, public participation strategies as well as the level of accountability in the IDP process in the George Local Municipality. The intrinsic subjectivity in attitude surveys was taken into consideration during the analysis of the results. Ferreira (1996:304-305) notes the possibility of measuring subjective attitudes using quantitative techniques, so that each individual's opinion can be represented by some numerical score. Assumption was also based on the fact that the measuring technique employed, namely a five-point Likert scale, would presuppose that a particular test item has the same meaning for respondents, and thus a given response will be scored identically for everyone making it.

7.3.1 Questionnaire distribution

The target population of twenty-five (25) ward committee members, twenty-five (25) ward councillors and ten (10) senior municipal officials was determined. This group was selected because they are key role-players in municipal governance more especially when it comes to the facilitation and co-ordination of the municipal IDP and public participation processes. A response rate of 90% was achieved. The research findings are therefore based on fifty-four (54) completed questionnaires of the target research population of sixty (60).

The criteria used to distribute the questionnaires were based on the findings of the pilot studies undertaken in May 2015 in the George Local Municipality, namely:

- 25 questionnaires to 25 ward committee members (one for each of the 25 wards). The number of possible respondents was discussed with all ward committee members and it was decided that the longest serving individuals (ward committee members who served in previous terms) should be targeted;
- 25 questionnaires to 25 ward councillors (one for each of the 25 ward councillors); and
- 10 questionnaires to senior municipal officials (randomly selected and representative of the municipal organisational structure).

The assistance of one fieldworker was used to ensure efficiency and effective co-ordination of the questionnaire distribution to selected members of the sample population, namely: ward committees, ward councillors and senior municipal officials. The fieldworker was requested to help the respondents to complete the questionnaires. The fieldworker was trained by the researcher before the questionnaires were distributed to the respondents to ensure absolute neutrality and professionalism in assisting the respondents.

7.3.2 Interpretation, articulation and presentation of the results of the statistical analysis

Kruger *et al.* (2010:241) state that after research has been conducted according to its planned design, the obtained results must be interpreted. The interpretation of the research findings is divided into three sections, namely Section A, B and C, as reflected in Chapter 6.

The following tests were used during the analysis of research data:

- Descriptive statistics including means and standard deviations, where applicable. Frequencies are represented in tables or graphs.
- Chi-square goodness-of-fit-test: A univariate test, used on a categorical variable to test whether any of the response options are selected significantly more/less often than the others. Under the null hypothesis, it is assumed that all responses are equally selected.
- Wilcoxon Signed Ranks test: A non-parametric test used to test, in this study, whether the average value is significantly different from a value of 3 (the central score). This is applied to Likert-scale questions. It is also used in the comparison of the distributions of two variables.
- Chi-square test of independence: Used on cross-tabulations to see whether a significant relationship exists between the two variables represented in the cross-tabulation. When conditions are not met, Fisher's exact test is used.
- Regression analysis: Linear regression estimates the coefficients of the linear equation, involving one or more independent variables that best predict the value of the dependent variable.

- Kruskal Wallis Test: Non-parametric equivalent to ANOVA. A test for several independent samples that compares two or more groups of cases in one variable.
- Mann Whitney U Test: Non-parametric equivalent to the independent samples

7.3.2.1 Section A: Demographics

The frequency table indicates ages of the respondents.

Table 7.1: Age

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid 30-39	5	9.3	9.3	9.3
Valid 40-49	23	42.6	42.6	51.9
Valid 50+	26	48.1	48.1	100.0
Total	54	100.0	100.0	

About 48.1% of the respondents were 50 years and above; while 42.6% were between the ages of 40 to 49 and 9.3% were between the ages of 30-39. This can be interpreted to mean that responses provided are balanced as they are not dominated by a certain age group.

The frequency table below indicates respondents according to language.

Table 7.2: Language

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	IsiXhosa	17	31.5	31.5
	English	6	11.1	42.6
	Afrikaans	31	57.4	100.0
	Total	54	100.0	100.0

The majority of the respondents were Afrikaans (57.4%), followed by isiXhosa (31.5%) and English (11.1%).

Respondents according to gender are reflected by the table below.

Table 7.3: Gender

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Male	36	66.7	66.7
	Female	18	33.3	100.0
	Total	54	100.0	100.0

About 66.7% of the respondents were males and 33.3% females. The above statistics can be interpreted as indicating the state of affairs with regard to gender representation within the developmental structures of the George Local Municipality.

The frequency table below illustrates respondents according to their education levels.

Table 7.4: Education

	Frequency	Percent	Valid Percent	Cumulative Percent
Up to Grade 9	2	3.7	3.7	3.7
Grades 10 - 11	9	16.7	16.7	20.4
Grade 12	18	33.3	33.3	53.7
Valid Diploma	12	22.2	22.2	75.9
Degree	10	18.5	18.5	94.4
Postgraduate degree	3	5.6	5.6	100.0
Total	54	100.0	100.0	

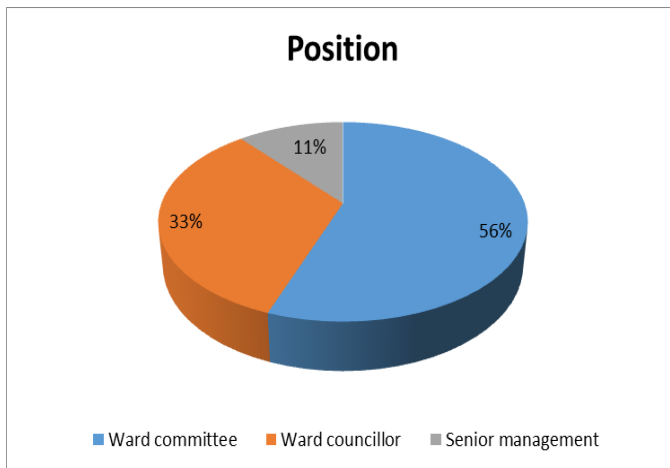
Only 20.4% of the respondents had less than Grade 12 on educational level, while the rest had either a diploma, degree or postgraduate degree qualification. This is an indication of their general understanding of the Developmental Local Government systems and processes, thereby positioning them better to respond to the questionnaire from an informed point of view.

The frequency table (Table 7.5) and pie chart (Figure 7.1) below indicate respondents according to their positions.

Table 7.5: Position

	Frequency	Percent	Valid Percent	Cumulative Percent
Ward committee	30	55.6	55.6	55.6
Ward councillor	18	33.3	33.3	88.9
Valid Senior management	6	11.1	11.1	100.0
Total	54	100.0	100.0	

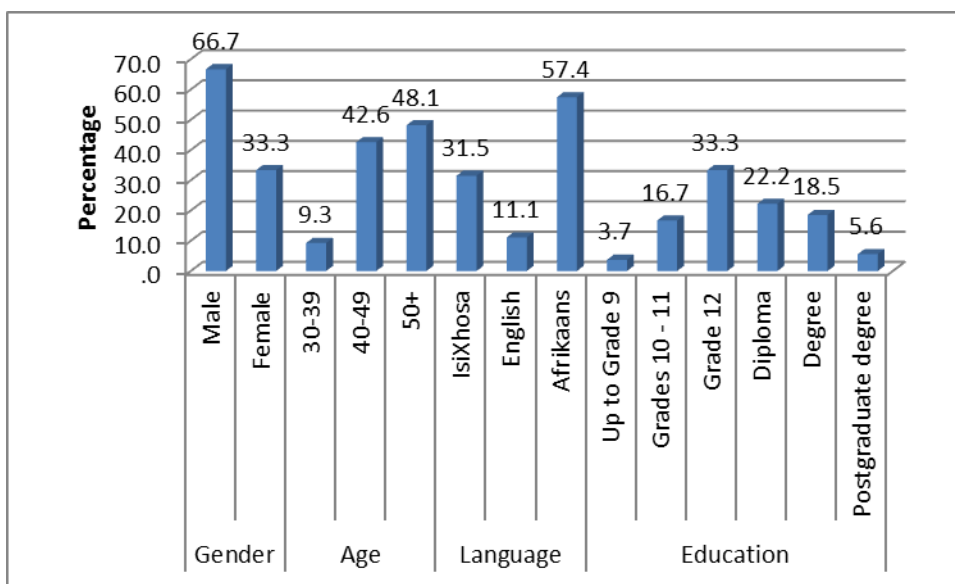
Figure 7.1: Position



About 55.6% of the respondents were ward committees, 33.3% were ward councillors and 11.1% were senior management.

The graph below provides a comprehensive picture of the profile of respondents.

Figure 7.2: Respondent profile



The findings regarding the statistical analysis of each statement of the questionnaire (Statements 1.1 to 3.4), as reflected in Section B, are explained in the following paragraphs.

