

**CAPACITY BUILDING FOR LOCAL ECONOMIC DEVELOPMENT: AN
EVALUATION OF TRAINING INITIATIVES IN THE CAPE WINELANDS DISTRICT**

by

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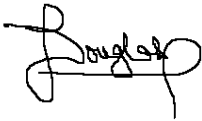
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I dedicate this dissertation to my Creator. Firstly, my most profound gratitude goes to God the almighty for all his marvellous deeds in my life. I would like to express my heartfelt gratitude to Dr. Samantha Leonard, under whose supervision I have completed this dissertation. Dr. Samantha Leonard has provided support, encouragement and professional guidance that has extended beyond all expectations.

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ABSTRACT

The paradigmatic shifts in development approaches epitomised by contemporary discourses about development confer a prominent role on localised and territorial development. A growing scepticism on the efficacy of traditional development approaches provides the impetus for a strong understanding of the need to reconceptualise development theory and practices and to manipulate policies so as to remedy the imbalances of antecedent development approaches.

This dissertation investigates the extent to which the existing training interventions can build skill capacity for Local Economic Development (LED) projects in the Cape Winelands municipalities. This will improve our understanding about how, and under what conditions, capacity building for LED can contribute to more inclusive economic and social change.

In discussing the theoretical perspective of the study, the relationship between development, LED and capacity building is conceptualised through the lens of contemporary development theory of human development and capability approach. This will improve our understanding on how the capability approach aspires to re-orient approaches to socio-economic development and public policy, away from welfare, which is based on income and expenditure to well-being.

The dissertation applies these ideas triangulating diverse research methods and data sources. It combines a literature review and documentary analysis, observation, surveys conducted with municipal authorities in Cape Winelands District Municipality. In addition, semi-structured interviews were held with LED Portfolio Councillors in the municipality as well as with key Officers from Local Government Sector for Education and Training Authority, Department of Economic Development and Tourism in Western Cape, South African Local Government Association and Department of Co-operative Governance and Traditional Affairs.

The methodological findings reveals the following pitfalls: Flaws in LED enabling policy framework for capacitating municipal staff; poor policy implementations; training fund difficult to access; lack of competent staff in local municipalities to effectively and

efficiently implement LED policies and strategies; and lack of supportive environment in workplace to enhance transfer of trained skill to the job.

Various recommendations resulting from the outcomes of the empirical study, namely the responses made by the respondents during the empirical survey, are proposed in the final chapter. It is shown that this research has, as a result, contributed to the body of knowledge of development theory and practices by improving our understanding of how, and under which conditions, capacity building training can support processes of social change in localised and territorial development.

KEYWORDS: Local economic development; Capacity building; training transfer; enabling work environment; LED policy and strategy; LED implementation

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ABBREVIATIONS

ABBREVIATIONS	MEANING
AET	Adult Education and Training
ANOVA	Analysis of Variance
ATR	Annual Training Reports
BVLM	Breede Valley Local Municipality
CENLED	Centre for Local Economic Development
COGTA	Department of Cooperative Governance and Traditional Affairs
CWDM	Cape Wineland's District Municipality
DAC	Development Assistance Committee
DANIDA	Danish International Development Agency
DBSA	Development Bank of Southern Africa
DEDAT	Western Cape Department of Economic Development and Tourism
DLM	Drakenstein Local Municipality
DPLG	Department of Provincial and Local Government
DQ	Drakenstein Question
DTI	Department of Trade and Industry
ECDPM	European Centre for Development Policy Management
EU	European Union
GDP	Gross Domestic Product
GTZ	Gesellschaft Technische Zusammenarbeit

HDI	Human Development Index
HRSC	Human Research Science Council
IDC	Industrial Development Corporation
IDPs	Integrated Development Plans
IDT	Independent Development Trust
IPMA	International Project Management Association
IRENA	International Renewable Energy Agency)
LED	Local Economic Development
LGSETA	Local Government Sector for Education and Training Authority
LLM	Langeberg Local Municipality
M & E	Monitoring and Evaluation
MIG	Municipal Infrastructure Grant
NGOs	Non-Governmental Organisations
OECD	Organisation for Economic Cooperation and Development
PACA	Participatory Appraisal of Competitive Advantage
RSA	Republic of South Africa
SALGA	South African Local Government Association
SETA	Skills Education Training Authority
SIDA	Swedish International Development Cooperation Agency
SLM	Stellenbosch Local Municipality
SQ	Stellenbosch Question
TNA	Training Needs Analysis

UNDHR	Universal Declaration of Human Rights
WLM	Witzenberg Local Municipality
WRI	World Resources Institute
WSP	Workplace Skill Plan

CHAPTER ONE

INTRODUCTION AND REVIEW

1.1 Introduction and Background

The failure of successive generations of imported, Western development strategies and projects to deliver meaningful reductions in poverty and achieve basic needs in Africa, has provoked a deep questioning of Western concepts and methodologies of development ... In a world where post-modern thinking encourages a rejection of all-encompassing models and a greater focus on local uniqueness, LED is clearly an expression of a broader paradigm shift in both the social sciences and global reality (Binns & Nel, 1999:391).

In contrast to the eager acceptance of the 'grand development narratives' (Binns & Nel, 1999:389) during the 1960's and 1970's, the late decades of the twentieth century were marked by increasing doubt and questions concerning the validity and effectiveness of these modernist theories. Sceptical critics referred to 'The Shipwreck of Grand Society' (Latouche, 1993: I); the 'myth of development' (Rist, 1999: I); the presence of a 'development impasse' (Binns & Nel, 1999:389) and the horrors of a world ruled by corporations (Korten, 2001). Common to all these criticisms was the emphasis on the desperate need to move away from meta-theories and universally applicable linear models and embrace alternative understandings and concepts of development (Pieterse, 2001).

Within this context of debate and controversy and disillusionment, an opportunity for more locally relevant and people-centred development rose to the fore. Although these concepts are often in opposition with neo-liberal principles of current global economics, Binns and Nel (1999) state that concepts of locally initiated and driven development strategies are still gaining in prominence due to their emphasis on independent economic action and response. However, despite debate and rhetoric, reality is that where development theories and initiatives have failed to deal with the challenges of poverty, poor communities have had no other option but to take charge of their own situation. A

paradox therefore exists where, despite continued dominance of neo-liberal economics, the concept of locally driven development (where initiatives are centred on empowering and uplifting the poor) are fast becoming the preferred approach to development aimed at poverty alleviation.

In agreement, Ellis and Biggs (2001) describe many shifts in rural development thinking, which have occurred over the past half century. Previous rural development programmes were often characterised by the implementation of non-coordinated, centralised top-down policies and strategies (Ambrosio-Albala & Delgado, 2008). The lack of effectiveness and the failures of these development policies and strategies prompted the advancement of new approaches that proposed decentralised, co-ordinated, integrated, context specific and bottom up strategies (OECD, 1998; World bank, 1998).

Cook and Kothari (2001) document a wide range of political and socio-economic merits for the adoption of some form of decentralisation and participatory approaches. From the political perspective, decentralisation is considered as a key strategy for promoting good governance, interpreted as greater pluralism, accountability, transparency, citizen participation and development (Crook, 1994:340).

According to Sharma (2000) decentralised local governance contributes to development in terms of promoting participatory development strategies and the production of policies that are adapted to local needs. Therefore, the involvement of citizens in development planning and implementation often enables the formulation of realistic plans that are in line with local circumstances and conditions (Edoun & Jaheed, 2009).

This focus on citizen involvement in development planning and implementation is equally important in the context of Local Economic Development (LED). Rodriguez-Pose (2008:23) describes LED as an integrated approach to development rather than a 'one size fits all' solution, with its core purpose being "to mobilise the local economic potential by bringing innovation to all its growth dimensions which range from infrastructure, to local SMEs and their skills, to attracting foreign direct investment, fostering territorial competitiveness, strengthening local institutions, better management of the development process and internalising local resources". Bringing together local governments, the

private sector and civil society in a search for the right LED formula allows the community to build from the 'inside-out, capitalising on local assets rather than from the 'outside-in' relying on external interventions (ILO, 2008: 2).

In South Africa, the municipal system Act (DPLG, 2000) has made it a legal requirement for municipalities to produce Integrated Development Plans (IDPs) of which LED is a key component. According to Heijden (2008), the municipalities lack capacity to monitor the quality of these strategies, thus resulting in a cumulative trend towards the production of low quality LED plans marked by a project focus, unrealistic targets, an inability to identify the drivers of local development and poor implementation.

It is almost six years since the formulation of the 2006 LED policy framework which provided the clearest picture for the roles and responsibilities of local municipalities with respect to social and economic development. Local governments in South Africa are currently grappling with this concept of local economic development which is seen as a paramount vehicle for achieving sustainable development. To this end, several LED training interventions have been made to improve the capability, effectiveness, responsiveness, and accountability, in sustainable forms, for local municipalities. Experience has shown that much still has to be done to bridge the capacity gap in the local municipalities (Abrahams, 2003).

In response to the above, this study will involve an in-depth study on the capacity enhancement interventions through training for LED practitioners in the Cape Winelands' municipalities. The study will evaluate the current LED training intervention in terms of its effectiveness for building capacity in Cape Winelands' Municipalities. Moreover, the outcomes of this study will help policy makers in the formulation of effective strategies which conform with local needs.

1.2 Problem Statement

From my experience with the Cape Winelands' municipalities, I have noticed that there seems to be a lack of sufficient knowledge and skills required to foster successful economic development at the local municipality level. I believe that the individual and institutional capacity of local municipalities needs to be strengthened through training such

as technical, managerial and interpersonal skills training. It seems that despite the many training initiatives focused on LED in order to empower local government staff and to address the afore-mentioned difficulties, the problem still persists.

From my preliminary observations, it seems as though the capacity building training for local economic development of municipal staff in two municipalities (Stellenbosch and Drakenstein) in the Cape Winelands faces the following challenges:

- Training is not sufficiently available to all staff and elected representatives;
- Training is frequently of low quality, not focusing on priorities and failing to use interesting and interactive methodologies;
- Much training investment is wasted by not making the best use of existing capacity, by not building on examples of good training practice, by frequent turnover of staff, and by lack of co-ordination and cooperation between training providers;
- There are insufficient qualified trainers;
- Training budgets are often not sufficient enough to achieve impact;
- Training is excessively supply-driven rather than demand-led.

In response to these observations and assumptions, this study aim to investigate some of the capacity building training initiatives in the two municipalities of Stellenbosch and Drakenstein in the Cape Winelands District Municipality.

1.3 Research aim and objectives

In an attempt to address the aforementioned problems, this study has the following aim and objectives.

Aim: The aim of this study is to investigate the extent to which the existing training interventions can build skill capacity for LED projects in the Cape Winelands local municipalities.

Objectives:

1. To analyse the main policy frameworks which guide the content and delivery of LED training in the above mentioned local municipalities;
2. To investigate and identify the extent to which municipality resources are used to undertake training in LED within the Cape Winelands' municipalities;
3. To use a framework for the evaluation of capacity building training interventions aimed at promoting LED in local municipalities and
4. To evaluate the training interventions in terms of their ability to build skill capacity for LED for the staff of the Cape Winelands' municipalities

1.4 Research question

As previously discussed, this study will investigate the effect of capacity building interventions with special reference to training of professional staff for LED in two of the Cape Winelands' municipalities and will seek to answer the following primary research question:

To what extent can the existing training interventions help to build skill capacity for LED projects in two of the Cape Winelands' municipalities?

1.5 Tentative literature review

The World Bank (2006:1) states that the principal objective of LED should be to build the economic capacity of local areas for sustainable economic development. According to Watson (2006), an essential component of community-led rural development is the ability of local people to solve their own problems. He then adds that capacity building seeks to bring about this organisational expertise by forging new skills within rural communities. The skills he is referring to in this context are related to leadership, mediation and conflict resolution, group processes, understanding the business of government, and the articulation and achievement of a shared vision. Current experience with the implementation of LED programmes in South Africa, however, indicates that capacity gaps exist in different areas across all districts and municipalities to implement the programme (Rogerson, 2009).

Over the past five years, there have been an increasing number of training initiatives by the European Union, Gesellschaft Technische Zusammenarbeit (GTZ) and other stakeholders to improve local capacity (Ruecker & Trah, 2007; Xuza, 2007; Patterson, 2008; Lambshead, 2009). The Development Bank of Southern Africa's (DBSA) Vulindlela Academy delivers training courses in LED to local government and works in close cooperation with the Department of Local Government (DPLG), the National Treasury, South African Local Government Association (SALGA), Local Government Sector Education Authority (LGSETA) and other stakeholder institutions (DBSA, 2009). In addition, during 2009 new training offerings were made available through the Durban-based Macintosh Xaba and Associates (MXA Associates, 2009) and the LED Practitioners' Network.

However, despite the aforementioned training initiatives, experience has shown that there is still much that need to be done to bridge the capacity gap and the 'information gap' as described by Rogerson (2009). Rogerson (2009) points out that in certain parts of the country (especially poorer provinces and small towns), capacity gaps remain. Limited capacities in LED staff has had the consequence that many smaller municipalities focus on compliance with statutory requirements rather than attempting to proactively manage economic opportunities that could have widespread local impact (Lawrence & Hadingham, 2008).

Rogerson (2009) continues to state that while the long-term impacts of the training interventions are yet to be proven, there are promising indications of positive outcomes alongside certain disappointments. There are signs that the fruits of other aspects of the large-scale capacity building initiative are beginning to appear (Lambshead, 2009). These fruits are manifest in the appearance of a more pro-active group of LED officers able and willing to conduct a dialogue with the private sector about the appropriate directions for LED (Lambshead, 2009).

A 2007 survey of Local and District Municipalities in Mpumalanga, conducted to assess the extent to which LED was embedded in local policy and practice, concluded disappointingly that LED processes 'are poorly embedded in the majority of municipalities' (GTZ, 2007:6) and that the basic preconditions for LED processes are not in place in the

majority of municipalities (GTZ, 2007:7). Similarly, a recent analysis in Limpopo points to the lack of qualified technical staff (especially town planners), the absence of competence to review building plans and zoning applications and the absence of technologies that improve LED potential (Kaiser Associates, 2007). According to Rogerson (2009:63), in poorer municipalities the existence of low skills and lack of qualified technical municipal staff results in an unhealthy if not exclusive reliance on private consultancies and of consultant-driven strategies for LED.

Imperatively, as the municipality lacks capacity to monitor the quality of these strategies, there is a cumulative trend towards the production of low quality LED plans marked by a project focus, unrealistic targets, an inability to identify the drivers of local development and poor implementation (Van der Heijden, 2008). Thus, the qualifications of personnel in key LED portfolios and the inability of incumbents to negotiate and strategise with the often intimidating private sector are big stumbling blocks to the effective implementation of LED initiatives (Lawrence & Hadingham, 2008:44). At the very least, local government officials should be capable enough to be able to negotiate and strategise with the private sector around common interests. These findings point to training gaps that continually need to be addressed (Trah and Wegmann, 2009).

In South Africa, the apartheid government was characterised by a strong focus on central planning and control, and almost no role for local authorities in economic planning and development, beyond certain spatial (town) planning responsibilities (SALGA, 2010:3). In contrast, the post-1994 government has placed a strong emphasis on community and grassroots initiatives and participation (RSA, 1996). Importantly, local government is now viewed as a sphere of government, and has been allocated a range of roles and responsibilities with respect to economic and social development (SALGA, 2010:3). The Municipal Act of 2000 (DPLG, 2000) made it compulsory for all local authorities to draw up (among other things) an annual five-year Integrated Development Plan (IDP), which plan had to contain an LED strategy.

LED is concerned with local people working together to achieve sustainable economic growth to bring economic benefits and improve the quality of life for all in the community (World Bank, 2003). LED relies far more on community-based initiatives, utilising

indigenous skills and seeking primarily to ensure survival, than on participation in the global economy (Taylor & Mackenzie, 1992).

According to SALGA (2011), human capacity is one of the challenges facing municipalities. The employment of skilled individuals in specialised areas will assist greatly in improving a municipality's ability to function and deliver on its mandate (SALGA, 2011). Several skill training interventions have been made to foster local economic development in municipalities. These amongst other things include:

- The DBSA Vulindlela Academy, set up to deliver relevant capacity building training to local municipalities (DBSA, 2009);
- The Commonwealth Local Government Forum (CLGF) Good Practice Scheme (South Africa) seeks to improve the capability in other words, the effectiveness, responsiveness, and accountability, in sustainable forms, of participating local authorities;
- Department of Trade and Industry (DTI, 2008) LED capacity building projects in municipalities; and
- The National Treasury; SALGA; and LGSETA capacity building and skills development initiatives.

This study will investigate the effect of these capacity building interventions with special reference to the training of professional staff and careers for LED in Stellenbosch and Drakenstein local municipalities. It will, therefore, seek to answer the aforementioned primary research question.

1.6 Scope and scale of the study

This study is situated within the mixed methods paradigm where both qualitative and to a lesser extent quantitative methods are used to address the research problem. The study mainly involves the interpretation of participants' thinking and the process implementation of the programme, while the positivist approach is used to combine the in depth description of the thinking processes with descriptive statistics for more clarity. According to De Villiers (2005:13), qualitative and quantitative methods are not mutually exclusive.

Therefore, in this study the methods are complementary and parallel, as each covers various facets of the research process and together they offer techniques that are closer to what researchers actually use in practice (Johnson & Onwuegbuzie, 2004:15; Cupchik, 2001).

The study was undertaken in the Stellenbosch and Drakenstein municipalities situated in the Cape Winelands District Municipality. There is a wide believe that LED programmes is pro-poor development initiatives of the ANC led government to redress the social – economic imbalance of the past (SALGA, 2010). Imperatively, it becomes so interesting to carry out this study focusing on two of the Cape Winelands municipalities (Stellenbosch and Drakenstein) which is predominately controlled by the opposition Political Parties. This would amongst other things helps to understand the political dynamics associated with the process implementation of building LED capacity for the municipal staff in the designated two municipalities. The target group consists of the elected councillors, staff and communities of Drakenstein and Stellenbosch municipalities in the Cape Winelands District municipality. In addition, key role players from the following departments and organisations were interviewed:

- South African Local Government Association (SALGA)
- Local Government sector for education and training (LGSETA)
- Department of Cooperative Governance and Traditional Affairs(CoGTA)
- Western Cape Provincial Department of Local Government (WCDPLG)
- Cape Winelands District Municipality, (CWDM) – STELLENBOSCH

A purposeful sampling strategy of a non-random selection of participants was utilised in this study. According to Mcdermott and Sarvela (1998), purposeful sampling is a method in which researcher select participants that they judged to be typical of individuals possessing a trait. Thus the target group in this study are those major stakeholders who are involved in designing, giving, receiving, or administering the LED training intervention in the municipalities. According to Peter Depaulo (2000), in order to reduce the chances of discovery failure, as opposed to reducing (quantitative) estimation error, qualitative

sample must be big enough to assure that one is likely to hear most or all of the perceptions that might be important.

The data collection methods chosen for this investigation were open ended, semi-structured interviews, document analysis, pre and post surveys and post – training evaluation survey. The data collected in the study were analysed using content analysis (Hsieh & Shannon, 2005; Mouton, 2001), thematic analysis, descriptive analysis and the adaptation of the Merino and Carmenado (2012) framework for evaluating capacity building project. The content analysis and the matice approach were used to analyse the qualitative data emanating from the open ended, semi-structured interviews and the document analyses. The ATLAS. ti vers. 7.0. Software package was used to extract, compare, explore and reassemble the data to further delineate the relationships among emerging themes. According to Hyldegård (2006: 215), Atlas. ti has proved effective in revealing underlying conditions in the information seeking process. The quantitative data emanating from the training the surveys were descriptively analysed with the aid of a statistical programme called QI Macros.

1.7 Significance of this study

As previously discussed, a lack of sufficient knowledge and skills at local municipalities has been identified. This highlights the need for the training of technical, managerial and interpersonal skills individual and institutional capacities in local municipalities to be strengthened through. While many varieties of skill training on LED to empower local government staff have been carried out to address this problem, the problem seems to persist (Lawrence and Hadingham, 2008; Rogerson, 2009).

An in-depth understanding of local governance capacity development could lead to the development and use of effective capacity development strategies and knowledge products (Baser and Morgan, 2008). The findings of this study could assist the policy makers and all the stakeholders involved in LED capacity building interventions to formulate effective strategies that matches with local needs. A lesson can be drawn from the findings to establish what works well in which circumstances and what can be improved.

In addition, there is a lesson to be learnt through this study in respect to the willingness of office-bearers to foster skill capacity building in LED in relation to political motives. According to Cunningham and Meyer-Stamer (2005:13) LED has been taken over by non-economic actors in the political-economic systems, who want to further political issues not directly linked to economic development. To galvanise this point, Nel (2007) make it clear that in many instances, there is a very real sense that LED is driven by political choices. Thus, the findings of this study may help us to determine the extent of the political influence on LED in the Cape Winelands District municipalities in particular and other areas of the country in general.

1.8 Ethical Considerations

Since the object of this study is human beings, it's of paramount important to consider ethical issues emanating from one's interactions with other people. This research will be carried out within the generally acceptable prevailing norms and values in scientific research. According to Babbie and Mouton (2001:520), to do a scientific research one needs to be aware of the general agreement about what's proper and improper in the conduct of scientific inquiry. Imperatively, ethical values such as voluntary participation of respondents, anonymity and confidentiality of respondents' identities and integrity of the report will be upheld throughout the study. In addition, ethics clearance was solicited from the NMMU Ethics Research Committee.

Mouton (2001) argues that researchers have a moral commitment to search for truth and knowledge, yet this quest should not be at the expense of the rights of individuals in society. Therefore, participants were well informed that information obtained from this study will be treated as strictly confidential and that under no circumstances will it be used for any reason other than academic purpose. Before each interview, a project information sheet accompanied by a consent form were given to the participants. Respondents were assured that participation is voluntary, and if a respondent decides to participate, he/she will sign a consent form and return it to the researcher. All of the participants used in this study were all informed volunteers and aware that their responses will be used for this research.

1.9 Organisation of the study

The structure of the research is composed of ten. The first chapter forms the introduction. This constitutes the research problem and its background, the aims and objectives of the research as well as the structure of the research. The second, third and fourth chapters constitutes the theoretical framework of this study, where relevant publications on the research topic were thoroughly examined. The research methodology is presented and discussed in chapter five. Then chapter six presents the profile for the Cape Winelands District (CWDM). The results of the research study are presented in chapter seven. Chapter eight presents the conceptual framework used to analyse the capacity building intervention in the Cape Wineland's District Municipality. Furthermore, a discussion of the results is laid out in chapters nine. Lastly, the conclusions and recommendation are presented in chapter ten.

