

**INSTITUTIONAL CAPACITY FOR
IMPLEMENTING AN INTEGRATED
DEVELOPMENT PLAN (IDP): THE CASE OF
THE EMFULENI LOCAL MUNICIPALITY**

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UNIVERSITY

**Mini-dissertation submitted in partial fulfilment
of the requirements for the degree**

Magister Artium

in

Public Management and Governance

North-West University

(Vaal Triangle Campus)

Vanderbijlpark

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2010

DECLARATION

I declare that INSTITUTIONAL CAPACITY FOR IMLPEMENTING AN INTEGRATED DEVELOPMENT PLAN (IDP): THE CASE OF THE EMFULENI LOCAL MUNICIPALITY is my own work and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.

Signature

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Date

ACKNOWLEDGEMENTS

- Firstly, I thank God Almighty for giving me the opportunity to complete this study, had it not for Him I would not have come this far, Glory to Him forever.
- I also wish to express my sincerest gratitude and appreciation to the many people who contributed immensely and positively towards the completion of my study. Without their support, criticism and advice, I would not have successfully completed this study.
- My supervisor Ms C. M. Gouws, for her patience, informed knowledge, invaluable advice, critique, comments and guidance.
- All my colleagues Joseph Letwaba, Mandla Mkhize, Mbongiseni Masuku, Mandlenkosi Mashinini, Khanyi Dlomo for assisting me with typing, not forgetting the librarian Mr Danny Moloto for his assistance in finding valuable information for this study.
- My family, especially my children Sipiwe and Sibusiso, my wife Sylvia, my neighbour Dawn Van der Berg, as well as my two brothers Felix, Andrew and lastly my aunt and her daughter Sindi for always encouraging me.
- I am also grateful to the Managers at Emfuleni Local Municipality especially MrTshitshiba and Mr Dolo for making every step of this research a success by granting me the permission to conduct this study at their institution.
- Finally my Pastors Richard and Lana Cottrell, thank you for your prayers.

ABSTRACT

Institutional Capacity has been a hidden factor that has not been given much attention in the service delivery protests that have seen many residents of the townships taking to the streets. The year 2005 saw the beginning of these protests right up to 2010. South Africa's Constitution of 1996, has empowered municipalities through the developmental goals set out in chapter 7 as well as the Bill of Rights. The *Municipal Systems Act 32* of 2000 and the Municipal Finance Management Act of 2003 empowered all the municipalities to embark on a developmental agenda that is guided by the Integrated Development Planning (IDP). The IDP process has ensured that the needs of the communities are prioritised and are budgeted for. Hence the approval of the budget is tied to the IDP

Once the IDP is approved by the Council, outcomes and impact must be seen on the ground and this is not happening in most municipalities especially at Emfuleni Local Municipality. The completion of the IDP process is as a result of planning by all departments within a municipality. Once this is done, it is then that the budget is approved. In most cases implementation is the next step that should follow and this is not the case at Emfuleni Local Municipality. Programmes and projects do not reach the completion stage hence service delivery protests. The issue of capacity becomes a critical factor in that municipalities must be able to implement what was planned in the IDP. Currently it seems there are challenges that are caused by capacity problems and political interference in the administrative duties of the administrators. Much as it is admissible that South Africa has undergone political transformation, at the same time it is not excusable to fail when it comes to implementing projects that are planned for. It would seem that capacity challenges are not given proper attention as to whether managers and employees understand what needs to be implemented and how that should be done. Skills and qualifications are the most critical factors that need to be given serious attention when it comes to implementation of programmes and projects. By appointing incompetent people in critical position or politically connected people, the end product or the outcomes thereof are likely to be disastrous as this is revealed by service delivery protests. Project

management and financial management skills are very critical when it comes to implementation of any projects.

Hence the hypothesis of this study was formulated that due to lack of institutional capacity, Emfuleni Local Municipality was unable to implement the IDP to the satisfactory of the communities that they serve.

In support of the empirical research, institutional capacity issues and problems were analysed. The research analysis and outcomes indicate that a majority of the employees used in the sample admit to the fact that lack of skills and political interference as well as misalignment of functions within departments result in the municipality not being able to function to its full capacity.

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LIST OF ACRONYMS

CAT	CAPACITY ASSESSMENT TOOL
DBSA	DEVELOPMENT BANK OF SOUTH AFRICA
DPLG	DEPARTMENT OF PROVINCIAL AND LOCAL GOVERNMENT
ELM	EMFULENI LOCAL MUNICIPALITY
ISRDP	INDUSTRIAL STRATEGY FOR RURAL DEVELOPMENT PROGRAMME
IDP	INTEGRATED DEVELOPEMNT PLAN
IGRA	INTERGOVERNMENTAL RELATIONS ACT
GEAR	GROWTH EMPLOYMENT AND REDISTRIBUTION
LA	LOCAL AGENDA
LGSETA	LOCAL GOVERNMENT SECTOR EDUCATION AND TRAINING AUTHORITY
LPSD	LOCAL PATHWAYS FOR SUSTAINABLE DEVELOPMENT
NCBF	NATIONAL CAPACITY BUILDING FRAMEWORK
SALGA	SOUTH AFRICAN LOCAL GOVERNMENT ASSOCIATION
SAQA	SOUTH AFRICAN QUALIFICATIONS AUTHORITY
SETA	SECTOR EDUATION AND TRAINING AUTHORITY
SAMDI	SOUTH AFRICAN MANAGEMENT DEVELOPMENT INSTITUTE
WPLG	WHITE PAPER ON LOCAL GOVERNMENT

CHAPTER ONE

INTRODUCTION

1.1 ORIENTATION AND PROBLEM STATEMENT

The Municipal Systems Act (Act 32 of 2000) states that South African municipalities are required by law to use the Integrated Development Plans (IDP) as a basis for formulating their budgets. According to the Local government Municipal Systems Act No. 32; (2000:38) an integrated development plan must reflect a financial plan which must include a budget projection for at least the next three years. To form the basis of municipal resource allocation, IDP entails the integration of municipal strategic planning and budgeting processes and shift from input to outcomes based budgeting. Budgeting can be seen as the process of resourcing strategic plans within available finances, in order to give effect to policies and ensure service delivery (African Fiscal Research Centre) (Afrec, 2004:1).

With the above statement, it is clear that municipalities need to align their strategic plans to the budget for them to be able to give effect to policies and to ensure efficient delivery of services to communities they serve. The spate of protests that has hit the country's municipalities in recent years shows that officials have not been following directives stated in the IDP framework. The Emfuleni Local Municipality (ELM) as the focus of this study has also been unable to align its budget to the requirements of the IDP's or its strategy. Mismanagement of funds and the failure to compile and produce a financial statement timeously is an indication that the capacity for a municipality to deliver is hampered. This has been the case at the ELM where six council officials were suspended. Matekane stated that, the executive mayor of ELM, Mr Johnny Thabane, bowed to Gauteng Provincial Government pressure and handed down suspensions to six managers of the council following his meeting with the Gauteng MEC for Local Government Qedani Mahlangu, on the crisis bedevilling the ELM Council, mismanagement of funds being the main reason(Sic) (Matekane, 2005:9).

The above situation is an indication that there are institutional problems such as poor service delivery and failure to comply with *Municipal System Act no 32, 2000* on the part of the ELM. A few days after the suspensions mentioned above the municipal manager was also suspended.

He was suspended for failing to submit financial reports on time or as required by the *Municipal Financial Management Act 56, 2003*. If a large percentage of strategic managers are suspended, it shows that the strategic plan in place at the time was not followed, and thus followed the suspension of officials in key positions. This is also an indication that strict performance management principles were not implemented (ELM, IDP,2005:25). In recent times the council has been operating without a workable Performance Management system. This has gone on for over 8 months. As early as a month ago the Council finally resolved to appoint a Performance Management System Manager to drive the process. All Senior Managers including the Municipal Manager are still working without employment contracts. This might impact negatively on the functioning of the Municipality (Sic) (ELM, IDP, 2006:253).

Rogers (1999:21) states that the perceived lack of accountability of local government has been a continuing theme of public sector reform. He further asserts that accountability is a simple concept but the mechanisms for achieving it tend to be complex and multiple. In the Integrated Development Plan (IDP) (2005–2006:14) of the ELM, institutional problems are highlighted such as poor governance, breakdown in discipline, strategic and structural misalignment, low levels of staff morale and general absence of systems, procedures and policies. This is an indication that there is a lack of accountability as well from the side of the council. According to the Emfuleni Local Municipality Development Plan, the following issues were identified as weaknesses:

- Poor governance;
- Breakdown in discipline;
- Strategic and Structural misalignment;
- Low level of staff morale; and

- General absence of systems, procedures and policies.

Reddy *et al.* (2003:87) stated that avenues other than regular elections must be created to promote public participation.

A further requirement is that authorities should explain their actions or lack of actions and any other matter that demand public participation, to the public. To promote transparency the public must be provided with timely and sufficient information (Ismail *et al.*, 1997:10).

In an effort to maintain and promote public accountability in financial affairs, South African municipalities have to prepare mayoral budget address and annual reports with credible and understandable information. Citizens and communities will therefore be able to access municipal expenditure against the municipality's IDP (White Paper on Local Government, 1998:27). This has been lacking in most municipalities therefore protests are occurring in a sporadic manner with a recent one shown on television during the news broadcast on Morning Live 17 August, 2005 where residence of Frankfort in the northern Free State burnt down two houses belonging to ANC councillors. This is an indication that there is a lack of accountability on the part of municipalities and councillors. When asked about their actions, residents responded by saying that there is a lack of service delivery (SABC, 17 August 2005). This means that municipalities are not in a position to implement IDP strategies that could address the crucial needs of communities they serve.

It is therefore crucial for this study to look at institutional factors that render municipalities dysfunctional as well as their failure to deliver service to their communities, with the ELM as a case study.

1.2 RESEARCH QUESTIONS

The following research questions were answered:

- What is an IDP?
- What institutional capacity problems exist at ELM?
- What role does institutional capacity play on the IDP at Emfuleni Local Municipality (ELM)?

- To what extent has the ELM delivered on its mandate of service delivery to the people?
- Why a general absence of systems, procedures and policies?

1.3 OBJECTIVES

The following research objectives were identified:

- To give a theoretical exposition of the concept IDP;
- To outline the main features of the IDP at ELM;
- To review the extent of service delivery by ELM to the people;
- To highlight the institutional capacity problems that exists at ELM;
- To propose the recommendations for a general absence of systems, procedures and policies.

1.4 HYPOTHESIS

There is a lack of institutional capacity to implement the Emfuleni Local Municipality IDP and service delivery is accordingly being hampered.

1.5 METHODS OF RESEARCH / INVESTIGATION

This research project employed qualitative and quantitative research methods.

1.5.1 Literature study

Literature study involves an analysis of primary data such as legislations, viz. Constitution of the Republic of South Africa (Act 108 of 1996), White Paper on Local Government (WPLG) and all relevant legislations relating to local government.

In addition, the Integrated Development Plan, the budget documents and other relevant documents of Emfuleni Local municipality was used as primary data.

1.5.1.1 Databases consulted

The following databases were consulted:

- Catalogue of Books: North-West University libraries;
- Nexus database: Thesis and dissertations of South African Universities;

- Public Administration journals;
- Sabinet Online and NRF Nexus;
- Government documents.

1.5.2 Interviews

Research was targeted on a sample of Emfuleni Local Municipality. Semi-structured interviews were conducted with the HR MANAGER and HR Development manager of Emfuleni Local Municipality and other relevant officials.

1.6 OUTLINE OF CHAPTERS

The structure of the dissertation to be undertaken will be as follows:

Chapter 1: Introduction

Chapter 2: Theoretical exposition of the concept IDP

Chapter 3: Service delivery at Emfuleni Local Municipality

Chapter 4: Empirical research findings

Chapter 5: Conclusion

CHAPTER TWO

THEORETICAL EXPOSITION OF INTEGRATED DEVELOPMENT PLAN (IDP)

2.1 INTRODUCTION

Integrated development plans (IDPs) are the most important mechanism available to government to transform the structural differences in our previously divided society. The IDP process is also one of the primary means to develop communities.

When the IDP was first introduced in 2001/2002, it is informed by, among other things the apartheid legacy in local government and also to improve municipal development planning. The key aim of IDPs is to integrate development and management of the area of jurisdiction of the municipality concerned in terms of powers and duties IDPs help municipalities to develop strategic policy capacity, to mobilise necessary resources, to target their own activities and to develop a holistic strategy for poverty alleviation. This is meant to help municipalities respond effectively and efficiently to everyday demands of basic services by local communities.

The purpose of this chapter is to give a theoretical exposition of concept IDP and also a theoretical analysis of the meaning of capacity building.

2.2 WHAT IS AN IDP ?

Integrated development planning is a process through which municipalities prepare a strategic development plan for a five-year period. The Integrated Development Plan (IDP) is the written plan that results from an integrated development planning process. It is the principal strategic planning instrument that guides and informs all planning, management, investment, development, and implementation decisions and actions in the local area and supercedes all other plans that guide local development (LPSD,2003:9).

The IDP is a constitutional and legal process of municipalities. Apart from the legal requirements, there are other reasons why a municipality should

undertake IDPs. Firstly a municipality must have an IDP as this will help with the identification of local needs.

A municipality will then be able to prioritize the identified needs, taking into account its available resources and come up with ways that will provide for effective use of its usually scarce resources. Secondly, the identification of local needs and the least serviced areas within a given municipality will help it to speed up its delivery of services to affected area and communities (SALGA, 2007:7).

The *Municipal Systems Act* (MSA, 2002) requires of all municipalities (metropolitan councils, district municipalities and local municipalities) to adopt a single, inclusive plan for the development of the municipality which:

- “links, integrates and coordinates plans and takes into account proposals for the development of the municipality;
- aligns the resources and capacity of the municipality with the implementation of the plan;
- forms the policy framework and general basis on which annual budgets must be based; and is compatible with national and provincial development plans and planning requirements that are put on the municipality in terms of legislation” (South Africa, 2002:11).
- Below is the interpretation of the Municipal Systems Act as to what should municipalities do in implementing the IDP process.

2.3 INSTITUTIONAL ARRANGEMENTS, ROLES AND RESPONSIBILITIES OF MUNICIPALITIES

The MSA states that the authority responsible for management of the IDP process is to be either the executive committee or executive mayor of a municipality. In cases where a municipality has neither, a committee of councilors is appointed by the municipal council for the task. Whoever is given this task must:

- manage the drafting of the municipality’s IDP,

- assign responsibilities for the drafting of the IDP to the municipal manager, and,
- submit the draft IDP to the municipal for adoption by the council.

The Municipal Systems Act (MSA) lists the following as key components of the IDP:-

- The vision for the long term development of the municipality, with special emphasis on the municipality's most critical development and internal transformation needs.
- An assessment of the existing level of development in the municipality, which must include an identification of communities which do not have access to basic municipal services;
- The council's development priorities and objectives for its elected term, including its local economic development aims and its internal transformation needs;
- The council's development strategies which must be aligned with any national or provincial sectoral plans and planning requirements binding on the municipality in terms of legislation;
- A spatial development framework which must include the provision of basic guidelines for a land use management system for the municipality;
- The council's operational strategies;
- Applicable disaster management plans (which are a new addition to the IDP requirements and which are to be prepared in terms of the policies outline in the White Paper on Disaster Management);
- A financial plan, which must include a budget projection for at least the next three years; and a set of key performance indicators and performance targets.

(LPSD1998:10).

2.4 CHARACTERISTICS OF AN IDP

An IDP should have clearly defined and tangible characteristics for it to be a success. These characteristics are listed below as follows:

- **As a consultative process, IDP aims to become a tool for democratic local government by ensuring that:**
 - Engagement is structured;
 - Participation is institutionalized;
 - Bottom-up and top-down decision making processes of engagement are inter-linked; and
 - Focused analysis takes place to encourage debate on real issues (LPSD,2008:9).
- **As an integrated process, IDP aims to:**
 - Facilitate integration between the funding and investment decisions of the three spheres of government;
 - Improve co-ordination with the investment decisions of service providers and parastatals such as ESKOM and TELKOM.
 - Promote co-ordination in the investment and implementation of decisions and actions of district and local municipalities;
 - Promote an inter-sectoral as opposed to a multi-sectoral approach to planning and development; and
 - Facilitate the interaction of various sectors of the community in the planning process to arrive at commonly agreed and integrated outcomes (LPSD,2008:10).
- **As a strategic process, IDP aims to ensure that within a municipality:**
 - Most effective use is made of scarce resources;
 - Innovative and cost saving solutions are sought for local problems; and
 - Underlying causes and not symptoms are addressed (LPSD, 1998,11).

These points will be discussed in details below.

2.5 THE IDP AS A STRATEGIC PLANNING PROCESS

The IDP represents a strategic management tool for the municipalities in South Africa. The focus on strategic planning was informed by an international shift away from comprehensive planning in which an attempt is made to understand everything and to intervene in everything (Labuschagne, 2001:17). In the strategic planning phase, pragmatic decisions are made about what the priorities are and which direction to take. Therefore, if municipalities are to fulfil their new developmental role, they need to adopt a strategic approach to planning and management. This is because the IDP as a strategic plan is a single process of planning that according to the Development Bank of South Africa (DBSA) (2000:38) incorporates the sectoral planning strategies of municipalities. The ideology lies in the integration and the holism of the plan.