7.3.2.2 Section B: Facilitation of public participation

Q1.1 The local community participates in the municipal strategic planning by analysing issues, determining Integrated Development Plan (IDP) priorities, negotiating and reaching consensus with the George Local Municipality

Table 7.6 (q 1.1)

	Frequency	Percent	Valid Percent	Cumulative Percent
Strongly disagree	1	1.9	1.9	1.9
Disagree	18	33.3	33.3	35.2
Neutral	14	25.9	25.9	61.1
Agree	19	35.2	35.2	96.3
Strongly agree	2	3.7	3.7	100.0
Total	54	100.0	100.0	

Only 38.9% of the respondents agreed with the statement, 25.9% were neutral, whilst 35.2% responded negatively. Although the majority of the respondents were in agreement with the statement, there is a room for improvement on the part of the George Local Municipality.

Q1.2 The local community discusses and comments on the draft IDP

Table 7.7 (q1.2)

	Frequency	Percent	Valid Percent	Cumulative Percent
Disagree	8	14.8	14.8	14.8
Neutral	1	1.9	1.9	16.7
Valid Agree	43	79.6	79.6	96.3
Strongly agree	2	3.7	3.7	100.0
Total	54	100.0	100.0	

An overwhelming majority (83.3%) of the respondents supported the statement that the local community discusses and comments on the draft IDP, 1.9% were neutral and 14.8% responded negatively. This result indicates a good practice by the George Local Municipality in providing an opportunity for the local community to discuss and comment on the draft IDP.

Q1.3 The local community ensures that the annual business plans and budgets are based on and linked to the IDP

Table 7.8 (q1.3)

	Frequency	Percent	Valid Percent	Cumulative Percent
Disagree	21	38.9	38.9	38.9
Neutral	10	18.5	18.5	57.4
Valid Agree	22	40.7	40.7	98.1
Strongly agree	1	1.9	1.9	100.0
Total	54	100.0	100.0	

About 42.6% of the respondents agreed with the statement, 18.5% were neutral and 38.9% disagreed with the statement. This result symbolises a need for the George Local Municipality to improve on ensuring the active participation of the local community in implementation of the IDP through the alignment of annual business plans and budgets.

Q1.4 The local community monitors and evaluates the George Local Municipality with respect to the implementation of the IDP

Table 7.9 (q1.4)

	Frequency	Percent	Valid Percent	Cumulative Percent
Strongly disagree	1	1.9	1.9	1.9
Disagree	13	24.1	24.1	25.9
Valid Agree	37	68.5	68.5	94.4
Strongly agree	3	5.6	5.6	100.0
Total	54	100.0	100.0	

The majority (74.1%) of the respondents agreed with the statement, whilst 26% disagreed with the statement. This result is an indication that the local community does monitor and evaluate the implementation of the George Local Municipality's IDP.

Q1.5 Understanding, knowledge and skills of the local community are developed to support partnership in the IDP process

Table 7.10 (q1.5)

	Frequency	Percent	Valid Percent	Cumulative Percent
Strongly disagree	9	16.7	16.7	16.7
Disagree	1	1.9	1.9	18.5
Neutral	3	5.6	5.6	24.1
Valid Agree	36	66.7	66.7	90.7
Strongly agree	5	9.3	9.3	100.0
Total	54	100.0	100.0	

The majority (76%) of the respondents supported the statement, 5.6% were neutral and 18.6% disagreed with the statement. This result is a clear indication that the George Local Municipality does invest in empowering the local community to ensure improved participation in the IDP process.

Q1.6 Most IDP projects are community-driven

Table 7.11 (q1.6)

	Frequency	Percent	Valid Percent	Cumulative Percent
Strongly disagree	8	14.8	14.8	14.8
Disagree	5	9.3	9.3	24.1
Neutral	17	31.5	31.5	55.6
Valid Agree	23	42.6	42.6	98.1
Strongly agree	1	1.9	1.9	100.0
Total	54	100.0	100.0	

About 44.5% of the respondents agreed that most IDP projects are community-driven, 31.5% were neutral, whilst 24.1% disagreed with the statement. This result is an indication that the George Local Municipality will have to focus more on initiating community-driven IDP projects.

Q1.7 Through the IDP process, the local community is given an opportunity to provide feedback on the performance of the municipality

Table 7.12 (q1.7)

	Frequency	Percent	Valid Percent	Cumulative Percent
Disagree	8	14.8	14.8	14.8
Agree	34	63.0	63.0	77.8
Valid Strongly agree	12	22.2	22.2	100.0
Total	54	100.0	100.0	

An overwhelming 85.2% of the respondents agreed with the statement whilst only 14.8% responded negatively. This result is a confirmation that the local community within the George Local Municipality participates actively in providing feedback on the performance of the municipality.

Q1.8 During the annual IDP review meetings, report backs are provided about failures and successes on addressing local community priorities

Table 7.13 (q1.8)

	Frequency	Percent	Valid Percent	Cumulative Percent
Disagree	9	16.7	16.7	16.7
Agree	35	64.8	64.8	81.5
Valid Strongly agree	10	18.5	18.5	100.0
Total	54	100.0	100.0	

The majority (83.3%) of the respondents agreed with the statement, whilst 16.7% disagreed with the statement. This result is an indication that the annual IDP review meetings are an effective mechanism to provide feedback on service delivery priorities to the local community.

Q1.9 The local community priorities drive the municipal budget

Table 7.14 (q1.9)

	Frequency	Percent	Valid Percent	Cumulative Percent
Disagree	9	16.7	16.7	16.7
Neutral	16	29.6	29.6	46.3
Valid Agree	27	50.0	50.0	96.3
Strongly agree	2	3.7	3.7	100.0
Total	54	100.0	100.0	

About 53.7% of the respondents agreed that the local community priorities drive the municipal budget, 29.6% were neutral, whilst 16.7% disagreed. Although this result shows that the majority of respondents agreed with the statement, there does appear

to be a need for a more people-centered budgeting underpinned by a strong focus on the participation of the local community. Through public participation mechanisms, the local community should be able to influence the municipal budget.

Q1.10 The continuous implementation of the IDP process improves the understanding of local community with respect to the core business of the George Local Municipality

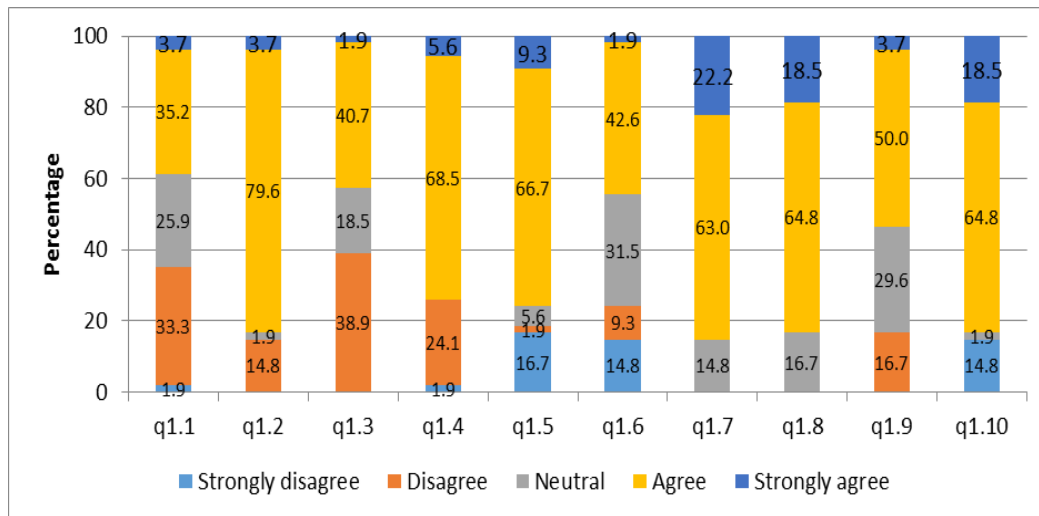
Table 7.15 (q1.10)

	Frequency	Percent	Valid Percent	Cumulative Percent
Strongly disagree	8	14.8	14.8	14.8
Neutral	1	1.9	1.9	16.7
Valid Agree	35	64.8	64.8	81.5
Strongly agree	10	18.5	18.5	100.0
Total	54	100.0	100.0	

About 83.3% of the respondents agreed with the statement, 1.9% were neutral, whilst 14.8% disagreed with the statement. This result is a clear indication that the improved understanding of the local community with respect to the core business of the George Local Municipality will contribute to lesser confrontation and structured engagements during the IDP process.

Figure 7.3 below provides a diagrammatical representation of the outcomes of the statistical analysis with respect to the facilitation of public participation in the George Local Municipality. This provides a comprehensive picture of the responses regarding statements q1.1 to q 1.10.