CHAPTER TWO

THEORETICAL CONTEXT OF LOCAL ECONOMIC DEVELOPMENT (LED)

2.1 Introduction

This chapter focuses on the contemporary trends which could be identified in development discourses, with emphasis on the capability perspectives of localised and territorial development. An historical understanding of the advancement in development theories over the years is needed in order to be able to comprehend the paradigmatic shift in development approaches. This brings to the fore the contrast in differences between alternative and traditional perspectives towards development. The objective of this chapter is not to present a chronological overview of development discourses for its own sake, but to highlight how and to what extent contemporary debates are shaping the theory and practice in development lexicon.

To understand the extent to which localised and territorial development perspectives really matter in development, it is necessary to understand the underlying meanings and approaches that have been applied to development, and the ways in which these ideas have been conceived and operationalised. This chapter is based on an extensive review of the literature pertaining to selected dominant theories on development from various disciplines with special focus on building the capabilities for municipal staff towards localised economic development. It is not intended to provide an exhaustive overview of development theories but rather focuses on the themes and implicit debates in the development literature which have contemporary policy relevance for capacitating municipal staff for LED in democratic local governance.

The first part of this chapter focuses on the evolutionary trends in the development paradigm from 1950 onwards. In addition to the reviews of key features of modernisation, dependency and neo-liberalism development approaches were presented in this chapter as well as discourses on decoloniality and transmodernity. This section discusses the conceptualisation of regional development and local issues in relation to the above. The critique emanating from each successive developmental stage and the subsequent emergence of alternative conceptions of development are examined. Whilst the second

section focuses on the conceptualisation of LED within current development theories, the third section centres on the identified shortcomings in contemporary development thinking and the final section examines the significance of this context to the field of development studies.

2.2 Evolutionary trends in the development paradigm, 1950 onwards

The proliferation of development thought, policy and strategy over the last half century has been marked by some historical paradigm shifts, such as the idea of basic needs in the 1970s, a market-based approach encompassing the implementation of privatisation and liberalisation reforms in the 1980s, and the idea of human development in the 1990s. The era after the world wars marked the beginning of the development era. Thus the World War created a level of global consciousness that had not previously existed. The Universal Declaration of Human Rights (UNDHR), written in December 1948, represents a wide range of ideologies, political systems and religious and cultural backgrounds, as well as different stages of economic development (United Nations). Amongst other things it also recognises the dignity, equality and inalienable rights of all members of the human family. This declaration of human rights laid the groundwork for the idea that development strategy should address the issue of not only economic growth and also of social justice and realisation of all human rights (Malhotra, 2005). Thus several development theories and approaches have been formulated by scholars and leaders geared towards a diagnosis and treatment of the problems of underdevelopment. Some of the theories developed and prescribed for developing countries include modernisation, dependency, post modernisation, post structuralism and neo-liberal theories.

Modernity

Modernisation theory has been one of the major perspectives in the sociology of national development. Modernisation theory makes the claim that Western capitalist values and practices are the basis for modernising third world countries and helping them become self-sustaining (Sorensen, 2001:1). According to modernisation theory, a transformation process could solve the problems of development facing the newly independent states in Africa as well as other developing countries in the world (Nafukho, 2013:606). Thus, primary attention has focused on ways in which past and present pre-modern societies becomes modern (i.e. Westernised) through processes of economic growth and change

in social, political and cultural structures (Arme and Kallis, 2001). In addition, Mouton (2001:27) asserted that modernisation theory refers to the transformation which takes place when a traditional or pre-modern society changes to such an extent that new forms of technological, organisational or social characteristics appear. Mouton (2001) continues that it encompasses many different disciplines as it seeks to explain how society progresses, what variables affect that progress, and how societies can react to that progress.

Modernisation theorists study the social, political and cultural consequences of economic growth and the conditions that are important for industrialisation and economic growth to occur. According to Pieterse (1996:551), modernisation theory is usually referred to as a paradigm, but upon closer consideration turns out to be host to a wide variety of projects, some represented by endogenous change, namely social differentiation, rationalisation, the spread of universalism and achievement and specificity, but it has also been associated with projects of exogenous change: the spread of capitalism, industrialisation through technological diffusion, westernisation, nation building (nationalism as a derivative discourse) and state formation (as in postcolonial inheritor states).

Dependency

Since the 1960s, many critiques of modernisation theory as well as the emergence of competing theories of development have eroded support for modernisation theory. Foremost among these are dependency, world systems and neo-Marxist theories, all of which criticise the ethnocentricity of the modernisation concept and the bias in favour of dominant capitalist interests (Armer and Katsillis, 2001).

Thus the Latin America *dependentistas* produced a theory that criticised the Eurocentric assumption of the *cepalistas*, including the orthodox Marxist and the North America Modernisation theory (Grosfoguel, 2000). The dependency theory in contrast argued that developing countries are underdeveloped due to structural linkages with the West. According to this theory, the relationship between the developing countries and developed countries has been that of exploitation. Developed countries have exploited the raw materials of the developing countries, securing higher than normal profits on the

manufactured goods produced from these raw materials, while the developing countries made very low profits on materials exported.

Dependency theory as propounded by Frank Grunder, Griffiths (2005:168) states that it is a body of social science theories which suggests that the wealthy nations of the world need a peripheral group of poorer states in order to remain wealthy. Dependency theory states that the poverty of the countries on the periphery is not because they are not integrated into the world system, but because of *how* they are integrated into the world system. Griffiths (2005:169) challenged the dominance of the modernisation strategies in the mid-20th century stating that the integration of the peripheral countries into the world system led to neo-colonialism not liberalisation, underdevelopment not development due to continued dependency and unequal exchange.

Dependency theory has therefore provided a much needed counter argument to modernisation theory. It is, however, limited in that its focus is restricted almost exclusively to the economic, with a lesser focus on the political mechanism of domination and control. It has, therefore, provided a trenchant critique of the crusading imperialism of the modernisation theorists and created an alternative vision which has accorded more closely with the experience of developing and emerging countries, but failed to address the cultural dimension of domination (Turker, 1999:13).

According to Turker (1999:14), both imperialist and anti-imperialist discourse (modernisation and dependency) has tended to reduce the subject of development to a passive object. While in no way diminishing the strength of the global forces which dominate the globe, Turker (1999) adds that it must also be recognised that the hegemony is never complete. In addition, dependency theorists have been criticised for ignoring the internal factors and processes that have been equally responsible for the lack of development in Africa (Ndlovu-Gatsheni, 2013:2). The advocates of neo-liberalism as well as the Washington Consensus have blamed internal factors such as corruption, patrimonialism and authoritarianism as responsible for the underdevelopment of states. They recommended the 'withdrawal of the state' (Harvey 2005).

Neo-liberalism

Since the 1970s the neoliberal approach has been widely applied in several countries around the world, including developing and developed countries with the assistance of the International Financial Institution (IFI) that advocates for neo-liberalism for developing countries. As a result, neo-liberalism as a global approach to development has dominated global development and literature. It emerged mainly to enhance growth, create free markets, replace the Keynesianism and eliminate the intervention of the state in economies that has resulted in poor economic performance in many countries (Harrison, 2005). According to Escobar (2010:8) neo-liberalism in Latin America started with the brutal military regimes in Chile and Argentina of the 1970s and by the early 1990s it had encompassed all of the countries of the region (except Cuba). Known as 'market reforms' in Latin America, as asserted by Escobar (2010:8), neo-liberalism entailed a series of structural reforms intended to reduce the role of the state in the economy, assign a larger role to markets, and create macro-economic stability. Among the most important measures were the liberalisation of trade and capital flows, the privatisation of state assets, deregulation and free markets, and labour reforms. Thus Escobar argues that some analysts believe that the implementation of this capitalist model of globalisation has brought about a degree of success such as greater dynamism of some export sectors, increased direct foreign investment, and gains in competitiveness in some sectors, control of inflation, and the introduction of social policies such as those of decentralisation, gender equality and multiculturalism. However, even the same analysts recognise the high costs of these alleged gains in terms of the growth of unemployment, the weakening of the links between international trade and national production, greater structural unevenness among sectors of the economy (structural dualism) tremendous ecological impact and a sharp increase in inequality and poverty in most countries (Ocampo, 2004:74). Regrettably, the infamous SAPs (Structural Adjustment Programs) and shock therapies brought with them a level of insensitivity and brutality by the ruling regimes that reached staggering proportions (Escobar, 2010:12). Thus the signs of resistance appeared almost from the start.

Simon and Narman (2014:18) has correctly argued that whilst the simplistic and deterministic constructions of the *dependencistas* have long been discredited, this

intellectual legacy remains quite tangible in post - or anti-development and even some strands of postmodern and postcolonial writings. According to Simon and Narman (2014:21), increasingly, individuals and groups of people at a local level are either seeking the attainment of their aspirations for better living standards outside the realm of the state, or they have rejected the dominant developmental discourse(s) and are pursuing alternative agendas with very different aims and objectives. In other words by the 1990s, a wholly new critique had emerged. Influenced by postmodern currents of thought and finding its popular voice in the anti-globalisation movement that mushroomed in the course of the decade, this type of thinking, in development studies, came to be known as post-development theory (Rapley, 2007:4).

Post-development

According to Rapley (2007:4) post-development questions the whole concept of development itself, arguing that it was never intended to better citizens' lives. Rapley (2007) continues that development is unconcerned with prosperity; rather, it is said to be geared toward establishing external control over citizens' lives. Thus, development is allegedly preoccupied with drawing citizens into the formal networks of circulation, where they can be taxed, thereby consolidating the state's control over their lives. In the same vein, Ziai (2009:183) asserted that the post development school has criticised development projects for their inherent power relations and their authoritarian implications. Its argument, in brief, is that the concept of development is Eurocentric because it implicitly clings to colonial assumptions of the superiority of Western societies and reproduces power relations between 'developed' and 'less developed' regions or individuals, even in well-meaning development projects aiming at poverty reduction.

Since the 1980s, however, a paradigmatic shift in development discourse has been observed that includes an emphasis on participation and civil society organisations. Notably, because of its staunchly modernist credentials, the initial reaction of development studies to the post-development critique was scepticism, even outright hostility. But as the twenty-first century drew nearer, the ideas of the post-development thinkers were gaining an ever wider audience. To this end, Rapley (2007:6) noted that development theory is today less programmatic, and more concerned with flexibility and adaptability, and the

literature has turned to the more mundane but all-important matter of how to improve administrative and technical capacity in third-world public sectors. This kind of localised, particularistic, and flexible approach to development is, in the end not that far from what post-development thought has advocated.

People-centred approach

While varieties of capitalism and related meta-theoretical spin-offs from classical political economy might add to our understanding of continuities and discontinuities in development trajectories, the economic and financial crises and hyper inflation of recent years have shown the shortcomings of mainstream and neo-classical economic theory in terms of both predicative and policy aspects (Haines & Hurst, 2011: 9). Lebowitz (2010 as cited in Haines & Hurst, 2011: 8) calls for a 21st century Marxism which places the linked notions of critical human development and 'rich human beings' at the centre of the theoretical endeavour. The 'rich human beings' theory is seen as a person who has developed his capabilities to the point where he is able to take gratifications in a many sided ways. Taking from the perspectives of Marxian ideology, Leibowitz (2010) argues that real wealth is the development of human capacities and human potential.

Since the beginning of the 1990s, an increasing number of local and regional authorities across the world have been actively involved in the design and implementation of development strategies which utilise different specific features of LED approaches (Blakely & Bradshaw, 2002; Pike, Rodríguez-Pose & Tomaney, 2011) to enhance human potential and capabilities. In other words, development is gradually becoming a multi-level series of efforts simultaneously taking place at different levels of the state. The local level features the community development, LED and micro-regional development (Pieterese, 2010:16).

The Local Economic Development (LED) offers local government, the private and not-for-profit sectors, and local communities the opportunity to work together to improve the local economy. It focuses on enhancing competitiveness, increasing sustainable growth, employment generation and ensuring that growth is inclusive (World Bank, 2006). From a capability approach perspective, the public, notably the poor, deserve more attention as far as implementation of LED is concerned. This is because the people themselves are

capable of deciding on the quality of lives they have reason to value, thereby providing important information for the selection of major dimensions of capability or possible failure. (Volkert, *et al.*, 2003).

The devastating consequences of climate change as well as the deepening worldwide economic crisis call us to reconsider the sustainability of the current concept of development. These backdrops give naissance to the notion of sustainable development and its subsequent discourse(s). According to Haines and Hurst (2011:14) these discourses are underpinned by the emerging paradigm of complexity. Within a complexity paradigm, a symbiotic relationship between nature and human needs is proposed, where, with the appropriate care in our approach, working in conjunction with rather than in competition with nature, nature provides abundantly and human needs are met sustainably through renewable resources (Haines & Hurst 2011:16).

Complexity thinkers insist that complexity paradigm should be endorsed as offering a valuable opportunity for the development of 'rich human beings', understood broadly as individuals who possess the adaptive strength engendered by the promotion of micro-diversity (individual differences), flexibility of mind (the capacity to live with uncertainty), and responsible agency capable of constituting viable, sustainable communities (Haines & Hurst, 2011:17). To this end, Nussbaum (2011:9) asserts that the capabilities approach challenges government and public policy with the urgent task of improving the quality of lives for all people as defined by their individual capabilities.

Decoloniality and Transmodernity

According to Grosfoguel (2011) peripheral states that are today formally independent have followed the dominant Eurocentric liberal constructed ideologies of national identity, national development and national sovereignty that produced an illusion of independence, development, and progress. Moreover, their economic and political systems have been shaped by their subordinate position in a capitalist world system organised around the predominance of Eurocentric cultures of global colonialism between European/Euro-American peoples and non-European peoples. Following these backdrops, Dussel (2001) a Latin American philosopher of liberation, advocated for alternative worlds beyond Eurocentrism and fundamentalism. The naissance of transmodernity, Dussel's utopian

project to transcend the Eurocentric version of modernity tended to be a step in the right direction. Dussel's transmodernity aims to fulfil the 20th Century unfinished and incomplete project of decolonisation. Instead of a single modernity centred in Europe and imposed as a global design to the rest of the world, Dussel argues for a multiplicity of decolonial critical responses to euro-centred modernity from the subaltern cultures and epistemic location of colonised people around the world (Grosfoguel, 2011).

From the viewpoint of critical decolonial perspectives, the mainstream of discourses on development in academia today is seen within the context of Euro-American modernity and not within Dussel's transmodernity. These mainstream discourses are predicated on a Eurocentric truth and ideology, which asserted itself forcefully onto the rest of the world through colonialism and continues to do so through coloniality (Grosfoguel 2011). Maldonado-Torres (2007: 213) tends to distinguish the two concepts of colonialism and coloniality. While colonialism denotes a political and economic relation in which the sovereignty of a nation or a people rests on the power of another nation, which makes such a nation an empire. On the other hand, coloniality instead, refers to long-standing patterns of power that emerged as a result of colonialism, but that define culture, labour, intersubjective relations, and knowledge production well beyond the strict limits of colonial administration. Maldonado-Torres (2007:213) further adds that coloniality survived colonialism. Thus Grosfoguel (2011) asserts in his literature that coloniality allows us to understand the continuity of colonial forms of domination after the end of colonial administrations. This domination was produced by colonial cultures and structures in the modern or colonial capitalist world-system. Grosfoguel (2011) emphasises that Eurocentric Truth was therefore not mediated through negotiation. It was brutally enforced not only through violence (Grosfoguel, 2011) but also through discourses, which not only 'orientalised' the colonised and legitimised the imposition of Eurocentric truth on the 'conquered', but also produced what Maldonado-Torres (2007:247) calls Manichean misanthropic scepticism whereby the subalterns doubt their very natural humanity.

Plaatjie (2013:126) simply argues that predominantly, particularly in the development discourse of today, we hear of approaches such as sustainable livelihoods, sustainable development, Local Economic Development, rural development, Participatory Rural Appraisal (PRA) and basic needs, as possible instruments to bring about development.

These approaches essentially zig-zag between a culturalist and a political economy critique and at best, sometimes take a hybrid form. Such analysis tends to obscure the complexities and workings of coloniality and the colonial matrices of power, because colonialism not only brought about an imperial Eurocentric culture and the racialised exploitation of capitalism but also a rather complex world system (Grosfoguel, 2011). Based on this background, Plaatjie (2013: 126) insists that such a complex structure of coloniality cannot be adequately challenged by a culturalist and/or a political economy analysis alone, nor by a nationalist or third world fundamentalism.

Stemming from the prevailing knowledge and epistemologies that underpin mainstream development discourse, Oppong (2013) argues the importance of making use of indigenous knowledge as the first step towards the attainment of endogenous development as opposed to knowledge imposed from outside. He defines indigenous knowledge 'as knowledge about the people, by the people and for the people. Thus Oppong correctly emphasises that 'contextually relevant knowledge is the basis for national development (Ndlovu-Gatsheni, 2013:8).

The question of coloniality is further interrogated by the contributions of Dastile (2013) and Plaatjie (2013) who call for the transcendence of Western-centric approaches and Eurocentric conceptions of development. Together they challenge Euro-American thought and call for the radical shifting of geography and biography of knowledge if indigenous development has to be attained in developing countries (Ndlovu-Gatsheni, 2013:8). The question that one needs to ask, however, is: Do these theories work? What are their political and institutional limitations? The feedback to these two cogent questions are presented and discussed later in the chapter as part of the shortcomings in current development theory.

2.3 Contextualising LED within contemporary development theory

This literature tends to contextualize LED within modern development thinking on the capabilities approach. This approach can be used as a yardstick against which to assess LED theories and practices, government policies and strategies towards the promotion and enhancement of sustainable human capabilities in local municipalities. On entering the 21st century, poverty reduction was identified as the overarching objective by the UN

and other governments, organisations and individuals. Supported by an unprecedented political commitment to international cooperation, the United Nations General Assembly adopted the Millennium Declaration (United Nations, 2000), which outlined three central objectives of the global community for the 21st century. These objectives are: development and the eradication of poverty; peace and security; and democracy and human rights. Accordingly, world leaders pledged their deep commitment to eradicate extreme poverty and hunger globally (Fukuda-Parr, 2004).

Evidently, some developing countries have successfully pursued equitable growth strategies orientated towards economic growth capable of reducing poverty, inequality and improved social outcomes as measured by the Millennium Development Goals (MDGs). Undeniably, these emerging goals are orientated towards human development approach with strong emphasis on basic needs. Nevertheless, the neo-liberal thinking about economic growth was also incorporated into these important poverty goals.

The provision of basic needs to enhance the social wellbeing of people is becoming increasingly a norm in the development lexicon. According to Waage, Banerji, Campbell, *et al.* (2010: 992) development is a dynamic process involving sustainable and equitable access to improved wellbeing. These elements of wellbeing should be delivered to ensure equity of opportunity and outcome, recognising its complex and local nature, and addressing all communities while taking a deliberately pro-poor approach (Waage, Banerji, Campbell, *et al.* (2010: 992)

Over the years, the GNP has no longer been used as the only measure of poverty. Different indexes have been introduced by the UNDP, such as the Human Development Index (HDI), composed of GDP per capita, life expectancy as well as a measure of educational attainment or the Human Poverty Index of which indicators are a long and healthy life, knowledge and a decent standard of living (HDR, 2014; Dutta, 2014). Whilst accepting that income is only a means, the HDI uses GDP per capita as proxy for most other capabilities beyond survival, education and what those directly reflect (Anand & Sen, 2000). This is problematic and therefore precipitates the criticism levelled at the high correlation that exists between HDI and GDP/capita rankings that makes the HDI to be superfluous (Gasper, 2002:12). Another charge levelled at the HDI was of unnecessary and misleading aggregation. As argued by Gasper (2002:12) the aggregation weights and

value choices it uses are explicit and transparent whereas the price weights which are used in market measures and often to make valuations in public policy are too often read as somehow representing no value choices.

According to Gasper (2002:14), a mainstream economics theory of well-being is not based on any explicit theory of and evidence on, being. Indeed it does not deal in recognisable real human beings. Its conception of welfare is focused on the investor and the consumer of commodities. Given the HDRs' commitment to economic growth, and their abstract sense of 'human', some critics see them as in practice a school of more humane economic development, rather than of development of and by humans

Following the pitfalls on the positivist objectivity claim in 'measuring' poverty and development through indexes, different approaches to poverty and development has so far been developed, notably, the Sen's (1999) capability approach, shifting the focus from welfare, which is based on income and expenditure to well-being, of which the point of departure for analysis is the 'capability to function in historically shaped contexts of entitlements and rights'. Thus Sen (1999) argues that evaluations and policies should focus on what people are able to do and be, on the quality of their life, and on removing obstacles in their lives so that they have more freedom to live the kind of life that, upon reflection, they have reason to value (Chhachhi & Truong, 2009; Robeyn, 2005). In addition the literature of Kleine (2008:109) shows that the focus of development is increasingly becoming a person's capability set, or his or her substantive freedom to lead the life he or she values. In addition, Nussbaum (2011:18) argues that capability approach is an approach based on comparative assessment of the quality of lives and about basic social needs. It holds that the key question to ask, when comparing societies and assessing them for their basic decency or justice, is what each person is able to do and to be? Nussbaum (2011:18) adds that the approach to take is asking not just about the total or average wellbeing of each individual but about the opportunities available to each person. As again buttressed by Robeyn (2005), the core characteristics of capability approach is its focus on what people are effectively able to do and to be rather than on what they finally achieve (Robeyn, 2005:94). Thus the influence of capability has now exceeded Sen's and Nussbaum's own work and become a somewhat autonomous force in development studies. In addition, Robeyn (2005:94) argues that capability approach is

a broad normative framework for the evaluation and assessment of individual well-being and social arrangements, the design of policies as well as proposals about social change in society. Its main characteristics hinge on its highly esteemed interdisciplinary character, and the focus on the plural or multidimensional aspects of well-being. The approach highlights the difference between means and ends, and between substantive freedoms (capabilities) and outcomes (achieved functioning). In addition, Robeyn (2011) describes the capability approach as a theoretical framework that entails two core normative claims: first, the claim that the freedom to achieve well-being is of primary moral importance, and second, that freedom to achieve well-being is to be understood in terms of people's capabilities, that is, their real opportunities to do and be what they have reason to value. As Pogg (2010) correctly argued, the precept of the capability approach is to augment the individual capability set.

From the utility perspective of the approach, the capabilities approach has been used not only by academics as a tool for assessing different dimensions of wellbeing and poverty, but also as a framework for reporting on poverty, wellbeing and human development in the developing world (Arndt & Volkert, 2011:311). The approach provides the theoretical foundations for the human development paradigm (Fukuda-Parr, 2004). The human development and capability approach aspires to re-orient approaches to socio-economic development and public policy, and then move away from taking economic growth and/or declared subjective well-being as the overriding objectives but rather towards improving the ability of a person to lead a life that they have reason to value (Frediani, Boni & Gasper, 2014:1). Resourcefully, the capability approach also evaluates policies according to their impact on individual's lives. It asks whether people are healthy and literate and whether the means or resources necessary for this are present. The capability approach also endorses that the public, notably the poor, deserve more attention.