Strategic planning is aimed at improving operations and policies in the public sector. The idea of strategic planning also referred to as corporate/ business planning came from the business world mainly concerned with managing a firm in a complex changing environment. This changing complex environment calls for strategic management which is according to Paul (1983:17) a set of top management interventions which provide the framework for all the operational decisions and actions and hence facilitates effective performance.

Once a strategic plan is developed, it will guide the municipality's operations towards total development (*ibid*). According to DPLG (2000:23), the call for strategic planning follows the recognition that resources are limited. This means that local governments will be in a position to use limited resources more effectively considering the given conditions and policy guidelines directed towards key strategic issues.

The guiding principles in any strategic management process, whether in the private or public sector, are about understanding what changes are needed, how to implement and manage them and how to create a road map for sustaining improvements (McInerney & Barrows, 2000:35). The strategic goal for achieving goals should be in an operational plan that addresses changes.

A review of this plan must be ongoing. The processes of the IDP in South Africa are largely influenced by strategic management. The prerequisites of a strategic plan requires a formulation of a vision, a mission, and then the identification of key strategic objectives for which specific actions or strategies are taken to meet the desired objectives with a view to attain the desired mission (Phiri, 2003:14).

Strategic planning allows for greater participation in the IDP by encouraging stakeholders to participate and have thorough understanding of their various roles and responsibilities in the IDP process, hence different management styles need to be developed. The aim is to merge decision-making capacity and develop collaboration within and between communities by ensuring that participation is at the heart of development planning (Crook & Jerve, 1991:22). Therefore people must be involved in planning, deciding and evaluating to ensure effective community participation in the IDP. Citizens are thus seen as part of the planning process.

As an implementation-orientated process, IDP aims to become a tool for better and faster delivery by:

- Ensuring concrete proposals are designed;
- Close planning-budget links are made; and
- Institutional preparedness is addressed (LPSD, 1998:9).

2.6 THE PHASES IN THE IDP PROCESS

The IDP process comprises phases illustrated in the diagramme below:

Figure 2.1: Overview of IDP phases (Source: LPSD, 1998:10)

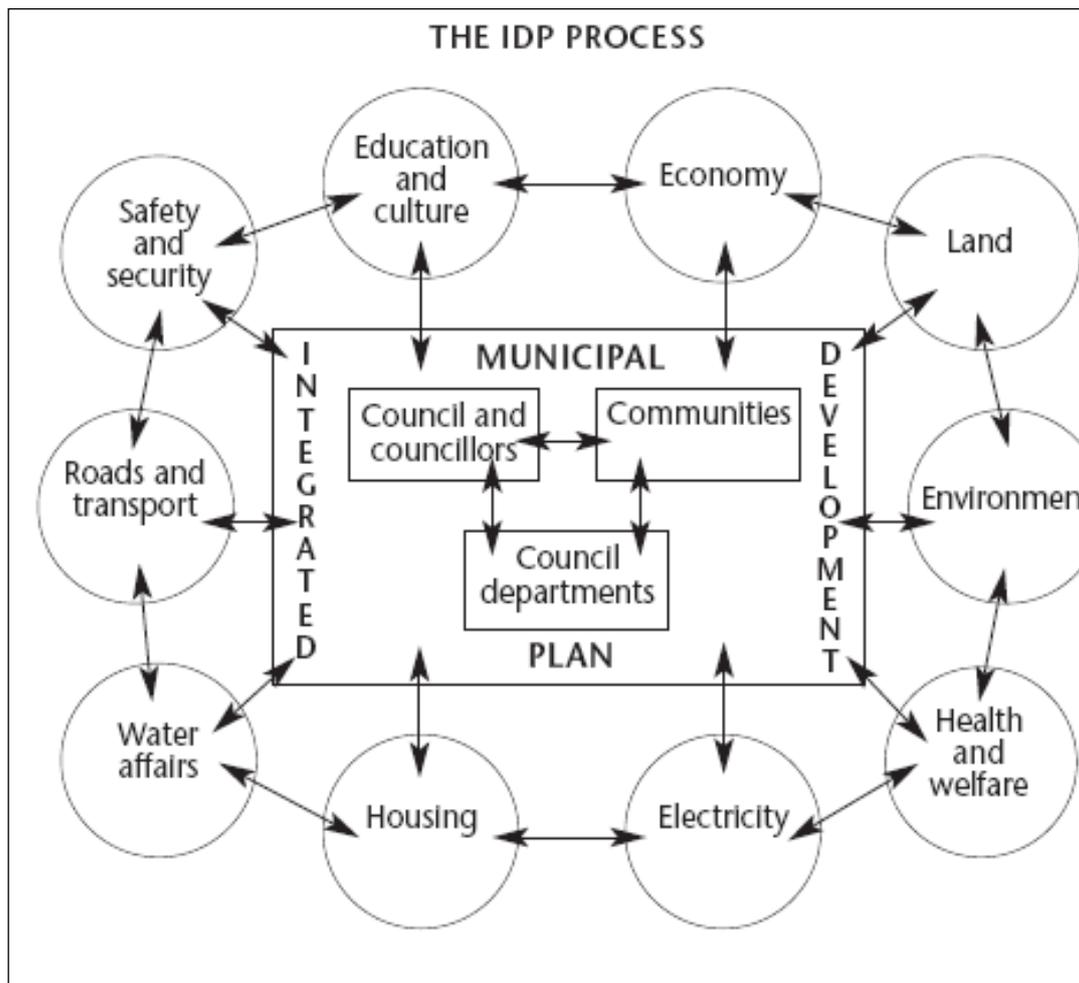
PHASE 0 PREPARATION	WHAT DO WE NEED TO PREPARE TO PLAN? <ul style="list-style-type: none"> • MUNICIPAL PROCESS PLAN AND DISTRICT FRAMEWORK
PHASE 1 ANAYLYSIS	WHERE ARE WE? <ul style="list-style-type: none"> • WELL UNDERSTOOD PRIORITY ISSUES
PHASE 2 STRATEGIES	WHERE DO WE WANT TO GO? HOW DO WE GET THERE?

	<ul style="list-style-type: none"> • VISION, OBJECTIVES, STRATEGIES, ID PROJECTS
PHASE 3 PROJECTS	<p>WHAT DETAIL DO WE NEED TO DEFINE TO REALISE THE STRATEGIES?</p> <ul style="list-style-type: none"> • INDICATORS AND BASIC PROJECT IMPLEMENTATION INFORMATION
PHASE 4 INTEGRATION	<p>WHAT DO WE NEED TO MANAGE TO MAKE IT HAPPEN?</p> <ul style="list-style-type: none"> • INTEGRATED MANAGEMENT PROGRAMMES AND PLANS
PHASE 5 APPROVAL	<p>ARE WE SATISFIED?</p> <ul style="list-style-type: none"> • AMENDED AND ADOPTED IDP



MANAGEMENT AND IMPLEMENTATION OF IDP PROJECTS, PROGRAMMES AND PLANS

Figure 2.2: The IDP process (Source: Geyer 2006:7).



The importance of the diagrams above indicates the driving force of the IDP which is made up of the council and the councillors, the staff and the communities. This structure confirms the fact that an IDP is developed by a municipality and the municipality therefore takes responsibility for the leadership and of the entire process. However, as advocated by intergovernmental planning, participation process must be driven by all role players visible from the circles surrounding the squares, who must be involved, although not necessarily altogether at the same time. Some of the outer circle will overlap with one another from time to time as well (Geyer 2006:11).

2.7 IDP AND LOCAL AGENDA 21

Integrated development can be viewed as the South African planning and development response to Local Agenda 21. According to the White Paper on

Local Government (1998:11), these plans will “assist municipalities to focus on the environmental sustainability of their delivery and development strategies” and defines sustainable developments as “development that delivers basic social and economic services to all, without threatening the viability of the ecological community systems upon which these services depend” (LPSD 2008:11).

This section will explore the relationship between the two processes by highlighting the similarities and convergences in terms of:

- A shared normative framework (principles and values).
- The extent to which the IDP process gives effort to the LA-21 characteristics.
- Congruent Process Requirements (ibid).

2.8 A SHARED NORMATIVE FRAMEWORK OR SHARED STANDARD FRAMEWORK

After the Rio Summit of 1992 held in Brazil (the United Nations Conference), a worldwide participatory process over a five-year period resulted in a penultimate draft set of principles for sustainable development with a view to guide and judge the actions of individuals, businesses and governments (LPSD 2008:3).

During the same time the unfolding policy process in South Africa gave birth to a set of developmental principles derived from the Constitution The Municipal Systems Act (MSA, 2002), the Reconstruction and Development Programme (RDP) and the Growth, Employment and Redistribution Strategy (GEAR). These principles constitute the normative framework that guides the planning process, representing the values that underpin the South African transformation process (LPSD 2008:11).

The key principles of these principle-led processes are fully compatible and constitute the normative framework for planning and development processes in South Africa (ibid).

The extent to which the principles of the Earth Charter relate to the Local Government White Paper principles for the SA development context is summarized below.

2.9 ORIENTATION TOWARDS PEOPLE AND THEIR NEED

- Care for the communities and live with understanding, love and compassion.
- Build societies that are free, just, participatory, sustainable and peaceful.
- Honour and defend the right of all persons, without discrimination, to a natural and social environment supportive of their dignity, bodily health, and spiritual well-being.
- Create a culture of peace and co-operation (LPSD, 2008:11).

2.9.1 Poverty alleviation with special consideration of marginalised and disadvantaged groups and gender equity

- Eradicate poverty, as an ethical, social and environmental imperative.
- Affirm and promote gender equality as a prerequisite to sustainable development (LPSD, 2008:12).

2.9.2 Environmentally sustainable development and a safe and healthy environment

- Respect Earth and life in all its diversity.
- Secure Earth's bounty for present and future generations-Protect and restore the integrity of Earth's ecological systems, with special concern for biological diversity and the natural processes that sustain life.
- Prevent harm as the best method of environmental protection, and when knowledge is limited, apply a precautionary approach.
- Treat all living beings with respect and consideration, and protect them from cruelty and wanton destruction.
- Advance worldwide the study of ecological systems and the dissemination and application of knowledge that enables communities to care for Earth (ibid).

2.9.3 Economic growth with creation of income and employment opportunities

- Ensure that economic activities, including world trade, support and promote human development in an equitable and sustainable manner.
- Adopt patterns of production, consumption and reproduction that safeguard Earth's regenerative capacities and human rights (LPSD,2008:11).

2.9.4 Governance involvement of residents, communities and stakeholders

- Establish transparency and accountability on governance, and provide access to information, inclusive participation in decision-making and access to justice.

2.9.5 Sustainability of services, municipalities and settlements

- Integrate the knowledge, values, and skills needed for promoting sustainable development into universal education and life-long learning.

2.10 LA 21 AND IDP CHARACTERISTICS

This section describes how the IDP process incorporates and gives effect to the characteristics of Local Agenda 21 (LPSD, 1998:12).

2.10.1 Integration of social, economic and environmental issues

The IDP process ensures the integration of social, economic and environmental concerns through incorporating these issues into a municipal level environmental, poverty and gender and socio-economic analysis, the formulation of strategic development guidelines, the development of alternative assessment and prioritization criteria, the setting of indicators, impact assessment and the assessment of strategic and policy compliance (ibid).

The IDP process does not only refer to integration across sectoral or disciplinary interests, it also pursues:

- The spatial integration of place of employment and place of residence;
- The integration of multiple land uses;

- Integration between adjacent geographic areas;
- The eradication of spatial segregation;
- The integration of urban and rural areas;
- The integration of ethnic groups;
- The social and economic integration of different communities;
- The integration and co-ordination of institutional activities;
- The integration of various development processes such as planning, management, implementation, monitoring and review; and
- The integration of development information (DPLG 2005:23).

In South Africa with its heritage of inequitable growth and development and the reality of countless demands on limited resources, the need for integration is probably more complex and pronounced than anywhere else in the world.

2.10.2 Multi-sectoral focus

The IDP process supports an issue-driven as opposed to a sector-based approach to development planning. The IDP is a strategic instrument that should guide all municipal processes and resides in the office of the municipal manager. The various sector plans that are legally required, should be informed by and should inform in turn, the integrated development planning process.

2.10.3 Linking local issues to global impacts

Municipalities should translate their understanding of local development issues and their global impact into targeted strategies and specific actions to mitigate the negative impact of local issues in the global context. (e.g. the lack of food security at a local level contributes to continental and global trends of famine). Similarly it is important to understand how global issues impact on local realities. (e.g. the effect of ozone depletion on human health and the need for strategies to prevent and cure resulting diseases).

2.10.4 Concern for the future – taking a longer term view

The IDP process requires the formulation of a shared long-term vision with a 20-25 year time horizon for the municipal area. It is a statement of the desired long-term development of the municipality.

2.10.4.1 Vision

The purpose of the vision statement is to:

- Provide a mental framework that gives form to the future by providing strategic direction to the formulation of medium term municipal objectives and strategies and short-term projects and actions;
- Consolidate communities behind a collective picture for their desired future;
- Mobilize all role-players onto an agreed course of action; and
- Enable communities to respond proactively to the opportunities, challenges and threats of the future (LPSD 2008:17).

The IDP also requires that municipalities negotiate the anticipated impacts and implications of their development proposals. Municipalities are required to reflect on the medium to long-term environmental, social, economic, spatial and institutional impact of their proposed strategies and projects and adjust their strategies, projects and programmes accordingly, for an example, municipalities need to consider the operational and maintenance implications of capital projects and off-set it against the planned resources in the financial and institutional plans.

Through the setting of performance indicators, municipalities are encouraged to monitor and evaluate the medium to long-term effect of their development interventions. This will enable municipalities to reflect on:

- The sustainable use of resources-input indicators
- The achievement of development targets-output indicators; and
- The impact of implementation-outcome indicators.

2.10.4.2 Recognising and working within limits

Recognising and working within limits by considering issues such as resource frames and institutional capacities. The IDP process can only be strategic if it considers resource limitations and constraints in a systematic way. The IDP methodology requires from municipalities to assess the state existing resources (environmental, social, institutional, financial, economic), in the analysis phase. During the process of strategy formulation, municipalities need to consider the optimal use of resources in addressing their development concerns. In the projects phase, municipalities need to identify and allocate relevant resources for the implementation of projects and determined risks related to resource utilization. During the integration phase municipalities need to assess the cumulative implications of resource utilization adjust their plans and programmes accordingly (Rauch, 2002:17).

2.10.4.3 Local municipalities working through partnerships with civil society involving communities in their own development

The integrated development planning process presents a fundamental shift from a technically-based planning approach to a participatory planning process. Representative participation is an essential element of a democratic planning process. The development priorities process acknowledges the right of people to take responsibility for their own futures and to actively participate in the realization of the vision for their area.

The IDP process should provide the opportunity for disadvantaged and marginalized groups to make their voices heard. “Municipalities must make every effort to ensure that previously disempowered and/or young and elderly people-are fully involved.”

2.10.4.4 Equity justice and accountability

The IDP process should address the severe social and economic imbalances that characterize South African society. The Constitution requires that:

“municipalities structure and manage their administration, 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.”

The strategies, projects and programmes that are generated through the process of integrated development planning must therefore be tested in terms of the extent to which they assist in empowering and improving the living conditions of the disadvantaged (DPLG 2005:19).

The integrated planning process, by its very nature, seeks to support the main objective of the RDP to “mobilize all our people, and our country’s resources towards the final eradication of apartheid and the building of a democratic, non-racial and non-sexiest future (LPSD, 2006:14).

2.10.5 Understanding capacity building in local government

2.10.5.1 A definition of capacity

In this section, the study will attempt to define capacity building as defined in the National Capacity Building Framework. During the implementation of Project Consolidate, it became apparent that stakeholders use the term ‘capacity’ in a variety of ways. For some people capacity means simply the volume of posts filled, or, more definitely, the number of posts filled by appropriately skilled and orientated people in the institution/sector. For some the term implies technical ‘know-how’, which may be gained from formal skills training or from experience. Others use the term to refer to change management capability (the capacity to positively transform and improve a system/institution), or strategic management capability (the capacity to develop a strategic overview, prioritize interventions, and act in areas of maximum leverage). Some people see capacity as an attitude (for example, the stamina and tenacity to make steady, even if incremental, progress). Others see capacity as a personal character attribute (for example, a sense of public integrity).

Within this range of interpretations, stakeholders perceive a need for ‘balancing’, or making trade-offs, between different kinds of capacity. In choosing appropriate personnel, stakeholders felt that, where there are individuals with the correct orientation, these individuals do not always have the appropriate level of technical know-how. Where there is an appropriate level of technical know-how, there is not always a sense of urgency for social and economic emancipation. Where there is courage for change

management and transformation, there is not always the level of stamina or tenacity to see it through.