Figure 7.3: Outcomes of statistical analysis on the facilitation of public participation



There is significant agreement that: the local community discusses and comments on the draft IDP ($t(53) = 6.958, p < .0005$); the local community monitors and evaluates the George Local Municipality with respect to the implementation of the IDP ($t(53) = 3.866, p < .0005$); understanding, knowledge and skills of the local community are developed to support partnership in the IDP process ($t(53) = 3.000, p = .004$); through the IDP process, the local community is given an opportunity to provide feedback on the performance of the municipality ($t(53) = 7.493, p < .0005$); during the annual IDP review meetings, report backs are provided about failures and successes on addressing local community priorities ($t(53) = 6.808, p < .0005$); the local community priorities drive the municipal budget ($t(53) = 3.682, p = .001$) and the continuous implementation of the IDP process improves the understanding of local community with respect to the core business of the George Local Municipality ($t(53) = 4.352, p < .0005$).

- Public participation strategies

Q2.1 Public meetings have been used as a platform to engage constructively on IDP and service-delivery issues

Table 7.16 (q2.1)

	Frequency	Percent	Valid Percent	Cumulative Percent
Disagree	9	16.7	16.7	16.7
Agree	41	75.9	75.9	92.6
Valid Strongly agree	4	7.4	7.4	100.0
Total	54	100.0	100.0	

The majority (83.3%) of the respondents agreed to the statement, whilst 16.7% responded negatively. This result means that in the George Local Municipality public meetings continue to be an effective platform used to engage on IDP and service-delivery issues.

Q2.2 Constructive engagement has resulted in fewer service delivery protests

Table 7.17 (q2.2)

	Frequency	Percent	Valid Percent	Cumulative Percent
Disagree	8	14.8	14.8	14.8
Neutral	1	1.9	1.9	16.7
Valid Agree	42	77.8	77.8	94.4
Strongly agree	3	5.6	5.6	100.0
Total	54	100.0	100.0	

An overwhelming 83.4% of the respondents agreed with the statement, 1.9% was neutral and only 14.8% disagreed with the statement. This result is an indication that the local community is slowly adapting to the culture of working together as partners

with the George Local Municipality. This form of partnership contributes in reducing confrontational approaches such as service-delivery protests.

Q2.3 Ward Committees Summits have been effective for ward committees to engage with the George Local Municipality on matters pertaining to the IDP and service delivery

Table 7.18 (q2.3)

	Frequency	Percent	Valid Percent	Cumulative Percent
Disagree	10	18.5	18.5	18.5
Neutral	2	3.7	3.7	22.2
Valid Agree	39	72.2	72.2	94.4
Strongly agree	3	5.6	5.6	100.0
Total	54	100.0	100.0	

About 77.8% of the respondents agreed with the statement, 3.7% were neutral, whilst 18.5% disagreed with the statement. This is an interesting result in terms of positioning the ward committees to lead developmental initiatives as well as service delivery issues within the George Local Municipality.

Q2.4 Ward Councillors' quarterly feedback meetings have been effective in communicating Council resolutions on IDP- related issues

Table 7.19 (q2.4)

	Frequency	Percent	Valid Percent	Cumulative Percent
Neutral	5	9.3	9.3	9.3
Valid Agree	48	88.9	88.9	98.1
Strongly agree	1	1.9	1.9	100.0
Total	54	100.0	100.0	

About 90.8% of the respondents agreed that ward councillors' quarterly feedback meetings have been effective in communicating Council resolutions on IDP-related issues, 9.3% were neutral and no respondents were in disagreement with the statement. This result is an indication that ward councillors are actively facilitating public participation within their wards in the George Local Municipality.

Q2.5 The IDP and Budget Road shows, convened bi- annually have been effective for engagement with local communities on matters pertaining to the IDP and service delivery

Table 7.20 (q2.5)

	Frequency	Percent	Valid Percent	Cumulative Percent
Disagree	9	16.7	16.7	16.7
Neutral	1	1.9	1.9	18.5
Valid Agree	40	74.1	74.1	92.6
Strongly agree	4	7.4	7.4	100.0
Total	54	100.0	100.0	

81.5% of the respondents agreed with the statement, 1.9% were neutral, whilst 16.7% disagreed with the statement. This statement is directly linked to q.2.1 which also deals with public engagement on matters of the IDP and service-delivery. This also symbolises willingness on the part of the George Local Municipality to facilitate a dialogue with its local community on key service-delivery issues.

Q2.6 The use of ward-based plans by ward committees to monitor the implementation of the IDP in their respective wards has been effective

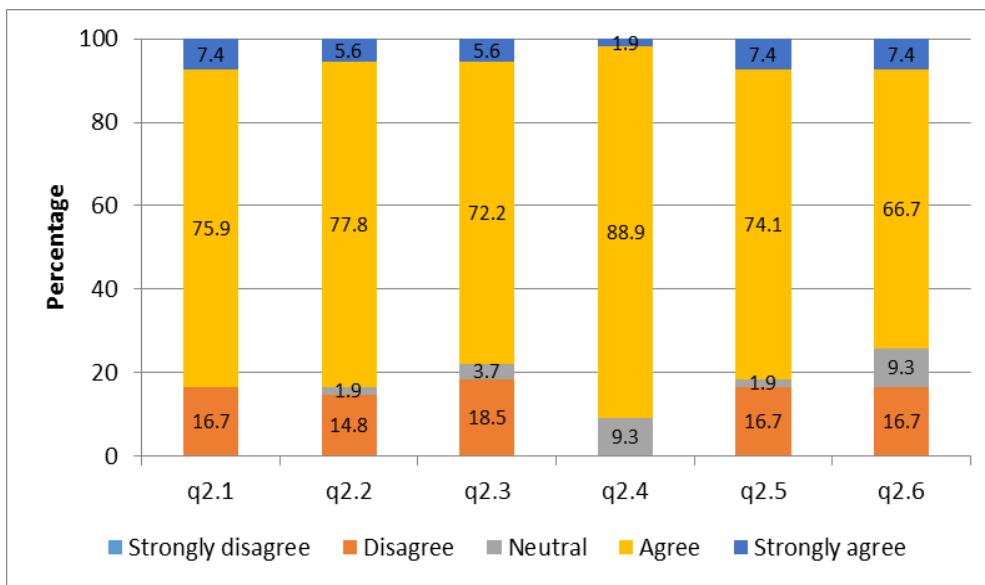
Table 7.21 (q2.6)

	Frequency	Percent	Valid Percent	Cumulative Percent
Disagree	9	16.7	16.7	16.7
Neutral	5	9.3	9.3	25.9
Valid Agree	36	66.7	66.7	92.6
Strongly agree	4	7.4	7.4	100.0
Total	54	100.0	100.0	

74.1% of the respondents agreed with the statement, 9.3% were neutral, whilst 16.7% disagreed with the statement. This result is an indication that the George Local Municipality is committed to putting ward committees at the 'heart of their development' by providing them with a tool (ward-based plans) to monitor the implementation of the IDP in their respective wards.

Figure 7.4 below provides a diagrammatical representation of the outcomes of the statistical analysis with respect to public participation strategies in the George Local Municipality. This provides a comprehensive picture of the responses regarding statements q2.1 to q 2.6.

Figure 7.4: Outcomes of statistical analysis on public participation strategies



There is significant agreement that: public meetings have been used as a platform to engage constructively on IDP and service-delivery issues ($t(53) = 6.571, p < .0005$); constructive engagement has resulted in fewer service-delivery protests ($t(53) = 6.965, p < .0005$); Ward Committees Summits have been effective for ward committees to engage with the George Local Municipality on matters pertaining to the IDP and service-delivery ($t(53) = 5.602, p < .0005$); Ward Councillors' quarterly feedback meetings have been effective in communicating Council resolutions on IDP-related issues ($t(53) = 20.741, p < .0005$); the IDP and Budget Road shows, convened bi-annually, have been effective for engagement with local communities on matters pertaining to the IDP and service-delivery ($t(53) = 6.366, p < .0005$) and the use of ward-based plans by ward committees to monitor the implementation of the IDP in their respective wards has been effective.

- Level of accountability in the IDP process

Q3.1 The George Local Municipality reports on decisions

Table 7.22 (q3.1)

	Frequency	Percent	Valid Percent	Cumulative Percent
Neutral	1	1.9	1.9	1.9
Agree	49	90.7	90.7	92.6
Valid Strongly agree	4	7.4	7.4	100.0
Total	54	100.0	100.0	

More than two-thirds majority (98.1%) of the respondents agreed with the statement, 1.9% were neutral and no respondents were in disagreement with the statement. This result symbolises a good practice on the part of the George Local Municipality where decisions throughout the year are communicated to the local community.