To recapture, capability approach is generally understood as a conceptual framework for a range of normative exercises, including most prominent the following: First, the assessment of individual well-being; second, the evaluation and assessment of social arrangements; and third, the design of policies and proposals about social change in society. Similarly, capability approach can be developed into an alternative evaluative tool which can replace traditional social cost-benefit analysis (Alkire 2002) or it can be used

as a normative framework within which to evaluate and design policies and social institutions, ranging from welfare-state design in relatively affluent societies (Wolff and de-Shalit 2007).

From the point of view of the capability approach, however, each individual is a value, and the relevant question is therefore how to shape authentically the enabling spaces of liberty. The capabilities approach does not, however, offer a “one size fits all” approach to the complex task of promoting human well-being. Instead it provides a framework whereby people closest to the situation can inductively devise economic and political systems that better serve human growth and development (Vogt, 2005:118). As noted by Nussbaum (2011) it is pertinent to allow those closest to the situation to develop for themselves the specific means required to live well. Thus there is a similar need for localized, inductively achieved solutions at the organisational level.

2.4 Contextualising LED capacity building within contemporary development theory of human capabilities

Human development is the expansion of people’s freedom to live long, healthy and creative lives; to advance other goals they have reason to value; and to engage actively in shaping development equitably and sustainably on a shared planet. Interestingly, people are both the beneficiaries and drivers of human development, as individuals and groups (HDR, 2010:22). The processes of human development often need a reorientation from a control perspective, to a stance of flexibility and ongoing learning; from a focus on short-term facilitated improvements, to a focus on long-term action for changing behaviour, motivation and values, and organisational and institutional reform.

In contrast to the traditional perspective which sees economic growth as the objective of development, Duraiappah, Roddy and Parry (2005:2) argue that the capabilities approach views development as a means of improving human well-being and agency. Thus within the capability approach, economic, political, legal and other social arrangements are evaluated according to how they expand people’s capabilities or their ability to achieve the things they have reason to value. From such a viewpoint, capabilities thus open up a way to think together about the economic development of the organisation and the development of people in the workplace. This takes into consideration what a person is

able to do in terms of his or her competences as well as the real possibilities this person has to develop and implement his or her competences (Zimmermann, 2004). Therefore, the opportunities available to employees in the workplace and the means to act on them are of paramount importance to the success of any capacity building initiatives.

From a normative point of view, capabilities approach introduces a shift in perspective towards an integrated approach encompassing economic and human development. Its approach offers useful theoretical and methodological tools to address issues such as workers' responsibility and the means required to reach this end. According to Vogt (2005) human capability aims to help human beings to reach their full potential. It proposes a departure from a reductionist understanding of employees as mere 'human capital', viewed from the sole standpoint of economic efficiency, to seeing them as human beings (Subramanian, Verd, Vero & Zimmermann 2013: 293).

As argued by Zimmermann (2004) capabilities at work encompass a number of dimensions ranging from capability for work to capability for voice, capability for learning, as well as capability for work-life balance. While being competent involves the exercise of responsibility at work, capabilities include, in addition, the means to exercise this responsibility. The study of Csikszentmihalyi (2003) found that people tend to be satisfied in their workplace when their work provides equilibrium between their abilities and the challenges they face, and when a balance between opportunities to distinguish themselves through individual achievement and occasions to contribute to overarching group goals is provided. It therefore becomes imperative for managers to create the enabling working environment which facilitates as many moments of 'flow' as possible. The realisation of development to expand people's real freedom is dependent on it being something that those with power value and actively incorporate (Poolman, 2012:31).

In addition, Lambert and Vero (2013:394) argue that at the core of the capabilities approach stands the premise that exercising any responsibility requires a scope of choice between various possible options and a power to convert the chosen option into an actual achievement. As a consequence, if the employee is called to function well in his/her duty, from an operational point of view he/she should be given the means to enable them to take this responsibility. Therefore, the need to examine the extent to which a person can transform a means (resources) into a function (capabilities) become imperative. For the

purpose of this study, in trying to examine the extent to which the existing trainings in LED can be able to build capacity for the Cape Winelands municipalities, the study also examines and conceptualises the abilities of the municipal staff to convert the capabilities provided by current LED training into functions.

According to Otto and Ziegler (2006) agents differ in their ability to convert capabilities into functions. Crocker (2008:171) argues that capability does not refer exclusively to a person's abilities or other internal powers but to an opportunity made feasible, and constrained by, both internal (personal) and external (social and environmental) conversion factors. Some differences are more closely related to individual characteristics, others to social differences and yet others to the surrounding work environment.

From the perspectives of the capabilities approach, desire to learn encompasses all the opportunities, rules and procedures involved in gaining access to training, as well as those involved in converting the training into valuable achievements. Vero and Lambert argue that a personal willingness to be trained does not derive exclusively from individual motivation. It is intimately interwoven with the substance of managerial intervention at the workplace, the kinds of management policies pursued within the organisation in terms of allocating resources, the training opportunities provided and the deliberation spaces they set up. Organisations, therefore, act as a conversion operator of resources into capabilities (Lambert & Vero, 2010; Zimmermann, 2008).

The goal of fostering and sustaining individual capabilities can only be achieved if viable collective frameworks and arrangements exist. Hence the importance of collective social supports (rights, institutions, rules, networks and so forth) so that individuals have at their disposal the opportunities required to convert resources into desirable or valued outcomes, as defined by themselves (Zimmermann, 2006).

The extent to which the learning resulting from training is being transferred to the job, thus bringing about meaningful individual behavioural changes which result in improved work performance is of paramount concern in organisational training efforts (Goldstein & Ford, 2002). According to Wolf and de-Shalit (2007) the underlying idea is that a policy cannot

limit itself to providing people with some capacity, but capacity should be provided in such a way that people can rely on it in the future.

2.5 Shortcomings in current development theory

The principal goal of development policy is to create sustainable improvements in the quality of life for all people. The evidence of recent decades demonstrates a mix of pessimism and optimism on the prospects for development in that while development is possible, it is neither inevitable nor easy. The successes have been frequent enough to justify a sense of confidence in the future but while these successes may be replicable in other countries, the failure of many development efforts suggests that the task will be a daunting one (WDR, 2000:13). Thus for over half a century there have been incessant impasses of development marred by flawed interventions (Escobar 2007; Ziai 2007). As argued by Hellsten (2013:80) the currently dominating, Western-originated individualistic and materialistic concept of development as 'progress' has, through naturalistic fallacy, made us see the means of development as its ultimate goal. As a result, Hellsten (2013: 80) asserts that instead of realising such humanistic ideas as human flourishing and holistic well-being, current development agendas focus on economic growth and producing 'better business environments'. When economic growth is the main goal, rationalist self-interest becomes an accepted, if not desired, feature of human behaviour.

Stemming from this backdrop, as noted by Muller (2006: 306) post-development indicts modernist development discourse for eliminating cultural difference, subjecting local communities to the economistic Western logic of the market and creating poverty instead of eradicating it. Muller further calls for the abandonment of the modernist development paradigm. According to Rapley (2004) even though post-development managed to tear down the modernist stronghold in development studies in the nineties, it was heralded as one of the most significant developments in the field of development studies over the last decade.

The premise of post-development is that development, the discourse and the end it sets out to achieve, has not worked. Thus, post-development scholars see development as a system of knowledge, technologies, practices and power relationships that serve to order and regulate the objects of development (Lewis *et al.* 2003:545). According to Lie

(2008:122) post development scholars view development as a hegemonic and monolithic discourse that overrides cultural variations wherever it is brought about by its advocates or development agents. Similarly, Green (2003:124) argues that post-development scholars, who position themselves outside the institutional structures of development, see development as a bureaucratic force with global reach and an explicitly pro-capitalist agenda, operating as a tool of regimes that seek to perpetuate relations of inequality and dependence between the West and the rest and, through their representation, to perpetuate the construction of others as post-colonial subjects. Such a conviction leads to a post-structural rejection of development, not merely on account of its results but because of its intentions, its world-view and mind-set (Pieterse 2001:175; Lie, 2008:122). Therefore, the hallmark of post-development is an interest in alternatives to development as opposed to alternative types of development; an interest in local culture and knowledge; a critical stance towards established scientific discourses; and the defence and promotion of localised, pluralistic, grassroots movements (Ziai, 2004). At this juncture it is pertinent to ask the following questions: Does this theory work? What are the political and institutional limitations to its actualisation and implementation? The responses to these queries are discussed in the next paragraph.

A number of serious critiques have been levelled against post-development theory. According to Andreasson (2007:10) post-development theory is criticised for not producing 'credible' or 'feasible' alternatives to existing development frameworks; in other words, it is not a constructive theory. In the same token, Pieterse (2001:175) describes post development as a 'radical reaction to the impasse of development theory and policy', a reaction based on perplexity and extreme disaffection with 'business-as-usual' and standard development rhetoric and practice. Thus, it has been discredited for romanticising the community and the local as well as advocating anti-modernist ideas. Ziai (2004) continues to argue that post-development is also criticised for attributing to the development of a single and narrow meaning, suggesting its homogeneity and consistency. Finally, there is the argument that post-development is purely critique and offers no solutions, it is all 'critique but no construction'; they fall on 'Pontius Pilate politics' (Ziai, 2004). However, Ziai (2004) admonished that post-development approaches should not be completely discounted. He argues that the constructive aspects of their arguments

should be acknowledged and used to improve development practice (Ziai, 2004: 1054; Jakimow, 2008: 313).

The capability approach has been hailed as an alternative approach for successfully reintegrating values and beliefs into development so that people can define their own growth (Devine & Deneulin 2011). Hellsten (2013:2) argues that in order to secure decent living conditions for future generations, a way to bring humanistic values back to the development agenda needs to be found. He also argues that the values for development need to be looked at holistically from different perspectives. Hellsten (2013:2) adds that by separating values from practices, the goal of development practices should be in finding better ways of 'being human' rather than trying to endlessly increase the material well-being and standards of living. Again the researcher is prompted to ask: Does this approach offer a 'one size fits all' approach to the complex task of promoting human well-being as far as development is concerned?

Scholars discovered that the capability approach in pursuit of development as human prosperity is thwarted by its own conceptually contradictory worldview (Berenger & Verdier-Couchane, 2006; Poolman, 2012). It has therefore also been met with criticisms for various reasons. Stemming from Sen's capability approach, economic growth is still part of the idea of development, though not a goal in itself. One of the prominent critiques against the capability approach is the point of being individualistic (Soper, 2004; Gasper 2007). Sen argues that the capability approach incorporates participation, but he maintains that the individual is primordial (Sen, 2009). Similarly Ibrahim (2006: 397) contends that the existence of 'group capabilities' weakens the relevance of the capability approach that sees only individuals, even if this were but an ethical stance. Where group capabilities are included in the capability approach recognition is shown that capabilities of collective entities are not simply the sum of the individual capabilities of members of the group (Stewart 2005: 200). According to Schöpke and Rauschmayer (2010: 17) capability approach based models are static and contain no theory of societal phenomena. Therefore, they cannot really explain societal, dynamic processes such as sustainability transitions. In addition, Poolman (2012:38) argues that one person's capability expansion may inherently create deprivation for others and that the capability expansion of those involved in development intervention may be thwarted by the social economic power

structure made up of people who do not care for them. Therefore on both an intra- and inter-group level, it can be necessary for power to be 'yielded' (Villarreal 1994:8) in order for it to be gained. To this end, Poolman (2012:381) adds that the capability approach perceives power-related constraints but fails to offer guidelines for decision-making in cases of conflicting capabilities.

Furthermore, Haines and Hurst (2011: 16) argue that the human priority of capability and traditional Marxist discourses typically direct choices between competing imperatives towards meeting the existing needs of human communities at the cost of supposedly external 'ecological' needs, such as the preservation of biodiversity. Consequently, Haines and Hurst (2011:16) admonish that economic practices towards a material world that sees natural resources as mere goods to be extracted and exploited until depleted is not conducive to producing a sustainable way of life.

According to Hellsten (2013:2) environmental degradation, the devastating consequences of climate change as well as the deepening worldwide economic crisis call us to reconsider the sustainability of the current concept of development, and to seriously ponder what kind of world we want to live in and to leave for the generations to come. If we continue to think of development as economic growth that will provide more goods and commodities to the continually growing population on earth, the survival of the human species – as well as that of our whole planet – may be threatened. Therefore, if we want to secure decent living conditions for future generations we need to urgently consider alternative approaches to development.

Owing to this backdrop, the proliferation of the notion of sustainable development and its subsequent discourse(s) ensued. According to Haines and Hurst (2011:14) these discourses are underpinned by the emerging paradigm of complexity. Complexity theorists argue that to achieve the goals of sustainable human development we first have to understand human activity in the world in terms of complex systems by virtue of, firstly, that we should treat all human individuals as complex systems that inherently belong together in larger, similarly complex social systems. Secondly, because complex systems are by nature open, humans should treat their surrounding environment as inseparable

from their own being. In other words, humans and their environments belong to a single, living ecosystem.

Stemming from the complexity paradigm, the question of our relationship with the environment is viewed differently from the traditional perception that preserving 'nature' occurs in competition with human needs (which are considered to be ethically primary). Within a complexity paradigm, however, the relationship is viewed differently. Instead of competition between nature and human needs, a symbiotic relationship is proposed where, with the appropriate care in our approach, working in conjunction with rather than in competition with nature, nature becomes abundantly provident and human needs are met sustainably through renewable resources (Haines & Hurst 2011:16).

Complexity thinkers insist instead that complexity should be endorsed as offering a valuable opportunity for the development of 'rich human beings', understood broadly as individuals who possess the adaptive strength engendered by the promotion of micro-diversity (individual differences), flexibility of mind (the capacity to live with uncertainty), and responsible agency. It is proposed that it is only as such 'rich human beings' that we will first be capable of constituting viable, sustainable communities (Haines & Hurst, 2011: 17).

In addition some other recommendations have been forwarded to create the value change needed for the capability approach to work. Giri (2003: 1003) calls for development as freedom to be supplemented by development as responsibility; Staveren and Gasper (2003:157) contend that development will be better understood as involving also the development and maintenance of the value of caring for others. However, Dirks (2012:37) places the emphasises on the attitude of caring for others not only as a value functioning as capability, as conversion factors upon which one's flourishing inconveniently depends; but as full human beings in the same measure as oneself. As argued by Haines and Hurst (2011:17) the emphasis shift is towards configuring a way of life characterised by an integrated system of human community whose core values are identity and solidarity. Thus identity and solidarity refers to our capacity to think of ourselves as an integral part of a common group (identity) and to play an appropriate role towards achieving the goods for all (solidarity) (Metz & Gaie 2010: 276).

However, as argued by Haines and Hurst (2011:17) Sen's writings notwithstanding, still presented a significant conceptual scope for rethinking human freedom, along with the human and individual rights in a development context. However, this would require, among others, a greater interaction with the communal – that is, the political economy of tradition and religion, which tend to circumscribe human freedoms on a gender, class, caste and ethnic basis. Thus the convergence of complexity thinking and Marxist discourse suggests scope for the revitalisation of the notion of individual agency, importantly without overshadowing Marxism's fundamental concern for community.

2.6 Significance of the study in this context of development theory

This study has undertaken a novel approach to contextualise localised development within contemporary development thinking of human development and the capability approach. This helps to improve our understanding of the social drivers that may inhibit or enable individuals in taking full advantage of training-led developmental interventions for furtherance of peoples' lives as well as to enhance their capabilities to accomplish development projects in their municipalities. According to Marson, Parigi and Vaggi (2014:1) development is empowerment in the broad sense of the capability approach. A person or group is empowered when they have the capacity to make effective choices and to translate their choices into desired actions and outcomes.

The theoretical contribution of this study builds on current literature which argue that neither opulence (income or commodity ownership) nor utility (happiness or desire fulfilment) are enough to conceptualise human well-being or deprivation (Bass, Nichol森 & Subrahmanian, 2013; Clark, 2005; Robeyns, 2005). Within the capability approach, development itself should be a process that enables the expansion of real freedom - the opportunities of people. As rightly pointed out by the newly elected Democratic Alliance president during his inauguration speech, 'Freedom without opportunities is useless' (Maimane, 2015). It is also observed in the study how enhanced capability through training can help empower local government staff to foster LED.

In addition, the study provides an in-depth understanding of the two Cape Winelands municipalities (Stellenbosch and Drakenstein) capacity development for LED in terms of what works well in certain circumstances and what can be improved. This helps to

broaden our knowledge on the development and use of effective capacity development strategies and knowledge products that could assist the policy makers and all the stakeholders involved in LED capacity building interventions in the formulation of effective strategies that matches with the local needs.

Another major contribution of the study has been the use and/or field testing- of a research framework developed by Merino and Carmenado (2012: 965) to assess capacity building training interventions aimed at promoting LED in local municipalities. It's a general framework that allows local governments' perspectives, problems, views and opportunities connected to training interventions for LED to be evaluated and understood. Imperatively, this research should contribute to the line of studies on how to foster skill capacity in LED. This in turn will refine the research framework, which can then hopefully be applied elsewhere in South Africa in order to enhance the performance of LED at local municipalities. According to SALGA (2008:11) getting LED to 'work' in South Africa is a critical success factor in addressing poverty and inequity.

Finally, one of the pillars of this study is the attention accorded to the diversity of people as well as the diversity of circumstances that were assessed in this study. According to Frediani, Boni and Gasper (2014:6) diversity and intersectionality have strong implications for the analysis of development interventions as it helps to explain differences in people's abilities to convert resources into capabilities and functionings, whilst recognising the broader issues of individual and social factors that affect the conversion of resources into functionings (performance) and on the social, institutional, and environmental context that affect the conversion factors and the capability.

2.7 Chapter Summary

This chapter provided an historical understanding of the proliferation of development theories over the years enabling us to comprehend the paradigmatic shift in development approaches. It explained the themes and implicit debates in the development literature which have contemporary policy relevance for capacitating municipal staff towards localised economic development. The proliferation of development thought, policy and strategy over the last half century has been marked by some historical paradigm shifts, such as the idea of basic needs in the 1970s, a market-based approach encompassing

the implementation of privatisation and liberalisation reforms in the 1980s, and the idea of human development in the 1990s.

The traditional development approaches of modernisation, dependency and neo-liberal approaches to development have been criticised for their inherent power relations and their authoritarian implications. Its argument, in brief, was that the concept of development is Eurocentric. These backdrops provide impetus for the beginnings and growth of post development thoughts. Therefore, the hallmarks of post-development are an interest in alternatives to development as opposed to alternatives types of development; an interest in local culture and knowledge; a critical stance towards established scientific discourses; and the defence and promotion of localised, pluralistic, grassroots movements.

A number of serious critiques have, nonetheless, been raised against post-development theory. Post-development theory is criticised for not producing credible or feasible alternatives to existing development frameworks. So the search for more feasible and constructive alternative approach that could withstand the test of time in light of the devastating consequences of climate change, globalisation as well as the deepening worldwide economic crisis ensued.

The capability approach has been hailed as an alternative approach for successfully reintegrating values and beliefs into development so that people can define their own well-being. Therefore, the contextualisation of LED capacity building for municipal staff within contemporary development was presented in this chapter. This approach can be used as a yardstick against which to assess LED theories and practices, government policies and strategies towards the promotion and enhancement of sustainable human capabilities in local municipalities.

It was presented in the chapter that human development is the expansion of people's freedom to live long, healthy and creative lives; to advance other goals they have reason to value; and to engage actively in shaping development equitably and sustainably on a shared planet. Interestingly, people are both the beneficiaries and drivers of human development, as individuals and groups. The processes of human development often need a reorientation from a control perspective, to a stance of flexibility and ongoing learning; from a focus on short-term facilitated improvements, to a focus on long-term

action for changing behaviour, motivation and values, and organisational and institutional reform. Human development, therefore, proposes a departure from a reductionist understanding of employees as mere human capital, viewed from the sole standpoint of economic efficiency, and urges they be considered, also, and above all, as human beings.

The capability approach is being heralded by virtue of it successfully reintegrating values and beliefs into development so that people can define their own success. The approach has also been found to be thwarted by its own conceptual worldview and has thus become open to critique for various reasons. One of the prominent critiques against the capability approach is the point of being individualistic. It has been argued in literature that one person's capability expansion may inherently create deprivation for others and capability expansion of those involved in development intervention may be thwarted by the socio-economic power structure made up of people who do not care for them. Therefore, on both an intra- and inter-group level, it is necessary for power to be yielded in order for it to be gained. To this end, the capability approach was criticised for having perceived such power-related constraints but fails to offer guidelines for decision-making in cases of conflicting capabilities.

However, for the capability approach to work and create the value change needed for it to work, several recommendations have been presented by various authors. Giri (2003: 1003) calls for development as freedom to be supplemented by development as responsibility; Staveren and Gasper (2003:157) contend that development will be better understood as also involving the development and maintenance of value for caring for others; and Dirks (2012:37) places much emphasis on the attitude of caring for others not only as value functioning, as capability, or as conversion factors upon which ones prosperity inconveniently depends; but as a full human being in the same measure as oneself. Within a complexity paradigm, a symbiotic relationship between nature and human needs is proposed, where, with the appropriate care in our approach, working in conjunction with rather than in competition with nature, nature becomes abundantly provident and human needs are met sustainably through renewable resources (Haines & Hurst 2011:16). Despite its criticism of overly individualised markets, Sen is still highly optimistic that humanistic values and the quest for economic growth and market

competition can find a peaceful way to work together. The next chapter conceptualises the theory and practice of LED in South African and the international context.

CHAPTER THREE

CONCEPTUALISING LOCAL ECONOMIC DEVELOPMENT (LED)

3.1 Introduction

The purpose of the literature review is to establish a theoretical framework for the study. This chapter presents an overview of the literature that was consulted and reviewed in relation to the study. The chapter also looks at Local Economic Development (LED) strategies with special focus on capacity building training for LED. This literature review defines the key terms and terminology behind the subject matter under evaluation. In addition, the literature review identifies the studies, theories and frameworks supporting the topic. The chapter presents the emergence and the operationalisation of LED on the international landscape. In addition, the principles and practices of LED in South African context through the National, Provincial, District and Local municipalities are discussed in the chapter. Lastly, the shortcomings commonly associated with the principles, practices and procedures for LED are exhaustively presented here in detailed.