Clearly, 'capacity' is interpreted in many different ways. It is therefore important for the NCBF to provide a shared definition of capacity, to enable a meaningful interaction between stakeholders involved in thinking about, planning for, and implementing, capacity building interventions.

In its simplest form, capacity can be regarded as the potential for something to happen (NCBF 2006:26). Matovu (2006:7), also states that capacity building can be described as 'identifying constraints and helping those in need to improve their competencies to overcome such constraints and achieve desired goals'. In that regard, capacity building in participatory planning and budgeting, can be defined as a 'process of strengthening the key actors' capacity to identify their needs and determine their own values, priorities, destiny. The process consist of, among others, developing awareness, acquiring knowledge and skills for purposes of meaningful participation.

The NCBF uses a multifaceted definition of capacity, which takes into account the factors that 'make things happen' on the environmental, institutional and individual levels (ibid).

2.10.5.2 Individual capacity

Individual capacity is the potential and competency, or lack thereof, found within a person, normally reflected through his or her specific technical and generic skills, knowledge, attitudes and behavior, accumulated through forms of education, training, experience, networks and values.(NCBF 2006:27).

The significance of individual capacity for local government includes the following:

- Municipalities must appoint the correct person in a suitable post where his or her individual capacity can be utilized to the maximum advantage of the communities served.
- A municipality must develop its human resource capacity to level that enables it to perform its functions and exercise its powers in an

economical, effective, efficient and acceptable way (Municipal Systems Act (32 of 2000), Section 68)

- Capacity gaps in an individual can, and must, be filled through training, mentoring, learning networks, etc. For this purpose municipalities must comply with the skills Development Act, 1998 (Act 97 of 1998) and skills Development Levies Act, 1999 (Act 9 of 1999) (NCBF, 2006:26).

2.10.5.3 Institutional capacity

Individual capacity is harnessed within a specifically created institutional context. This context can have both positive and negative effects on individual capacity. Therefore institutional capacity is the potential and competency, or lack thereof, found within organizations. It includes human resource (collective individual capacities), strategic leadership, organizational purpose, orientation, institutional memory, internal confidence, partnerships, inter-governmental relations, powers and functions, resources and support systems, infrastructure and financial abilities, structures, processes, culture and by-laws (NCBF 2006:28).

The significance of institutional capacity for local government includes:

- It is the municipality's responsibility to ensure an optimum institutional context; this includes aspects such as organizational culture, leadership, vision, etc.
- Strategic leadership, orientations, structures, skills, systems and resources all obviously refer to a municipality's internal abilities and its current state of readiness, which is part of operational capacity and part of institutional capacity.(NCBF 2006:28).

2.10.5.4 Environmental capacity

Environmental capacity is the potential and competency, or lack thereof, found outside of municipalities' formal structures. There are elements that, as a municipality, one has little or no influence or direct impact upon, but that may be needed by the municipality. There are external conditions that the municipality may be able to harness. Environmental capacity includes the socio-economic (e.g. tax base) and demographic composition; the political,

legislative, and social capital within communities; the ecological, geographical and non-municipal infrastructure, and the natural, mineral and environmental resources available.

The significance of environmental capacity for local government lies in the possibility for municipalities to harness environmental capacity for the benefit of the local community. For example, municipalities may base their LED strategy on natural features which have tourism potential, or tap into a local political culture to strengthen community governance (ibid).

Municipalities also need to respond to gaps in their environmental capacity, for example, to develop strategies to increase a weak tax base. While municipalities need to engage with environmental capacity, it must be noted that the success of municipal strategies may be contingent on factors beyond the municipality's control (e.g. population movements, national economic growth, or state-wide social political stability).(NCBF 2006:28).

2.10.5.5 Integration

The three types of capacity (individual, institutional and environmental) are all related and integrated. For example, municipalities with a good location and with a good revenue base (environmental capacity) can often attract good management capacity. However, the two forms of capacity cannot be targeted and built in the same way.

The NCBF works from the premise that environmental capacity can be enhanced by building municipal operating capacity, and by ensuring an integration of capacity building strategies. However, it also recognize that strategically planned interventions from outside the individual municipality (e.g. legislation) can improve the environment in which the municipality operates, and have a knock-on positive impact on the municipality's institutional capacity.

The NCBF insists that every effort be made to ensure the integration of the three elements of capacity building, as these serve to strengthen each other exponentially. Capacity building which targets all three area requires that a range of players be involved in capacity-building, as some players are able to act on the environment, while others are positioned to act on the institutional

and individual levels. A shared strategic approach across the range of players involved in local government capacity building is likely to enhance the impact of each player's efforts (NCBF 2006:43).

2.10.5.6 Capacity gap

The final term, which should be defined here, is 'capacity gap'. This is the difference between the capacity that a municipality has, and the capacity it needs in order to comply with legislation, service delivery and developmental challenges. The gap, once assessed, informs the nature of capacity building programmes to be designed in that specific municipality (NCBF 2008:30).

2.11 THE LEGAL FRAMEWORK FOR LOCAL GOVERNMENT

As part of the establishment of democratic local government, a set of legislation was developed to govern local government. This legislation has progressively changed the way in which local government plans and delivers its services. Moving from a conventional approach of the delivery of basic services, there has been a shift towards local government as an agent of local development within a developmental state.

This section of the NCBF summarises the key legislation governing local government, in particular:

- The Constitution of 1996
- The White Paper on Local Government of 1998
- Local Government: Municipal Demarcation Act of 1998
- Local Government: The Municipal Structures Act of 1998
- Local Government: The Municipal Systems Act of 2000
- The Municipal Finance Management Act of 2003
- Local Government: The Municipal Property Rates Act of 2004
- Cross-boundary Municipalities Laws Repeal and Related Matters Act of 2005
- Intergovernmental Relations Framework Act of 2005 (NCBF 2006:47).

2.11.1 The Constitution of 1996

The Constitution of South Africa outlines a vision for developmental local government, and tasks local government with:

- Meeting the basic service needs of people, especially the poor and marginalized
- Facilitating opportunities for economic development in their areas, and contributing to economic growth in the local area, region and national economy.

The constitution notes that a municipality must govern its affairs on its own initiative, by demonstrating the financial and administrative capacity to:

- Provide democratic and accountable government for local communities
- Ensure the provision of services to communities in a sustainable manner
- Promote social and economic development
- Promote a safe and healthy environment
- Encourage the involvement of communities and community organizations in the matters of local government (Republic of South Africa,1996;12).

The Constitution, and legislation aimed at realizing the vision of development local government outlined in the Constitution, includes some clauses specifically related to building the capacity for development local government. These are summarized in the table below:

Table 2.1: Capacity building responsibilities to the Constitution (Source: National Capacity Building Framework NCBF, 2008:47).

LEGISLATIVE REQUIREMENT	RELEVANT LEGISLATION	RESPONSIBILTIIY
...support and strengthen the capacity of municipalities to manage their own affairs, to exercise their powers and to	Constitution, 1996, Section 154 (1)	National and Provincial government, by legislative and other

perform their functions.”		measures
“...promote the development of local government capacity to enable municipalities to perform their functions and manage their own affairs.”	Constitution, 1996 Section 155 (6) b	Provincial government, by legislative and other measures
Build “... the capacity of local municipalities in its area to perform their functions and exercise their powers where such capacity is lacking”.	Local Government: Municipal Structures Act, 1998, Section	Each district municipality
“...a municipality must develop its human resource capacity to a level that enables it to perform its functions and exercise its powers in an economical, effective, efficient and accountable way, and for this purpose must comply with the Skills Development Act, 1998 (Act 81 of 1998), and the skills Development Levies Act, 1999 (Act 9 of 1999)”.	Local Government: Municipal Systems Act, 2000, Section 68	Each district Municipality
“All spheres of government and all organs of state within each sphere” must, amongst other things, “secure the well-being of the people of the Republic; provide effective, transparent, accountable and coherent	Constitution, 1996, Section 41	Each municipality

government for the Republic as a whole and co-operate with one another in mutual trust and good faith by fostering friendly relations and ...assisting and supporting one another..."		
Each "administration in every sphere of government, organs of state, and public enterprises must adhere to the basic values and principles governing public administration".	Constitution, 1996, Section 195	All spheres of government

The Constitution regards development municipalities as having capacity to govern local government affairs on their own initiative, but supported through strong inter-governmental relations, by national and provincial government.

Severe national and provincial sectoral line departments are responsible for functions that fall within the Constitution's definition of municipal functions (for example, municipal health, economic development, transport and tourism). The Constitutional vision of developmental local government can only be achieved if all spheres of government cooperate strongly in planning, the allocation of resources, and implementation (DPLG 2006:18)

2.11.2 The White Paper on Local Government, 1998

The White Paper on Local Government elaborates on the vision of developmental local government put forward by the Constitution.

The White Paper identifies four inter-related characteristics of local government geared towards development in the following manner:

- Exercising municipal powers and functions in a manner which maximizes their impact on social development and economic growth ;
- Playing an integrating and coordinating role to ensure alignment between public and private investment within the municipal area

- Democratizing development, empowering the poor, and redistributing income and opportunities in favour of the poor and
- Building social conditions favorable to development (ibid).

The White Paper further urges local government to focus on development outcomes, such as:

- The provision of household infrastructure and services
- The creation of liveable, integrated cities, towns, and rural areas
- The promotion of local economic development
- Community empowerment and redistribution of resources equally to residence.(

The White Paper goes on to identify three approaches to assist municipalities to become more developmental, namely integrated development planning, budgeting and performance monitoring, performance management, and working with citizens and partners.

The White Paper represented a major paradigm shift in terms of how municipalities should democratize development and integrate development planning with community-based goals.

Following the publication of the White Paper in 1998, a set of legislation was enacted to give effect to the provisions of the White Paper, and provides a legislative framework for developmental local government (DPLG 1998:27). .

2.11.3 Local Government: Municipal Structures Act of 1998

The Municipal Structures Act provided the basis for the establishment of new metropolitan, local and district municipalities. It created an institutional framework for developmental local government.

The establishment of a two-tier system of local government in non-metropolitan areas was adopted as a way of ensuring service delivery in areas where local municipalities lacked the capacity to deliver. The Act charged district municipalities with building “the capacity of local municipalities in their area to perform their functions and exercise their powers where such capacity is lacking”.

2.11.4 Local Government: Municipal Demarcation Act of 1998

The local Government: Municipal Demarcation Act enabled a re-demarcation of all municipal boundaries. The re-demarcation process did away with racially based municipal jurisdictions, and reduced the number of municipalities from 834 to 284. (A subsequent amendment resulted in 283 municipalities.

The effect was to create municipal areas which were more financially viable (in terms of their revenue base), and to lay the basis for democratic non-racial governance.

2.11.5 Local Government: Municipal Systems Act of 2000

The Municipal Systems Act lays a foundation for the mechanisms, systems and processes that give effect to developmental local government:

- It stresses in the need for a more accountable, inclusive and participatory approach to governing in the local arena, with strong emphasis on efficient and effective service delivery.
- It highlights the important role of community participation, and goes on to prescribe the content and approach of participation in the system of local governance.

The Act notes that it is the role of the municipality to ensure that an appropriate and skilled workforce is in place to deliver services and manage the development and growth of the municipality.

2.11.6 Municipal Finance Management Act of 2003

The Municipal Finance Management Act (MFMA) provides the financial management framework for local government. It elaborates the powers and functions of national treasury in relation to municipalities, financial management, approaches to municipal budgets, roles and responsibilities of councilors and municipal officers, financial conduct and the management of misconduct.

Chapter 5, Section 34 of the MFMA indicates that “national and provincial governments must by agreement assist municipalities in building the capacity of municipalities for efficient, effective and transparent financial management.”

Furthermore, it notes that “national and provincial governments must support the efforts of municipalities to identify and resolve their financial problems.”

Notably, the MFMA states that efficient and effective systems and service delivery are a shared responsibility between the local and other spheres of government. Technical financial management as well as appropriate systems are crucial if the objectives of the Act are to be realized.

2.11.7 The Municipal Property Rates Act of 2004

The Municipal Property Rates Act provides a strong legislative frame within which municipalities can enhance their own revenue through the setting and collection of rates on property. This is an important element of institutional capacity.

2.11.8 Cross Boundary Municipality Laws Repeal and Related Matters Act of 2005

This legislation has resulted in the abolition of cross boundary municipalities that were spread across, and accountable to two provinces. The abolition of cross-boundary municipalities has clarified the operational and accountability framework for affected municipalities.

2.11.9 Intergovernmental Relation Frameworks Act of 2005

The Intergovernmental Relations Framework Act gives substance to the concept of cooperative government”.

The Act provides a framework for national, provincial and local governments, and all organs of state, to facilitate coordination in the implementation of policy and legislation, including”

- Coherent government
- Effective provision of services
- Monitoring implementation of policy and legislation
- Realization of national priorities.

The Act notes that all spheres of government should seek to uphold its objectives by, amongst other things, “taking into account circumstances of other spheres when performing their powers and functions”. This is achieved

through consultation, coordinating of actions, avoiding duplication, effective and efficient shared systems and procedures, and participation in inter-governmental structures.

The Act talks directly to local government planning and capacity: it acknowledges that local government's realm is the shared responsibility of a wide variety of stakeholders in and across government. It creates the legislative platform for joint responsibility for local government (through clusters, committees and other forums).

The Act enables a more structured form of coordination and implementation, which will impact on the roles (and corresponding capacity needs) of all three spheres of government.

Finally, the Act calls for a "new way of integrating and doing things". This implies some level of institutional strengthening to ensure that the objectives and intent of the Act are fully understood and operationalised. abilities to discharge these obligations and responsibilities [Sic] (NCBF, 2006:32).

2.12 CONCLUSION

Having outlined the theoretical perspective and processes of the IDP in this chapter, it is clear that municipalities have all the necessary legislation, policies and frameworks to implement successful developmental programmes. This further requires that municipalities must not rush into concluding the IDP document without thorough understanding of the steps that assist them in implementing successful programmes. This would further strengthen the credibility of their IDP document and improve the chances of a successful implementation when it comes to that stage.

With a definition of capacity building having been outlined, the following chapter will outline the critical elements or structures in place for the municipality to implement capacity building frameworks as well as the general problems facing municipalities in South Africa, with particular reference to Emfuleni Local Municipality as the focus of the study.

CHAPTER THREE

SERVICE DELIVERY CHALLENGES IN MUNICIPALITIES AND EMFULENI LOCAL MUNICIPALITY (ELM) IN PARTICULAR

3.1 INTRODUCTION

This chapter aims to describe the environment within which the Emfuleni Local Municipality exists. The first part of this analysis will focus on the external factors such as the Socio-economic status of the area whilst the second part will focus on the internal factors such as service delivery, financial and institutional issues within the Emfuleni Local Municipality. Issues of corruption, capacity building and other matters that are lacking such performance management system as well as the current problems affecting municipalities in South Africa are also going to be outlined, and lastly cooperative governance and intergovernmental relations will also be dealt with in this chapter.

3.2 THE LOCATION OF ELM

The Emfuleni Local Municipality is one of three Local Municipalities constituting the Sedibeng District Municipality. It is the western-most Local Municipality of the District, which covers the entire Southern area of the Gauteng province extended along a 120 kilometres axis from east to west. It covers an area of 987.45km². The Vaal River forms the South boundary of the Emfuleni Local Municipality and its strategic location affords it many opportunities for tourism and of all forms of economic development opportunities. Emfuleni Local Municipality shares its boundaries with Metsimaholo Local Municipality in the Free State to south, Midvaal Local Municipality to the east, the City of Johannesburg Metropolitan area to the north and Westonaria Potchefstroom (in North West Province) Local Municipalities to the west.