Q3.2 The George Local Municipality makes public to the local community all relevant reports on the evaluation and monitoring of performance against set IDP targets

Table 7.23 (q3.2)

	Frequency	Percent	Valid Percent	Cumulative Percent
Neutral	1	1.9	1.9	1.9
Agree	47	87.0	87.0	88.9
Valid Strongly agree	6	11.1	11.1	100.0
Total	54	100.0	100.0	

An overwhelming 98.1% of the respondents agreed that the George Local Municipality does make public to the local community all relevant reports on the evaluation and monitoring of performance against set IDP targets, 1.9% were neutral and no respondents were in disagreement with the statement. This result is an

indication that the George Local Municipality is committed to the principle of transparency by making public all relevant reports on the evaluation and monitoring of performance against set IDP targets.

Q3.3 Ward representatives take part in the performance evaluation of senior management

Table 7.24 (q3.3)

	Frequency	Percent	Valid Percent	Cumulative Percent
Strongly disagree	1	1.9	1.9	1.9
Disagree	2	3.7	3.7	5.6
Valid Agree	50	92.6	92.6	98.1
Strongly agree	1	1.9	1.9	100.0
Total	54	100.0	100.0	

The majority (94.5%) of the respondents agreed that ward representatives take part in the performance evaluation of senior management whilst 5.6% disagreed with the statement. This result is an indication that the George Local Municipality is committed to the principle of inclusivity by ensuring that ward representatives take part in the performance evaluation of senior management.

Q3.4 The local community is represented on the Audit Committee

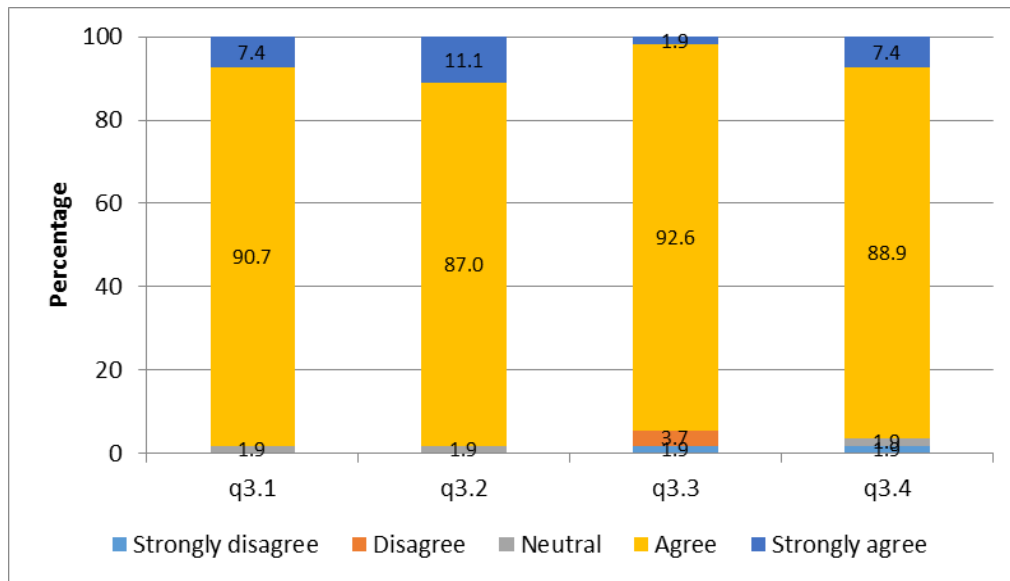
Table 7.25 (q3.4)

	Frequency	Percent	Valid Percent	Cumulative Percent
Strongly disagree	1	1.9	1.9	1.9
Neutral	1	1.9	1.9	3.7
Valid Agree	48	88.9	88.9	92.6
Strongly agree	4	7.4	7.4	100.0
Total	54	100.0	100.0	

The majority (96.3%) of the respondents agreed that the local community is represented on the Audit Committee, 1.9% were neutral, whilst 1.9% disagreed with the statement. This result is again an indication that the George Local Municipality is committed to the principle of inclusivity by ensuring that the local community is represented on the Audit Committee.

Figure 7.5 below provides a diagrammatical representation of the outcomes of the statistical analysis with respect to level of accountability in the IDP process in the George Local Municipality. This provides a comprehensive picture of the responses regarding statements q3.1 to q 3.4.

Figure 7.5: Outcomes of statistical analysis on levels of accountability in the IDP process



There are significant differences in the way respondents from different positions responded to questions q3.3 and 3.4 (taken as a grouping) ($\chi^2 (2, N=54) = 7.999, p = 0.018$). Specifically, ward committee members show more agreement that the George Local Municipality makes public to the local community all relevant reports on the evaluation and monitoring of performance against set IDP targets, Ward representatives take part in the performance evaluation of senior management and the local community is more represented on the Audit Committee than senior management ($p = .020$).

7.3.2.3 Section C: Open-ended question

Section C was an open-ended statement which sought to elicit respondents' perceptions on how the integrated development planning could be used as a means to facilitate public participation in the George Local Municipality.

The respondents that participated in the research identified issues that they perceived as important areas to be considered in the IDP process of the George Local Municipality. These are summarised below:

- (a) The IDP participation process with the George Local Municipality must enable local leadership to lead and own municipal-wide and wards level development.

- (b) The implementation of the IDP must be driven by the management team and systems within the George Local Municipality and not relegated to the IDP Process Management Office.
- (c) The role of each service delivery unit with the George Local municipality in the delivery on the IDP must be clear and implementation regularly monitored during the year.
- (d) The local community should have easy access to the public participation process and information that impact on their development and be able to actively participate in municipal-wide or ward-based opportunities.
- (e) Public participation should not be seen as a legal compliance action but as essential to enable the local community to take responsibility for the future development of the George Local Municipality.
- (f) Municipal-wide engagement should enable other social partners (such as organised business, labour, civil society) to consider its own role in contributing to the development of the George Local Municipality and applying its resources to achieve delivery on the long-term development strategy as captured in the IDP.
- (g) The intergovernmental architecture for engagement should enable joint planning and resource alignment in support of implementing the development strategy in the IDP on an annual basis.

7.4 SUMMARY

In this chapter the empirical survey of ward committees, ward councillors and senior management of the George Local Municipality was explained and the results interpreted against the background of the original assumption as explained in Chapter 1 that served as motivation to undertake the study. The interpretation and analysis of the questionnaires was done with the help of the resident UKZN registered statistician. This process enabled the interpretation of the scores in numbers and/or percentages by the respondents to the questionnaires.

It has been noted that the majority of the respondents agreed or strongly agreed with most of the statements. This majority is constituted by combined responses of the respondents who strongly agreed and agreed to the statements. It can be concluded

that the respondents agreed that a continuous search for an appropriate combination of context-specific public participation strategies is necessary and must be based on empirically proven knowledge. This is provided by means of recommendations in the next chapter, aimed at improving the facilitation of public participation through the IDP process.

In the next chapter, summaries of the preceding chapters are briefly synthesised. Conclusions and recommendations with respect to the IDP process as a means to facilitate public participation, based on the empirical survey that was undertaken, are submitted.

CHAPTER 8

RECOMMENDATIONS AND CONCLUDING REMARKS

8.1 INTRODUCTION

The research undertaken in this thesis is based on the assumption stated in Chapter 1 that the current low levels of public participation in the IDP process of the George Local Municipality is a result of the inadequacy of the existing strategies and policies intended to achieve the highest degree of public participation in the local sphere of government.

The situational analysis of the George Local Municipality confirms the challenges that exist and these include *inter alia* inadequate standards of service-delivery, dissatisfaction of the community and weaknesses in governance and accountability as top institutional risks (George Local Municipality, 2013a). Through research, these challenges should be analysed and contextualised in order to develop appropriate interventions.

Linked to the assumption stated above, are the specific research objectives, which were to:

- (a) To explore the significance of the IDP process in facilitating public participation on municipal-wide service delivery in the George Local Municipality;
- (b) To explore the selection of public participation strategies in the IDP process in the George Local Municipality;
- (c) To explore the level and degree of accountability regarding public participation in the IDP process in the George Local Municipality;
- (d) To explore the level and degree of accountability regarding public participation in the IDP process in the George Local Municipality; and

The study concludes by recommending the implementation of an appropriate combination of context specific public participation strategies in the IDP process that can be used by South African municipalities in particular and the George Local Municipality in general.

The significance of the study was explained in Chapter 1, as well as the key research questions which included the following:

The primary problem question was: What is the significance of the IDP process in facilitating public participation on municipal-wide service delivery in the George Local Municipality?