3.2 LED at an International level

From the standpoint of economics literature and the industrialised-economy, Tello (2010:52) defined LED as changes that affect a local economy's capacity to increase economic growth, generate employment and create new wealth for local residents. LED is broadly associated with issues of local control, use of local resources and locally determined intervention designed to create employment opportunities and to promote development (Nel 2001; Nel, Hill & Goodenough, 2007).

The popularity of LED approaches to development has risen significantly over the last two decades, fundamentally as a result of what has been perceived as a failure of top-down development strategies to deliver (Boisier, 1999; Puga, 2002; Crescenzi & Rodríguez-Pose, 2012). Consequently, since the beginning of the 1990s, an increasing number of local and regional authorities across the world have been actively involved in the design and implementation of development strategies which more and more adopt different features of LED approaches (Blakely & Bradshaw, 2002; Pike, Rodríguez-Pose & Tomaney, 2011).

Before becoming popular in many developing countries in the 1990s, including South Africa, (LED) had already been implemented for many years in various forms in industrialised high income countries of the global north (Patterson, 2008:3; Rogerson, 2010b:482). According to Nel (2001:1004) the emergence of LED in the North seems to have occurred not only as a result of local communities' actions to improve their economic and social situation, but also as a result of central government seeking a way to catalyse local-level growth. In addition, Nel (2001) contends that even though there is good evidence of entrepreneurialism in certain places such as Brazil, Peru and Korea, LED often relies far more on small scale, community based initiatives, utilising indigenous skill, and seeking primarily to ensure survival, rather than participation, in the global economy. In the South, even though these trends are also evident and can be considered as reason for the initiation of LED, one should add to these causes issues such as debt crisis, inability of many states to intervene at local level, imposed structural adjustment, massive currency devaluation and the series of natural and political shocks within the region (Nel, 2004:1004, Isaacs, 2006:14). In addition, Helmsing (2003) contends that northern approaches to LED focus more on investment, big-business support and large project development undertaken by relatively large resourced local agencies, with or without external support. Rodríguez-Pose and Tijmstra (2009) argue that local economic development strategies, while no panacea, may be a valid complement to traditional top-down strategies in delivering sustainable development and in many cases may provide greater economic efficiency by mobilising resources that otherwise may have remained untapped. They also contend that there are a large number of social benefits, by promoting voice, participation, and sustainability across territories where institutional conditions have been far from ideal. The thrust of LED strategies, therefore, is to promote economic activity within a territory dependent on the economic and social conditions of the place, rather than vice-versa (Rodríguez-Pose, 2001:3). By and large, LED contributes to revitalisation of the local economy and to the enhancement of the fiscal capacity of the local government (Beyer, Peterson & Sharma, 2003). Phago (2008:137) reinforce further that LED initiatives are not charitable endeavours, but intend to inject the local economy with innovative business means such as community self-help services and entrepreneurial initiatives.

Over the years, LED has witnessed some unprecedented waves in strategies. In terms of its evolution, there is a clear distinction between the three waves (Isaac, 2006) as recorded by the World Bank. The first period, which lasted from the mid-1960s to the early 1980s, emphasised the attraction of foreign direct investment, often linked to incentive systems such as grants, tax breaks or loans, and the provision of hard infrastructure investments (Pike *et al.*, 2006; Swinburn & Yatta, 2007). The second wave of local economic development started in the early 1980s and lasted to the mid-1990s. During this phase, the key strategic direction was business retention and the growing of existing local businesses as 'attention shifted to endogenous economic potentials, striving to support the competitiveness of existing firms, promoting entrepreneurship and business start-up' (Swinburn & Yatta, 2007; Ruecker & Trah, 2007:12). The main tools for LED support from the 1980s to the mid-1990s included provision of business incubators, start-up support as well as technical support for small to medium-sized businesses (World Bank, 2003:5; Rogerson, 2010:468).

Since the mid-1990s, a more holistic approach has characterised LED practices in the Global North (Pike *et al.*, 2006, 2007; Rogerson, 2010b:468). During this period, the public sector lost from its dominance role, whilst that of the business and civil sectors increased tremendously. The top-down approach was replaced by bottom-up strategies (Swinburn & Yatta, 2007). Interestingly, these bottom up strategies embraced the LED approaches that focuses on the local business environment, the development of innovation potential and the retraining and attraction of skilled labour forces, building on local area comparative advantage and public/private partnerships (Swinburn & Yatta, 2007; World Bank, 2003:5). There are three main differences between top-down traditional development approaches and strategically-planned LED (Rodríguez-Pose, 2002:10; Rodríguez-Pose and Tijmstra, 2005:4):

- Locus of development: traditional approaches to development tend to adopt a sectoral focus; they attempt to increase growth and employment through devising policies aimed at promoting industrial sectors that are seen to increase economic dynamism. LED, on the other hand, takes a territorial approach, focusing on the development of a region or locality rather than an industrial sector.

- Level of intervention: traditionally, development strategies have been largely top-down strategies devised by the central government. Central officials decide where to intervene and in what way with little or no input from local actors. In contrast, LED seeks to give locals the tools to promote development from where they are.
- Type of instruments used: traditional approaches often focus on the development of large industrial projects, in the hope that such project will generate additional economic activity in the area. In this approach, infrastructural investments and financial incentives are often the preferred instruments for attracting firms to a given locality. LED, on the other hand, sees development as related primarily to the ability of the locals to utilise and build on its comparative advantages and local economic potential.

More distinguishing features could be discerned from the table below (Table 3.1) showing the main differences between traditional top-down development policies and the bottom-up LED approaches. As shown, in Table 3.1 are the distinguishing features between traditional top-down development policies and bottom-up approaches.

Table 3.1 Main differences between traditional top-down development policies and bottom-up LED approaches

Traditional Development Policies	Local Economic Development
1. Top-down approach in which decisions about the areas where intervention is needed are taken in the centre	1. Promotion of development in all territories with the initiative often coming from below
2. Managed by the central administration	2. Decentralised, vertical cooperation between different tiers of government and horizontal cooperation between public and private bodies
3. Sectoral approach to development	3. Territorial approach to development (locality, milieu)
4. Development of large industrial projects to stimulate other economic activity	4. Maximising the development potential of each area to stimulate a progressive adjustment of the local economic system to the changing economic environment
5. Financial support, incentives and subsidies as the main factor for attracting economic activity	5. Provision of key conditions for the development of economic activity

Source: Rodríguez-Pose, (2002:10)

3.3 LED at a National level

According to Patterson (2008:1) local economic development in South Africa is a post-1994 phenomenon. Under apartheid, South Africa had a distinct regional planning policy characterised by strong central government control which suppressed the emergence of LED initiatives in South Africa and led to the erosion of local autonomy. In facilitating a response to the multi-faceted development challenges which the country faces, South Africa's African National Congress (ANC) government has initiated a number of policies to promote reconciliation, decentralisation, local empowerment, participation and development at the local government level (Binns, Porter, Nel & Kyei, 2005:27).

According to Sections 152(c) and 153(a) of the constitution (RSA, 1996), local government must 'promote social and economic development' and it must 'structure and manage its administration, and budgeting and planning processes to give priority to the basic needs of the community, and to promote the social and economic development of the community' (RSA, 1996). Moreover, the South African constitution establishes 'developmental local government' which implies that the LED agenda in the context of South Africa, unlike in other countries, is neither voluntary nor just a local government initiative but a constitutional requirement (Hofisi, Mbeba, Maredza & Choga (2013:539). Thus LED strategies are seen as playing a key role in the alleviation of poverty as well as in the reduction of inequality in post-apartheid South Africa (ANC, 1994; Nel & Binns, 2002:8).

Whilst in the DPLG's (2005) Policy Guidelines, the role of national government is described as that of coordinator of public policies and of investment programmes (DPLG 2005). The provisions of the 2006 LED framework clarified that the function of national government is to assist and create the conditions for local action to emerge and grow (DPLG 2006). The DPLG (now COGTA) has a chief directorate dedicated to LED which affords support in the following activities in the development and review of national policy, strategy and guidelines on LED:

- Providing direct and hands on support to provincial and local government in selected cases;
- Management and Technical Support to Nodal Economic Development Planning;
- Facilitating, coordinating and monitoring of donor programmes, and

- Assisting on LED capacity building processes.

According to Patterson (2008:16) through such interventions, the DPLG's role is to mobilise resources, local role-players and interest groups 'for the sake of achieving economic growth and creating jobs to reduce poverty.'

Beyond the activities of DPLG is the increasing roles of the Department of Trade and Industry (DTI) on influencing LED in South Africa in a variety of ways through its responsibilities for spatial development initiatives, tax holidays, cluster initiatives and small business development (Bloch, 2000 in Rogerson 2010b:321). According to Rogerson (2010:321) the DTI represents a more interventionist approach towards LED activity, as exemplified by DTI activities which are geared to supporting priority economic sectors and the development of local industrial policies. It has also been addressed by Patterson (2008:4) who states that DPLG and DTI approaches are 'based on conflicting paradigms and have been pulling in different directions; one towards a focus on poverty alleviation within poor communities, and the other towards engagement with global economic forces through means to enhance competitive advantage' (Patterson 2008: 4). Thus, Tomlinson (2003:49) argues that LED is obviously poorly understood and the divergence of views held by DTI and DPLG has translated into a very meagre understanding of what LED is. Taylor (2003:298), however, advocates for partnership as a vital component for the successful implementation of LED initiatives and that key partnerships should be forged with key role players. This should flow down from the national sphere to the respective roles of sub-national government, South Africa's provinces, the district municipalities, metros and local Municipalities.

3.4 LED at a provincial level

The 2005 LED Policy Guidelines sets forth key roles and responsibilities for the provinces and local government. The role of provincial government is seen as follows:

- To assume a coordination role and taking responsibility for resources allocated from national to provincial government and ensuring that these are correlated with the priorities of the various IDPs;
- To establish LED forums to carry out the work of the National LED Forum and establish dedicated LED units in provincial governments, and

- To assume a role in building the capacities of municipalities to undertake LED and in supporting them in its implementation.

The Department of Economic Development and Tourism (DEDAT) in Western Cape is the provincial institution with central responsibility for defining and driving local Economic development policy in the Western Cape Province. In the Province the work of the Regional and Local Economic Development (RLED) sub-programme is informed by the Province's 12 Strategic Objectives (DEDAT, 2011). The RLED unit aim to achieve these objectives through supporting a strategic framework for RLED that ensures more holistic and integrated efforts for regional and local economic development that enhances business support and sectoral development approaches by making business and community environments more conducive to economic development. The guiding principles to this strategy include: promoting stakeholder participation and networking; pursuing a market driven approach; focusing on opportunities; and pursuing process orientation and incrementalism. The key intervention areas for this strategy are:

- Building Government Capacity;
- Strengthening Local/Regional Private Sector Institutions;
- Building Organisational and Entrepreneurial Capacity in Poor Communities and strengthening RLED Intermediary Institutions

The RLED unit through the Municipal Capacity Support Programme (MCSP) address these key interventions. Therefore the MCSP aim to provide expertise, assistance and support to boost municipalities and other local actors' capacity to promote LED, to address challenges and facilitate the creation of an environment conducive to economic growth. In order to enhance the capacity building process in the municipalities, during 2011 the Regional and Local Economic Development unit in the Western Cape Department of Economic Development and Tourism (DEDAT) took the decision to use the LED Maturity Assessment as a diagnostic tool to assess the state of LED in the province's municipalities. It was intended that the outcomes of this assessment would be used to inform and enable the targeting of DEDAT's support and capacity-building activities in municipalities. (Hadingham, 2013:44). The LED Maturity Assessment is a practical approach to assessing the capability (the capacity and the ability) of a Local

Economic Development system to deliver sustained employment and enterprise growth (Lawson, 2012).

3.5 LED at District and local Municipality level

Since 2000, new roles have emerged for District Municipalities. Section 83(3) of the Structures Act describes the developmental mandate of District Municipalities, in terms of four aspects: Firstly, ensuring district-wide integrated development planning; secondly, providing district-wide bulk services, thirdly, building the capacity of local municipalities, and lastly, promoting the equitable distribution of resources between local municipalities. Thus the district municipality is charged with the responsibility of managing, co-ordinating, implementing and monitoring various capacity building within the District and across the local municipalities (Davis, 2006:9). According to Atkinson, van der Watt and Fourie (2003:4) the role of District Municipalities remains very unclear. It still remain to be resolved which “tier” of municipal government (district or local) should be the primary developmental tier, and where the important policy decisions should be made. It is also not clear what staff should be located at what level. This has severely hampered capacity-building at both levels, since municipalities do not know what functions they should build capacity for. In addition, District Councils are composed of two types of Councillors: Councillors representing their Local Municipalities (“indirect representation”), and Councillors elected directly by the citizenry, via proportional representation. According to Atkinson, van der Watt and Fourie (2003:4) Councillors find the resulting confused loyalty and political rivalries difficult. Some Local Municipalities are frustrated that their representatives on District Municipalities (DMs) do not articulate the Local Municipalities’ points of view, so that DMs become ends in themselves. Consequently, most District Municipalities and Local Municipalities are currently “muddling through” their relationships, and this tends to depend primarily on personal factors and the ability of district and local politicians to work together.

According to Atkinson, van der Watt and Fourie (2003:6) there is no hard-and-fast distinction between district development issues and local development issues and there should be a fluid and flexible involvement by District Municipalities and Local Municipalities, with regards to the same functions. For example, Local Economic Development (“LED”) may be found in both DM and LM IDPs. Attracting investment capital

may be more effectively done at district level (i.e. marketing the district as a whole as an investment destination), whereas poverty alleviation projects may be better placed at local level (i.e. promoting close interaction with indigent individuals or groups of poor people).

According to Rogerson (2009), the 2006 framework provides the clearest picture of the roles and responsibilities of local government in LED. Three core roles are identified:

- To provide leadership and direction in policy making (cutting red tape, improving the business environment);
- To administer policy, programmes and LED projects; and
- To be the main initiator of economic development through public spending, regulatory powers and promotion of industry, small business development, social enterprises and cooperatives (DPLG 2006).

Under the 2000 Local Government Municipal Systems Act, several key LED functions and responsibilities were legislated and Integrated Development Planning became a compulsory activity for local governments (Nel & Rogerson 2005 as cited in Rogerson 2011:150). According to Toerien (2005:1 as cited in Rogerson, 2011:150) South African local authorities became the wardens of economic growth in their respective jurisdictions. Interestingly, the Integrated Development Plan (IDP) process, comprising of LED components, is a fundamental vehicle for the developmental task of local government. However, Meyer-Stamer (2006: 2) and Hofisi, *et al.* (2013:591) contend that in the operation of the Integrated Development Planning, LED more often than not relates to infrastructure and buildings, not to other typical LED interventions like business networking or business development service programmes.

Local economic development policy and practice has evolved significantly in the post-apartheid era in South Africa (Nel & Binns, 2001:355). According to Moyo (2007:222) a number of strategies have been developed and are already being implemented through a number of LED initiatives. The strategies are defined largely in terms of a market-approach with the private sector playing a key role and municipalities working as facilitators. Nel and Rogerson (2005:17) argue that municipalities are applying a range of interventions in their local areas, some of which are distinctly pro-growth in focus, while others have a clear pro-poor emphasis. This seems to affirm the assertion made earlier by Nel (1999) that within South Africa, besides the LED focus on attracting prestigious

and strong businesses to many of the larger local authorities, central government involvement has directed more attention to community economic development as a strategy for poverty alleviation. For most municipalities, the initial LED practice was confined to small projects, many of which were survivalist-type initiatives in the form of community economic development projects, the majority of which proved unsustainable once donor or public sector funding was no longer available, and with no real impact on poverty reduction (Cohen 2010; Rogerson 2010b). Evidently, the DBSA (2008:2) records reveal that the main focus of most municipal LED initiatives in South Africa has been on micro-level projects with the result that LED 'lost currency as an effective sustainable development tool. According to Meyer-Stamer (2003b:2) LED used to be conceptualised as part of a social policy and an affirmative action agenda commonly identified with small projects with no lasting impact on poverty reduction (Hindson & Vincente, 2005:3). The emergence of a widespread failure of many such projects indicates the limitation of such LED approaches (Nel & Rogerson, 2003:8). In addition, Hindson (2003:4) argues that the results have generally been disappointing with capacity and resource constraints being the key hindrances in many local authority areas (Nel, 2001 as cited in Nel & Rogerson, 2003:8). Meyer-Stamer (2003b:9) critically argues that LED practices in South Africa fails to correctly discern the distinction between economic development (Business promotion) and Community development (employment creation, poverty alleviation). Sometimes these activities get mixed up, and as a result usually neither economic nor social objectives are achieved. Adding to this the limited capacity and experience local governments tend to have in terms of promoting economic development, it is unlikely that LED will make much of a difference. Meyer-Stamer (2003a), as cited in Nel and Rogerson (2005:8), contends that LED should focus on markets and that competitive business and community development intervention should be used to deal with social problems. This view point is further galvanised by Hinson (2003), as cited in Nel and Rogerson (2003:8), that by focusing on poverty, albeit valid and justifiable, questions of economic growth are either left unanswered or side-lined. However, Nel, Hill and Goodenough (2007:32) point out that LED interventions in the city are designed to promote both the enhanced growth of the local economy and to address concerns of persistent poverty.

According to Tomlinson (2003) LED in its operations can either have a 'pro-poor' focus (i.e. seeking poverty alleviation) as encouraged by the Department of Provincial and Local

Government, or a 'pro-growth' focus (i.e. seeking economic growth), as encouraged by the Department of Trade and Industry. These two conflicting paradigms have been pulling in different directions: one towards a focus on poverty alleviation within poor communities, and the other towards engagement with global economic forces as a means to enhance competitive advantage. They are based on different policy paradigms, the one rooted in people-centred development and the other in market-oriented development. The one tends to be inward focused, relying on local resource mobilisation, and the other outward focused, emphasising exports and the importance of foreign investment. The 'poverty alleviation angle' focuses on small projects, which struggled due to poor support structures and poor basic design, and poor structures of governance. However, Abraham (2003:186) argues that LED planning has not only brought along with it renewed hope and energy to deal with ailing and stagnating local economies but also a degree of confusion in its effective implementation as the local government officials have had difficulty in translating these approaches into effective and meaningful LED implementation. In contrast, Nel, Hill and Goodenough (2007:44) argue that both pro-poor and pro-growth LED approaches are critical, but it remains debatable as to whether pro-growth investment will necessarily lead to pro-poor developments and whether the two approaches can actually be separated. In addition, Van der Heijden (2008:12) argues that most LED strategies in the 2008 Integrated Development Plans (IDPs) were almost entirely project focused. Therefore, the results of these efforts in the areas of job creation and economic growth are often judged as disappointing (Hindson, 2003). However, Nel, Hill and Goodenough (2007:44) again argue that while the poorer, rural areas need pro-poor interventions and support for micro-projects, if the city is to carry on growing, the application of more pro-growth interventions are also required. Both approaches could be pursued in parallel to draw in investment, expand the current economy and simultaneously either directly or indirectly to address issues of poverty and improve the overall skills and social base of the area to support further growth and development.

Nel and Rogerson (2005) contend that an alternative strategic and comprehensive LED approach focused on competitiveness has evolved in the country's major cities. As could be seen in South Africa's leading cities, the mainstream LED practice has been dominated by market-led approaches that have been increasingly geared towards achieving competitiveness and sustainable high economic growth rates (Nel & Rogerson 2005; Rogerson, 2011 and Hofisi *et al.* 2013).

In a search for more productive and competitive cities, Rogerson (2011:159) points out that other notable LED pro-growth interventions have been innovated. These amongst other things include the initiatives for enhancing institutional efficiency, improving safety and security; the growing need to develop partnership with the private sector and improve the local business environment and different strands of place entrepreneurialism. These are all apparent in the practice of LED in South African cities (Rogerson 2000, 2006). Examples of this tourism-led entrepreneurialism are found in all South Africa's largest cities, particularly in the coastal centres of Cape Town, Durban and Port Elizabeth (Rogerson & Visser 2004). However, Moyo (2007:222) notes that a few studies point out that there have been successful LED initiatives, especially in the larger and better resourced municipalities. According to Meyer-Stamer (2008:15) some of South Africa's major cities have achieved a level of systemic competitiveness that is relatively high, even compared with other middle income countries. Earlier on, Nel and Rogerson (2005:17) pointed out that significant variations exist on the ground in terms of the degree to which LED appears to be embedded in municipal policy and practice within the country. Whilst some of the largest metropolitan centres (above 1 million people) have made significant progress in this regard, at the next level on the urban hierarchy, the picture varies dramatically, from cities that have made impressive strides to those still formulating policy. At the local municipalities, only limited progress seems to have been made and is often project-based rather than being all-inclusive.

Nonetheless, Rogerson (2011) in consolation argues that the situation of LED in small towns is not universally bleak with several 'little victories' recorded in building the competitiveness of small towns as tourist or retirement centres. Other literature has also argued that tourism-led LED is seen in many small towns in South Africa (Rogerson & Visser 2004, 2006; van Staden & Marais 2005). Thus according to Rogerson (2011:164) small town municipalities, which have the potential capabilities for taking advantage of 'niche' markets in tourism are increasingly at the forefront of attracting private sector investment.

According to Blakely and Bradshaw (2002) the human resource development strategy's goal is to harmonize supply and demand for labour for LED. The instruments of realisation are, for example, training, placement or observance of labour force. Rodriguez-Pose and Palanvncini-Corona (2012:314) argue that development strategies at the local level in an

emerging country may deliver greater human development. However, Swinburn (2006:42) argues that when local communities think about their potential and capacities, engage in creating links and capacity building, and consider the sustainability of any sort of intervention, this is likely to lead to a better and more efficient use of local potential.

3.6 Shortcomings of LED

According to Rogerson (2010b:489) the limited success of LED projects with a welfare focus has undermined the credibility and significance attached to LED by many local authorities. Hindson (2003) and Nel (2001) argue that the disappointing LED results in South Africa can be attributed to resource and capacity constraints compounded by limited experience of local government in terms of promoting economic development. Rogerson (2010b) identifies some strategic challenges bedevilling LED implementation in South Africa. These include:

- lack of funding for LED;
- ineffective LED methodologies for planning;
- poor coordination of networks, and
- lack of capacity at local government level.

LED initiatives require a great deal of funds to enable local authorities to drive the LED process independently. A well-resourced municipality is able to effect many of its identified strategies (Nel, Hill & Goodenough 2007:37). Access and the availability of funds has been a major stumbling block especially for local authorities 'who struggle for funds due to limited internal capacity constraints, which generally affect their credit rating and weak revenue base, and prohibit them from accessing standard concessional loan instruments' (DBSA, 2008:3; Hofsi *et al.* 2013). It is worrying that the funds available at local and national level are insecure. In order to alleviate the situation, Patterson (2008), maintains that 'generally LED has few secure funding sources and often relies on charitable donations and public grants'. This means that local and international non-governmental organisations or donors are significant actors for many local authorities in terms of either accessing or making available direct funding for local development initiatives (Rogerson, 2010).