The municipality is strategically located with access to a well-maintained road network - N1 national route linking Johannesburg and Bloemfontein which traverses Emfuleni. Emfuleni Local Municipality has two main town centres namely Vereeniging and Vanderbijlpark while another Free State town of

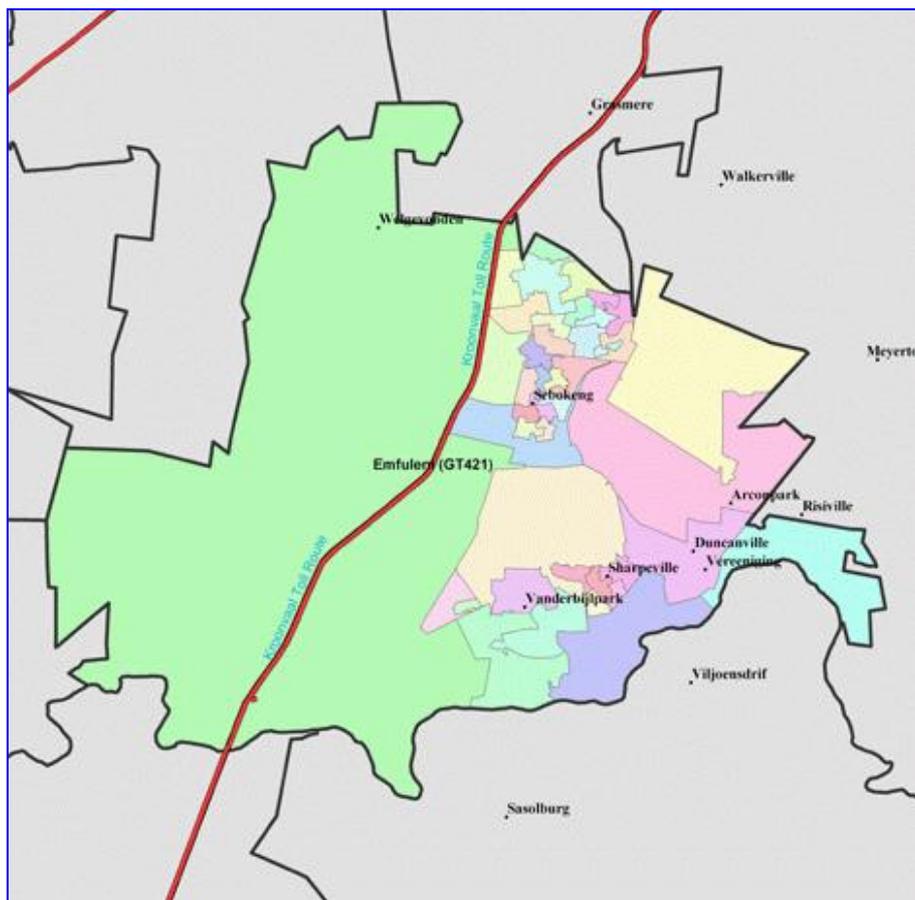
Sasolburg is only 10 kilometres to the south, across the provincial boundary. It forms the “heartland” of what was formerly known as the Vaal Triangle, renowned for its contribution to the iron and steel industry in South Africa.

The area also comprises a number of large residential areas, all of which require considerable investment in infrastructure development. The Emfuleni Local Municipality has a very rich in history as it encapsulates the Anglo Boer heritage assets, the Sharpeville monument and the end of the liberation struggle epitomized by the signing of the Constitution in 1996 in Sharpeville (ELM, IDP 2007:14).

3.3 MAP OUTLINE OF ELM

The map in figure 3.1 below outlines the area described above as constituting the Emfuleni Local Municipality:-

Figure 3.1: Map outline of ELM (Source: IDP, 2007:8)



3.3.1 Demographic profile of ELM

3.3.1.1 Population size

Table 3.1: Current estimate of population size

The current population of Emfuleni is estimated at 688 844 (DBSA, 2005), an increase of 30 423 since. Census 2001 and constitutes a 4.6% growth rate.	
Vanderbijlpark	22 390
Vereeniging	26 097
TOTAL	49 997

The high growth rate indicates that Emfuleni has a history of high migration. This high-migration rate could be ascribed to new housing developments attracting new residents.

3.3.1.2 Population dynamics

Emfuleni is a largely urbanized municipality, with high population concentrations and density compared to other municipalities making up the District. In fact, the municipality houses around 80% of the population in Sedibeng district.

3.3.1.3 Population composition

The racial composition of Emfuleni population is indicated in the table below and geographically most of the African population is concentrated in areas such as Sebokeng, Evaton, Sharpeville, Boipatong and Bophelong. This illustrates the entrenched racial divisions within the municipality. These tend also to reflect the socio-economic geography of the municipality and the pattern of access to services.

Table 3.2: Demographic composition

	AFRICAN	COLOURED	INDIAN/ASIAN	WHITE	TOTAL
MALE	271 011	3 416	3 010	45 254	322 692
FEMALE	282 296	3 595	2 881	46 959	335 731
TOTAL	553 307	7 011	5 891	92 213	658 422

(Source: Census 2001)

3.4 INTERNAL ANALYSIS

This aspect of analysis reflects on the municipality's activities and how they impact in particular on communities that the municipality serves. As such this analysis will focus on service delivery, financial viability and institutional issues.

3.4.1 Infrastructure and service delivery

With regard to service delivery, the following key problems were identified by the ELM as key priorities of the current IDP:-

The previous IDP did not address the real problems of the municipality. There was a disproportionate emphasis on economic development issues, at the expense of service delivery issues and financial stability. This problem was further exacerbated by weaknesses in the conceptualization of the IDP's, the general strategic thrust of Council, and the allocation and prioritization of resources.

The poor maintenance of core infrastructure is another key problem. This problem emanates largely from a combination of the financial crisis and a protracted culture of poor decision making. Resources are not deployed to mission critical areas and there is a general tendency of waste attributable largely to pilferage, nepotism and corruption. The annual budget for the past 4 years for maintenance varied between 2.5-3% of the total budget which is well below the acceptable % of approximately 10-15%. Backlogs are currently approaching R2 Billion.

Resources are not deployed to mission critical areas such as road conditions, road marking, traffic signs, public lighting, grass cutting, refuse

removal, illegal dumping, sewer spillage and water leaks. There is no action plans to prevent deterioration of infrastructure.

Another major problem is the poor planning, implementation and monitoring of service delivery. This problem is attributable to a combination of factors and affects the key areas of water, sanitation, refuse removal and cleansing. Service delivery is not reflected as a priority on the budget. Problems exist with regards to water meter reading, billing, timeous refuse removal, management of illegal dumping, general waste management, cleansing, maintenance of road infrastructure, workshop inefficiencies and poor contract management. All these impact very negatively on the quality and standard of service delivery and fuel the growing perception of poor service delivery(ELM IDP,2007:12).

3.4.2 Financial viability of the ELM

With regard to financial viability the following key problems were identified:

- **Poor and improper billing:** A large number of bills are returned to Council. This is indicative of a corrupt database and poor follow through by management. The net effect is a negative impact on revenue collection.
- **Very high debt levels.** Emfuleni's debt levels are very high. Its total debtor's book currently stands at +/-R1.5 billion. This can be broken into 3 categories consisting of R350 million, R1.000 million and R135 million of debt respective. This problem is exacerbated by unnecessary debt write-offs and consistent violations of credit control policies.
- **Skills level of financial staff:** The Emfuleni Local Municipality has approximately 230 staff members in its financial department. Indications are that for a municipality of Emfuleni's size, these numbers should be in the vicinity of 125-1`50 people. However despite the number of staff the department's productivity levels and the quality of its word is seriously substandard. This is largely attributable to a lack of skills across the entire spectrum of this department.
- **Poor management practices:** The Auditor Generals reports for the past 4 years is replete with evidence of mismanagement of a very poor

accounting and controls environment and poor planning especially with regard to budgeting and cash management.

3.4.3 Institution building at Emfuleni Local Municipality

With regard to institutional issues the following key problems were identified:

- **Poor governance:** The basic principles and norms and standards as provided for by key pieces of legislation are not people work ethos and accountability will have to be re-instituted. This view is substantiated by the number of bad and costly decisions made over the past four years.
- **Breakdown in discipline:** The Emfuleni Local Municipality is characterized by poor adherence to the most basic standards of a disciplined organization. Disciplining is almost non-existent, slow and lacking in credibility. This has led to an environment where theft, pilferage and abuse of Council's assets are common practice.
- **Strategic and Structural misalignment:** The strategy of the Council bears little resemblance to its structure. This has created an environment characterized by duplication and ineffective deployment of Council's human resources.
- **Low levels of staff morale:** The levels of staff at Emfuleni are very low. This is largely attributable to a lack of a clear focus and direction over the past four years. This lack of focus and direction has resulted in confusion, demoralization and demotivation.
- **General absence of systems, procedures and policies.** Emfuleni is generally characterized by dysfunctional and erratic implementation of procedures, obsolete technological platforms and hardware, and the absence of cohesive integrated systems (Emfuleni IDP,2007-8:14).

3.4.3.1 Issues on intergovernmental relations

Had Emfuleni sourced and sought assistance of the prescriptions stated in the intergovernmental relations policies, the above scenarios would have been minimised because help could have been provided by sister departments and other municipalities who might have gone through a similar situation as an

institution. This is further attested to by what is recommended in issues of cooperative governance in the following paragraphs.

According to the principles of co-operative governance, all spheres of government must co-operate with one another in mutual trust and good faith by:

- Assisting and supporting one another,
- Informing one another of and consulting one another on matters of common interest, while
- Co-ordinating their actions and legislation with one another (RSA, 1996:21).

This means that the principles of co-operative government are of vital importance to all spheres. This is because in the past, local government used to work in isolation, thus resulted in appalling systems of local government. The relationship between and within the spheres of government will ensure that the greatest cohesion is obtained. More attention will be given to the effectiveness of service delivery, which will be enhanced by bringing government closer to the people.

It is apparent that a clear legislative and policy framework exists for inter-sphere coordination. However, the challenge to date is due to the inability of the spheres of government to convert such legislations and policy frameworks into a working model which will achieve the objective of transforming IDPs into government-wide commitments (Richards, 2006:73). co-operative governance was introduced by the South African government to promote institutional integration and give meaning to integrated service delivery as part of the goal of government of bringing services closer to the people.

It was the intention of co-operative governance to ensure better delivery of services to the people by both spheres of government.

According to Carter, (2004:44), cooperative governance between the spheres of government is a relationship which entails that each sphere has a specific role to play and should promote constructive relations between and within the three spheres and also encourages engagement on service delivery.

Despite the fact that local governments now make part of the government structure, they are often dependent on the two higher spheres because local government cannot work in isolation with the other two spheres of government. Planning undertaken by local government sphere must be aligned with and complement the development plans and strategies of other spheres and organs of the state within those spheres so as to give effect to the principles of corporative governance (Richards, 2006:98). It can be argued that this is in contrast to earlier developments of co-operative governance in most countries where the relationship is only between the two higher spheres of government. In South Africa a tripartite system is applied, which recognises local government as an important equal partner (Levy & Tapscott, 2001:65). The Constitution (1996) placed an obligation on local government to participate in co-operative governance and to equally deliver standard services to local communities. This means that municipalities must participate in all national and provincial development programmes.

Through co-operative governance, local authorities are required to extend and deepen democracy by responding to the needs of the people. In this way, local authorities should also be able to respond to the changing needs and demands of local communities. There should be a continuous communication and co-ordination among different spheres of government and different government departments in order to achieve a common goal (ibid).

However, it is argued that capacity in national and provincial governments is not built at all levels to enhance understanding of local government and knowledge of intergovernmental and inter-sphere planning process (Richards, 2006:78).

These capacity problems cover the whole range of aspects associated with the IDPs, from the ways in which municipalities address their problems, the institutional structures of municipalities and the extent to which intergovernmental development planning is being achieved. From the provincial perspective, there is only a basic level of alignment between municipal IDP and provincial policy framework. Municipalities on the other hand do not ensure proactive approach towards engagement with provincial sector on aspects mentioned above.

In light of the above, several assumptions therefore underpin the idea of IDP in cooperative governance as a mechanism to improve the effectiveness of service delivery at local level. It is assumed that even though the national government is regarded as the highest sphere, it cannot plan and implement development plans on its own without the help and support of the other two spheres of government as well as the organs of the state and private organizations. Therefore, co-operative governance requires a system of cooperation and contractive intergovernmental relations within each sphere and across all spheres of government, at the same time demanding a system of intergovernmental planning within the spheres of government (Nelán, 2005:42). Intergovernmental planning refers to an approach in which the activities, plans and strategies that guide the three spheres of government are aligned with one another (*ibid*). Intergovernmental planning will ensure that plans of municipality are aligned with those of sector departments and the other spheres. This alignment can be achieved within the intergovernmental planning system in which there is mutual co-operation (*ibid*).

With this in mind, it can be argued that as provided by section 155 (6) of the Constitution, the provincial government is responsible for monitoring and supporting local governments in their provinces, and promoting the development capacity of local authorities in order to enable them to fulfill their functions and duties. This also means that in a situation where a municipality does not or cannot fulfill its constitutional mandate, the relevant provincial executive can intervene to ensure the fulfillment of that obligation (Botha, 1996:56).

National government supports local government through national policies and programmes that relate and affect local government. In this regard, local governments are increasingly seen as a point of integration and coordination for the effective implementation of the programmes of the two higher spheres of government. Therefore, local government, as a sphere closest to the people has to drive implementation of development programmes and fulfill its mandate to deliver services to people. This clearly shows that governments constituent parts need coordination and integration of efforts to better improve service delivery (*ibid*).

It is also assumed that if the newly formed relationship between and within the three spheres of government is properly managed, local government structures will be viable and cost effective from a service delivery point of view (*ibid*). However, it can be argued that it is also up to municipalities to find and make use of relevant delivery options that will lead to cost effective service delivery such as the integrated development plans. Carter (2006:74) argues that effective intergovernmental relations are a key requirement for effective and efficient delivery of services.

However, much as the above paragraphs offer ideas on matters of cooperation, there are some other elements to service delivery such as corruption which are so embedded in the system that warrant some attention especially at Emfuleni Local Municipality.

3.4.4 Corruption trends in municipalities

3.4.4.1 The nature and meaning of corruption

Scholars and researches, in descriptions and explanations of the nature and meaning of corruption, generally focus on definitions, manifestations, causes and prevention of corruption (Jones, 1993:223, Johnston, 1997:118; Rose Acerman, 1997:37; Caiden & Caiden, 1978:48).

Jos (1993:359) advocates that corruption implies a violation and disregard of the standards, norms and expectations associated with the public role of public representatives and public servants.

Corruption suggests the misuse of a public position for personal advantage, the detrimental substitution of personal or specific goals for wider societal goals and the disregard of public trust vested in public representatives and public officials (Caiden & Caiden, 1978:479; Klitgaard, 1988:xi). Corruption can also refer to unsanctioned and/or unscheduled utilization of public resources for personal and private ends (Lodge, 1999:56). In South African public sector corruption occurs in all sectors and its social costs are borne by all citizens. Every act of corruption erodes undertakings such as employment creation, poverty alleviation and nation-building (Skweyiya, 1999:13).

3.4.4.2 Councilor involvement and political influence

In a study conducted by dplg, several municipalities in the sample complained of undue councilor influence in the recruitment and selection of staff. However, other complaints were that councillors treated municipal staff and facilities as if they were their own, e.g. officials were sometimes called upon to do personal errands for councillors, such as repairing their electrical equipment, etc. other concerns raised were that councillors would unduly influence management practices and decisions. For example, should a councilor be a personal friend of a specific employee, then the councilor would often call a manager to intervene in disciplinary matters or in decisions made (DPLG,2006:13).

In terms of facilities, councillors made use of municipal offices and boardrooms to conduct personal meetings. This was in fact noted during a particular municipal visit (prior to the municipal elections) where a councilor walked into an official's office and expected them to leave so that they could use the office to work on their political campaign (DPLG,2006:14).

3.4.4.3 Lack of performance management and control systems

From the preceding it is clear that the period dating from 2001-2005 was marked by absence of the above mentioned systems. This is illustrated by occurrences of mismanagement that took place at Emfuleni Local Municipality.

Van der Waldt (2004:337) states that the national government in South Africa realised that it needs to support municipalities to ensure the successful implementation of their programmes. As part of the broader support framework, the Department of Provincial and Local Government developed a guide in 2001 to enable local government practitioners in the sector to implement a performance management system. The guide is intended to serve as a set of simple, user-friendly, non-prescriptive guidelines to assist municipalities in developing and implementing their legislatively required performance management system. It is designed to enable the development and implementation of such a system within the resource constraints, suited to the particular circumstances and in line with the priorities, objectives,

indicators and targets contained in a municipality's Integrated Development Plan.

The Guide is aimed at local government councillors, managers, officials, community-based organisations and members of the public. Whilst it presents guidelines on the development and implementation of an organisational performance management system, it also highlights some of the linkages to an employee or personnel performance management system, although the latter is not its focus.

Three phases are proposed, each with its accompanying steps, which municipalities should embark upon to implement a Performance Management System. The phases and steps are shown below.

Table 3.3: Implementing a Performance Management System: Phases and steps (Source: Van der Waldt, 2004:338).

Phases	Steps
Phase 1: Starting the Performance Management Process	<ol style="list-style-type: none"> 1. Delegation of responsibilities and clarifying roles 2. Setting up internal institutional arrangements 3. Managing the change process
Phase 2: Developing a Performance Management System	<ol style="list-style-type: none"> 1. Current reality 2. Identification of stakeholders 3. Creating structures for stakeholder participation 4. Developing the system 5. Publication of the system 6. Adoption of the system.
Phase 3: Implementing Performance Management	<ol style="list-style-type: none"> 1. Planning 2. Setting priorities 3. Setting objectives:

	<ul style="list-style-type: none"> • Setting Key Performance Indicators (KPIs) • Designing a Performance Measurement Framework • Conducting Performance Reviews • Reporting, reviewing and public participation; • Training and support
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In a study that was conducted by dplg it is stated that nearly all municipalities in the sample had not yet implemented performance management system and this refers to 2006. The following are the findings:

- In one municipality there was a performance management system but this was little more than a check list which was not linked to an incentive scheme .
- In a small minority of municipalities, a performance management system was in the process of being developed and in one case the system was about to be implemented.
- Employees generally felt demotivated and stated that a performance management system would assist and give them something to work towards.
- Employees often felt that those who were lazy got the same pay and benefits as those who worked harder, therefore currently the system rewards those who do not put in the required effort.