Associated to this primary problem question were the following sub-questions:

- (a) Is the current selection of public participation strategies of the George Local Municipality appropriate for the IDP process?
- (b) What is the level of accountability pertaining to the implementation of public participation in the IDP process of the George Local Municipality?
- (c) Can the current approach to the research problem be improved?
- (d) If the current approach to the research problem can be improved, how can it be done?

The previous chapters have provided the necessary foundation to fulfil the objectives of the study as well as to provide responses to these questions.

8.2 THESIS OVERVIEW

The study is divided into chapters, which form a logical and sequential whole, namely:

Chapter 1 provided the problem regarding insufficient public participation strategies and policies intended to achieve the highest degree of public participation in the local sphere of government is explained, and the broad research goal is stated, supported by specific study objectives. Certain key questions are posed; where after the research methodology is explained.

Chapter 2 dealt with the theoretical premise of management in the context of public administration using the 'funnel method' of structuring a literature review. This included a theoretical evolution of the management theory, strategic management as a component of management, a systems model/approach to policy-making as well as the new public management (NPM). A brief explanation of the concept 'philosophy' was provided. This was followed by a description of the various theoretical approaches to the subject of Public Administration, where after the origin, nature and place of public participation in relation to the Public Administration theory was explained.

Chapter 3 focused on the literature review which focused on the integrated development planning (IDP) process and public participation within a South African context. Selected international perspectives on public participation were briefly articulated. The literature shows that the majority of South African municipalities continue to implement inappropriate public participation strategies during the IDP process and this translates into undesirable service-delivery protests. For this reason, this gap is addressed in the study so as to gain an improved understanding of an appropriate combination of context-specific public participation strategies that South African municipalities can implement during the IDP process.

Chapter 4 provided an overview of the legislation that governs integrated development planning as well as the enhancement of public participation in local government affairs. This chapter sought to provide an impetus in the quest for a theoretical model aimed at improving integrated development planning in municipalities by developing an appropriate combination of context-specific public participation strategies. This chapter is meant to provide guidance to municipalities by providing a 'menu' of relevant legislation and literature in Public Administration as critical 'ingredients' in developing appropriate models to facilitate public participation in the IDP process.

Chapter 5 proceeded from the premise that the formulation of a plan (Integrated Development Plan) is not sufficient; adequate implementation is fundamental for the success of local government. This chapter reviewed the literature on various dimensions of performance management aimed at improving the implementation of the IDP as well the acceleration of service-delivery. The concept performance

management was clarified including a statutory and regulatory framework governing performance management in Developmental Local Government. The measuring of municipal performance and municipal performance reporting was explained. Lastly, performance management systems and performance management tools and techniques were explored.

Chapter 6 described and explained the research methodology employed as well as the theoretical basis for conducting the empirical research. Secondly, the survey questionnaire used for gathering the data needed for analysis and interpretation was explained.

Chapter 7 focused on the interpretation and articulation of the results of statistical analysis. The empirical findings were presented in the form of tables and graphs, accompanied by an explanation of the relationship with the selected theoretical criteria found in the literature.

Chapter 8 provided a summary of the preceding chapters which were briefly synthesised. Conclusions and recommendations with respect to the IDP process as a means to facilitate public participation, based on the empirical survey that was undertaken, are submitted. The final chapter is concluded with a conclusion subsection, indicating the progress that the research has made to alleviate the stated problem and recommendations for further research focusing on the IDP process as a means to facilitate public participation in the discipline and practice of Public Administration.

8.3 RECOMMENDATIONS

The following recommendations are submitted, based on the empirical survey that was undertaken.

8.3.1 Recommendation 1 – Participation of local community in the municipal strategic planning and IDP process

Although the majority of the respondents were in agreement with the fact that the local community does participate in the municipal strategic planning and IDP process, there is room for improvement on the part of the George Local Municipality.

The IDP Guide Packs (2000) suggest that:

- Public participation has to be institutionalised to ensure that all citizens have an equal right to participate, and to provide a clear organisational framework;
- Participation must be structured as the size of municipalities and wards means not all citizens can directly participate;
- The system must recognise a diversity of participation styles and cultures;
- Promotion of public participation must create the conditions for and encourage public participation”.

The IDP is one of several arenas of developmental interaction between municipalities and the local community. The George Local Municipality must endeavour to create opportunities for public participation in order to encourage partnerships and ownership in project implementation.

8.3.2 Recommendation 2 – Afford the local community an opportunity to discuss and comment on the draft IDP

The apparent disconnect between the local public administration (municipalities) and the local community is a direct consequence of how the intended relationship between municipalities and the local communities is conceptualised. This state of affairs can partly be attributed to misguided conceptions about what ‘authentic public participation’ entails within the context of DLG resulting in many local municipalities confusing the definition and implementation of public participation strategies in the IDP processes. Consequently, this major conceptual and practical confusion consistently leads to the use of inappropriate public participation strategies in the facilitation of IDP processes. Besides the wrong choice of public participation

strategies, municipal officials often are not appropriately trained as facilitators and do not have relevant tools to properly engage with and empower local communities. The Department for Cooperative Governance and Traditional Affairs concluded that the local sphere of government is in distress and that many municipalities are dysfunctional. This dysfunctionality has its root causes in a host of factors; *inter alia*; weak leadership and/or capacity and poor internal systems for performance management and accountability (COGTA, 2009:9). The following problematic strategies are utilised by municipal officials in particular the IDP Process Managers; namely:

- **Participation in information-giving:** The public do not have the opportunity to influence or direct proceedings as the findings are neither shared nor evaluated for accuracy (Davids *et al.*, 2009:116).
- **Participation by involvement:** refers to the mobilisation of communities to be involved in the execution of top-down determined development plans and projects (De Beer & Swanepoel, 2011:63).
- **Participation by consultation:** People participate by being consulted by professionals (in this case municipal officials). The professionals define both problems and solutions and may modify these in light of the public's responses. This process does not include any share in decision-making by the public, nor are the professionals under any obligation to consider the public views (Davids *et al.*, 2009:116).

The IAP2 Public Participation Toolbox and public participation models such as Arnstein's ladder of citizen participation (1969) confirm that these strategies are not appropriate and problematic for the IDP process as they do not constitute authentic public participation (Davids *et al.*, 2009:116). The public emerge from these forms of participatory processes extremely frustrated and disillusioned hence the violent service delivery protests (Mchunu, 2012; Mchunu and Theron, 2014). This therefore, suggests that public participation does not seem to yield significant substantive results as progressively intended in a sophisticated edifice of public participation such as the Reconstruction and Development Programme, 1994, the Constitution of the Republic of South Africa, 1996, the Local Government: White Paper on Local Government, 1998 and Local Government: Municipal Systems Act 32 of 2000.

Research reveals (IAP2 Core Values, the Manila Declaration (1989) and Davids *et al.* (2009:119)) that before municipalities can claim to be conducting authentic public participation, the following question must be answered: **Can the citizens, as members of the public, when they engage in ‘participation’ actually influence, direct, control and own the public participation process in a meaningful way?** This fundamental question is based on the integration of *inter alia*; the IAP2 Core Values and the Manila Declaration (1989). The answer in the majority of cases, is no. Although municipalities profess to prioritise and engage in public participation, they actually reduce their processes to mere ‘information giving’, ‘involving’ and ‘consulting’ the citizens in the majority of developmental processes (such the IDP) and claim to have conducted public participation. This does not constitute empowerment. Empowerment can only be achieved if the strategies used in the IDP process create an opportunity for the intended beneficiary, through his or her participation, to influence, direct, control and own the development process. It is not clear if public participation policy-makers and practitioners understand the principle that those who are ‘invited’ to participate should actually be ‘allowed’ to influence, direct, control and own the process. This constitutes participatory and empowering democracy. If these principles were understood and applied correctly, then the record will show that public participation is not failing communities and that the unacceptable level of service delivery protests could have been prevented.

The Local Government: Municipal Systems Act 32 of 2000 calls for the development of a culture of public participation. It is therefore important for the George Local Municipality to move beyond legislative compliance and ensure that public participation becomes its core business. The George Local Municipality must pay particular emphasis on empowering the local communities to participate effectively in the municipal IDP process. This implies that the local community must participate from the conceptual phases of the IDP process through legitimate structures such ward committees, IDP Representative Forum as well as any organised developmental interest group. It is further recommended that the George Local Municipality must institutionalise the five steps of policy making in developing its IDP as cited by Khalo *et al.* (2013:39), namely:

- Policy agenda: An issue is brought to the attention of a municipal council by councillors as representatives of the community.
- Policy formulation: A policy document is developed to serve as a plan of action to address the issue.
- Policy adoption: The policy is debated and eventually adopted by the council after public participation.
- Policy implementation: The administration of the municipality is tasked to implement programmes and projects to give effect to the policy, thereby addressing the issue.
- Policy evaluation: Citizens continuously participate to ensure that the policy has the desired effect.