According to Patterson (2008:11) LED policy and guidelines are therefore well documented at national level yet the issue of funding for LED remains a matter to be addressed. In the evolution of LED practices across much of South Africa, an important role was played by the Local Economic Development Fund which was launched by the DPLG in 1999 as part of national government's overall poverty alleviation strategy (Binns & Nel 2002 as cited in Patterson, 2008:8). Arguably, the launch of this fund was a major catalyst for a project-based approach to the practice of LED across much of the country. Despite well-meaning intentions, the outcome of this fund was the proliferation of a host of small, unsustainable projects. Most importantly, the fund ultimately failed to deliver long-term sustainable LED, with the majority of projects folding when the project funding was finished (Rogerson 2010). It was observed that during the period of the fund's operations, 'there was a general lack of understanding of what LED was and the capacity to implement it, particularly at local government level' (Patterson 2008:8). As a result of its disappointing outcomes, the DPLG LED Fund (LEDF) was collapsed into the Municipal Infrastructure Grant. The Municipal Infrastructure Grant (MIG), through the DPLG, provides support to municipalities in the form of basic infrastructure development and in order to improve service delivery (DPLG, 2004). As argued by Patterson (2008), limited funds are allocated to LED by municipalities and this is manifested by lack of impact of the interventions. Many municipalities rely on outside funding and support to be able to initiate projects (Isaacs, 2006:18). Although financial support for LED can be derived from a wide range of sources, a key difficulty is that the municipality or local development agency often lacks adequate, locally available funds and competencies to drive the LED process independently. Table 3.2 below shows the summary of current possible avenues for funding of LED activities in South Africa.

Table 3.2 – Summary of current possible avenues for funding LED activities.

Donor funding	There are a number of donor agencies operating in the country such as the EU LED support programmes, USAID, GTZ, DFID, World Bank, etc.
Municipal Infrastructure Grant (MIG)	Supports basic infrastructure development
Neighbourhood Development Partnership Grant (NDPG)	Municipalities to organise themselves and apply to the NDPG from 2006 - 2009
National sector support	There is a range of funding sources available from various government departments.
Development finance institutions	IDC, DBSA, IDT, National Empowerment Fund, NDA
Local government own revenue	Municipalities to generate revenue from taxes and municipal services
Equitable share	High growth municipalities to support low growth municipalities
	Improve utilisation of provincial equitable share and transfers to municipalities

Adapted from Patterson (2008:11).

In addition to the issue of lack of LED funding, Hofisi, *et al.* (2013:593) argue that the conceptualisation of LED is theoretically unclear and underdeveloped, thus this further erodes the capacity of municipalities to successfully conceptualise and implement strategies for LED. Moreover, national policies, as pursued by the Department of Provincial and Local Government and the Department of Trade and Industry (DTI), in particular, are based on conflicting paradigms and have been pulling in different directions. Most policy papers are characterised by the tension between those two paradigms and try to bridge these tensions in various ways (Patterson 2008:4). Although these two approaches are complementary, the key policy issue is of defining the weight and balance of support to be allocated between them (Lambhead 2007 as cited in Rogerson, 2010:312). As Maserumele (2008:440) states, contemporary studies show that most municipalities in South Africa do not fare well in their attempt to assert themselves as developmental local governments. This limited perceived success of LED in South Africa

has meant that its career path lacks credibility, with the consequence that it is associated with dampened staff morale, low-level staffing and high turnover, especially outside the larger metropolitan areas and cities. In an exploratory study on the needs for Employees Assistance Programme (EAP) in Cape Winelands District municipality (CWDM), September (2010) reported that the employees in the said district municipality struggle with multiple personal and work related problems that affect their work performance. Regrettably, the CWDM does not have a formal structure such as an EAP to render support to a troubled employee. Thus September (2010: 8) reported that Managers and supervisors within the organisation are not trained to identify the early warning signs of a troubled employee. They are also not competent to deal effectively with the troubled employee within the working environment.

According to Rogerson (2010) the practice of LED in many municipalities becomes either a 'dumping ground' for ineffective officials or only a stepping stone for competent local government personnel because of LED's constrained career prospects. Drawing from a study on the spate of social protests in the black and coloured townships during 2005 and 2006, Atkinson (2007) reported that the developmental local government in South Africa had failed. According to Maserumele (2008) and Kanye (2006), the result on the empirical studies on municipalities' skill challenge for accelerated service delivery in South Africa, reveals that municipalities in South Africa are generally in crisis which is a clear case of a capacity gap that necessitates a skill revolution. In addition, Davids and Esau (2012:82) re-echoed the shortage of skills and its negative impact on the ability of the state to fulfil its constitutional mandate and how this has in many respects emerged as a contributing factor to the waves of service delivery protests (Legassick, 2010 and Good Governance Learning Network 2008:84). Similarly, the Local Government Turnaround Strategy refers to a myriad of problems facing local government. These include, *inter alia*, the model of local government; policy and legislative factors; weaknesses in accountability systems; and capacity and skills constraints (CoGTA, 2009). In addition Rogerson (2009: 62) argues that overall, there is an absence of professionalism in LED because of its poor career prospects, with the result that LED does not attract or retain the sort of officials who might be able to combine business skills with public sector skills. Koma and Kuye (2014:95) also state that only rarely is LED located in its own department, often operating within a wider unit such as Planning and Community services. Thus the delivery of basic

services is given priority over LED activities in terms of political support and access to resources (Lawrence & Hadingham 2008:43).

Similarly, SALGA (2009:51) argue that some of the key issues beyond the municipality is that LED remains poorly defined or understood due to limited alignment, integration and cooperation between district, local and/or provincial initiatives and LED often not given the political weight and attention it deserves as one of the key priorities of government. According to Patterson (2008:11) LED is not yet well embedded in municipal practice. In other words, LED practice seems not to be fully integrated with other functional departments in the municipality. As observed by Graffoor and Cloete (2010:6) in their study on 'knowledge management in local government' it was mentioned that all departments in the Stellenbosch local municipality seems to operate in 'functional silos'. Graffoor and Cloete (2010) adds that despite the apparent culture of sharing in Stellenbosch local municipality, the overall organisational culture is still one of hesitation in terms of sharing across department. This can largely be attributed to a general lack of understanding of knowledge management and related concepts, as well as lack of trust among employees.

In furtherance, it has been found that in some provinces in South Africa problems are experienced when policies are implemented, particularly in areas where the ruling party has the minority support as it may seem to be in this study whereby both the district council and the local councils of the two municipalities (Stellenbosch and Drakenstein) in focus are predominately composed of the opposition party (Democratic Alliance) with the ruling party (African National Congress) being the minority. Even when a policy can produce a positive impact, it is not accepted and consequently the community suffers (Brynard, 2007:39). As argued by Turton, Brynard and Meissner (2002: 11), implementation is not simply an administrative or managerial problem, but a complex political process of who gets what, when, how, where and from whom. Therefore Graffoor and Cloete (2010:6) the greatest Challenge facing Stellenbosch municipality in terms of becoming a knowledge organisation and achieving organisational effectiveness is attaining leadership support and establishing a sharing culture across the municipality.

There seems to be very little reporting and M&E in place to provide any kind of feedback and support as well as the inability to identify 'real' economic opportunities and to establish

or maintain partnerships with stakeholders. As Municipalities are compelled to report on a wide range of programmes inclusive of LED, the effective management and measurement of performance outcomes LED programmes in both local and district municipalities are crucial. Regrettably the measurement and management of organisational performance of LED is not identifiable in municipalities. The management loses its effectiveness when outputs and outcomes on programmes are not measured. Thus bringing to the fore, the challenge of monitoring and assessing LED interventions in both the District and local municipalities. Stemming from a study on the assessment of organisational performance management in Cape Winelands District municipality with a special focus on Drakenstein and Stellenbosch municipalities, Jessa (2012) found that Operational Performance Management is not fully institutionalised in the two municipalities. According to Uys and Jessa (2013:114) a study detailed on the capacity (skill, competence and experience) to manage and measure performance outcomes of programmes is not available in the two municipalities, managers lack the skill to manage and measure organisational (evidence-driven and outcomes-based) performance; failed to communicate effectively with lower level managers and do not share or disclose information on performance matters, thereby discouraging interest in organisational performance. In addition, growing customer needs for transparency of performance results were not being addressed. In terms of the findings, top managers were not building capacity in the competencies required for Operational Performance Management implementation. Capacity related matters were found to be neglected, with low employees morale and a clear enthusiasm to know more about Operational Performance Management and related career path. This type of situation as argued by SALGA (2009) is the result of a lack of understanding of the importance of programmes (LED) and of what can be done and general pessimism around the limited successes observed in LED, especially in small towns.

The expertise and qualifications of key personnel holding strategic LED portfolios has also been questioned. This factor inhibits the incumbents ability to negotiate and strategise with the often intimidating private sector, who are big stumbling blocks to the effective implementation of LED initiatives” (Lawrence & Hadingham 2008:44, as cited in Rogerson, 2010b). In addition, Binza (2010:251) argues that one of the greatest challenges facing the role of local government with regard to local economic development

is the lack of knowledge about local government issues. This lack of capacity in the municipalities has resulted in overreliance on consultancy firms which not only drains the financial resources of the municipality but also leads to LED strategies which do not address the reality on the ground. This is confirmed by Van der Heijden (2008) who observes that ‘the outcome will be a cumulative trend towards the production of low-quality LED plans marked by a project focus, unrealistic targets, an inability to identify the drivers of local development and poor implementation’. LED must be given the prominence it deserves in local government, with issues of economic development becoming ‘central to the development agenda of a locality’ (Lawrence & Hadingham, 2008:45). In addition Rogerson (2007:11) emphasises the lack of availability of the high level skills required for supporting LED over the next decade. The cadre of South African university scholars who are researching and teaching LED is remarkably small. Furthermore, Sebola (2014) raises the same point - that local government education has not been adequately promoted in South African institutions of higher learning. Academic authority on this subject is often difficult to determine amongst South African academics.

Another crucial challenge faced by LED in South Africa is to improve the quality of local data that could help to improve the understanding of local economies, identify local competitiveness and assist LED decision-making (Rogerson, 2008). According to Van der Heijden (2008), good local level data which includes an up-to-date economic profile of the local area and contains meaningful local-scale economic data is crucial for effective LED planning.

Imperatively, if decentralisation is to be effective, LED capacity must be developed at the subnational level and this will require a strategic focus from national government (Commonwealth of Australia, 2015). To this end, Makhubedu-Mametja and Baur (2003:371) argue the importance of councillors and officials being in possession of the skills, competencies, qualities and knowledge needed to achieve the key outcomes of developmental local government. A developmental system of local government necessitates capacity building in the municipalities. Against this background of LED Nel (2001) argues that local government officials need training and exposure to the LED concept. Moreover, it is important that capacity building efforts are directed towards poorer municipalities which are currently struggling to implement effective LED programmes (Rogerson, 2010b). The Department of Provincial and Local Government (DPLG) and the

South African Local Government Association (SALGA) published a National Capacity Building Framework for Local Government (NCBF), with the purpose to establish an integrated capacity building strategy towards enabling municipalities to fulfil their powers and functions as developmental local government entities (DPLG, 2006).

3.7 Chapter summary

The foregoing chapter conceptualised the thoughts of various development scholars on local economic development. The chapter presented some definitions of LED in both the International and local context. The emergence and the operationalisation of LED on the international landscape was discussed. The principles and practices of LED in South African context through the National, Provincial, District and Local municipalities were equally discussed in this chapter. Lastly, the shortcomings commonly associated with the principles, practices and procedures for LED were exhaustively presented. Some of these shortcomings amongst other things includes: lack of funding for LED; ineffective LED methodologies for planning; poor coordination of networks, and lack of capacity at local government level. However, as presented in the chapter, some of these pitfalls that tends to bleak the success and replication of LED in South African landscape with special focus on the CWDM (Stellenbosch and Drakenstein) could be mitigated through effective capacity building interventions at both the District and local municipalities. The following chapter presents in detailed the concept of Capacity building for LED.

CHAPTER FOUR

CONCEPTUALISING CAPACITY BUILDING FOR LED

4.1 Introduction

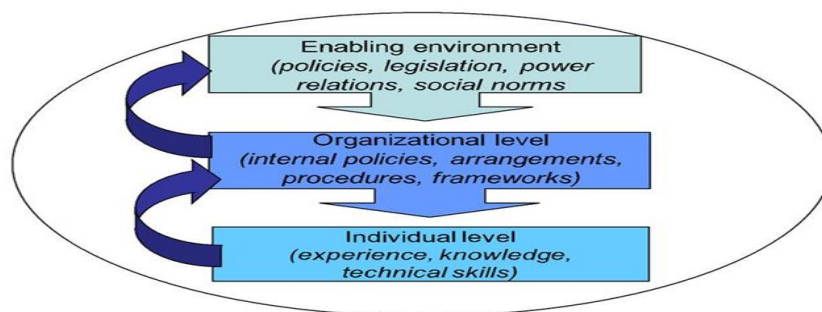
This chapter presents the conceptual framework of this study as it relates to the building of LED capacities for municipal staff. It is being argued in the study that for the municipalities in South Africa to succeed in establishing themselves as developmental local government structures, they need strategic, organisational, and technical capacities. Imperatively, the need for capacity building at all local municipalities through training (nationally) becomes apparent. This chapter also present discussions on some of the most common shortcomings and remedies for effective capacity building interventions designed to capacitate municipal staff for LED. These amongst other things includes: Lack of knowledge transfer into the job; Employees poor participation in training, and poor training needs analysis. Lastly, this chapter also provide a sigh of hope for all LED stakeholders, especially those in the CWDM that against all odds as exemplified by the shortcomings, Capacity building seems to be regarded as the best diagnostic tool to overcome the shortcomings of LED in the municipalities.

4.2 The Concept of LED capacity building

The developmental role assigned to local areas of government in South Africa has led to increased constitutional responsibilities of the municipalities (Maserumule, 2008:437). According to Nel and Binns (2003:165) the new developmental role required municipalities to put in place a strategic socio-economic intervention to secure investment, encourage growth and deal with issues of social exclusion and poverty. Maserumele (2008:441) argues that for the municipalities to succeed in establishing themselves as developmental local government structures, they will need strategic, organisational, and technical capacities. Morgan (1998) defined capacity as the organisational and technical abilities, relationships and values that enable countries, organisations, groups, and individuals at any level of society to carry out functions and achieve their development objectives over time. Organisational capacity is concerned with the efficiency and effectiveness of structures and systems in realising the local government development goals while technical capacity is concerned with the ability to translate objectives of the developmental

local government into programmes and projects (Maserumule, 2008:441). Imperatively, the enabling environment which constitute the context in which individuals and organisations put their capabilities into action, and where capacity development processes take place needs to be enhanced to promote effective transfer of skills into the job. This level of capacity is not easy to grasp tangibly, but it is central to the understanding of capacity issues. They determine the ‘rules of the game’ for interaction between and among organisations (UNDP, 2005:6) It includes: political commitment and vision; policy, legal and economic frameworks; budget allocations and processes; governance and power structures; incentives and social norms (FAO, 2013). As shown in figure 4.1, a systemic approach of level of capacity is carefully depicted.

Figure 4.1- Levels of capacity: A Systemic Approach



Source: (Adapted from UNDP, 2005: 6)

Maserumele (2008:441) articulates that local government strategic capacity is the ability of the local government to provide leadership in defining local government agenda, mobilising the community and providing direction in the utilisation of the available resources towards the implementation of the programmes. According to OECD-DAC (2006), ‘capacity’ means ‘the ability of people, organisations and society as a whole to successfully manage their affairs’. The absence of capacity necessitates capacity building. Imperatively, effective capacity building must be preceded by an assessment of existing capacity (Antwi & Analoui, 2008:506; Brown, LaFond & Macintyre, 2001:35).

The political and administrative staff components of the municipality should have skills, competencies and knowledge that befit the imperatives of a developmental system of local government (Maserumule, 2010:441). Ironically, however, local government is often faced with a serious lack of human resources (Thornhill, 2008:506). The strategic interventions to build sustainable human resources capacity in the municipality to effectively carry out

the developmental duties as required by the constitution, are therefore necessary and critically important (Maserumule, 2010:441).

There has been a growing recognition that capacity development is much more than the transfer of knowledge and skills to individuals. Effective capacity development calls for strengthening the capacity of whole organisations, sectors and systems, and takes into account the culture and context within which they exist (Pearson, 2011:8). Capacity development is not the training of individuals for knowledge acquisition. Rather, it is ensuring they know how to apply that knowledge. It is not only about teaching individuals a technical skill, it is also ensuring they are given the space required to practice and correctly adopt the new techniques into their workplace and lives. In the same vein, capacity development is not a training programme. It is the lessons learned and their ability to be practically adopted into the individuals' lives (UNHABITAT, 2012:8).

The local municipality should be encouraged to build their own capacity even though it will be a timely and costly exercise. Viewed from the perspective of a municipality driven by capacitated leaders, a learning organisation is an institution that is characterised by systematic problem solving, experimentation with new approaches, learning from own and past experiences, learning from the experiences and best practices of others as well as an organisation that transfers knowledge quickly and efficiently (Nolutshungu, 2014:3). It is important to realise that capacity building is more likely to be effective and sustainable in the long term (Molekane, 2008:234). As such, it is evident that capacity building is not an event, but rather a continuous process, especially considering that many factors can stop the diffusion and adoption of knowledge, and its subsequent translation into action (Senge *et al.*, 1999). Capacity development should therefore be seen as a long-term process, whose outcomes may not evolve in a controlled and linear way (UNDP, 2005:5). Therefore The United Nations Development Programme (UNDP, 1998) for example, has suggested that 'a realistic time frame for organisational strengthening is over 10 years and it must be an ongoing generative learning process.'

4.3 Limitations of Capacity Building

Besides the overarching challenges of resources constraints, ineffective LED planning methodologies and poor coordination of LED networks that bedevil the success of LED and its related activities in the district and local municipalities, as mentioned in the last

chapter, this section provides an in-depth insight and understanding of skills transfer from training as it besets the effectiveness of capacity building interventions in municipalities.

Virtually all formal employee training typically involves learning new knowledge, skills, attitudes or other characteristics in one environment (the training situation) that can be applied or used in another environment (the performance situation) (Goldstein & Ford, 2002). In organisational contexts, original learning in a training experience is rarely enough to render that training effective. According to Clardy (2006), what was learned in training should be applied to performance on the job. However, a common experience is that learning from a formal training program is not carried back for application on the job. Drawing from the integrative study of Burkes and Hutchins (2007), training design and delivery, the transfer climate (work environment) as well as the Learner characteristics impacts directly or indirectly on the efficacy of any training interventions.

4.3.1 Training Design and Delivery

A holistic training design and delivery involve a mix of three interrelated activities: the infusion of new knowledge, ideas, and insights; the opportunities for participants to process these infusions based on their individual and collective experiences; and the application of what they have learned to their individual, work team and organisational needs and opportunities (UN-Habitat, 2008:32). Kirwan and Birchall (2006) also report that transfer design influences trainee performance self-efficacy. The writing of clear and concise objective statements describing what will be accomplished during the learning experience is the most important design task to undertake (UN-Habitat 2008:26; Martin 2010:522).

According to UN-Habitat (2008:38), a good return on training investment is assured when the training addresses real performance discrepancies and skill needs; the training is competently designed and delivered by experienced trainers; and those who have attended the training apply their new knowledge and skills to improve work performance. All of these factors must be present for training to meet the expectations of those who invest in it. For the purpose of this study, the following variables were considered.

- Training Needs Analysis;
- Learning goal, and

- Content relevance

Training is best employed to address knowledge, skill, and ability deficits; therefore, an appropriate needs analysis can be useful for determining whether training transfer is relevant (Burke & Hutchins, 2007:272). Training cannot be effective unless it meets the individual, organisational, and task needs as identified by a needs analysis (Alvarez, Salas, & Garofano 2004:389). Needs assessment, or needs analysis, is the process of determining the organisation's training needs and seeks to answer the question of whether the organisation's needs, objectives, and problems can be met or addressed by training (Authur, *et al.*, 2003:292).

Understanding the greater context will confirm if training is the most appropriate response and assist in answering key questions, such as determining who should be involved as trainees. Knowing this will enable the training to be designed in the most effective manner, ensuring that training entry points and delivery will have an optimal effect in transferring learning to trainees' as individuals and members of their organisations (UN-Habitat, 2012:5).

Goal-setting has been found to help individuals regulate their transfer induced behaviour by directing attention and action, mobilising energy expenditure or effort, prolonging effort over time (persistence), and motivating the individual to develop relevant strategies for goal attainment (Brown, 2005; Locke & Latham, 2002; Locke *et al.*, 1981 cited in Burke and Hutchins, 2007:274).

Brown (2005) experimented with the effects of two kinds of goal-setting activities (distal and proximal goals) against a 'do your best' (DYB) activity. The distal goal group was less effective in transfer than the other two groups. Interestingly, the performance goal of the trainee needs to be aligned with the organisational goals. As Burke and Hutchins (2007:274) correctly put it, presuming a learning intervention is needed, explicitly communicated objectives can inform learners of the desired performance, the conditions under which the performance will be expected to occur on the job, and the criterion of acceptable performance to maximise transfer.

According to Bates (2003) training goals and materials should also be content valid, or closely relevant to the transfer task, and should be perceived to be valid by trainees.

Perceived content validity refers to the extent to which trainees judge the training content to reflect the job requirement accurately (Devos *et al.*, 2007). According to Nikandrou *et al.* (2009) and Bhatti & Kaur (2010) when trainees perceive the contents of the training are similar to the actual job, they influence and maximize the transfer. In addition, Kauffeld and Lehmann-Willenbrock (2010) find that training transfer can be improved by trying out training content in real work situations.

Kirwan and Birchall (2006) tested the Holton model and report in their study that transfer design and perceived content validity separately and collectively influence participants' performance self-efficacy. Liebermann and Hoffmann (2008) argue that if the perceived practical relevance of the training were to match or exceed the trainee's expectations, he/she would be satisfied and react positively. If the training is not relevant, however, the trainee will be less satisfied or may show a negative reaction (Bhatti & Kaur 2010:661).