3.4.4.4 Training and Development

Most municipalities provide training, whether in-house or by using outsourced service providers. However, although training is regarded as very important, in most municipalities in the sample, not much training was taking place.

The primary reason for the lack of training was generally cited as insufficient funds. However, the high vacancy rate in many municipalities also puts huge pressure on operational staff resulting in it being difficult to release them for training.

Other obstructions to training included the difficulty in finding suitable service providers with relevant training courses, particularly in terms of technical training.

In some municipalities a Workplace Skills Plan had not been completed.

Many of the managers interviewed in the sample had not had management training and this was sometimes reflected in poor people management skills (DPLG, 2006:14).

The table below indicates the primary training needs identified.

Table 3.4: Primary training needs identified (Source: DPLG 2006:15).

MANAGERS	OPERATIONAL STAFF
People management / Leadership skills	ABET Training
Project Management / Contract management	Technical training
Financial Skills for Non-Financial Managers	Supervisory skills
Diversity Management	Computer literacy
Change Management	Coaching and mentoring
Interviewing skills, with emphasis on labour legislation	
Business communication skills (written and verbal)	
Coaching and Mentoring for Senior Managers	
Computer literacy	

3.4.4.5 Internal control systems

Internal control means not only the internal check and internal audit, but the whole system of controls, financial and otherwise, established by management, in order to carry out the activities of a public institution in an orderly manner, safeguard its assets, and secure as far as possible, the accuracy and reliability of its records (DSE, 1997:17; Coopers & Lybrand, 1985:78) It will be observed that the concept of internal control goes beyond financial and accounting matters and the custody of institutional assets to include controls designed to improve operational efficiency to ensure adherence to institutional and governmental policies.

In fact, if one looks at the issue of operational efficiency it should be evident that it also has financial implications and the internal controls related to that should be treated in that manner. Puttick and Van Esch (1998:162) also define an internal control system as a system that consist of all the policies and internal control procedures adopted by the management of an entity to achieve their objectives of ensuring, as far as practicable, the orderly and efficient conduct of activities, including adherence to management policies, the safeguarding of assets, the prevention and protection of fraud and error, the accuracy and completion of the accounting records and the timely preparation of reliable information .

Gildenhuys (1997:67) further states that local governments internal control and audits are used mainly for the checking the receipt and spending of money for the sole purpose of uncovering or preventing theft and corruption. From the above statements, it is clear that Emfuleni Local Municipality`s systems of internal control and auditing were not adhered to when a lot of malpractise was being reported .This further raises questions on the management at the time of these occurrences, hence the intervention of the provincial government which resulted in the removal of the mayor Mr Thabane and the introduction of project consolidate in 2005.

3.4.4.6 Corruption at Emfuleni, enemy of service delivery from within!

Corruption in the Emfuleni Local Municipality has led to suspensions and criminal charges being laid against four senior officials in the Service Delivery

Cluster. This includes two senior technicians, a project coordinator and an administrative clerk. The suspensions follow pre-suspension hearings and are related to the ongoing fight against corruption as part of the municipality's Operation Restore Dignity campaign.

The investigations have also led to criminal charges being laid against two other officials who had earlier left the municipality, either through resignations or dismissals, but never faced up to their wrong-doing. The municipality is continuing to collaborate with law enforcement agencies to carry out these investigations.

The genesis of this saga emanates from an aggressive implementation of a strict Performance Management and Development System (PMDS) regime. This system ensured that we have early warning indicators of blockages in service delivery. As pressure for accountability mounted among officials then the can of worms opened.

"Investigations were intensified in September 2007 after I was approached by disgruntled service providers and officials within the Service Delivery Cluster with allegations of endemic corruption taking place in the cluster" said the then Municipal Manager, Dr. Manana Bakane-Tuonae.

She further said that partnership with the private sector in the fight against corruption as it was the case in this instance is very valuable. Most projects collapse not only because contractors and or government lacked capacity but also due to the fact that there are so many people to be paid bribes that contractors are unable to meet their obligations.

These investigations have revealed some of the corrupt activities in the Project Management Unit and Metsi-a-Lekoa which hindered efficient and effective service delivery.

The specific instances relating to these activities include among others, cable theft, tender irregularities, collusion with service providers and contractors, employees doubling up as service providers to the municipality, bribery, leaking of confidential tender information to preferred service providers, cheque theft.

“I want to reiterate that corruption is not only counter-revolutionary but also counter-productive, and defeats the mandate of the ruling party, the African National Congress. As an ANC led-municipality we are committed to defeating this enemy with all our might...and we will win.”said the Executive Mayor, Dikeledi Tsotesi.

“This campaign is in line with the five-year strategic plan which aims among other things, to institute transformation and organizational development, ensure delivery of basic municipal services and infrastructure, promote local economic development, achieve financial viability and good governance. We will not tolerate anything that stands against us achieving these noble objectives. We are focused on achieving a better life for all in our municipality” (Bakane-Tuoane, 2008:1).

The above statement was made by the municipal manager, who soon after this was shown the door due to political-infighting in the municipality. From the above statement it shows that even during her short-lived tenure there was capacity problems as well as corruption going on at Emfuleni. In the City Press, dated 8 November,2009, the following was said “ The toughest task will be to reform the state tender system, which is serially corrupted “.

Fourie (1998:223) further confirmed the embedded issues of corruption in procurement by stating that these matters are important if the government is to meet its economic and development objectives and therefore the expectations of the inhabitants. But they do leave room for corruption, discriminatory action, poor performance from the entities who win contracts, and income-focused rather than outcome-based arrangements. Also, they are affected by the fact that the civil servants who are responsible for the administration and management of contracts do not have the requisite skills and knowledge to ensure that the tax-payer receives “value for money”.

Hence at the beginning of this chapter it was mentioned that there is lack of systems. What are these systems? In this case it was suppose to be systems that should have detected irregularities.

3.5 UNDERSTANDING AND PRIORITISING CAPACITY NEEDS

If, to extend Alan Fowler's (2002b) definition, *capacity* is a measure of the ability (be it intellectual, organizational, social, political, material, practical or financial) of an individual, group, organization or community to achieve its objective, *capacity building* would be the response to a lack of ability. Even this broad definition leaves significant room for interpretation.

Capacity building can be interpreted as a set of technical interventions or a process, and it can be aimed at individuals (in organisations) or organisations/organizational forms (see Figure 3.2). The procession dimension of capacity building is more commonly associated with Organisational Building (OD).

Figure 3.2 shows that the different interpretations and targets of capacity building interventions are linked to different objectives of capacity building. The line between the individual and the organisation is reflected as porous, because capacity building interventions aimed at individuals tend to be about strengthening their ability to perform job-related and organisational tasks better.

Figure 3.2: Purpose of capacity building

	Technical interventions	Process
Individual	Performing certain job-related tasks better	Fostering 'self-realisation', strategic ability, leadership
Organisational	Performing certain organisational tasks better, e.g. financial reporting or evaluation according to external criteria	Fostering organisational well-being (focus on internal relations); Positioning in and responsiveness to external environment

Source : Van Donk (2004:14)

In other words, how one defines capacity building cannot be de-linked from the question capacity building *for what?* In the literature on civil society, there is general acceptance that this is a critical question. Embedded in this

question is the issue of *purpose*, not just of capacity building, but first and foremost of the organisation that is the recipient of such support. This means that effort to strengthen organisational capacities must not be separated from external change, or more specifically, or more specific, from improvements in living standards and equity.

This linkage between capacitated individuals or organisations and social impact implies that capacity building itself is an approach to development, rather than a set of technical interventions (Eade, 1997:18). As such capacity building is concerned with support to the various organisations required to respond to the multi-dimensional process of social change. However, it is not only a reactive strategy, it also seeks to enable organisations to proactively influence and shape these process of change towards social and environmental justice.

From this, one may be tempted to conclude that capacity building is located in the fourth quadrant of Figure 3.2 (especially in relation to 'positioning in and responsiveness to external environment'). However to achieve this purpose, specific technical interventions aimed at individuals, units/departments or organisations as a whole may be required. Equally important is the issue of leadership and the ability to give strategic direction. What type of intervention or support is appropriate at any given time depends on a critical analysis of the context and of the organisation's capacities to position itself as a critical development actor. Invariably, this will require an assessment of the organisation's position in its own life cycle/trajectory (Pieterse & Van Donk, 2004:14).

In order to prepare and implement successful capacity building strategies, it is crucial to have a continuous understanding of the capacity levels and needs of municipalities. This information needs to be in a format that allows for it to be disaggregated, so that individual (for one municipality) and clustered (for several) programmes can be planned.

Presently there is a range of different tools and initiatives that gather and analyze information on progress with capacity building in municipalities. Many are ad hoc, project-and intervention-based, leading to under-use of the

information. However the M & E and tracking systems developed within the dplg report on the progress of Project Consolidate and the Five Year Local government Strategic Agenda have begun to provide a more coordinated frame for effective tracking and evaluation.

3.6 DETERMINING CAPACITY IN MUNICIPALITIES

The first step in developing and implementing capacity building initiatives is to properly understand the existing capacity of municipalities. This sort of assessment enables targeting of limited capacity building resources, and provides a mechanism to monitor improvement in municipal capacity.

This assessment requires:

- Agreed assessment processes
- Agreed categories of capacity levels of municipalities
- Mechanisms to link the categories with targeted capacity building support
- A system for reviewing capacity building progress and its impact.

Ideally, assessment tools must be easy to use, allow for rapid implementation, be explicable to municipalities, be affordable, be relatively objective, and iterative.

At present, there are a number of assessment modes, which have led to multiple ways of categorizing the 283 municipalities, including Project Consolidate assessments and evaluations, the Treasury Assessment, the IDP Delivery Assessment Tool, the Capacity Assessment Tool (CAT), the Municipal Demarcation Board (MDB) assessment, Workplace Skills Plans and the LGSETA Sector Skills Plan.

These tools are usually linked with the specific objectives of particular project interventions, using different modes of assessment as well as content focus. Any of the above tools can play a valuable part in providing important understanding of elements of municipal capacity and the valuable part in providing important understanding of elements of municipal capacity and the focus of particular interventions and information prioritization.

The danger, however, is that they may lead to duplicate assessments of capacity and together, do not easily provide for a focused and integrated system for understanding overall levels of municipal capacity and potential to track progress in improving capacity.

A strategic task in the medium term must be to seek ways of better aligning and rationalizing some of these capacity assessment tools. In this regard the relevant role players must urgently engage, share mandates, and experiences and proposals on how best to regularly determine the capacity of municipalities such as the ones that are detailed below.

3.7 INSTITUTIONAL ARRANGEMENTS FOR THE IMPLEMENTATION OF THE NATIONAL CAPACITY BUILDING FRAMEWORK

3.7.1 Objectives of institutional arrangements

The implementation of the NCBF requires strong coordination of a range of stakeholders, to ensure that all contribute to its effective development and implementation.

The effectiveness of the NCBF as a guide to the implementation of capacity building for municipalities is dependant on a properly structured and resourced approach to the coordination and regulation of the capacity building environment.

3.7.2 Principles underpinning institutional arrangements

Institutional arrangements should be developed with the following principles in mind:

- (a) Ensuring clarity of roles and responsibilities of all partners and stakeholders.
- (b) Maximizing the opportunity for all key stakeholders to contribute to the form and implementation of the overall capacity building plan
- (c) Providing for the involvement of all stakeholders, depending on their functional areas of contribution

- (d) Building on existing structures that can provide coherence in helping meet the NCBF'S objectives, including the structures developed through the provisions of the IGRA
- (e) Giving appropriate regard to the political and administrative arms of government in their respective mandate responsibilities to achieve the objectives
- (f) Providing for inputs at national, provincial and local levels with mechanisms for communication between different spheres
- (g) Ensuring the effective resources of the structure so that it can carry out the required functions to achieve the objectives
- (h) Clarifying the relationship between management of the capacity building environment and capacity building delivery.

Capacity building as envisaged in the NCBF comprises a range of inputs and outputs, all of which must be allocated to specific responsible stakeholders during the institutional structuring to achieve full implementation of the NCBF. Some of the activities relate to management of the capacity building environment, while others are concerned with the provision of capacity building.

3.7.3 Managing the capacity building environment

To ensure that the capacity building environment is appropriately managed, key drivers and functions have been identified. These are elaborated below:

3.7.3.1 Key functions of the primary driver at a national level (dplg)

The Primary National Driver needs the appropriate resources to function, and should be structured in a way that allows it to carry out the following key functions:

- (a) Overall management of framework, strategy, and rollout
- (b) Coordinating the preparation and management of capacity assessments in municipalities

- (c) Ensure quality standardization and accreditation of training modules through LOGOLA, and in partnership with the LGSETA, SAMDI and SALGA
- (d) Mobilizing and assisting with targeting of capacity building resources towards fulfillment of the strategy
- (e) Monitoring and evaluating the rollout of the capacity building initiatives and their impact
- (f) Coordinating of knowledge sharing on capacity building
- (g) Tracking the progress in capacity improvements in municipalities.

Carrying out these functions requires strong partnership arrangements with identified national and provincial government units.

It is possible to organize the work on the basis of projects built around functional areas. Since this is mirrored at a provincial level, a similar organizing format at that level could be used for provincial drivers. The key functional areas are:

- Defining and prioritizing capacity building needs of municipalities across the country
- Identifying and mobilizing capacity building resources within and outside government and gaps in resource provision
- Targeting of resources to prioritized capacity building needs
- Monitoring and evaluating the use of resources and the impact on skills development in municipalities
- Tracking the capacity building progress of municipalities (NCBF, 2006:53).

3.7.3.2 Other important drivers in national sector departments

National departments have a critical part to play in coordinating and supporting municipal capacity building in their specific functional areas. This is particularly important for the following national departments with linked State Owned Entities:

3.7.3.2.1 A strategic approach to capacity building in local government

In 2006, government took stock of the progress that has been made towards establishing developmental local government, and developed the Five Year Local Government Strategic Agenda (2006-2011). The Five Year Local Government Strategic Agenda outlines a programme of action for strengthening local government.

The NCBF supports the Five Year Local Government Strategic Agenda by defining the impact that must be made on capacity in municipalities by 2011 ('what specific capacity must be built'), providing a set of tools for realizing this impact ('who will build this capacity').

This section of the NCBF deals with the implementation framework for the NCBF it:

- (a) Describes the strategic approach to capacity building in local government
- (b) Lists the main principles and programme areas for capacity building
- (c) Outlines capacity building options and approaches
- (d) Looks at how assess capacity needs
- (e) Indicates capacity building targets and priorities
- (f) Describes institutional and stakeholder roles and arrangements in the implementation of the NCBF

3.7.3.2.2 The framework provided by the five year local government strategic agenda

The five year local government strategic agenda implies a shift in the way in which we approach the capacitation of local government. This shift can be captured in several ways:

- A shift from an ad hoc and responsive approach, to a proactive and coordinated approach, and as part of this coordinated approach, a commitment to defining the roles and responsibilities of key players, and improving the quality of interventions through linkages to the SETA and SAQA frameworks/

- A move from a standardized approach across municipalities, to a differentiated and hands-on approach which takes account of the context and level of capacity present in different municipalities. The hands-on approach, and tackling capacity building at the point of need and delivery, and as part of this differentiated approach, a recognition that better capacitated municipalities can exercise greater independent control of their capacity building needs, while less capacitated municipalities need higher levels of external intervention.
- A move away from a narrow 'training-programme' approach to capacity building, to an integrated approach which focuses on capacity needs from the individual, institutional and environmental perspective, and as part of this integrated approach, an emphasis on building strong linkages between capacity building programmes and existing guidelines for critical functional areas such as integrated Development Planning and Local Economic Development
- A shift from a 'supply' led approach to a greater recognition of the 'demand' side, and therefore a more balanced supply and demand-led approach. This requires a closer balancing of national, provincial and local priorities and the following programme areas illustrate what lesson were learnt from project consolidate (NCBF,2008:16).

3.8 NATIONAL CAPACITY BUILDING FRAMEWORK (NCBF) PROGRAMME AREAS

The design of the NCBF is strongly informed by the lessons learnt during Project Consolidate, and is aligned to the Five Year Local Government Strategic Agenda. While the Five Year Local Government Strategic Agenda indicates what has to be done to support and strengthen local government, the NCBF seeks to identify strategies to build capacity of municipalities in order to achieve the objectives of the aforementioned agenda.

During the NCBF refinement process, the dplg in consultation with stakeholders within the government identified Five Programme Areas to support the implementation of the Five Year Local Government Strategic Agenda. These programme areas are intended to assist with prioritizing

different types of capacity building interventions, and organizing resources in collaboration with stakeholders engaged in similar areas of support (NCBF, 2006:16).

The programme areas below respond to the problems and capacity challenges identified. The five programme areas are:

3.8.1 Programme Area 1: Strengthening leadership and professionalization of municipalities

This programme focuses on strengthening the quality of political leadership and municipal management through structured and accredited leadership and municipal management training. It also includes policy and procedures around recruitment and performance management of senior and middle managers in municipalities. National Treasury for example, is conducting a Certificate Programme in Management Development for Municipal Finance targeting Municipal Managers and Managers reporting to the (NCBF,2008:17).