8.3.3 Recommendation 3 – Provide an opportunity for the local community to participate in ensuring that the annual business plans and budgets are based on and linked to the IDP

Although the majority of the respondents were in agreement with the fact that the local community ensures that the annual business plans and budgets are based on and linked to the IDP, the George Local Municipality should improve on ensuring active participation of the local community in implementation of the IDP through the alignment of annual business plans and budgets.

Sound relations between the local community and the George Local Municipality could be strengthened when partnerships are forged to an extent that information such as that of business plans is complete, objective, reliable, relevant, easily accessible and understandable to all the affected parties. This state of affairs would address the argument that Khalo et al. (2013:29) put forward that “citizens in general lack the knowledge and political influence to give government institutions a mandate to solve their problems.”

8.3.4 Recommendation 4 – Local community to participate in the monitoring and evaluation of the George Local Municipality with respect to the implementation of the IDP

Although the majority of respondents agreed that the local community does monitor and evaluate the implementation of the George Local Municipality's IDP, the George Local Municipality must move beyond legislative compliance and ensure that through appropriate mechanisms, processes and procedures, they create an opportunity for the local community to participate in the development, implementation and review of the municipality's performance management system. It is important that any implementation, monitoring and evaluation system that the George Local Municipality may decide to introduce is designed in such a way that it complements the other systems and procedures already in place in the municipality.

8.3.5 Recommendation 5 – Development of the local community's understanding, knowledge and skills to support partnership in the IDP process

The quality and success of meaningful public participation is always dependent on the levels of understanding, knowledge and skills that the local community have regarding the municipality, for example, what public participation mechanisms are available and how policies are made. The quality of public participation is further influenced by the attitude of municipal officials regarding public participation and the degree of the institutionalisation of public participation through appropriate mechanisms, policies and procedures. The George Local Municipality must continually invest in empowering the local community to ensure improved participation in the IDP process.

8.3.6 Recommendation 6 – Introduction of community-driven IDP projects

The George Local Municipality will have to focus more on initiating community-driven IDP projects. The George Local Municipality should consider implementing community-based planning (CBP) to promote community action in the IDP process. CBP is a form of participatory planning which has been designed to promote

community action and to link to IDP (Department of Provincial and Local Government, 2005:8).

The key principles of CBP are based on:

- The inclusion of poor people in planning (and so the tools seek to make sure that poor people are identified and their livelihoods analysed);
- Systems that are realistic and practical, so that the planning process must be implementable using available resources within the district/local government (and so must link in and integrate with existing processes, particularly local government planning);
- Planning that is linked to a legitimate structure (the ward and ward committee);
- Planning that is not a once-off exercise, but is part of a longer process, with implementation, monitoring and evaluation, and annual reviews;
- Plans that are people focused and empowering (and so the plan is based around the livelihoods of different groups, and the community produce their own plan with support from ward and municipal facilitators);
- Planning and implementation build on strengths and opportunities not problems (to makes us more likely to succeed and not to be paralysed by the problems);
- Plans that are holistic and cover all sectors;
- Planning that promotes mutual accountability between community and officials (and so upward and downward accountability is critical);
- Commitment from councillors and officials to both plan and implement, and there must be someone responsible to ensure it gets done (hence the commitments and preconditions the municipality needs to undertake)

(Department of Provincial and Local Government, 2005:10-11).

Asha and Madzivhandila (2012: 374) cite some of the reasons “why local community and community organisations must lead their local development initiatives”.

- Public participation helps government to address the basic needs of poor community members.

- Participation ensures an improved sense of ownership of community development projects and builds self-confidence by breaking the so-called 'dependency mentality'.
- It allows active participation of various stakeholders such as government, developmental agencies, private sector organisations and non-governmental organisations (NGOs) to alleviate poverty.
- It is a means for promoting and instilling a culture of good governance at the local sphere of government.
- It enhances accountability and transparency in development projects at grassroots level.

8.3.7 Recommendation 7 – Opportunity for the local community to participate in providing feedback on the performance of the

Local community should be afforded an opportunity to review the performance of the George Local Municipality and their public representatives, in-between local government elections. It is legislatively required that the public must participate in reviewing municipal performance at least annually.

8.3.8 Recommendations 8 – Report backs during the annual IDP review meetings to be provided about failures and successes on addressing local community priorities

In providing the report backs during the annual IDP review meetings, the George Local Municipality should take the priorities of the organisation, its performance objectives, indicators, targets, measurements and analysis, and present this information in a simple and accessible format, relevant and useful to the local community as the specified target group, for review.

8.3.9 Recommendation 9 – Municipal budget driven by local community priorities

The process of formulating a municipal budget is very complex, therefore in undertaking its IDP and budget process, the George Local Municipality should

always aim at arriving at decisions that will continue to promote the value of public participation. The participation of the local community in IDP and budget process must translate into implementable projects which are fully funded.

8.3.10 Recommendation 10 – Continuous implementation of the IDP process contributing to improved understanding of local community with respect to the core business of the George Local Municipality

To engage in targeted empowerment programmes for the entire local community is almost an impossible mission. The George Local Municipality should systematically provide the necessary support and capacity-building to its legitimate participatory structures such as ward committees, community development workers (CDWs) as well as the IDP Representative Forum. These participatory structures represent their entire local community, should operate as ‘ambassadors’ in their respective wards or areas and transfer their knowledge to ordinary citizens. Furthermore, the participatory structures should meet on a quarterly basis with the broader local community to provide feedback on matters discussed during ward committee and IDP Representative Forum meetings.

8.3.11 Recommendation 11- Focusing more on public meetings as a participatory mechanism

Davids & Theron (2014:124) view public meetings as a participatory mechanism that has a strong participatory impact, bottom-up and social learning in nature. The George Local Municipality must always ensure all its public meetings are well-planned and advertised. It is also recommended that the George Local Municipality may consider developing a public participation year planner which will be distributed to all members of the local community. This will set out in detail meetings dates and venues, as well as transport arrangements where necessary.

It is important to have a firm and knowledgeable chairperson at these public meetings as the Agenda of the day is likely to be outweighed by more burning housing-related complaints. It is also important for the chairperson of the public meeting to create an opportunity for extensive engagement between the municipality

and the local community. The presence of senior management and councillors at these public meetings is fundamental as they are the decision-makers on IDP and service-delivery issues.

8.3.12 Recommendation 12 – Increased levels of accountability in the IDP process

A year planner is also recommended to communicate Council decisions to the local community. The George Local Municipality should have a single year planner setting out the purpose of the engagement. It is important that the George Local Municipality presents its report whether written or verbal in a user-friendly manner.

8.3.13 Recommendation 13 – Co-option of members of the local community to municipal committees

The George Local Municipality is encouraged to consider co-opting members of the local community to some of its committees. This will contribute to transparency and avert any potential conflict with the local community. The success of this proposal will be observed where all structures are functional and regular reporting is adopted within the organisational culture of the George Local Municipality. This practice is also stipulated in the Local Government: Municipal Systems Act 32 of 2000 which provides for the nomination of the member of a ward committee by the Executive Mayor to serve as a panel member when the annual performance of the municipal manager is evaluated. The Local Government: Municipal Systems Act 32 of 2000 further provides for the establishment of an audit committee by the municipality to audit the results of performance measurements as part of its internal auditing processes. This audit committee must be constituted by at least three members and the majority may not be involved in the municipality as a councillor or an employee.

8.3.14 Recommendation 14 – Development of community complaints management system

The George Local Municipality should consider developing a community complaints management system setting out in clear terms where the local community can report

complaints. The George Local Municipality must take into account the special needs of the following as prescribed by Section 17(3) of the Local Government: Municipal Systems Act 32 of 2000, namely:

- (a) People who cannot read or write;
- (b) People with disabilities;
- (c) Women; and
- (d) Other disadvantaged groups.

In developing a community complaints management system, it is essential that the George Local Municipality consider that responsiveness to complaints, more especially around failures in service-delivery provision. Investing in the development of a properly managed community complaints system will bear good results over time.

8.3.15 Recommendation 15 – Local community satisfaction surveys

It is recommended that the George Local Municipality should consider using professionally and independently conducted local community satisfaction surveys to assess citizens' perceptions on the quality and standard services delivered. It is further recommended that these local community satisfaction surveys should be conducted quarterly to detect early warning signs with respect to service-delivery provision.