According to UN-Habitat (2008:39), enrichment of content with local examples, new concepts or strategies, experience, wisdom, and ideas of the participants could also enhance transfer. However, Kemal (2005:352) states curriculum should be developed by the experts and reviewed periodically by taking into consideration changes in the operational techniques and introduction of new technology. As Martin (2010:522) holistically summarised it, the important questions to be pre-occupied with in training programme designs include:

- Are the objectives of the training understood and clearly communicated to the participants?
- Are the skills to be acquired similar to skills currently in use?
- Is the training perceived as relevant to the job currently being performed or objectives to be achieved?
- Have participants been involved in determining the content and design of the training program?
- Do participants believe they will have an opportunity to practice the skills or apply the knowledge gained?
- Will participants receive feedback on their performance or application and have the opportunity to make appropriate adjustments?
- Is the training location conducive to effective learning?

- Is the timing of the training appropriate and are job demands adjusted to allow for training?

4.3.2 Work environment

There are good reasons to expect that the transfer climate (i.e. the workplace) plays a particularly important role in determining the degree to which the knowledge, skills and attitudes acquired in training are transferred to the workplace (Pidd, 2004:275). Transfer climate refers to workplace situations and consequences that inhibit or facilitate and support the transfer of specific training to the job situation (Rouiller & Goldstein, 1993; Pidd, 2004) such as supervisor influence on co-worker attitudes toward training, and the extent to which organisational policies and practices support training (Burke & Baldwin, 2007). According to Cromwell and Kolb (2004), transfer climate are the work environment factors perceived by trainees which encourages or discourages their use of knowledge, skills, and abilities learned in training on-the-job. A number of studies have shown that environmental factors are important for understanding the transfer of the training process (Alvarez *et al.*, 2004; 2002; Rouiller & Goldstein, 1993; Velada, *et al.*, 2007:285).

In addition, Clarke (2002) reports on a qualitative investigation of why there was a minimal impact of training on social services personnel, and uncovered the following factors, several of which are contextual:

- limited on-going practice of skill back on the job
- heavy workload and time pressures
- minimal support from supervisors to implement training

Some other research has also found that positive transfer is limited when trainees are not provided with opportunities to use new learning in their work setting (Gaudine & Saks, 2004; Lim & Morris, 2006). This constitutes immense impediment to successful training transfer (Clarke, 2002). Drawing from the study of Nikandrou, Brinia, and Bereri (2009:265), people who believe and know in advance that they will not have any opportunity to apply their new skills did not transfer training to work.

In addition, the most consistent factor explaining the relationship between the work environment and transfer is the support trainees receive to use their new skills and knowledge (Clarke, 2002). The role of supervisors in influencing and supporting trainee

transfer has been widely supported in both empirical and qualitative studies (Burke & Baldwin, 1999; Clarke, 2002). There are, however, mixed findings by researchers as to the role of supervisory support in positively influencing transfer (Chiaburu & Marinova, 2005). Williams (2008:21) contends that if supervisors create a positive training and work environment then the transfer of knowledge is more likely to occur and the employee will feel more willing to apply their newly acquired skills.

Researchers have also identified manager supportive behaviours such as discussing new learning, participating in training, providing encouragement and the coaching of trainees on the use of new knowledge and skills on the job as salient contributors to positive transfer (Burkes and Hutchins 2007:281). A empirical study conducted by Ismail, Mohammed, Sulaiman and Sabhi (2010:32) on 297 employees who had attended a training programme in Malaysia and found that the supervisor's role acted as a partial antecedent of motivation to learn and as a full antecedent of training transfer. Similarly, Hua, Ahmad and Ismail's (2009) investigation on the relationship between a supervisor's role in training programmes, and the transfer of training in four East Malaysian local governments showed a positive and significant relationship between the supervisor's role in training programmes and the transfer of training. A multiple regression analysis demonstrated among the studied variables that supervisor communication acted as a dominant factor in enhancing the transfer of training. Lastly, Chiaburu, Van Dam, and Hutchins (2010:188) argue that trainees who perceive support from both distal (perceived organisational support) and proximal (supervisor) sources will have an increased perceived ability that they can transfer skills (self-efficacy), high levels of learning goal orientation, and will reciprocate through increased motivation (to transfer).

In the same vein, support from peers and colleagues (social network) have also proven to yield a more consistent influence on trainee transfer. Hawley and Barnard (2005) found the networking with peers and sharing of ideas on course content helped promote skill transfer after training. Thus Van den Bossche and Segers (2013) review studies endorse the potential of the social network perspective to understand the transfer of training. A premise of this perspective is that an individual behaviours and outcomes are significantly affected by how that individual is tied into the larger web of social connections.

According to the UN-Habitat (2012:5), without follow-up on training, the participants' learning is not supported and they will have difficulties applying what they may have learnt to their organisation. Appreciably enough, Martin (2010:523) have found several follow-up activities to be particularly useful in supporting transfer. These are: action plans, performance assessment, peer meetings, supervisory consultations, and technical support, as described below:

- Action plans are written documents completed by trainees during or shortly after training that specifies how the trainee expects to implement learned skills on-the-job.
- Performance assessment encompasses activities undertaken to measure or observe the behaviour of trainees in work settings following instruction.

Peer meetings are periodic meetings of trainee groups following instruction and are usually facilitated by a professional staff employee or external consultant. At these meetings employees share examples of how they are applying the skills and information from the training, explain the impact of their application on operations and performance, and explore barriers to application and how they can be eliminated. Supervisory consultations are designed to put the trainee's immediate supervisor into the role of coach or mentor to encourage skill application. The primary purpose of these meetings is to provide encouragement and support for application of the techniques learned. As reported in the study of Karatepe (2014:395) who investigated the interrelationship of ownership of the position, supervisor support, and desirable job outcomes, it was found that supervisor support is critical to fostering the full commitment of the employee, with the result that employees can handle difficulties associated with their jobs effectively and do not have intentions to leave the organisation.

4.3.3 Individual Characteristics

According to Burke & Hutchins (2007: 265), one of the more enduring concepts in psychology literature is that an individual's ability and motivation affect performance. According to Korunka, Dudak, Molnar, and Hoonakker (2010), training motivation is regarded as the intensity and persistence of efforts that trainees apply in learning-oriented improvement activities, before, during, and after training. Employees who are highly

involved in their jobs are more likely to be motivated to learn new skills because participation in training can increase skill levels, improve job performance and elevate feelings of self-worth (Colquitt *et al.*, 2000). According to Boesen and Terildsen (2004:7) 'capacity development initiatives are successful where there is attention paid to performance and results, providing further that the overall balance of incentives and power must tilt towards change.'

The study of Facticeau *et al.* (1995) links extrinsic and intrinsic components of motivation to training outcomes and finds that trainees who perceive intrinsic reasons (internal pay-off) to attend training report higher levels of motivation to attend and learn (i.e., antecedents of transfer), whereas extrinsic rewards and benefits were not significantly related to pre-training motivation.

Drawing from Molekane's (2008) point of view, most often, employees get de-motivated and become reluctant to participate in any training opportunities if they feel that it will not benefit them. Additionally, poor participation resulting from low staff morale and performance within the organisation is caused by inadequately defined career paths and the lack of relevant training opportunities. Thus, this lack of understanding of the *why* by employees jeopardises the efficacy of capacity building projects (Molekane, 2008).

It is imperative for managers to inform their employees about the needs, purpose and benefits of undertaking capacity building related training in order to enable them to understand the need for change. A change can be more successful if the concerns of the change recipients are considered. Therefore, an individuals' evaluation of management support for and organisational capability to cope with a specific change initiative affects their ability to learn and change (Eby *et al.*, 2000; Holt *et al.*, 2007).

4.4 Capacity building as a potential solution to the shortcomings of LED

Successful LED initiatives rarely exist in a vacuum. They work best when they work in tandem with a clearly articulated national economic development agenda. According to Rodriquez and Trijmastra (2009) a successful LED process primarily includes a wide range of stakeholders in the decision-making process, principally through social dialogue. However, Rodriquez and Trijmastra (2009) contend that creating social dialogue may be a complex task, which requires specialist training and strong institutional structures.

National governments, NGOs, and international organisations can all play a role in facilitating this process by creating the right incentive structures, helping municipalities to acquire the necessary skills, and by providing technical assistance where needed.

Rodriguez and Tijmistra (2009) argues that the likelihood of LED making a valuable contribution to creating sustainable and decent livelihoods within a locality is influenced by local, regional, national, and international factors alike. Amidst these ensuing complexities posed by LED multi-stakeholders, it becomes highly imperative for the municipalities to possess the necessary powers, resources and skills to be able to formulate and implement an LED strategy that can truly address local issues. Moreover, in order for an LED strategy to develop and evolve, the capability of the municipalities (District and local municipalities) to monitor and evaluate projects adequately is a necessary prerequisite. This requires both the development of local capacities and the creation of appropriate institutions for monitoring and evaluating of LED interventions at local level.

The DBSA (2008:4) stresses the importance of enhancing institutional strength for LED through building associated networks. According to Rogerson (2010a) this includes the need to build expert networks and sustainable knowledge platforms in order to support competitiveness and turn local endowments to regional and national competitive advantage. The linking of these networks 'facilitates a more structured sharing of tools, documentation of good practices and development of guidelines' (Salazar-Xirinachs, 2008: v). These outcomes emanating from the organisational or institutional learning, constitute an essential base for strengthening LED (Ruecker & Trah, 2007:78). Interestingly, the Researcher of this study opines that in order to enhance the aforementioned outcomes, municipal employees, both at district and local level needs to be well capacitated. The South African LED Network, founded in 2004, is a promising knowledge platform, established with support of the GTZ LED project. Among its objectives, it seeks to promote 'discussion and exchange between the various kinds of LED practitioners to build a body of knowledge of what works when, which approaches can be used and how to mobilise other local stakeholders to actively engage in LED processes' (Hadingham, 2008:55). It is dedicated to the promotion of good practice and dialogue in local economic development, as well as connecting and networking with practitioners. The significance of developing knowledge centres or platforms is that they

provide the foundation for high-level learning and capacity-building which must encompass both private sector associations and groups of local consultants contracted to develop LED strategies, projects and implementation plans (Morris, Bessant & Barnes, 2006; Ruecker & Trah, 2007; Lawrence & Hadingham, 2008). Strengthening formal sector private institutions, such as business chambers and professional associations, is essential in order 'to assist them to better define, understand and manage their mandate, and to build the necessary administrative and management capacity to do perform their duties diligently (Ruecker & Trah, 2007:38).

Rodriquez and Tijmastra (2009) argue that national policies also have an important role to play in promoting economic growth and employment as most of the policy options open to national governments have an impact on overall economic growth. To this end, Blakely and Bradshaw (2002:39) add that though these can improve the general development prospects within the country, they do not address the problems of specific territories. Where national development policies do target a specific region or locality, they are often focused on improving infrastructure or diverting economic activity away from one area in favour of another. Often such policies do not match local capacities very well and as a result territories have failed to use them to their full advantage (Rodríguez-Pose, 2002). Similarly, has been argued in Parrot (2011:42) that one of the main reasons for project failure is the lack of local management, which according to some scholars should ideally be monitored by the local government. As Rodriquez and Tijmastra (2009) had argued, by providing localities with the authorities and capabilities to develop targeted projects at a smaller scale, national governments through the district and local municipalities can help communities to exploit potential competitive advantages and increase local employment opportunities in a more fruitful and sustainable way.

Molekane (2008) mentions that any capacity building exercise should ensure that the following attitudes, abilities, competencies and behaviours are reflected from those employees who went through it. He argues that employees who went through the capacity building process are the mostly likely to be committed to the vision of the organisation. The underlying approach of earlier research studies is that change in the individual organisational member's behaviour is at the core of organisational change, organisations only change and act through their members, and successful change will persist over the long term only when individuals alter their on-the-job behaviours in appropriate ways

(George & Jones, 2001; Porras & Robertson, 1992:724). These scholars also argue that many change efforts fail because change leaders often underestimate the central role individuals play in the change process.

Capacity building enhances team learning and partnerships among employees. A learning culture develops the capability of individuals to identify and solve work related problems by supporting organisational learning, more specifically, by creating continuous learning opportunities, encouraging collaboration and team learning, creating systems to capture and share learning, and empowering people (Watkins & Marsick, 1993). In addition, the proponents of normative re-educative strategies also assume that participation is essential for building the partnership, trust, and commitment, which are thought to be vital for long-term performance improvements (Bennis, 2000). Under normative-re-educative strategies, all organisational members are given occasion for participation in decision-making processes, thereby having a choice to contribute by offering an opinion and potentially to shape it (Anderson, 2009). According to Choi and Ruona (2011:46) individuals are more likely to have higher levels of readiness for organisational change when (a) they experience normative-re-educative change strategies and when (b) they perceive their work environment to have the characteristics associated with a learning culture. In this respect, Choi and Ruona (2011:63) conclude that individuals who work in an environment that embodies a learning culture are more likely to be capable of making genuine contributions to change than those who have not.

In addition, capacity building provides employees with information and knowledge on how to perform well their tasks. As in the case of the CWDM, the Managers and supervisors within the district municipality would be trained on the required competencies to identify the early warning signs of a troubled employee and also be capable to deal effectively with the troubled employee within the working environment. A well-informed and knowledgeable employee plays an important role in any organisation (Molekane, 2008). Employees are then able to cope with change and unforeseen change. In addition, the researcher is of the opinion that through capacity building efforts, capability of managers to manage and measure organisational (evidence-driven and outcomes-based) performance in their area of jurisdiction both at district and local level could be improved upon.

Lastly, one of the benefits of capacity building is encouraging and promoting professional ethos amongst employees (improved ethical conduct). As Wilder (2013:1) correctly puts it, when we invest in learning we invest with the objective of changing behavior to produce desired results. Achieving desired results requires doing something different, i.e. changing behavior. Responsive and clean administration depends on adherence by employees in public service to ethical standards and the basic principles of the constitution (Molekane, 2008).

4.5 Chapter summary

The concept of capacity-building has been presented in this chapter. It has been argued in the foregoing literature that for the municipalities in South Africa to succeed in establishing themselves as developmental, local government structures need strategic, organisational, and technical capacities. These necessitate the need for capacity building at all local municipalities through training. This chapter also presented discussions on some of the most common shortcomings and remedies for effective capacity building interventions designed to capacitate municipal staff for LED. These includes: Lack of training transfer into the job; Employees poor participation in training, and poor training needs analysis. Lastly, this chapter also provided a sigh of hope for all LED stakeholders, especially those in the CWDM that against all odds as exemplified by the shortcomings, Capacity building seems to be best diagnostic tool to overcome the shortcomings of LED in the municipalities. The following chapter presents the research design and methodology that was utilised for this study.

CHAPTER FIVE

RESEARCH DESIGN AND METHODOLOGY

5.1 Introduction

Chapters Two, Three and Four of this study focused on the theoretical aspects concerning the contemporary trends which can be identified in development discourses, the conceptualisation of LED and capacity building training for LED within the contemporary capability approach of development as well as discussions on the situational and contextual factors that impact on the effectiveness of LED training interventions in the local municipalities. As set out in Chapter One, the research problem and aim of this study is to investigate the extent to which the existing training interventions can build skill capacity for LED projects in the Cape Winelands municipalities. The purpose of this chapter is to discuss the research design and methodologies used in the study. This chapter focuses on the research paradigm, research design, scope and sample, data collection and data analysis. In addition, this chapter presents the various research tools, data collection processes and data analysis methods that were applied in the study. The chapter begins with contextualising of the research paradigm. Thereafter, it goes on to present the type of research design and the rationale underpinning the choice of the type of research design that was used in the study. This chapter also presents the scope, sample and the sampling strategy utilised for selecting the participants that constituted the target group of this study. This chapter explains chronologically the data collection process that was followed to collect the data utilised in the study. A flow chart of the process is provided in the chapter. As depicted by the flow chart, the data collection process commenced with the interview process, collection of documents, pre and post-training survey and the post-training transfer evaluation that was carried out after six months of training to determine the level of skill transfer into the job. The methodology that was applied in the analysis of the various data obtained through the interviews, documents, pre and post-training survey and the post-training transfer evaluations is also chronologically presented in the chapter. Lastly, the conceptual framework developed by Merino and Carmenado (2012) adopted for this study to analyse capacity building in local municipalities is being introduced in the chapter.

5.2 Research Paradigm

According to Guba (1990:17), a paradigm is an interpretative framework which is guided by a set of beliefs and feelings about the world and how it should be understood and studied. Put differently, paradigms are patterns of beliefs and practices that regulate inquiry within a discipline by providing lenses, frames and processes through which investigation is accomplished (Weaver & Olson, 2006:460). For Taylor, Kermode, and Robert (2007:5), the term paradigm is seen as a broad view or perspective. In order to clarify the researcher's structure of inquiry and methodological choices, an exploration of the qualitative paradigm adopted for this study will be discussed prior to any discussion about the specific methodologies utilised in this study.

The use of mixed methodology in this study was chosen to enable a rich understanding of the subject matter by deploying a wide range of interconnected interpretive and positivistic practices. According to Johnson and Onwuegbuzi (2004) a key feature of mixed methods research is its methodological pluralism or eclecticism, which frequently results in superior research (compared to a monomethod research). Qualitative methodology as argued by Weave and Olson (2006) shares its philosophical foundation with the interpretive paradigm which supports the view that there are many truths and multiple realities. This type of paradigm focuses on the holistic perspective of the person and environment which is more congruent with development projects. Additionally, this study is designed to provide an opportunity for the voice, concerns and practices of research participants to be heard. It focuses, therefore, on examining the subjective experiences of individual stakeholders attached to the practices and procedures of capacity building training interventions in the Cape Winelands municipalities. As Cole (2006:26) argues, qualitative researchers are more concerned with uncovering knowledge about how people feel and think in the circumstances in which they find themselves, than making judgements about whether those thoughts and feelings are valid. In the other hand the assumption behind the positivist paradigm is that there is an objective truth existing in the world that can be measured and explained scientifically (Matveev, 2002) .Thus, the advocacy for mixed research methodology for this study was based on the need to recognise the diversity and complexity of the research participants and the context, and,

subsequently, to strengthen the research in the sense that the both approaches can be used to validate and enhance the research findings of each approach (De Vos, et al 2005)

5.3 Research design

The purpose of this research is to evaluate the existing training interventions in terms of their ability to build skill capacity for LED projects in the Cape Winelands municipalities. According to Creswell (2008:59) a research design indicates the plan for conducting the study and it involves the procedures undertaken in the last three steps of research process, namely, data collection, data analysis, and report writing. In this study, a mixed methodology was applied where both qualitative and, to a lesser extent, quantitative, methods were used to address the research question. The study mainly involves the interpretation of participants' thinking and the process implementation of the programme, while the positivist approach is used to combine the interpretation with descriptive statistics for further clarifications. In other words, this research employs mixed methods (Johnson & Onwuegbuzie, 2004:15) whereby both qualitative and quantitative methodologies associated with more on interpretivism and to a lesser degree on positivism are applied. According to De Villiers, Qualitative and quantitative methods are not mutually exclusive (De Villiers, 2005b:13 in Havenga, 2008:13). Therefore, in this study the methods are complementary and parallel, as each covers various facets of the research process and together they address what researchers actually use in practice (Johnson & Onwuegbuzie, 2004:15; Cupchik, 2001). Put simply, the in depth description of thinking processes are combined with descriptive statistics for more clarity (Havenga, 2008).

Thus Leedy and Ormrod (2001:101) emphasise that by using both quantitative and qualitative research methods, a researcher is not limited and can learn more about the world (Harvey, 2008:13). To sum it all up, Creswell and Clark (2011:12) adequately summarise the desirability of the mixed methods design in terms of when it is mostly utilised in research projects as thus:

- Mixed methods research provide strengths and offset the weaknesses of both quantitative and qualitative research,

- Mixed methods research helps answer the questions that cannot be answered by quantitative or qualitative approaches alone,
- It provides a bridge across the sometimes adversarial divide between quantitative and qualitative research,
- It encourage the use of multiple world views, or paradigms (beliefs and values) rather than the typical association of certain paradigms with quantitative research and other for qualitative research.

5.4 Scope and sample

This study was undertaken in the Stellenbosch and Drakenstein local municipalities. A purposeful sampling strategy of a non-random selection of participants was utilised for selecting the participants that constituted the target group of this study. According to Mcdermott and Sarvela (1998) purposeful sampling is a method in which a researcher selects participants that they judge to be typical of individuals possessing a trait. The target group in this study is comprised of those who were involved in designing, delivery, receiving, or administering the LED training intervention in the Cape Winelands municipalities as reflected in the interview chart (Table 5.1).

According to Patton (1990: 169) the logic and power of employing purposeful sampling in this study lies in its ability to select information-rich cases for in-depth studies. Information-rich cases are those from which one can learn a great deal about issues of central importance to the purpose of the inquiry. Studying information-rich cases yields insights and in-depth understanding rather than empirical generalisations. Similarly, Depaulo (2000) argues that in order to reduce the chances of discovery failure, as opposed to reducing (quantitative) estimation error, the qualitative sample must be big enough to assure that one is likely to hear most or all of the perceptions that might be important.