3.8.2 Programme Area 2: Hands-on support

This programme is based on the provision of direct support in the municipal workplace, using skilled service providers and a range of capacity modes that target both individual and institutional development.

Hands-on support will be provided over an extended period, until the necessary capacity is developed or is available to the municipality. An example of this programme area was the development of the Service Development Facilitators to municipalities targeted during Project Consolidate. These SDFs assisted identified municipalities with development of financial policies and development of Annual Financial Reports. Presently the Siyenza Manje initiative, of the DBSA, is another good example for rolling out hands-on support to municipalities (ibid).

3.8.3 Programme Area 3: Programme based and short-term support

This programme involves the provision of a range of once-off or interlinked training and capacity building activities and events to strengthen existing skills and introduce new delivery programmes, policies and financing arrangements. Many programmes such as the ISRDP, URP, LED, and Anti-Corruption etc

are examples of this kind of support. The Workplace Skills Plan developed by municipalities will assist in guiding the skills gaps to be addressed (ibid).

3.8.4 Programme Area 4: Strengthening the environment for municipalities to deliver

This programme includes initiatives that change and enhance the legislative, policy and procedural context in order to strengthen the ability of municipalities to deliver the developmental municipal government expected of them in terms of the Constitution. The implementation of the Intergovernmental planning across the three spheres of government. While municipalities are expected to develop IDPs, some of these needs are the competencies of both the national and provincial government. These needs that are for national and provincial spheres of government can only be addressed if there is cooperation and proper coordination across the three spheres (ibid).

3.8.5 Programme Area 5: Strengthening capacity to coordinate and deliver capacity for municipalities

This programme focuses on building the capacity of the individuals and institutions responsible for the coordination of the municipal capacity building environment, especially at a national and provincial and district level. For example, all national departments are required to develop Local Government Support plans and in other instances Master Sector Plans. These Plans presuppose that these national departments will need to build and strengthen their own capacity to coordinate the implementation of these plans (NCBF,2006:19).

3.9 WHAT IT WILL TAKE FOR SA'S DEVELOPMENT TO SUCCEED

Other authors have viewed service delivery protests and the failure of municipalities in a holistic manner such as the one below by stating that:

Successful development usually starts with a dedicated unit, ministry or commission that coordinates planning across the economy. Importantly, that unit must have absolute backing of the president or prime minister.

The development plans of most developing countries failed before they even started because their planning structures became an employment agency to reward political allies, family members or those from the same ethnic group, but who lacked the technical skills.

The implementation of policies must be carefully monitored. If the government announces it will build 10 000 homes a year, it must carefully monitor, even monthly, that the homes are actually being built, on time, according to the minimum standards and quality (Gumede, July, 18, 2009).

The reality is that the provinces have become patronage machines to reward friends and allies through government tenders, contracts and appointments. This means that competent professionals of all colours with the necessary skills won't even apply for jobs because they know they are not "connected". Yet we appear to lack the courage to fire those who are responsible for mismanagement and corruption, and to appoint those who we may disagree with politically, but have the skills that will help pull our people out of grinding poverty (*ibid*).

The provincial civil services must be depoliticized and detribalized: political cronies or those from the same ethnic group of the provincial or national bosses, but with no skills, should not be appointed to critical jobs, and those who fail to deliver must not be protected.

Where possible the national government must take over these municipalities, for a restricted period, until capacity is restored. The process should finally weed out any political, ethnic and jobs-for-pals appointments. The new appointees should sign performance contracts. (Gumede, 2009:13).

Zimmelman (The Star, 2009:23) had this to say about capacity issues. Much has been written about the lack of service delivery by municipalities, but little is written about barriers faced by the same units and state-driven initiatives to address these hurdles. The SA Institute of Chartered Accountants (Saica) and the association of Accounting Technicians in SA, or AAT(SA), have been engaged by stakeholders of municipalities to help them address issues on municipal money management. These stakeholders include the Department of Co-operative Governance and Traditional Affairs, the National Treasury, the

auditor –general and the respective provincial, district and municipal structures.

It is clear there are problems in financial management, reflected in the poor audit reports received in the past five years. A key cause of this is the critical shortage of accounting and financial skills in municipalities. This is not surprising. Saica recently published data that show a shortage of 22000 accountants in South Africa. This void is very pronounced in the public sector.

Let us be clear: municipality is not a prime place of employment. There are structural tensions caused by the Municipal Systems Act, which gives full authority to the politically elected councils for all appointment decisions. Conflicts also often arise from the roles played by provincial and national units in municipal affairs.

With a number of stakeholders having different primary strategies and objectives, and an organization's senior management at the whim of political appointees, the work environment can be frustrating.

Many municipalities still have disclaimed audit opinions, which means the auditor-general did not find enough information to consider and audit financial reports, let alone form an opinion. Of the 283 municipalities in South Africa, about 10 received a clean audit report for 2007. In the North West, 16 of the 24 municipalities received disclaimed audit reports.

Given that 80 percent of all audit problems relate to a lack of audit trail documents, it is not surprising that he believes rats are invading municipalities. The real cause of this critical problem is the lack of skills of the support and entry-level staff in finance units. Poor financial control and time spent on audit queries detract from service delivery.

Municipalities are aware of their problems and the government is not standing idle. At the initiative of the Department of Housing Saica deployed retired chartered accountants to work in municipalities.

Local Government Accounting Certificate was born. This is a competence-based and customized entry level certificate designed to improve the skills and capacity of municipal employees. This qualification is being enrolled out

nationally to 3000 municipal staff members, along with the Local Government Advanced Accounting Certificate.

The qualification covers technical accounting, computer skills, accounting work skills and a unit on ethics. As this certificate leads to professional body membership, a compliance with a code of professional conduct is key. So far 800 municipal staff in Gauteng have enrolled.

3.10 SERVICE DELIVERY PROTESTS AT EMFULENI

This is a media statement by the Executive Mayor of Emfuleni Councillor A Mshudulu made in April 17, 2009.

Recently you would know that there have been a number of protest actions by various groups in our community. As a municipality we did not adopt a cynical attitude and dismissed these as mere electioneering ploys but we fully engaged our people and responded to their needs.

You would all remember that early in January this year, residents of Rust-tervaal were up in arms raising important issues. We are pleased to announce that most of their issues such as housing, street lighting, maintenance of sport facilities, refuse removal etc were attended to and resolved.

This was followed by protests in Sebokeng, Palm Springs and Beverly Hills about possible evictions by banks. We moved swiftly again and resolved their issues. As we speak now the situation is under control in those areas.

Likewise we experienced violent protests again in Tshepiso North Extension 3 where residents barricaded roads and burnt tyres, angered by the slow movement in allocation of houses. In no time we acted decisively and ensured speedy allocation of housing units to their rightful owners. We are still continuing with the allocation and fixing defective units in this area.

There were many other protest actions in areas such as Sebokeng Zone 6, 3 and 14. In all these areas we intervened and addressed the needs of our communities.

We have also out of our own volition visited places like Maplankeng, Malgere, Evaton, Roshnee, Boitumelo and others to assess our interventions and corrected various weaknesses identified. I have formed a trouble-shooting team

led by the Acting Municipal Manager and staff in my office to monitor progress in various areas where we have identified weaknesses in service delivery. This team looks at quick wins.

3.11 QUICK WINS

3.11.1 Capacitating our delivery machinery

We had made an undertaking in our 100 days plan among others, to fill about 400 mission critical positions. I am pleased to announce that so far we have filled over 200 of these positions. I am confident that by June 2009 over 300 positions will be filled. Of these positions were very critical positions of four senior managers namely:

Deputy Municipal Manager for Corporate Service, where we have appointed Ms Lindi Mahlangu, who worked for the municipality previously and went to join Tshwane University of Technology. She is now back with us. We also appointed Mr Alpheus Ramokolo as a Deputy Municipal Manager for Basic Services, who was with the Polokwane Municipality heading their department of Water Affairs.

For the position of Chief Financial Officer, we appointed Mr. Ahmed Lambat who was the chairperson of our Portfolio Committee on Finance and a qualified Chartered Accountant. Lastly, we also appointed Mr. Diek Mahlaba as a Manager for Employment Equity from the Department of Labour (Serero, 2009:1-5).

Prior to the appointment of Mr Mshudulu, a series of events took place such as the ousting of the then mayor Dikeledi Tsotesti and her municipal manager Dr Bakane-Tuoane . This was as a result of their launch of Operation Restore Dignity where councillors and other managers as well as officials were expelled due to corruption investigations that took place between 2007-2008. The media reported a lot of political-infighting during this period and this resulted in Tsotetsi not completing her term of office which lasted less than two years. Since this study deals with capacity issues at Emfuleni, cognizance of the fact that there are three elements namely, individual, institutional and environment, if one element is not functioning properly, the other two are likely to be affected. In this case capacity building gets affected as politicians settle

their scores. A question needs to be answered as to who give political leadership to the municipality. Finally, the mayor admitted that there has been a shortage of capacity when he mentioned in his media address that he has to fill about 400 mission critical positions of which 200 have been filled (Serero, 2008:9).

3.11.2 Municipalities Ruined by faction fighting, nepotism and greed

The party (ANC) is considering barring elected officials from holding senior administrative office in municipalities to prevent the kind of tensions that contributed to the factionalism linked to violent protests over slack service delivery (Pule, 2009:1).

The report by Cooperative Governance minister claims that a culture of “patronage and nepotism” has become so rife in municipalities that they have become inaccessible and unaccountable to residents. The lack of values, principles or ethics indicates that there are officials and public representatives for whom public service is not a concern but accruing wealth at the expense of poor communities (*ibid*).

“We must, as the ANC, discuss whether it is appropriate for a person who holds a senior political office in the movement to also hold senior administrative office in government, particularly at local government level, and what effect this has on service delivery,” said ANC spokesperson Jackson Mthembu (Sidimba, 2009:1).

“You find instances where the mayor, who is not holding any political office in the ANC, is unable to instruct an employee of the municipality who is holding a senior political office in the ANC. The employee, instead, instructs the mayor. The document details how local government has collapsed (*ibid*).

“The ANC needs to discuss this further and shape a more mutually reinforcing constructive relationship between regional executives and municipalities,” he said.

Shiceka's deputy, Yunus Currim, stated that they have found that there are people who are appointed to positions who don,t have the necessary experience or qualifications nor are they interested in being trained (*ibid*).

Carrim said his department was considering setting up a special inspectorate on local government corruption.

He said the service delivery protests signaled the failure of the ward committee system and other methods of public participation in municipalities. “They also convey that our local government model is not working and that we need changes to it.” (Matlala, 2009:1).

3.11.3 Listen and act

Dismissing the service delivery protests from poor communities as the work of a third force or a few dissidents overlooks failures in local governance.

Ward committee structures need to be assessed on a case-by-case basis to work out why so many communities take their grievances to the streets and what needs to be done to ensure better feedback of council activities and management of grievances.

Avenues for participation need to include communities in a meaningful way to ensure accountability in other words, councils must move away from a compliance-driven set of processes and focus on meaningful engagement (Allan, 2008:2).

3.11.4 Implement systems

The systems to address and prevent such tragedies, to ensure the ongoing delivery of basic services, including the roll-out of sanitation to replace the bucket system, are crucial to ensure that the term “developmental local government” is meaningful (*ibid*)

3.11.5 Throwing money at the problem

An assessment of revenue transfers from national to local government shows that poor municipalities have received more money over the past 10 years. Over the past four years the five top –ranked local municipalities on the MPI relied on government grants for less than 15% of their average annual income, but the five bottom-ranked municipalities relied on government grants for 90% of average annual income (*ibid*).

Yet many poorer municipalities are not only unable to dent backlogs but are also unable to spend grant monies allocated for this purpose. Capacity and governance, rather than funding, are at the core of non-delivery (*ibid*).

The challenges is to increase capacity in these municipalities something that a number of national initiatives have been attempting over several years (*ibid*).

3.11.6 100 days mayoral programme

It has now been 100 days since Emfuleni Local Municipality's mayor Assistance Mshudulu tabled his 100 days mayoral programme in Vanderbijlpark last Wednesday.

Among the plans that he listed on his agenda is the provision of basic services, waste management, ensuring good governance and institutional capacity, social and economic development, the expropriation of Kwa-Masiza hostel to enable the municipality to provide basic services, eradication of illegal dumping and establishment of mini dumps, finalizing a plan that will enable the municipality to tar all roads by 2012, combating corruption and fraud by employees, filling of critical posts in the municipality as well as upgrading of spots, arts and recreation centres.

"When I took over the reins in the municipality, together with the leadership collective of Emfuleni I took time to work out a plan which will begin to make a lasting impact in the lives of our people. The programme is informed in the main by various inputs we have received from the members of the public when we consulted them recently for our IDP's, we do hope that it will alleviate some of the pressing problems." Says Mshudulu.

He adds that he urges the members of the community to do their part by paying for the services they receive from the municipality (Serero, 2009:10).

3.11.7 Get municipal books in order

Co-operative Governance and Traditional Affairs Minister Sicelo Shiceka is on a mission to rid the country's ailing municipalities of unqualified chief financial officers.

Shiceka yesterday told MP's, while introducing his department's Operation Clean Audit, that the department was assessing the skills of municipal financial officers.

"(On) the issue of the CFOs who don't have capacity: the first thing we are going to check is whether we can train them, and if they are untrainable they must go-simple." Shiceka told MPs that obtaining a clean audit should be a requirement specified in the contracts of chief financial officers and other accounting officials.

"I still can't understand why you (can) get a disclaimer and an adverse opinion for two years and still (have a job). Sometimes you even get a bonus.

"A person is supposed to face the consequences-disciplinary action, out of the system! That's what must happen," he said. The director-general of Shiceka's department, Batandwa Siswana, told Parliament that, of the 283 posts for chief financial officers, 234 were filled. But he warned that many of the posts were filled by officials who had no clue about what they were doing.

"In some municipalities, you find that a CFO is employed because they understand maths very well. The assumption is that if you are good in maths and algebra, you are good in financial management-but these are different things. "Here we are talking about accounting (Sic) (Ncana, 2009:4).

3.12 CURRENT INSTITUTIONAL CAPACITY PROBLEMS AFFECTING LOCAL GOVERNMENTS

In retrospect, some analysts observed that too little attention is given to the low capacity of public authorities to undertake and implement the integrated plan in order to fulfil the new planning requirements under developmental local government. One of the major prerequisites for achieving developmental goals is the development of sufficient institutional capacity in local government to manage, efficiently and effectively, the process of IDP and implementation.

As a result, it is argued that despite official declaration by the new government regarding its commitment to improve the relations between the spheres of government, local level development programmes and projects have been delayed or have not been implemented due to lack of capacity at both levels (Richards, 2006:83).

Following the demarcation process and the introduction of the IDP, many municipalities found the IDP document overwhelming and impractical (Coetzee, 2005:27). This was due to less capacity related to knowledge and skill levels for decision making, negotiation, implementation, monitoring, and evaluation within municipalities as “ill-qualified” and incompetent staff occupies key local government positions. This led to a decline in the capacity of local authorities as they failed to produce interim IDPs for the 2000 deadline and to provide essential services to local communities. The document was cited by many municipalities as the reason why municipalities could not produce their IDP on time. IDPs did not appear as an integral part of municipal policy. It was argued that the institutional arrangements are not adapted for integrated development in a sense that many failures in IDP process are, in fact, the results of the weakness of many municipalities and institutional capacity building as well as the lack of trained staff (*ibid*).

Various lessons have emerged from the first and second round review and analysis in a sense that local authorities acknowledged that the IDP philosophy, principles and processes are complex and require a high level of conceptual understanding and skills so that the mistakes and challenges of the previous rounds cannot be repeated (Harrison, 2006:39). By the end of 2000, most municipalities had almost all the building blocks of municipal planning and development . However, Harrison (2003:43) notes that municipalities are still undergoing a process of learning in terms of its preparation, operationalisation and implementation as was revealed in the First round of the interim IDPs and this is still continuing.

3.13 CONCLUSION

From all what is being said in this study, it is clear that not only Emfuleni Local Municipality but the whole country is plagued by lack of requisite skills that should render municipalities functional. With all the necessary frameworks and legislation in place, still the ability to provide satisfactory services is not achievable. This is illustrated by the spate of service delivery protests that started mostly in 2005 and continue even in 2009. The most recognizable flaw currently is the issue of procurement that makes a lot of people and political analyst to say that this system is riddled with corruption that makes civil

servants focus on winning tenders rather than on service delivery. Finally, the most recognizable issue is the lack of skills which result in lack of capacity as observed by most analyst as being at the heart of poor of service delivery. The cadre deployment policy of the ruling party is largely to blame for this state of affairs. It is due to this policy that many people with necessary skills are nowhere near the relevant positions in the ELM as well as in all government departments.