8.3.16 Recommendation 16 – Establishment of a public participation unit

It is recommended that the George Local Municipality should consider establishing a public participation unit which will be entrusted with co-ordination and support to the IDP process. This will include logistical arrangements for IDP Representative Forum meetings, ward committee meetings as well as ward-based IDP meetings.

The George Local Municipality, like many other local municipalities in South Africa, has not yet developed the required research capacity. Therefore, partnership with knowledge partners such as institutions of higher learning and research institutions is

recommended to ensure on-going search for context-specific public participation strategies in the IDP process.

8.3.17 Recommendation 17 – More attention should be given to the link between the local community and the George Local Municipality

It is recommended that the George Local Municipality should through its delegation register and relevant policy and by-laws clarify the roles and responsibilities of the IDP Representative Forum in particular and municipal officials in general.

8.3.18 Recommendation 18 – Strengthen role of the ward councillor in the IDP process

It is recommended that the George Local Municipality should on an on-going basis support and encourages ward councillors to fulfil their rightful role of being a link between ward-level and municipal-wide planning as well as the responsibility of organising public participation.

8.3.19 Recommendation 19 – Strengthen role of the ward committees

It is recommended that the George Local Municipality should structure its ward committee system to assist Council in the decision-making process. For example, issues that are discussed in ward committee meetings should be escalated to the relevant portfolio committee which in turn recommends to council for approval. This practice will ensure that ward committees are able to influence, direct and own their development.

8.3.20 Recommendation 20 – On-going training to relevant stakeholders

It is recommended that the George Local Municipality should on an on-going basis consider exposing relevant senior management, councillors and ward committees entrusted with facilitation of public participation particularly in the IDP process to training focusing *inter alia* on community development, IDP process, and conflict resolution. It is strongly recommended that these must be university-accredited

courses aimed at improving the art of blending theory with practice in the facilitation of public participation.

Theron (2008:18) states that all relevant public participation facilitators should understand the following objectives of training for local-level engagement and facilitation:

- They should acquire a clear understanding of their roles as facilitators and partners of the local community.
- They should develop their skills in communicating and working with poor people.
- They should develop their understanding of group dynamics and criticise others constructively and handle criticism of themselves.
- They should develop their skills in identifying, analysing and addressing issues with the local community.

8.4 CONCLUSION

This thesis investigated and analysed the IDP process as a means for authentic public participation in the effective and efficient provision of services to communities in a sustainable manner in the George Local Municipality. The investigation was undertaken using senior municipal officials, ward councillors and ward committee members of the George Local Municipality. The insights and experience gained during this research led to an acknowledgement that public participation in the IDP process is an evolving process which must be matched with continuous search for an appropriate combination of context-specific strategies. The complex nature of public participation reflected above, requires municipal public participation facilitators to embark on continuous empowerment programmes which will provoke a radical mind-shift towards implementing bottom-up strategies based on social learning.

South Africa's leaders, professionals, entrepreneurs and decision-makers alike, must always ensure that aspects such as ethics, honesty, respect, transparency are observed. Leaders should strive to implement moral obligations to improve the public welfare and to add moral responsibilities that apply specifically to executing one's role as a professional, as well as to serve the people of South Africa. Decision-

makers therefore, have to maintain and improve the well-being of its current citizens, and ensure future orientated planning through sustainable development initiatives. South Africa, a country rising out from conflict has to build on the basics to ensure that they are in place, including human and hard infrastructure such as roads, transport, medical facilities, electricity and ports, and that the traditional drivers of economic activity are completely restored.

South Africa has many obstacles to overcome before any developmental milestones are achieved. The country is not only limited by good governance standards, but still has elements of corruption, crime, life expectancies, uneducated population, failed infrastructure and poor access to technology. This list still needs to be addressed through long-term developmental strategies such as the IDP in order to spark development for South Africa towards the future. Economic well-being has the apparent potential to develop the health of the population, access to sanitation and clean water as well as access to technology. If South Africa can focus on improving their governance efforts, the chances of positive development will be greater (Adendorff & Collier, 125:194).

Due to the dynamic nature of the developmental local government arena, the reader is cautioned not to view this thesis as a panacea to the public participation challenges of municipalities but as a theoretical contribution that seeks to shape the debate and on-going search for an appropriate combination of public participation strategies in the IDP process. This thesis concludes that further research focusing on the municipal IDP process and public participation in the discipline and practice of Public Administration will generate more knowledge and approaches on how the IDP process could serve as a means to facilitate public participation.

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**ANNEXURE A: WRITTEN PERMISSION TO CONDUCT RESEARCH ON THE
GEORGE LOCAL MUNICIPALITY'S IDP PROCESS AND PUBLIC
PARTICIPATION STRATEGIES**



G E O R G E

MUNISIPALITEIT
Wes Kaap

UMASIPALA WASE
Intshona - Koloni

MUNICIPALITY
Western Cape

Posbus / P.O. Box 19 George 6530 Tel: 044 8019111 Fax: 044 8733776

VERW.REF: 15/1/11

NAVRAE: T Botha
ENQUIRIES:

TEL: 044 - 801 9065 / 801 9068/ 801 9069

DATE: 22 September 2014

Mr. Sandile Ngqele
Manager: IDP & PMS
Email Address: sandile@george.org.za

Dear Mr. Ngqele

UNDERTAKING A STUDY IN THE GEORGE LOCAL MUNICIPALITY

Approval is hereby granted to you to undertake your doctoral research in the George Local Municipality.

I wish you the best with your studies.

Yours sincerely

T BOTHA
MUNICIPAL MANAGER

Act

**ANNEXURE B: INFORMED CONSENT LETTER AND RESEARCH
QUESTIONNAIRE**

UNIVERSITY OF KWAZULU-NATAL

SCHOOL OF MANAGEMENT, IT AND GOVERNANCE

Dear Respondent,

Doctor of Administration (DAdmin) Research Project

Researcher: Mr. Sandile Ngqele (044-8019025)

Supervisor: Prof IW Ferreira (041-5044607)

Research Office: Ms. P Ximba (031-260 3587)

I, Sandile Wiseman Ngqele a DAdmin student, at the School of Management, IT and Governance of the University of KwaZulu-Natal hereby invites you to participate in a research project entitled “Integrated Development Planning as a means to facilitate public participation in George Municipality”. The aim of this study is to: develop an appropriate combination of context specific public participation model in the IDP process that can be used by South African municipalities in particular and the George Local Municipality in general.

Through your participation I hope to explore: The significance of the IDP process in facilitating public participation on municipal-wide service delivery in the George Local Municipality, the selection of public participation strategies in the IDP process in the George Local Municipality including the level and degree of accountability regarding public participation in the IDP process in the George Local Municipality.

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

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

The survey should take you about 15 minutes to complete. I hope you will take the time to complete this survey.

Sincerely

Investigator's signature: _____ Date: _____

Sandile Wiseman Ngqele

CONSENT

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

SIGNATURE OF PARTICIPANT

DATE

.....

RESEARCH QUESTIONNAIRE

SECTION A

Demographics

Please select only ONE option for each of the questions below

Age group (in years)

20 – 29	<input type="checkbox"/>
30 – 39	<input type="checkbox"/>
40 – 49	<input type="checkbox"/>
50+	<input type="checkbox"/>

Home language

IsiXhosa	<input type="checkbox"/>
English	<input type="checkbox"/>
Afrikaans	<input type="checkbox"/>
Other (Please specify) _____	<input type="checkbox"/>

Gender

Male	<input type="checkbox"/>
Female	<input type="checkbox"/>

Highest educational qualification

Grade 9 or less	
Grade 10-11	
Grade 12	
Diploma	
Degree	
Postgraduate Degree	

Designation/ position of respondent

Ward Committee	
Ward Councillor	
Senior Management	
Other (please specify) _____	

SECTION B

Please mark the applicable box with an “X”

PLEASE NOTE THAT THE FOLLOWING STATEMENTS HAVE NOT BEEN STRUCTURED TO FAVOUR PARTICULAR RESPONSES

FACILITATION OF PUBLIC PARTICIPATION						
1	Indicate your agreement or disagreement with the following statements					
STATEMENT	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	
1.1	The local community participates in the municipal strategic planning by analysing issues, determining Integrated Development Plan (IDP) priorities, negotiating and reaching consensus with the George Local Municipality					
1.2	The local community discusses and comments on the draft IDP					
1.3	The local community ensures that the annual business plans and budgets are based on and linked to the IDP					
1.4	The local community monitors and evaluates the George Local Municipality with respect to the implementation of the IDP					
1.5	Understanding, knowledge and skills of the local community are developed to support partnership in the IDP process					