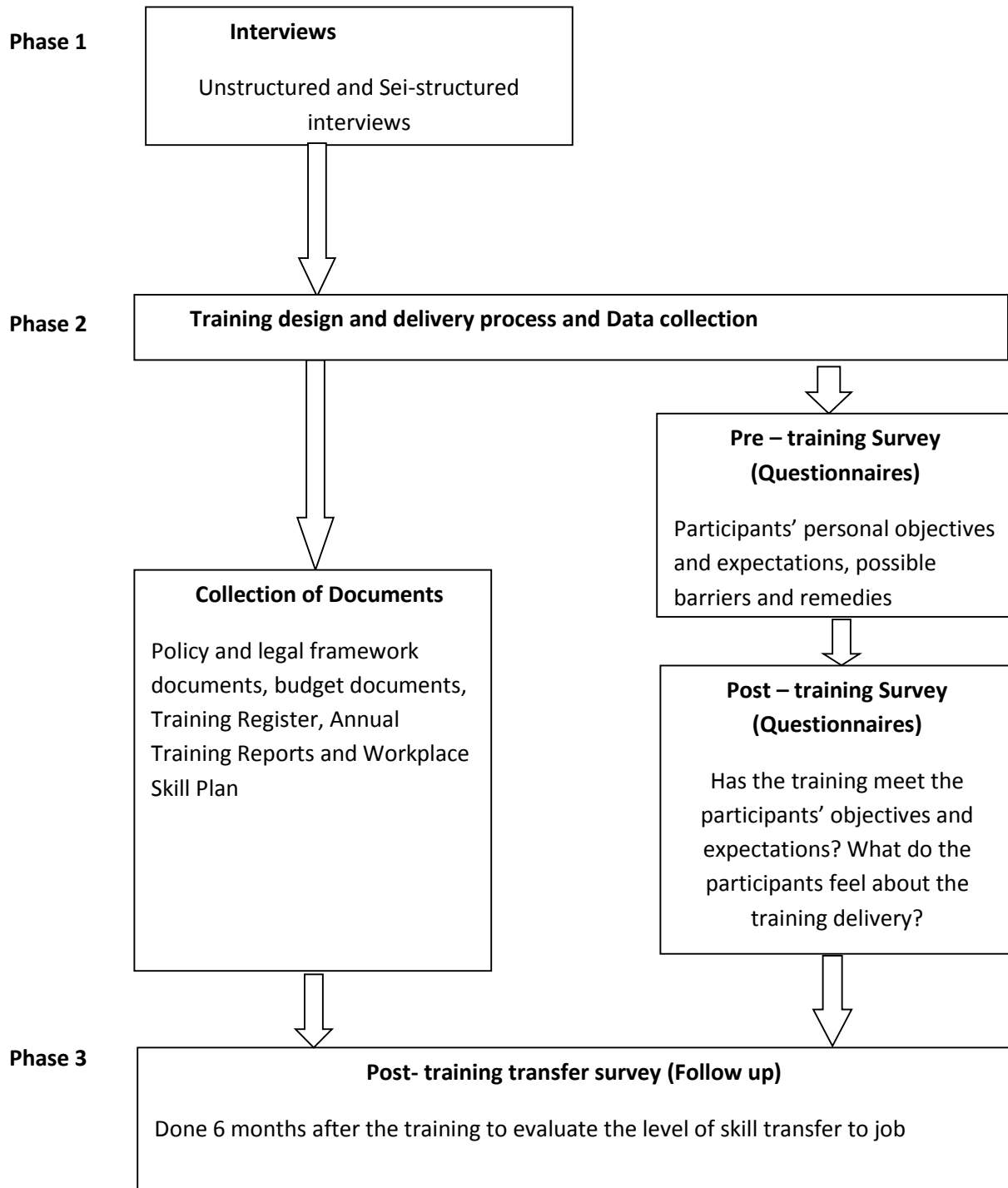
Table 5.1: Interview Chart

Date of Interview	Place	Organisation	Participant Designation
February 2014	Cape Town	LGSETA	Provincial Manager: LGSETA; Training Facilitator: LGSETA
February 2014	Cape Town	Department of Economic Development and Tourism (DEDAT) - Western Cape Government	Director: Regional and Local Economic Development
February 2014	Stellenbosch	Cape Winelands District municipality	LED Supervisor
March 2014	Cape Town	SALGA	Programme Manager: Economic Development and Planning; Training Officer
March 2014	Stellenbosch/Worcester	Cape Winelands District municipality	Manager: Training & Performance Management
March 2014	Stellenbosch	Stellenbosch Municipality	LED Manager
March 2014	Stellenbosch	Stellenbosch Municipality	LED Officer
March 2014	Paarl	Drakenstein Municipality	Chief Training Officer/Skill Facilitator
March 2014	Wellington	Drakenstein Municipality	LED Supervisor
March 2014	Stellenbosch	Stellenbosch Municipality	Skill Development Facilitator
April 2014	Paarl	Drakenstein Municipality	Service Provider - LED training provider
April 2014	Pretoria	Department of Cooperative Governance and Traditional Affairs	Director: LED Policy and Practice; Executive Manager: Economic Development
April 2014	Worcester	Cape Winelands District Municipality	Executive Mayor, Councillor: Member Mayoral Committee Councillor: Member of Mayoral Committee Portfolio - Rural Development
April 2014	Stellenbosch	Stellenbosch Municipality	Councillor: Mayoral Committee Member – LED
April 2014	Paarl	Drakenstein Municipality	Councillor: Planning and Economic Development and Mayoral Committee member

5.5 Data collection

According to Polkinghorne (2005:138) the purpose of data gathering in qualitative research is to provide evidence for the phenomenon being investigated and to provide the groundwork on which the findings will be based. The data collection methods used for this investigation include open-ended or unstructured interviews, semi-interviews, training evaluation and assessment of documentary data and pre- and post-questionnaires. A schematic representation of the processes followed to collect data in this study is shown in flow chart as indicated in Figure 5.1. The qualitative data was transcribed into written text for analytical use, while descriptive statistics were used as the analytical tool for the quantitatively generated data.

Figure 5.1 – Flow Chart of Data Collection Process



5.5.1 Interviews

The intent of the interviews was to investigate thoroughly the subject matter and be capable of reporting on the current and past capacity building training intervention in the Cape Winelands municipalities. According to Taylor, Kerrmode and Roberts (2007), qualitative interviews attempt to make meanings from individual accounts and experiences. Qualitative researchers are more concerned about uncovering knowledge on how people feel and think in the circumstances in which they find themselves (Cole, 2006:26). By being part of the environment, not only is the researcher able to understand what the person is conveying in the form of a rational message and standardised speech, but also the indirect implications of this speech with a specific syntax, contextual lapses, hidden meanings and speech breaks are perceived (Cole, 2006:26). Similarly, the wishes, expectations, interests, needs and personal opinions of the people included in the research should help the researcher to better comprehend the examined phenomena (Devetak, Glažar & Vogrinc, 2010: 78).

The inclusion of LED stakeholders in this study is to enhance the understanding of the current issues and experiences confronting the capacity building training intervention in the Cape Winelands' Municipalities. To this end, interviews were conducted with twenty different stakeholders drawn from the Department of Cooperative Governance and Traditional Affairs (COGTA), South African Local Government Association (SALGA), Local Government Sector for Education and Training Authority (LGSETA), Department of Economic Development and Tourism (DEDAT) (Western Cape), the Cape Winelands District Municipality, the Stellenbosch Municipality and the Drakenstein Municipality, as indicated in Table 5.1.

There were six interview schedules compiled for different stakeholders as per the devised focus area for this study. The first schedule (Appendix 1) compiled was an exhaustive list of questions that were only administered to the Mayor, LED Portfolio Councillor, LED managers, LED supervisors, LED officers, skill development facilitators and training manager in the Cape Winelands District Municipality, Stellenbosch and Drakenstein local municipalities. The second schedule (Appendix 2) was refined and condensed into a format more suitable for interviews with the next stakeholder DEDAT in the Western Cape. In order to find out the financing, facilitation and accreditation of LED skill development training for municipal staff from the LGSETA Western Cape Provincial manager and the training facilitator, a customised schedule (Appendix 3) was developed and administered to that effect. Another abridged and customised schedule (Appendix 4) was developed and administered to the training officer of SALGA. Furthermore, the fifth interview schedule (Appendix 5) was administered to the Director of LED policy and practice in the National Department of Cooperative Governance and Traditional Affairs (COGTA). This was administered to the Director on Policy Affairs and a manager on Economic Development in COGTA thus enabling the researcher to find out, amongst other things, the streams of LED policies and strategies guiding the content and delivery of training for capacitating municipal staff. Lastly, the researcher considered it necessary to obtain the views, comments and experiences of a training service provider in terms of the design, content and delivery of LED capacity building training in the municipality. To this end a set of condensed interview schedules (Appendix 6) was administered. Table 5.2 indicates the interview charts and the research objectives.

Table 5.2: Interview chart and research objectives

Organisation	Participant Designation	Type of Interviews	Type of Schedule used	Research Objectives
LGSETA	Provincial Manager: LGSETA and Training Facilitator: LGSETA	Semi - Structured	Interview schedule for LGSETA – Appendix 3	Resources and evaluate interventions
Department of Economic Development and Tourism (DEDAT) - Western Cape Government	Director: Regional and Local Economic Development	Semi - Structured	Interview schedule for DEDAT – Appendix 2	Policy framework, resources, and evaluate interventions
Cape Winelands District municipality	LED Supervisor	Semi - Structured	Interview schedule for Municipality – Appendix 1	Policy framework, resources, and evaluate interventions
SALGA	Programme Manager: Economic Development and Planning; Training Officer	Semi - Structured	Interview Schedule for SALGA – Appendix 4	Policy framework, resources, and evaluate interventions
Cape Winelands District municipality	Manager: Training & Performance Management	Semi - Structured	Interview schedule for Municipality – Appendix 1	Policy framework, resources, and evaluate interventions
Stellenbosch Municipality	LED Manager	Semi - Structured	Interview schedule for Municipality – Appendix 1	Policy framework, resources, and evaluate interventions
Stellenbosch Municipality	LED Officer	Semi - Structured	Interview schedule for Municipality – Appendix 1	Policy framework, resources, and evaluate interventions
Drakenstein Municipality	Chief Training Officer/Skill Facilitator	Semi - Structured	Interview schedule for Municipality – Appendix 1	Policy framework, resources, and evaluate interventions
Drakenstein Municipality	LED Manager	Semi - Structured	Interview schedule for Municipality – Appendix 1	Policy framework, resources, and evaluate interventions
Drakenstein Municipality	LED Supervisor	Semi - Structured	Interview schedule for Municipality – Appendix 1	Policy framework, resources, and evaluate interventions
Stellenbosch Municipality	Skill Development Facilitator	Semi - Structured	Interview schedule for Municipality – Appendix 1	Policy framework, resources, and evaluate interventions
Drakenstein Municipality	Service Provider - LED training	Semi - structured	LED training design and delivery – Appendix 6	Policy framework, resources, and evaluate interventions
Department of Cooperative Governance and Traditional Affairs	Director: LED Policy and Practice	Semi - Structured	LED policy and strategy on capacity building for municipal staff – Appendix 5	Policy framework and evaluate interventions
	Executive Manager: Economic Development	Open ended		
Cape Winelands District Municipality	Executive Mayor	Open-ended	Interview schedule for Municipality – Appendix 1	Policy framework, resources, and evaluate interventions
	Councillor: Member of Mayoral Committee Portfolio - Rural Development Services			
Stellenbosch Municipality	Councillor: Mayoral Committee Member – LED	Open ended	Interview schedule for Municipality – Appendix 1	Policy framework, resources, and evaluate interventions
Drakenstein Municipality	Councillor: Planning and Economic Development	Open ended	Interview schedule for Municipality – Appendix 1	Policy framework, resources, and evaluate interventions

a) Open-ended interview

Open-ended questions, also called open, unstructured, or qualitative questions, refer to those questions for which the response patterns or answer categories are provided by the respondent, not the interviewer (Fontana and Frey, 2008). The decision to use unstructured interviews as a data collection method is governed by both the researcher's epistemology and the study's objectives as it attempts to find patterns and develop a framework for the evaluation of capacity building training interventions aimed at promoting LED in local municipalities. The principal aim of interviews in qualitative studies is to understand the meaning of human action (Schwandt, 2001). These interviews therefore asks open questions about phenomena as they occur in context or develop theory rather than setting out to test predetermined hypotheses (Zhang & Wildemuth, 2009; Cater & Little, 2007). Similarly, Mathers, Fox and Hunn (2002) argue that unstructured interviews seek to obtain in depth interviews of persons interviewed. Face-to-face or personal interviews are labour intensive but can be the best way of collecting high quality data, especially when the subject matter is very sensitive, if the questions are very complex or if the interview is likely to be lengthy.

According to Minichiello, *et al.* (1990) and Fife (2005), the primary focus of an unstructured interview is to understand the meaning of human experiences from the interviewees' perspectives. The quality of the conversation is influenced, to a great extent, by how the interviewer represents him- or herself (Zhang & Wildemuth, 2009). To this end unstructured face-to-face interviews were conducted with the Mayor of the Cape Winelands District municipality and his LED Portfolio Councillor, two other Councillors from the Drakenstein municipality and one Councillor from Stellenbosch municipality as indicated in Table 1 (Appendix 14).

The structure of the interview conducted in this study was loosely guided by a list of questions (Minichiello *et al.*, 1990; Briggs, 2000; McCann & Clark, 2005) in a form of interview schedule. This interview schedule allows for a certain degree of consistency across different interview sessions. Thus, a balance can be achieved between flexibility and consistency (Zhang & Wildemuth, 2009) as it is open-ended and yet similar. The interviewer follows the interviewees' narration and generates questions spontaneously based on his or her reflections on that narration. Unstructured interviews are especially useful for studies attempting to find patterns, generate models, and inform information system design and implementation (Zhang & Wildemuth, 2009). The interview schedule (Appendix 1) used for the open ended interviews for Councillors contained 25 loose questions designed to discern the views, comments and experiences of the Councillors in terms of the main Policy Framework which guides the content and delivery of LED training, the design and delivery of LED training and the use of municipal resources for effective capacity building of municipal staff in the Cape Winelands municipalities. To this end, the schedule contained questions geared towards the policies and strategies of LED with special focus on building the capacity of municipal staff.

b) Semi – structured interview

According to Cohen and Crabtree (2006) the semi-structured interview unlike unstructured interviews, contains a guide which provides a clear set of instructions for interviewers and can provide reliable, comparable qualitative data. Semi-structured interviews are often preceded by observation and include informal and unstructured interviewing in order to allow the researchers to develop a keen understanding of the topic of interest necessary for developing relevant and meaningful semi-structured questions (Cohen & Crabtree, 2006). The semi-structured interviews conducted in the

study consist of a list of open-ended questions based on the topic areas of this study. The open-ended nature of the questions provides opportunities for both the interviewer and interviewee to discuss certain topics in more detail.

To this end, semi-structured face-to-face interviews (Appendix 1) were held with a training manager in Worcester in the Cape Winelands District office and with two other Training managers/Skill Development Facilitators in Paarl and Stellenbosch from the Drakenstein and Stellenbosch municipalities respectively. Interviews of this nature were also held with one LED supervisor in Wellington and one LED manager in Paarl (all from the Drakenstein municipality) and one LED Manager and one LED officer from Stellenbosch municipality were also interviewed. In addition, an interview was also held with one other LED Supervisor from the District municipality office based in Stellenbosch as indicated in Table 5.2 in the chapter and Table 1 in Appendix 15.

Furthermore, semi-structured interviews (Appendix 5) were also conducted electronically with two officers of COGTA in Pretoria, namely the Director for LED policy and practice and an Executive Manager: Economic Development. Another electronically mediated interview (Appendix 2) was held with the Director for Regional and Local Economic Development in the Western Cape government. Two managers from SALGA, a Programme Manager and a Training Manager, were also interviewed in face-to-face group interviews (Appendix 4) in the SALGA Provincial Office in Cape Town. Lastly, semi-structured interviews (Appendix 3) were administered to two officials of LGSETA, namely a Provincial Manager and a Training Facilitator in the LGSETA provincial office in Cape Town as well as a training service provider in Paarl as part of the Drakenstein municipality (Appendix 6). This is indicated in Table 5.2 in the chapter and Table 1 in Appendix 14.

5.5.2 Document Analysis

As argued by Bowen (2009:29), qualitative research requires robust data collection techniques and the documentation of the research procedure. To this end, this study embarked on the use of document analysis in combination with other qualitative research methods as a means of triangulation. According to Merriam (1988:118), 'Documents of all types can help the researcher uncover meaning, develop understanding, and discover insights relevant to the research problem'. Document analysis yields data-excerpts, quotations, or entire passages-that are then organised into major themes, categories, and case examples specifically through content analysis (Labuschagne, 2003).

As argued by Bowen (2009:29), documents can serve a variety of purposes as part of a research undertaking. Firstly, documents can provide data on the context within which research participants operate. As testimony to past events, documents provide background information as well as historical insight which could help researchers understand the historical roots of specific issues and can indicate the conditions that impinge upon the phenomena currently under investigation. Thus, one can use data drawn from documents to contextualise data collected during interviews. Secondly, information contained in documents can suggest some questions that need to be asked and situations that need to be observed as part of the research. Thirdly, documents provide supplementary research data which can be valuable additions to a knowledge base. Fourthly, documents provide a means of tracking change and development. According to Yin (1994), even subtle changes in a draft can reflect substantive developments in a project. Fifthly, documents can be analysed as a way to verify findings or corroborate evidence from other sources so that readers of the report have greater confidence in the (credibility of the research findings. Finally,

Bowen (2009:31) argues that documents may be the most effective means of gathering data when events can no longer be observed or when informants have forgotten the details.

The documents that were used in the study for the systematic evaluation of the capacity building training intervention projects in the Cape Winelands municipality amongst others include LGSETA grant policy documents, the Municipal Systems Acts, Skill Development Acts, the LED National Framework, the Revised National Capacity Building Framework, LGSETA 202/2013 Annual Training Report (ATR), CWDM 2012/2013 ATR, Draft 1 Strategy for Local Government as a Career of Choice (2013 – 2016), Draft 1 Professionalisation of Local Government and Draft 41 Revised National Capacity Building Framework for Local Government (2012 – 2016) as indicated in Table 4.4. Some of these documents were obtained directly from the target group while others were found in the organisational or institutional files. In order to analyse the main policy frameworks which guide the content and delivery of LED training in the municipalities, three documents were obtained from LGSETA, namely the LGSETA Grant Policy, Skills Development Acts and LGSETA annual report for 2012/2013. Five documents were obtained from COGTA, namely The National Framework for LED, the Revised National Capacity Building Framework, Draft 41 of the Revised National Capacity Building Framework (NCBF) for Local Government, Draft 1 of the Professional Framework for Local Government. From CWDM, two documents were obtained: The Municipal Systems Acts and the CWDM Annual Training Reports (ATR) 2012/2013 as indicated in Table 5.3

Table 5.3: List of reviewed documents

Date of publication	Source of provision	Title	Research objective
1998	Department of Labour/LGSETA	Skill Development Act	Policy framework
2000	CWDM	The Municipal Systems Act	Policy framework
2006	COGTA	National Framework for LED	Policy framework
2008	COGTA	Revised National Capacity Building Framework	Policy framework
2012	CWDM	CWDM Annual Training Reports(ATR) 2012/2013	Policy framework, resources and evaluate intervention
2012	COGTA	Draft 41 Revised National Capacity Building Framework (NCBF) for Local Government: 2012 to 2016	Policy framework
2012	LGSETA	LGSETA Grant Policy	Policy framework and resources
2013	COGTA	Draft 1 Strategy for Local Government as a Career of Choice: 2013 to 2016	Policy framework
2013	LGSETA	LGSETA Annual Reports 2012/2013	Policy framework, resources and evaluate intervention
2014	COGTA	Draft 1 Professionalisation Framework for Local Government	Policy framework

To investigate and identify the extent to which mainstream municipality resources are used to undertake training in LED within the Cape Winelands local municipalities, the Researcher obtained from the Cape Winelands District municipality its 2012/2013 Annual Training Reports and from the LGSETA two documents – the LGSETA Grant Policy and the LGSETA Annual Reports 2012/2013 as indicated in Table 5.3. These documents were analysed in conjunction with the data from the aforementioned interviews in order to enable the researcher to make an informed decision.

To enable the researcher to evaluate the training interventions in terms of their ability to build skill capacity for LED for the staff of the Cape Winelands municipalities, the Researcher took an in-depth look into the CWDM and the LGSETA Annual Training reports of 2012/2013. Finally, the examining all these aforementioned documents, along with data from observatory field notes and interviews, assisted the researcher in

developing a framework for the evaluation of capacity building training interventions aimed at promoting LED in local municipalities.

These documents were analysed with the application of a Computerised Qualitative Data Analysis Software Package called Atlas.ti. The documents were loaded into the Hermeneutic Unit (HU) of the software and coded to identify ideas, patterns and themes. The process of thematic analysis of qualitative data was utilised as discussed in detail in the next chapter.

5.5.3 Pre and Post-training Survey

According to Santos and Stuart (2003), the researcher analysis of the perceptions and experiences of employees towards training activities helps to develop an understanding of the range of factors that mediate or impact on the effectiveness of training. To this end it became imperative for the Researcher in this study to look at the compatibility between the participants' personal objectives and the participants' perceived objectives of the training. In this regard, a pre-training survey was carried out in the study enabling the researcher to obtain the views and comments of the training participants in terms of what they wanted to learn by attending the training, their perceived belief of the training being able to develop their ability to do their work and also the possible barriers that could hamper their knowledge and skill transfer into their workplace as indicated in the pre-training questionnaire (Appendix 7). As a result, the pre-training questionnaires (Appendix 7) were administered to a total of 18 training participants before the training in three separate training sessions. A set of five were administered to PACA workshop participants in Stellenbosch, another 10 to participants of AET (participants in Paarl) and the last 10 were administered to the training participants at the JIGSAW training in Paarl. In terms of the response rate, 3 out of the 5 questionnaires administered to the PACA Workshop were received back, 9

out 10 were received back from the AET participants and 6 out of 10 questionnaires were received back from the participants in the JIGSAW training in Paarl, as indicated in Table 5.4.

Table 5.4: Pre-training questionnaire distribution schedule

Type of training	Municipality	Questionnaires distributed	Questionnaires received
PACA Workshop	Stellenbosch	5	3
AET	Paarl	10	9
JIGSAW	Paarl	10	6
Type of training	Municipality	Questionnaires distributed	Questionnaires received
PACA Workshop	Stellenbosch	5	3
AET	Paarl	10	9
JIGSAW	Paarl	10	6

Shortly after the training session, post-training questionnaires (Appendix 8) were administered to the participants to evaluate, amongst other things,

- the extent to which the training satisfies the learning objectives of the participants,
- the participants own assessment of the training in terms of participation,
- the participants understanding of the content of the materials,
- the relevance of the content to the job,
- assessment of the trainers knowledge of the subject, and
- the creation of an appropriate learning environment.

The post-training questionnaire, as shown in table 5.5, were administered to 5 participants at the PACA workshops carried out in the Stellenbosch municipality, 10 participants for the AET and 10 participants for the JIGSAW training. The researcher decided to administer the post-training questionnaire to only 5 participants of the PACA workshop as he tended to confine the study within its scope of capacity building of municipalities in LED. The majority of the training participants were not municipal staff but other LED stakeholders in the municipality are shown in Table 5.5 depicting the post-training questionnaire distribution schedule.

Table 5.5: Post-training questionnaire distribution schedule

Type of Training	Municipality	Questionnaires Distributed	Questionnaires Received
PACA Workshop	Stellenbosch	5	3
AET	Drakenstein	10	7
JIGSAW	Drakenstein	10	5

In terms of the response rate, 15 out of 25 questionnaires were received back from all the participants in the three training areas as indicated in Table 5.5. But three of the questionnaires received from the JIGSAW training participants could not be analysed due to some missing vital information and misinterpretation of survey questions.

5.5.4 Post-training transfer evaluation (follow-up)

Several authors have again reported on the imperativeness of researching post-training transfer interventions to ensure that knowledge and skills acquired in the training environment are transferred to the workplace and lead to improved job performance (Baldwin & Ford, 1988; Tannenbaum, *et al.*, 1993). According to Bhati (2007:69) training is employed to affect behaviour change. Thus, the transfer of training is the essential element for training programmes to be effective (Nijman, *et al.*, 2006).