CHAPTER FOUR

EMPIRICAL RESEARCH FINDINGS

4.1 INTRODUCTION

In the previous chapter an analysis of the problems regarding service delivery at Emfuleni Local Municipality were outlined as well as the general problems affecting municipalities in South Africa. This chapter will look at research methodologies and procedures that are currently used in the field of social sciences. An empirical research was conducted to determine the problems of capacity building at Emfuleni Local Municipality.

In order to create scientifically obtained knowledge by using objective methods and procedures, research has to involve the application of various methods and techniques. This chapter begins by highlighting the differences between qualitative and quantitative research.

4.2 APPROACHES/METHODS OF RESEARCH

In the past two decades, research approaches have multiplied to a point at which investigators or inquirers have many choices. Although different types and terms of approaches are abound in literature, the focus in this chapter is only on three approaches, *viz.* quantitative, qualitative and mixed approaches. According to Creswell (2003:3) quantitative approach has been available to social and human scientists for years, qualitative approach has emerged primarily during the last three or four decades, and the mixed approach is new and still developing in form and substance.

4.2.1 Quantitative research approach/ method

According to Creswell (2003:18), a quantitative approach is one in which the investigator primarily uses post-positivist claims for developing knowledge (i.e. cause and effect thinking, reduction to specific variables and hypothesis and questions, as well as the use of measurement and observations and test of theories), employs strategies of inquiry such as experiments and survey, and collects data on predetermined instruments that yields statistical data. The statement presupposes that reality can be discovered through observations

and logical reasoning. According to Thomas (1998:133), quantitative research measures the reaction of many people to a limited set of questions, thus facilitating comparison and statistical aggregation of the data, which gives broad, generalisable set of findings. The ontological assumptions are that reality is static and permanent; hence it can be measured precisely by using the right instruments and techniques (Alebiosu, 2005:16).

The quantitative approach requires the researcher to be distant and independent from that which is being researched, as any involvement of the researcher in what is being observed could render the result false. In this context the researcher has to be objective when selecting the data collection methods and when analysing the data during the entire research process (Creswell (2003:19).

4.2.2 Qualitative research approach/method

Creswell (2003:18) defines a qualitative approach as one in which the enquirer often makes knowledge claims on constructivist perspective (i.e. the multiple meanings of individual experiences, meanings socially and historically constructed, with an intent of developing a theory or a pattern) or a advocacy/participatory perspective (i.e. political, issue oriented, collaborative or change oriented) or both as the case may arise. Unlike the quantitative approach which requires the researcher to be distant and independent from that which is being researched, the qualitative approach the researcher to interact with that which is being researched, and tends to assume the form of close observation of informants and sometimes living with them (if so required) (Alebiosu, 2005:16).

The qualitative approach uses strategies of enquiry such as narrative, phenomenology, ethnographies, grounded theory studies, or case studies. The researcher collects open-ended emerging data with the primary aim/intent of developing themes from the data, hence the qualitative approach is interpretative; the inquiries try to account for what a researcher has given an account of (Straus & Corbin, 1998:72).

According to Charles (in Mokhoabane 2006:79), the following important concepts should be applied by a qualitative researcher:

- Qualitative research is designed to discover what can be learned about a Phenomenon of interest;
- Qualitative research has various interpretations, and reveals logistics and relevance, which has an influence on the reader;
- Impressive conceptions, related to the origin of truth of the word are revealed;
- The focus is based on the respondents' response and experience;
- Simple events in their original situations display real life in the research process;
- It helps in the justification of the correct like skills and the future success of the Individual;
- It stresses identification, induction and formulation theory; and
- It involves the respondents' observation in detailed interview and conversational analysis.

4.2.3 Mixed methods approached

According to Creswell (2003:3), the mixed methods approach is new and developing in form and substance. A mixed methods approach emerged from the realization that to include only the quantitative approaches falls short of the mayor approaches being used today in the social and human sciences, and that the situation is less quantitative versus qualitative and more about how research practice lies somewhere on a continuum between the two (Creswell, 2003:4).

Creswell further states a mixed approach is one in which the researcher tends to base knowledge claims on pragmatic grounds (e.g. consequence-oriented, problem-centered, and pluralistic).It employs strategies that involve collecting data either simultaneously or sequentially to best understand research problems (Creswell, 2003:18). The data collection also involves gathering numeric information (e.g. instruments) as well as text information (e.g. on interviews) so that the database represent both quantitative and qualitative information.

4.2.4 Criteria for selecting an approach

There are three factors which influence the decision on which approach to opt for, *viz.* match between problem approach, personal experiences and the audience.

4.2.4.1 Match between problem and approach

Certain types of research problems call for specific approach. If the problem is identifying factors that influence an outcome, the utility of an intervention, or understanding the best predictors of outcomes, or to test a theory or explanation, then a quantitative approach is best. However, if a phenomenon or concept needs to be understood because little research has been done on it, then it merits a qualitative approach, because, according to Creswell (2003:22), a qualitative research is exploratory and is useful when a researcher does not know the variables to examine.

Creswell (2003:22) further states a mixed methods approach design is useful to capture the best of both quantitative and qualitative approaches, e.g. a researcher may want to both generalise the finding to a population and develop a detailed view of the meaning of a phenomenon or concept for individuals. Alternatively, researchers may survey a large number of individuals, and then follow up with a few of them to obtain their specific language and voices about the topic. In these situations, the advantage of collecting both close-ended quantitative data and open-ended qualitative data prove advantageous to best understand a research problem.

4.2.4.2 Personal experiences

A decision on choice may also come from the researcher`s own personal training and experiences, e.g. an individual trained in technical, scientific writing, statistics and computer statistical programmer who is also familiar with quantitative journals in the library would most likely choose quantitative design. Some individuals may be uncomfortable to challenge the accepted approaches among some faculty by using qualitative and advocacy/participatory

Approaches to enquiry, and still others may opt for a combination of the two approached, a mixed methods approach (Creswell, 2003:23).

4.2.4.3 Audience

According to Creswell (2003:23), researchers may also be sensitive to audience to whom they report their research; hence researchers should consider approaches typically supported by their advisers. The experience of the audience with quantitative, qualitative or mixed methods studies will shape the decision made about the choice.

4.3 RESEARCH AS THE PURSUIT OF VALID KNOWLEDGE

According to Mouton (196:28), research is a scientific method of enquiry that is driven by the search for “true” or at least “truthful knowledge”. The predominant purpose of all research is to arrive at result that are as close to the truth as possible, i.e. the most valid findings possible, thus information should be carefully assessed by means by means of validity and reliability focusing on a search for the truth. Although, it is not always possible to attain truth, the goal of truth acts as a regulative principle from which scientific inquiry derive its peculiar nature and which distinguishes science from other forms of knowledge production.

Hence, Mouton (*ibid*) refers to what he calls the epistemic imperative, i.e. the intrinsic moral and binding character that is inherent in the pursuit of truthful knowledge

Mouton (196:28) identifies the following three kinds of what he refers to as obstacles/constraints in the purist of valid knowledge:-

- Sociological constraints, which are short comings that originate with the researcher, e.g. lack of knowledge about the object of the inquiry, which is exacerbated by poor review of literature; lack of training in research, etc.;
- Ontological constrains are features of object of study, which could include The complexity of human behaviour, the fact that strictly speaking, it is impossible to predict future behaviour; and
- Methodological constrains, i.e. the use of the inappropriate methods and techniques that ignore the limitations that are peculiar to a particular approach or instruments.

Whilst the attainment of epistemic ideal of truth is the over-riding ideal of all knowledge production in the social sciences, in real concrete research it has become standard to results are more or less close to the truth (Mouton, 1996:29).

4.4 RESEARCH METHODOLOGY DEFINED

Gray (2002:24) postulates that the choice of the research methodology is determined by factors such as the fact that the choice of the researcher believes that there is some sort of external truth out there that needs discovering, or whether the task of the researcher is to explore and unpick people's multiple perspectives in a natural field setting.

The research project critically evaluates issues of capacity building and suggests that there is a lack of capacity, hence service delivery protests. In view of the nature and focus of the research, the researcher adopted a predominantly constructivist, qualitative approach as interpretative in character.

However, even though a qualitative approach was adopted, which could lend credence to the argument that the research method taken is a mixed methods approach. This could only be true in as far as data collection is concerned, which reflects both qualitative and quantitative.

The interpretative character of the qualitative approach is linked to the survey method which, according to Charles (1952:20) is used to learn among other things, about peoples' attitudes, beliefs, opinions and values.

Qualitative research concentrates on verbal responses and approaches are not limited to formality, i.e. the scope is less defined, less structured and data appears as words (Creswell, 1996:42). Straus and Corbin in (Mokhoabane 2006:77) argue that qualitative research is a foundation aimed at covering various methods and approaches to the inquiry of human behaviour, and includes exploring the life world of people interviewed, studying their background and examining the information gathered in this regard with the purpose of establishing the meaning of facts that are being provided.

Gray in (Alebiosu, 2005:18) emphasizes that a core aspect of the research is the researcher's preference for analytical survey methods in an attempt to test

a theory in the field through the association between the variables, and that analytical surveys should emphasize:

- A deductive or inductive approach;
- An identification of the research problem;
- The drawing of a representative sample from the population;
- Control of variables;
- The generation of both quantitative and qualitative data; and
- General relevance of the results.

4.5 DATA COLLECTION

The quality of the research depends to a large extent on the quality of the data collection tools. Interviewing and administering questionnaires are probably the most commonly used research techniques. Therefore, designing good question tools forms an important and time-consuming phase in development of research proposal.

Data collection techniques allow the researcher to systematically collect information about the objects(s) of the research and about the setting in which the research takes place. It is important to note that the collection of data has to be systematic and not haphazard, as if the collection is haphazard it will be difficult to answer the research questions in a conclusive way (IDRC, 2007:3). According to Silverman (in Mokhoabane 2006:83), data collection constitutes the basic information from which conclusions are drawn, and creates an essential component of any research because it does not only supply an explanation of what data is collected and how it is received.

There are various data collection instruments, e.g. using available information, observation, interviewing, administering written questionnaires, focus group discussions, and projective techniques, mapping and scaling. The instruments that were used to collect data in the research were questionnaire and the interviews. The questionnaire was used to solicit primary data, and interviews were used to validate data collected through the questionnaire.

Based on the preceding, this study used both quantitative and qualitative research methods. The researcher made use of the questionnaires and interviews to formulate an opinion about the lack of capacity building for implementing the IDP, permission was sought at the end of October 2009.

4.5.1 Sampling and selection

Cormach (2000:51) defines sampling as the scientific research in which a number of individuals are stakeholders to establish a concise conclusion about a large number of people, hence, according to Sapsford and Judd (Alebiosu, 2005:19), the aim of sampling is to save time and effort, but also to obtain consistent and unbiased estimates of the population status in term of whatever is being researched. Samples are drawn using sampling frame in which samples that are drawn must be representative of the population, and are the basis on which inferences can be made on the measured characteristics of the population.

Sampling technique was used for finding research results and was based on the assumption that a bond or link exists between the initial sample and others in the same target population, allowing a series of referrals to be made within a circle of acquaintances. This method is essential to interpret the findings and is indicative of the results of the broader picture.

Qualitative research focuses mainly on the description of the site sample. Frey and Oishi (in Makhoabane 2006:82) emphasize the importance of a selection strategy that should be employed in order to achieve the sub-set of the population from which data is collected by means of interviewing, observation and documentation. It is therefore important to conceptualise sampling as an important component of research.

Sampling methods are classified as either probability or non probability. Probability samples include random, systematic, stratified and convenience sampling; whereas non probability samples include convenience, judgement, quota and snowball sampling.

4.5.2 Purpose of Questionnaires

Written questionnaire is a method of data collection where written questions are presented so that they can be answered by respondents in written form.

A questionnaire is normally administered in the following manner:

- Sending questionnaires by mail with clear instructions on how to answer the questions and ask for mailed responses;
- Gathering all or part of the respondents in one place at one time, giving oral instructions and letting the respondents to fill out the questionnaire or
- Hand-deliver questionnaires to respondents and collect them later (IDRC, 2007:4).

Silverman (1993:175), states that a questionnaire is relatively economical, has the same questions for all participants, can ensure anonymity and contains questions for specific purposes. Further, IDRC (2007:7) states that the added advantages of using a questionnaire are that it may result in honest responses; it does not require research assistants and eliminates biasness due to phrasing questions differently with different respondents. However, the disadvantages of using the questionnaire are that it cannot be used adequately where respondents are illiterate and there could be low levels of responses due to questions being misunderstood.

This research used a combination of the above stated methods in administering the questionnaire, which contained a combination of closed (with pre-categorised answers of yes or no) and open-ended questions.

4.5.2.1 Research questions explained

Once the researcher has defined the objectives of the research and has decided on the method to be used, he/she must resume the task of setting questions. (Silverman, 1993:175). In this research, questions were the same for managers and employees.

4.5.2.1.1 Questionnaire for Management and Staff at Emfuleni Local Municipality

The questionnaire (Appendix A) is divided into sections A, B and C and was completed by managers and employees.

Section A

Questions 1 – 4 are based on the demographic profile of the managers and staff of Emfuleni Local Municipality.

Section B

Questions 1 – 11 are based on institutional building capacity and are using general statements that seek to extract the true feelings of both management and employees as to why the lack of service delivery at Emfuleni Local Municipality.

Section C

Question 1-11 are included to establish the reasons for the lack of service delivery and capacity building, these questions also seek to probe the importance of particular skills such as project management.

4.5.3 Interviews

The interview is selected as another instrument used for collecting information and to give more clarity on some of the questions that were posed in the questionnaire. The interview provides an opportunity for the interviewees to answer and pose questions related to phenomenon (Rubin & Rubin, 1995:36). According to McMillan and Schumacher in (Mokhoabane 2006:86), the interview provides the researcher with uniform method of recording information, and therefore enhances the validity of the interview as a measuring instrument.

According to Rubin and Rubin (1995:56), the interview permits the interviewer to maintain an understanding of what the interviewee means by responses he/she gives to questions that are asked. Interviews have been employed extensively across all disciplines of social science and in scientific research as a key technique of data collection.

According to IDRC (2007), an interviewer needs to have the skills of a detective. She/he should carefully, step-by-step, delve for the truth. Here the comparison stops, because the truth researchers are looking for, in general, has nothing to do with criminality.

Contrary to the detective in a criminal investigation, the respondents in the interview are possible partners who with their information help solve a shared problem, or at least help to better understand why people behave as they do.

To turn an informant into a partner, a researcher has to invest in the relationship. First of all, he/she has to be clear to the informant about the purpose of the interview and the study. Enough information should be given to raise the interest of informants and to enable them to judge whether they would like to participate or not. On the other hand, not too many details should be given about what will be asked and why. Otherwise, the researcher runs the risk informants become selective in what they tell, and conceal information in order to 'help' or please him/her (interview bias).

The following are the advantages of the interview:

- Interviewing is suitable for both the illiterates and literates;
- It permits the interviewer to clarify questions that respondents may find confusing;
- It has a higher response rate than the questionnaires;
- Respondents may broaden their responses or be limited from the central topic in ways that prove useful to the researcher; and
- It provides an in-depth understanding of respondent's motives, their pattern of reasoning and emotional reactions not possible with questionnaire (Thomas, 1998:135).

The following are the disadvantages of the interview:

- It is relatively expensive and time-consuming than the questionnaire;
- The presence of the interviewer can influence the responses;
- Reports of be less complete than information gained through observation.

The following can be deduced from interviews techniques:

- Interviewers can probe for more specific responses and can repeat a question when the response indicates that the interviewee has misunderstood the question;

- An interview does not have a time limit;
- Illiterate people can still answer the question in the interview;
- The interviewer is present is present to observe non-verbal behaviour as well as to assess the validity of the interviewee's responses;
- The interviewer may standardise the environment by making sure that there is privacy and no noise;
- The interviewer has full control over the sequence of question to be answered;
- The interviewee cannot react a response once it has been given and thus the interviewer can record responses from the interviewee as they arise;
- The interviewer can ensure that all questions are responded to;
- The interviewer can record the exact time, data and place of the interview (Thomas, 1998:135).

A semi-structured interview was employed, and the interviewer listened attentively and intently, made notes where necessary, sought clarity or more information from the interviewees.

4.6 DATA ANALYSIS AND INTERPRETATION

An analysis is the way of gathering, choosing, classifying, viewing and discarding information; and explaining the content of text, which includes thoughts, words, themes and messages that can be communicated.

The text is anything written, visual and spoken which is utilised as the medium of communication (Fraenkel & Wallen in Mokhoabane, 2006:91).

In this section, the mass of collected data is analysed and interpreted with the purpose of bringing order and structure to information. Data analysis in qualitative research involves logic, and reasoning is used and conclusions drawn based on evidence. According to Cresswell (1994:123), once a conclusion is drawn by reasoning, it should be clarified the logistic of the data for analysis purposes. Hence, in the process of the research, the researcher investigates patterns of similarities and differences and attempt to establish the extent to which the materials are valid and reliable (Straus & Corbin,

1998:179). It is important that the researcher at all given times, to maintain the validity and reliability of the respondents.