1.6	Most IDP projects are community driven					
1.7	Through the IDP process, the local community is given an opportunity to provide feedback on the performance of the municipality					
1.8	During the annual IDP review meetings, report backs are provided about failures and successes on addressing local community priorities					
1.9	The local community priorities drive the municipal budget					
1.10	The continuous implementation of the IDP process improves the understanding of local community with respect to the core business of the George Local Municipality					

PUBLIC PARTICIPATION STRATEGIES						
2	Indicate your agreement or disagreement with the following statements					
STATEMENT		Strongly disagree	Disagree	Neutral	Agree	Strongly agree
2.1	Public meetings have been used as a platform to engage constructively on IDP and service delivery issues					
2.2	Constructive engagement has resulted in fewer service delivery protests					
2.3	Ward Committees Summits have been effective for ward committees to engage with the George Local Municipality on matters pertaining to the IDP and service delivery					
2.4	Ward Councillors' quarterly feedback meetings have been effective in communicating Council resolutions on IDP related issues					
2.5	The IDP and Budget Road shows, convened bi-annually, have been effective for engagement with local communities on matters pertaining to the IDP and service delivery					
2.6	The use of ward-based plans by ward committees to monitor the implementation of the IDP in their respective					

	wards has been effective					
--	--------------------------	--	--	--	--	--

LEVEL OF ACCOUNTABILITY IN THE IDP PROCESS						
3	Indicate your agreement or disagreement with the following statements					
STATEMENT		Strongly disagree	Disagree	Neutral	Agree	Strongly agree
3.1	The George Local Municipality reports on decisions throughout the year to the local community					
3.2	The George Local Municipality makes public for the local community all relevant reports on the evaluation and monitoring of performance against set IDP targets					
3.3	Ward representatives take part in the performance evaluation of senior management					
3.4	The local community is represented on the Audit Committee					

ANNEXURE C: THE MEAN AND DESCRIPTIVE STATISTICS

	N	Mean	Std. Deviation	Std. Error Mean
q1.1 The local community participates in the municipal strategic planning by analysing issues, determining Integrated Development Plan (IDP) priorities, negotiating and reaching consensus with the George Local Municipality	54	3.06	.960	.131
q1.2 The local community discusses and comments on the draft IDP	54	3.72	.763	.104
q1.3 The local community ensures that the annual business plans and budgets are based on and linked to the IDP	54	3.06	.940	.128
q1.4 The local community monitors and evaluates the George Local Municipality with respect to the implementation of the IDP	54	3.52	.986	.134
q1.5 Understanding, knowledge and skills of the local community are developed to support partnership in the IDP process	54	3.50	1.225	.167
q1.6 Most IDP projects are community driven	54	3.07	1.096	.149
q1.7 Through the IDP process, the local community is given an opportunity to provide feedback on the performance of the municipality	54	3.93	.908	.124
q1.8 During the annual IDP review meetings, report backs are provided about failures and successes on addressing local community priorities	54	3.85	.920	.125
q1.9 The local community priorities drive the municipal budget	54	3.41	.813	.111
q1.10 The continuous implementation of the IDP process improves the understanding of local community with respect to the core business of the George Local Municipality	54	3.72	1.220	.166

	Test Value = 3					
					95% Confidence Interval of the Difference	
	t	df	Sig. (2-tailed)	Mean Difference	Lower	Upper
q1.1 The local community participates in the municipal strategic planning by analysing issues, determining Integrated Development Plan (IDP) priorities, negotiating and reaching consensus with the George Local Municipality	.425	53	.672	.056	-.21	.32
q1.2 The local community discusses and comments on the draft IDP	6.958	53	.000	.722	.51	.93
q1.3 The local community ensures that the annual business plans and budgets are based on and linked to the IDP	.434	53	.666	.056	-.20	.31
q1.4 The local community monitors and evaluates the George Local Municipality with respect to the implementation of the IDP	3.866	53	.000	.519	.25	.79
q1.5 Understanding, knowledge and skills of the local community are developed to support partnership in the IDP process	3.000	53	.004	.500	.17	.83
q1.6 Most IDP projects are community driven	.496	53	.622	.074	-.23	.37

q1.7 Through the IDP process, the local community is given an opportunity to provide feedback on the performance of the municipality	7.493	53	.000	.926	.68	1.17
q1.8 During the annual IDP review meetings, report backs are provided about failures and successes on addressing local community priorities	6.808	53	.000	.852	.60	1.10
q1.9 The local community priorities drive the municipal budget	3.682	53	.001	.407	.19	.63
q1.10 The continuous implementation of the IDP process improves the understanding of local community with respect to the core business of the George Local Municipality	4.352	53	.000	.722	.39	1.06

	N	Mean	Std. Deviation	Std. Error Mean
q2.1 Public meetings have been used as a platform to engage constructively on IDP and service delivery issues	54	3.74	.828	.113
q2.2 Constructive engagement has resulted in fewer service delivery protests	54	3.74	.782	.106
q2.3 Ward Committees Summits have been effective for ward committees to engage with the George Local Municipality on matters pertaining to the IDP and service delivery	54	3.65	.850	.116
q2.4 Ward Councillors' quarterly feedback meetings have been effective in communicating Council resolutions on IDP related issues	54	3.93	.328	.045
q2.5 The IDP and Budget Road shows, convened bi-annually, have been effective for engagement with local communities on matters pertaining to the IDP and service delivery	54	3.72	.834	.113
q2.6 The use of ward-based plans by ward committees to monitor the implementation of the IDP in their respective wards has been effective	54	3.65	.850	.116

	N	Mean	Std. Deviation	Std. Error Mean
q3.1 The George Local Municipality reports on decisions throughout the year to the local community	54	4.06	.302	.041
q3.2 The George Local Municipality makes public for the local community all relevant reports on the evaluation and monitoring of performance against set IDP targets	54	4.09	.351	.048
q3.3 Ward representatives take part in the performance evaluation of senior management	54	3.89	.572	.078
q3.4 The local community is represented on the Audit Committee	54	4.00	.514	.070

	Test Value = 3					
					95% Confidence Interval of the Difference	
	t	df	Sig. (2-tailed)	Mean Difference	Lower	Upper
q3.1 The George Local Municipality reports on decisions throughout the year to the local community	25.686	53	.000	1.056	.97	1.14
q3.2 The George Local Municipality makes public for the local community all relevant reports on the evaluation and monitoring of performance against set IDP targets	22.861	53	.000	1.093	1.00	1.19
q3.3 Ward representatives take part in the performance evaluation of senior management	11.422	53	.000	.889	.73	1.04
q3.4 The local community is represented on the Audit Committee			.000	1.000	14.298	53

		N	Mean	Std. Deviation
FPP	Ward committee	30	3.5600	.67599
	Ward councillor	18	3.3611	1.13921
	Senior management	6	3.4667	.62183
	Total	54	3.4833	.84334
PPS	Ward committee	30	3.8222	.50842
	Ward councillor	18	3.5648	.89139
	Senior management	6	3.8333	.44721
	Total	54	3.7377	.65605
LACC Report	Ward committee	30	4.0500	.20129
	Ward councillor	18	4.0833	.25725
	Senior management	6	4.1667	.68313
	Total	54	4.0741	.29791
LACC Represent	Ward committee	30	4.0000	.00000
	Ward councillor	18	4.0833	.25725
	Senior management	6	3.2500	1.29422
	Total	54	3.9444	.49208

ANNEXURE D: LANGUAGE DECLARATION

I, Dr Keith Victor Arnolds, language practitioner, undertook language editing of the PhD Thesis titled **“INTEGRATED DEVELOPMENT PLANNING AS A MEANS TO FACILITATE PUBLIC PARTICIPATION IN GEORGE MUNICIPALITY”**

A handwritten signature in black ink, appearing to read 'KA', followed by a long, wavy horizontal line that ends in a small loop.

.....

Dr Keith Victor Arnolds

Language Practitioner/Academic Literacies Developer

ANNEXURE E: ETHICAL CLEARANCE APPROVAL



09 October 2014

Mr Sandile Wiseman Ngqele (214528690)
School of Management, IT & Governance
Westville Campus

Protocol reference number: HSS/1204/0140

Project title: Integrated development planning as means to facilitate public participation in George Municipality

Dear Mr Ngqele,

Full Approval- Expedited Application

In response to your application received on 17 September 2014, the Humanities & Social Sciences Research Ethics Committee has considered the abovementioned application and the protocol have 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.

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

I take this opportunity of wishing you everything of the best with your study.

Yours faithfully

Dr Shenika Singh (Chair)

/ms

Cc Supervisors: Professor IWFerreira and Professor HWssink
Cc Academic Leader Research: Professor Brian McArthur
Cc School Administrator: Ms Angela Pearce

Humanities & Social Sciences Research Ethics Committee

Dr. Shenika Singh (Chair)

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