4.6.1 Validity

The notion of validity captures the idea that the statement or collection of statements can in fact be more or less truthful (Mouton, 1996:30). In statistics a **valid** measure is one which is measuring that which it is supposed to measure. Validity implies reliability (consistency). A valid measure must be reliable, but a reliable measure need not be valid. Validity refers to getting results that accurately reflect the concept being measured, i.e. validity is the degree to which a research instrument evaluates what it purports to measure (Creswell, 1994:121).

According to Fink (1995:50), in order to obtain validity the researcher has to employ standards which may have a meaningful link with the research questions and with data analysis to direct the researcher in creating valid arguments, findings and reports; and must be considered with the idea that validity is a single and unitary concept that requires evidence for the specific use that is cited in research.

4.6.2 Reliability

Another concept closely related to validity is reliability. Reliability refers to the consistency of measurement to the extent which the results are similar over different forms of the same instrument or occasion of data collection, in other words, that the same results are obtained each time the researcher uses various techniques for assessing the collected data (Mokhoabane, 2006:81).

4.6.3 Descriptive presentation of research results

Qualitative and quantitative data are not presented in the same pattern. According to Mokhoabane (2006:92), a major distinction is made between the qualitative and quantitative data because quantitative research explores traits of individuals and settings that cannot be easily described numerically. The information is largely verbal and is collected through observation, description and recording. Quantitative research on the other hand, explores traits and situations from which numerical data can be obtained (Straus & Corbin, 1998:31). McMillan and Schumacher (1997:15) maintain that quantitative

research primarily makes use of measurements and statistics. Often, in a research project, both quantitative and qualitative methods are used in the same study.

4.6.3.1 Data display of questionnaires

The qualitative questionnaire is divided into two sections requiring **Yes** or **No** responses, and open-ended questions to indicate the opinion of the respondents. The same questionnaire was utilised for the population group to test understanding of the prevailing of situation. The outcome of the questionnaire was utilised as a basis for the interviews; and the interviews were tailored around the specific role and responsibilities of the different individuals who constituted the sample population.

4.6.3.2 Analysis of the questionnaire and interviews

Some questionnaires were personally handed out to the respondents, others were sent by e-mail; and the responses were collected at a given time. Consequently, all questionnaires were completed and returned. The questionnaire and the interview were regarded as primary data, and for secondary data, the researcher adopted extensive reading of literature obtained from North West University, Vereeniging Library, web searched, review of newspapers and journals, reports of Emfuleni Local Municipality and the Gauteng MEC's comments on the IDP.

4.6.3.3 Feedback from interviews with the Managers and Officials at Emfuleni Local Municipality

A total of seventy four respondents were involved.

Firstly, the respondents were asked to indicate their gender:

Out of the seventy four respondents, thirty one were males, forty two were females and one respondent did not indicate the his/her sex.

Secondly, the respondents were asked to indicate their race:

Out of a total of seventy four respondents, forty were Africans, two Asians, seven Coloureds and twenty two Whites, other was one and two respondents did not indicate their race.

Thirdly, the respondents were asked to indicate their age:

- 4 were between the age group of 25 years of age and younger
- 6 were between the ages 26 – 30,
- 9 were between the ages 31 – 35
- 24 were between the ages 36 - 40
- 22 were between the ages 41 – 45,
- 7 were from 45 years and older,

Two did not indicate their age group

Fourthly, the respondents were asked to indicate their job level:

- 1 respondent was in job level 1 – 3
- 11 respondents were in job level 4 – 6
- 39 respondents were in job level 7 – 10
- 18 respondents were in job level 11 – 13
- 1 respondent was in job level 13 – 16
- 1 respondent was an HOD

Three did not indicate their job levels

Responses on questions

For the questionnaire that was used for conducting this research, see Appendix B.

4.6.4 Interviews

For the interview questions, see Appendix A

4.6.4.1 Findings of the interviews

Question 1

It is clear from the interviews that most managers and officials almost agreed with the fact that the link between the needs and supply is weak, which is an indication that capacity building programmes are not clearly and seriously implemented. Nearly 80% of the respondents agreed to the statement.

Question 2

When it comes to funding, almost 70% of the respondents agreed strongly that funding was not adequately allocated to capacity building. About 20% disagreed with the statement by saying that funding was available the problem was that it was not allocated to issues of skills development.

Question 3

Over 80% of the respondents strongly agreed that there was a need for change at Emfuleni Local Municipality especially when it comes to managerial skills.

Question 4

About 70% respondents agreed that training institutions were not in constant contact with municipalities including Emfuleni Local Municipality. This was largely attributed to HR as it does not constantly consult with various training institutions to further communicate and improve the skills of the institution.

Question 5

With regard to the development of teaching material, about 60% stated that the current material does not equip managers with the latest programmes and trends in organisational behaviour, with about 30% saying teaching material should be simplified.

Question 6

An overwhelming 80% of respondents felt that capacity building should also be practical; meaning that an outcome based training should be provided to employees with lower levels of literacy. They were also of the view that not only state related institutions should be utilised in capacity building, which indicates that other institutions that deal with capacity issues should be utilised such as NGO`s.

Question 7

Almost over 80% of the respondents agreed strongly that the Council does not take the issue of capacity building as seriously as it should. Their view was that project management skills were very critical to service delivery, since

these skills could equip and help them when it comes to planning and completion of projects in time.

4.6.4.1.1 Feedback from the interview questions with the general manager: organisational development and manager HR

Question 1

The general manager for organisational development is of the opinion that job descriptions are not clearly defined hence it become difficult to hold any junior manager or employees accountable for any lack of adherence to the policies dealing with governance. They further stated that overlapping of task results in duplication when it comes to governance

Question 2

Both managers were of the opinion that certain individuals use their political connectedness to erode discipline, hence managers and supervisors are afraid of implementing full disciplinary procedures, in turn result in other employees being demoralised. On the whole both managers were of the views that this promotes corruption and the culture of impunity or untouchable.

Question 3

The cooperate strategy of Emfuleni needs to be reviewed and realigned to the organogram of the institution; this would result in the reduction of duplication and inefficiency when it comes to the deployment of resources.

Question 4

Critical skills such as project management and competency in terms of qualifications are critical and lastly both managers were of the view that political interference was also causing problems for service delivery as councillors often interfere with administrative priorities.

4.7 ETHICAL CONSIDERATIONS

The researcher informed all respondents that the information that they provided through the questionnaires and interviews will be used for academic purposes, and not for commercial or any other use; and all respondents were

assured that the information that they provided will be kept confidential, and will be discarded after the research is published.

CHAPTER FIVE

CONCLUSION AND RECOMMENDATIONS

5.1 INTRODUCTION

The fundamental aim of the study was to investigate the lack of institutional capacity for implementing an integrated development plan (IDP) at Emfuleni Local Municipality. Empirical research was conducted to determine the extent to which the lack of capacity has contributed to service delivery backlogs. Problems of capacity were looked at from the angle of service delivery protests in the country in general as well as at Emfuleni Local Municipality in particular. Causes in this regard were looked at and interrogated and the outcomes were that there is indeed a lack of capacity in the ELM. All the details in this regard were deliberated upon in finer details in the previous chapters. This chapter comes to give a brief overview of these details as well as to give findings, a conclusion and recommendations.

5.2 SUMMARY

In chapter one it was stated that there is a problem of capacity in municipalities as communities all over the country rose against their municipalities by taking to the streets in protest against poor service delivery. Issues of corruption, nepotism, lack of accountability and communication were cited as the main causes of these sporadic protests. Emfuleni Local Municipality was recently on the news as well on all the above-mentioned issues.

Chapter two relayed the outline of the IDP, i.e. the processes that all municipalities need to follow in order to produce a credible integrated development plan that addresses the socio-economic needs of their communities.

It also defined capacity building as to what it is, as well as the enabling legislation that empowers municipalities to successfully implement their own local developmental mandate.

Chapter three explored the problems of capacity at Emfuleni Local Municipality with regard to institutional capacity building, followed by processes of national capacity building framework as to how this processes should be implemented and what is that national and provincial spheres of government should do to assist at local government level. Systems that are lacking at local government were also highlighted especially financial management skills.

Chapter four dealt with empirical research wherein almost all the departments were surveyed in terms of their ability and skills to provide services to their communities. Two senior managers were interviewed and they provided satisfactory responses on capacity problems affecting their work environment. Data regarding lack of capacity was obtained through semi-structured interviews and questionnaires.

5.3 REALISATION OF THE OBJECTIVES OF THE STUDY

The first objective of this study was to give a theoretical exposition of the concepts integrated development planning and capacity building. This was met by outlining the stages and phases of formulating a credible integrated development plan as envisaged in the legislation that empowers municipalities to perform these functions as well as the national framework thereof that capacitates local governments.

The second objective picked on institutional building issues at Emfuleni Local Municipality, where factors that hinders this institution to function at its full potential were highlighted.

The third objective was to highlight lack of service delivery to the people of Emfuleni Local Municipality where the residence took to the streets to indicate their dissatisfaction with regards to poor service delivery.

The fourth objective dealt with corruption issues wherein lack of systems and measures seem to have affected the municipality's ability to deliver was analysed.

The final objective was to provide recommendations that may add value to HR and other managers to deal with capacity building problems that impact the implementation of the integrated development plans of this municipality.

5.4 TESTING THE HYPOTHESIS

The aim of the study was also to test the hypothesis that was made in chapter one, namely the lack of service delivery due to institutional capacity problems such as political interference, nepotism, corruption and other forms of financial mismanagement renders the Emfuleni Local Municipality ineffective when it comes to service delivery.

5.5 FINDINGS

The most critical finding is the acknowledgment by the mayor that Emfuleni has a shortage of two hundred strategic positions that needs to be filled. This is an indication that capacity problems do exist. Many positions are filled by people who don't have the matching skills i.e. less qualified and not having relevant knowledge for particular posts.

Discipline is lacking due to poor supervisory skills and this is attributed to lack of training. Employees are conscious of the need for training and this is not given enough attention.

Funding for skills development is also not dealt with adequately given the fact that there is skills levy that needs to be accessed to improve the competences of employees.

Disillusionment and demotivation is high within the institution as this is expressed by issues such as lack of discipline and the desire for change.

Both the municipality and the stakeholders in capacity building are not communicating enough in monitoring and evaluating the impact of learning programmes.

It takes too long to update teaching programmes, meaning that there is a lack of creativity and innovation.

Alternative ways of improving capacity are not given enough attention such as benchmarking.

Given the fact that populations grow, little attention is given to institutional abilities to meet the ever increasing demands of communities

About +/- 2500 employees cannot service over five hundred thousand people, hence institutional problems tend to abound as employees are overwhelmed by demand for service delivery.

This results in the municipality not being able to meet expectations of the communities they serve.

Constant political interference creates problems for administrators such as prioritising competing needs of the communities they serve. This eventually affects service delivery programmes

Due to lack of delegation of powers the speed of decision making is significantly impacted. Many decisions could only be signed off at senior management level resulting in bottle necks. Managers are sometimes reluctant to take responsibility and accountability for decisions. Another concern is that responsibility for decisions is not always clearly spelt out in job descriptions, with staff sometimes evading responsibility and saying that it was someone else`s job. As a result of this, deadlines are missed and slow service delivery to communities become eminent. In general, a lack of initiative and pro-activeness was noted amongst managers.

There is a need to develop professionalism in departments by providing best practice guidance to enable departments to become more proficient in procurement, and to provide organisational efficiency.

5.6 RECOMMENDATIONS FOR THE PRACTICAL IMPLEMENTATION OF FINDINGS

There is a need for capacity assessment which will assess whether national development goals, priorities and strategies have been defined and which institutional capacities are required by ELM to fulfil that mandate.

From the view point of HR it was revealed that ELM need to redesign its organograms per cluster/department in order to deal with structural misalignment to avoid duplication and ineffective deployment of council`s human resources.

Soon after putting systems in place, capacity building programmes must be implemented and the priority must be the development of a workplace skills plan which entails the following:-

- Proper workplace planning to avoid loitering during working hours;
- Clear job analyses as an input to the workforce planning process;
- Identifying and defining the skills requirements of the municipality as defined in the workplace planning process;
- Skills audit should also be conducted to determine the actual skills of the current workforce;
- Training priorities must be derived from the outcome of the skills audit;
- Next is the identification of the skills programmes that must address the skills training needs;
- Followed by the implementation of the workplace skills plan;
- Critical to this is monitoring, evaluating and reporting of the workplace skills plan; and
- Finally quality assurance system must be established to ensure effective and value-added skills training and development.

5.7 EFFECTIVE SUPPORT FOR CAPACITY BUILDING

Building on the implications that have been listed throughout this study, Emfuleni Local Municipality needs to pay more attention to unleashing the potential for capacity building by finding, inducing, igniting, and unleashing endogenous human energy and commitment. This means paying less attention to gaps, and more on strengths.

Encourage effective leadership to help groups with differing opinions to work together for the good of the institution and the communities that they serve.

By improving communication and information with citizens. This means translating the IDP and audit reports into easy-to-understand messages in local languages, making important information easily and widely available,

and showing that the council does listen and take complaints seriously by going out to listen empathically.

This should translate into being more transparent about decision-making processes which include providing proper feedback to ward committees, communities and citizens who have complaints or proposals.

Councillors need to be empowered with programmes that enable them to perform their roles properly and critically so that they can be good ambassadors for the municipality in their contacts with their constituencies.

5.8 CONCLUSION

It is apparent that there are many factors that can be attributed to poor service delivery, a major one being lack of capacity which emanates from skills shortage in municipalities.

This is compounded by the fact that there are many people out there who have the qualifications and skills to fill the critical positions in municipalities, but those skills are not being absorbed into the system of local government due to issues of nepotism. Yes the IDP becomes a problem if it is not further simplified to be understood by managers at the level of implementation. This is further exacerbated by the lack of project management skills at local government level, hence the failure of many projects in municipalities. For further study, the procurement system in the public sector needs to be reviewed to eliminate corruption. Finally, political power should be separated from administrative power as it was revealed in this study that many officials complained about political interference on their daily duties. Unless this is done quickly, local government will continue to be plagued by service delivery protests. Even the current Minister of Cooperative Governance and Traditional Affairs is trying to manage problems affecting municipalities in the country.

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APPENDIX A

INTERVIEW QUESTIONS DESIGNED FOR ORGANISATIONAL DEVELOPMENT MANAGER AND HUMAN RESOURCE MANAGER

The following questions were utilised during the interview with the above mentioned managers:

1. In your opinion what could be the reasons for poor governance at Emfuleni Local Municipal?
2. There is a general view that there is lack of discipline at Emfuleni Local Municipality, what is your view on this?
3. Another view is that there are structural misalignment at Emfuleni, what are your views on this?
4. In your opinion, what is it that hampers services delivery at Emfuleni?

APPENDIX B

QUESTIONNAIRE FOR MANAGEMENT AND STAFF AT EMFULENI LOCAL MUNICIPALITY

INSTRUCTIONS

- You are requested to participate in this research survey and express your opinion about institutional capacity building at Emfuleni Local Municipality.
- This survey is **strictly confidential**: Kindly do not put your name on the questionnaire.
- Please answer all questions.
- Be open and honest.

SECTION A: DEMOGRAPHIC INFORMATION

Please make an X in the appropriate box.

1. Gender

Male	Female
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2. Race

African	Asian	Coloured	White	Other
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3. Age

25 and younger	26 – 30 years	31 – 35 years	36 – 40 years	41 - 45 years	45 and older
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4. Job level

1 – 3	4 – 6	7 – 10	11 -13	13 - 16	HOD
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SECTION B

In the following section some general statements about institutional capacity building at Emfuleni Local Municipality will be presented to you. Please view this as an opportunity to express your true feelings, attitudes and perceptions by using the provided keys and placing an X in the appropriate box. Please answer all questions.

		Strongly disagree	Disagree	Agree	Strongly agree	Not applicable
1.	The link between needs and supply is weak.	1	2	3	4	5
2.	There is a lack of realistic funding.	1	2	3	4	5
3.	There is a need for support for change.	1	2	3	4	5
4.	Training institutions are isolated – communications are poor.	1	2	3	4	5
5.	Development of teaching materials is inefficient.	1	2	3	4	5
6.	Alternative ways of capacity building are not adequately recognised.	1	2	3	4	5
7.	The issue of capacity is critical and the scale is enormous, but appreciation of the problem is low.	1	2	3	4	5

SECTION C

QUESTIONNAIRE FOR MANAGERS AND STAFF AT EMFULENI LOCAL MUNICIPALITY

Instructions

- You are requested to participate in this research **survey** and express your opinion about the capacity building which assist a great deal to make service delivery a success in most Local Municipalities.

- The survey is Strictly Confidential; kindly do not put your name on the questionnaire.
- Please answer all questions.
- Be open and honest.

8. Staff development is one of the key objectives for service delivery and the implimenting of (integrated Development Planning) IDP.

YES NO

If your answer is YES, can you explain.

9. National Capacity Building framework for Municipalities is easily understood.

YES NO

10. Why is project Management skill critical in implimenting IDP?

11. lin your opinion, what is it that hampers services delivery?