Similarly, Bhati (2007:69) argues that it is important to know which factors are present in the participants' environment that can be linked to the transfer of training. In the light of this, six months later, another two sets of post-training questionnaires (follow-ups) were administered to trained participants (Appendix 9) and their supervisors (Appendix 10). The overarching objectives for utilising these questionnaires in this study was to evaluate the training participants' level of application or the transfer of skills and knowledge into the job along with the variable factors that mediate the transfer and hence effectiveness of training investments. In order to ascertain these objectives, a post- training transfer survey was conducted again 6 months later with the participants and was inclusive of those who had participated in LED training in the past 24 months.

As a result the researcher made use of 5-level Likert scale questionnaires to measure standard responses. These are represented as 1 (*Strongly disagree*), 2 (*Disagree*), 3 (*Neutral*), 4 (*Agree*) and 5 (*Strongly agree*). The five point scaling was used to ensure that participants were not bored by long and complicated questions. According to Arhar, Holly, & Kasten (2001) using declarative statements and creating hypothetical situations increases the possibility of collecting the desired data. The questionnaire distribution schedule is shown in Table 5.6 and 5.7. As shown in Table 5.6, the questionnaires were issued and received from 10 participants in the two municipalities. As shown in Table 5.7, the questionnaires were issued and received from two supervisors in the Stellenbosch municipality and one supervisor in the Drakenstein municipality respectively.

Table 5.6: Post - training evaluation questionnaire schedule (Trainees)

S/NO	Municipality	Present position	Highest qualification	Years of experience	Gender
1	Stellenbosch	Snr. LED Officer	Tertiary	5	Male
2	Stellenbosch	Snr. LED Officer	Tertiary	3	Female
3	Stellenbosch	General worker	High school	4	Male
4	Stellenbosch	Worker	High school	3	Male
5	Stellenbosch	Worker	High school	4	Male
6	Drakenstein	LED Officer	Tertiary	8	Male
7	Drakenstein	General worker	High school	11	Male
8	Drakenstein	General worker	High school	17	Male
9	Drakenstein	Machine handler	High school	1	Male
10	Drakenstein	General worker	High school	6	Male

Table 5.7: Post - training transfer questionnaire schedule (Supervisors)

S/no	Municipality	Present position	Highest qualification	Years of experience	Gender
1	Drakenstein	Researcher	Tertiary	3	Male
2	Drakenstein	Supervisor	High school	28	Male
3	Stellenbosch	LED manager	Tertiary	8	Male

5.6 Data Analysis

According to Corbin and Strauss (2008: 69) data analysis involves interacting with data (the analysis) using techniques such as asking questions about the data, making comparisons between data, deriving concepts to represent the data and then developing those concepts in terms of their properties and dimensions. Put simply, this process demonstrates how analysis of the raw data from interview transcripts, organisational documents, and researcher's observatory field notes, as well as the pre-

and post-training survey, progressed toward the identification of overarching themes that captured the phenomenon of capacity building training as described by participants in the study. According to Mouton (2001:108) data analysis involves breaking up of the data into manageable items, patterns, trends and relationships. The aim of the analysis is to understand the various constructive elements of one's data through an inspection of relationships between concepts, constructs or variables and to see whether there are any patterns or trends that can be identified or isolated, or to establish a theme in the data. Similarly, Bamberger, Rugh and Mabry (2006:296) argue that qualitative analysis is substantive, involving identification of patterns in the data from which understandings must be developed and interpretation constructed.

The data collected in this study was analysed using content analysis (Hsieh & Shannon, 2005; Mouton, 2001), thematic analysis and the adaptation of the Merino and Carmenado (2012) framework. The content analysis approach was used to analyse data emanating from the unstructured, semi-structured interviews and the document analyses. According to Hsieh & Hannon (2005:1278), content analysis is a 'research method for the subjective interpretation of the content of text data through the systematic classification process of coding and identifying themes or patterns'. In contrast, Cohen, Manion, and Morrison (2007:86) argue that the criteria for deciding which forms of data analysis to undertake are governed both by fitness for purpose and legitimacy- the form of data analysis must be appropriate for the kind of data gathered. The data collected in this research was predominantly in the form of text and interview transcripts. Accordingly, content analysis was used to identify patterns, similarities and differences that may arise from the data obtained from the different sources in order to arrive at logical conclusions.

Thematic analysis was also used as it requires more involvement and interpretation. Thematic analyses move beyond counting explicit words or phrases and focus on identifying and describing both implicit and explicit ideas within the data, leading to the identification of themes. Codes are then typically developed to represent the identified themes and applied or linked to raw data as summary markers for later analysis (Mouton, 2001; Patton, 2002). According to Charmaz (2006:45) the process of coding generates the bones of the researcher's analysis, with integration assembling those bones into a working skeleton. Similarly Grbich (2007:21) describes it as a process that permits data to be 'segregated, grouped, regrouped and relinked in order to consolidate meaning and explanation'. The major categories generated in the study were compared with each other and consolidated in various ways, to transcend the reality of the data and progress toward the thematic, conceptual, and theoretical understanding. Data was triangulated so as to investigate data analysed by more than one method and as a result quantitative measures were used to analyse data emanating from the observations and the post-training transfer survey to ensure validity and reliability. Table 5.8 shows the data collection and analysis methods.

Table 5.8: Data collection and analysis method

Data collection	Analysis method	Analysis tool and process
Interviews	Open coding	Qualitative analysis of unstructured, semi-structured interviews through interpretive thematic process (Atlas.ti)
Documentary analysis	Open coding	Qualitative analysis of documents through interpretive thematic process (Atlas.ti)
Observations	Descriptive Statistic	Describing all rating by combining all the ratings for individual components rating in one data base (Excel and QI Macros) – Appendice 7
Pre and Post Training survey	Open coding	Qualitative method used for answers to open ended and multiple questions (Atlas.ti)
Post training transfer survey (follow up)	Descriptive Statistic	Describing all responses by combining all responses of individual participant in one data base (Excel).

5.6.1 Interviews and documents

In this study, content analysis was performed to explore the focus area and identify the emergent themes. The ATLAS.ti vers. 7.0. Software package was used to extract, compare, explore and reassemble the data to further delineate the relationships among emerging themes. According to Hyldegård (2006: 215), Atlas.ti has proved effective in revealing underlying conditions in the information seeking process. It is a workbench for qualitative analysis of large bodies of textual, graphical, audio, and video data. It is a systematic approach to unstructured data, for example, data that cannot be meaningfully analysed by formal, statistical approaches. Similarly Saldana (2008: 24) argues that Computer-Assisted Qualitative Data Analysis Software (CAQDAS), unlike

the human mind, can maintain and permit the researcher to organise evolving and potentially complex coding systems into such formats as hierarchies and networks for 'at a glance' user reference. The software efficiently stores, organizes, manages, and reconfigures the data to enable human analytic reflection.

The method of analysis chosen for this study to analyse the interview transcripts, field notes and organisational documents was a data-driven inductive approach of qualitative methods of thematic analysis geared towards identifying patterns in the data by means of thematic codes. The coding process involved recognising (seeing) an important moment and encoding it (seeing it as something) prior to a process of interpretation (Boyatzis, 1998 in Fereday & Cochrane, 2006:83). According to Patton (1990:306) inductive analysis means that the patterns, themes, and categories of analysis come from the data; they emerge out of the data rather than being imposed on them prior to data collection and analysis. In addition, Boyatzis 1998:161) argues that a theme is a pattern in the information that at minimum describes and organises the possible observations and at maximum interprets aspects of the phenomenon. The researcher decided to use this approach due to its inherent benefits of flexibility in application, as stated by Braun and Clarke (2008:81), that thematic analysis is not wedded to any pre-existing theoretical framework, and therefore it can be used within different theoretical frameworks and across a range of epistemologies and research questions.

In order to complement the use of data driven inductive approach for textual analysis in this study, a matching latent or interpretative approach of thematic analysis was utilised in the study. Braun and Clarke (2008:94) mention that a thematic analysis at the latent level goes beyond the semantic content of the data, and starts to identify or

examine the underlying ideas, assumptions, and conceptualisations and ideologies that are theorised as shaping or informing the semantic content of the data.

The sequence of steps and the processes followed by the researcher in using ATLAS.ti for this study is shown below and described in detail in the next chapter.

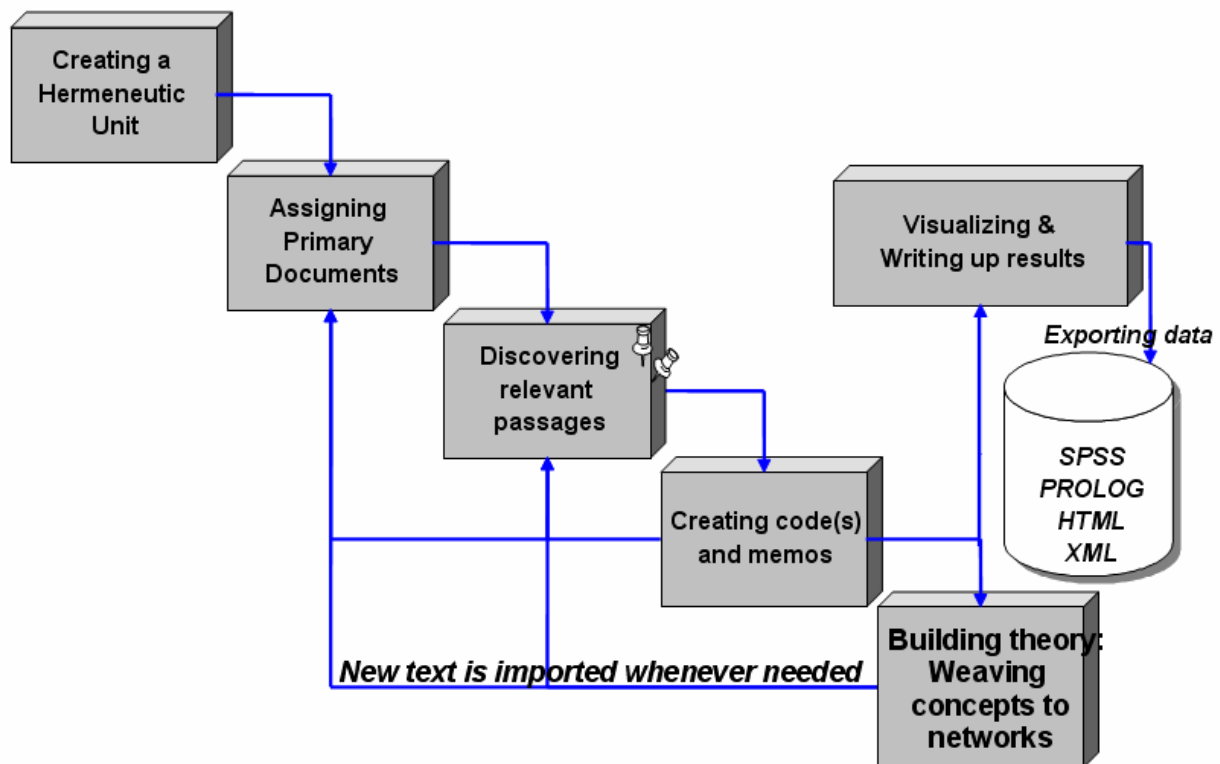


Figure. 5.2 The ATLAS.ti workflow (ATLAS.ti 5.0 Online Help)

Two types of coding were used in this study based on a sentence or a phase unit of analysis: namely, open coding and focussed coding. The coding process was cyclical. According to Saldana (2008:11) rarely is the first cycle of coding data perfectly attempted. The second cycle (and possibly the third and fourth, and so on) of recoding further manages, filters, highlights, and focuses the salient features of the qualitative data record for generating categories, themes, and concepts, grasping meaning, and/or building theory. In addition, Bamberger, Rugh and Mabry (2006:296) argue that thematic analysis involves macro- and micro-examination of the data and identification

of emergent patterns and themes. A micro view of data promotes recognitions of the importance of details that may have barely been noticed during data collection, identification of relationship between data and themes, and discovery of patterns and consistencies.

Open coding being the first analysis process in the study, involves breaking down of data, reading through the data analysing line by line and coding whatever is deemed fascinating to the researcher. Through open coding, data was broken down into discrete parts, closely examined for similarities and differences and given a code that represents or stands for it. After the codes had been allocated to different segments of the textual data, the process of focussed coding then started whereby related codes were grouped or categorised into families that became possible themes. According to Corbin and Strauss (2008:78) category is a classification of concepts whereby concepts are grouped together under a higher order to form more abstract concepts called a category. Each theme could be represented with a network structure generated by *Atlas.ti*.

5.6.2 Pre- and post-training survey

The analysis of responses from the pre and post training open-ended and multiple questions was done via Atlas.ti Software Package. The survey data was firstly captured and tabulated in Microsoft excel spreadsheets and was later exported to Atlas.ti. In Microsoft excel spreadsheets, the first row is reserved for the field names containing the questions enhanced by the type prefixes listed below. Each row of the Excel table that is exported to the Atlas.ti are transformed into a primary document. Then codes, quotations, comment, and families were created. Below is a table showing column control and prefixes.

5.6.3 Post-training Evaluation survey (Follow up)

Quantitative principles were used for the analysis of data emanating from the post training survey (follow up). The data was captured, aggregated and tabulated in Microsoft Excel spreadsheets as indicated in Table 12a&b and 13a-d for the supervisor and trainee respectively. The researcher made use of 5-level Likert scale questionnaires to measure standard responses. These are represented as 1 (*Strongly disagree*), 2 (*Disagree*), 3 (*neutral*), 4 (*Agree*) and 5 (*Strongly Agree*). A comparative study of the aggregated responses in each variable was employed in the analysis of the data. For example, Agree versus Disagree or Neutral. These data are presented graphically in the form of bar charts in the next chapter.

To enable the researcher to improve his understanding of the results emanating from the data and discern the objectives of this research study, it became imperative to carry out a comparative analysis between the data collected from the two municipalities- Stellenbosch and Drakenstein in terms of the participants and their corresponding responses the survey questions. To this end responses to eight survey questions were utilised. A t-test and a single factor ANOVA were used to analyse whether the two groups were statistically different from each other in terms of their responses to the survey questions.

5.7 Conceptual Framework

The conceptual framework developed by Merino and Carmenado (2012) to analyse capacity building in development projects was adopted. The framework is designed to guide the mapping of capacity at individual and social levels in order to increase the success and sustainability of further projects and interventions. It is based on a multi-disciplinary approach which combines various theoretical perspectives including social and human capital theory, social capacity, capacity building, competencies and

evaluation methods and the social learning process. The framework was used as a base to analyse the critical level of capacity at each level that promotes success and sustainability over time according to three elements of technical, behavioural and contextual. The changes in capacity are analysed by considering changes in performance and outcomes.

According to Merino and Carmenado (2012: 965), technical capacity is needed in any organisation to perform all the required activities involved in a business. This type of capacity requirement at individual level refers to the skills, experience and knowledge that are vested in people and which allows them to perform at work or in society at large. Some of these are acquired through formal training and education, others through learning by doing and experience (UNDP, 2008:6). It can be divided into financial skills, technology skills, political skills, planning and management skills. Stated differently, capacity building at individual level refers to the process of changing attitudes and behaviours, typically through knowledge and skills exchange, via training and other mechanisms like learning-by-doing, participation and the exercise of ownership (IRENA, 2013:4). According to IPMA (2009 in Merino & Carmendo, 2012: 965) behavioural capacity is related to personal attitudes and skills needed in the relationships between people and groups. In other words, behavioural capacities have to do with cultural shifts and changes in attitude. These changes include partnering, building alliances, and interacting in new or different ways that can also amongst other things prompt changes in strategy direction, policies, and institutional culture (David, Owen and Kim, 2011). Imperatively, James (2002) argued that assessing individual change in any capacity building interventions, one look at not just knowledge and skill gain but also at behaviour change as these two factors indicate changes at the individual level.

According to Merino and Moral (2013:) besides the technical skill, capacity building has been related to the development of certain skills and competences (social capacity), such as participation and cooperation, commitment, leadership, trust, communication, network building, entrepreneurship, norms, teamwork, group process skills, sense of community, shared values and vision and strategy. In the development and organisational learning literature these networks, norms and trust which facilitate co-operation for mutual benefit are referred to as 'social capital. Social capital can be thought of as the framework that supports the process of learning through interaction, and requires the formation of networking paths that are both horizontal. Much of the enthusiasm associated with networks is rooted in a belief that the capacity of networks is greater than the sum of its parts (Taschereau and Bolger, 2006). In other words, the behaviour of the parts depends more on how the parts are connected rather than on the nature of the parts (Morgan, 2005). Therefore Social capacity is required to promote many capabilities that enable a community based enterprise or organisation to succeed in the long term aside from technical capacity (WRI, 2008). In addition, Langaas, Odeck and Bjørvig (2005:2) mentioned that Institutional capacity building occurs by acquiring resources (human, financial, networks, knowledge, systems and culture) and integrating them in a way that leads to change in individual behaviour and ultimately to more efficient and effective operations of institutions and organisations.

In addition to the foregoing, there is a wide range of factors and issues in the context in which organisations are embedded which determine actual and future capacity and performance. This context provides drivers for change as well as constraints for change (Boesen & Therkildsen, 2005: 6). By introducing contextual levels to the evaluation of a project, evaluators have a much broader understanding of successes and challenges of the project. For example, in considering the context surrounding the

capacity building intervention in the Cape Winelands municipalities, the Researcher might be drawn to conclude that the training intervention project has had very little effect considering the fairly positive enabling environment, resources, LED policies and legal framework. Conversely, the Researcher might be drawn to conclude that the project has been very effective given the constraints of resources for LED training, inadequate provision of LED policies and legal framework that exist at odds to effective capacity building intervention project.

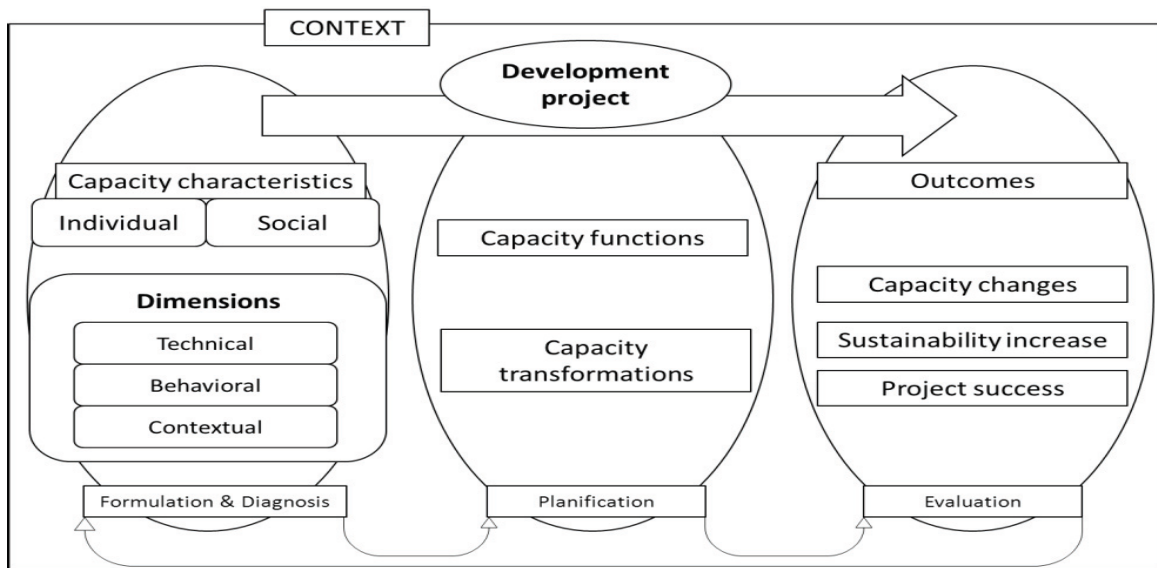
As afore-mentioned, the researcher adapted Merino and Carmenado (2012) model to explain that capacity building goes beyond a simple technical intervention. It is focussed on inducing behaviour change, a change process that involves learning, moderating attitudes and possibly adopting new values at individual, organisation and system levels (Lafond and Brown, 2003:9). According to Taylor et al. (2006:20) Organisational transformation requires personal transformation, and personal transformation is itself facilitated by organisational transformation. In addition Porras & Robertson (1992:724) buttressed that change in the individual organisational member's behaviour is at the core of organisational change", organisations only change and act through their members, and successful change will persist over the long term only when individuals alter their on-the-job behaviours in appropriate ways. In this regard, Choi and Ruona (2011:63) mentioned that individuals who work in an environment that embodies a learning culture are more likely to be capable of making genuine contributions to change than those who have not. Moreover, individuals are more likely to have higher levels of readiness for organisational change they perceive their work environment to have the characteristics associated with a learning culture and alter the organisational members' beliefs and attitudes about a change so that they

perceive the changes as both necessary and likely to be successful (Choi & Ruona, 2011:64).

However, a critical mass of people undergoing learning and transformation is needed in order to create a learning culture. As argued by Watkins & Marsick (1993) a learning culture develops the capability of individuals to identify and solve work related problems by supporting organisational learning, more specifically, by creating continuous learning opportunities, encouraging collaboration and team learning, creating systems to capture and share learning, and empowering people.

The enabling environment is the context in which individuals and organisations put their capabilities into action, and where capacity development processes take place. It is a function of political commitment and vision; policy, legal and economic frameworks; budget allocations and processes; governance and power structures; incentives and social norms (FAO, 2013). This study focuses specifically on the design and delivery of LED training intervention in conjunction with three contextual variables of enabling environment for effective capacity building and training in LED. The three contextual factors refers to the policy framework that guide the content and delivery of LED trainings, availability of resources for LED training and the supportive work place for training transfer to the job. The model helps to explain in the study that the manner in which training is designed and delivered ultimately influences the outcome and sustainability of the training project. However, bearing in mind the non-linearity reaction of training designs and delivery on the outcome of the project, it certainly becomes imperative to take into due consideration other contextual factors that could impede or foster the outcome and sustainability of any capacity building project. As shown in fig. 5.3, he conceptual framework for analysing capacity building in development projects

Figure 5.3: Conceptual framework for analysing capacity building in development projects (Merino & Carmenado, 2012: 965).



5.8 Validity and reliability

The validity and reliability of collected data interpretation is of paramount importance in any scientific research (Whitney, Lind and Wahl, 1998). Reliability is concerned with establishing dependability and consistency of the data gathered while validity within the qualitative research approach is concerned with establishing a fair and balanced view of reality from the perspective of the research participants (Neuman, 2006:188). As a result, a variety of data sources was used to investigate the same aspects in this study. Babbie and Mouton (2001), highlight triangulation as one of the best ways to enhance validity and reliability in qualitative research. Credibility of information is enhanced when it is corroborated by different, independent sources (Welman, Kruger and Mitchell, 2005:143; Neuman, 2006:149). This procedure is called triangulation. In other words, by triangulating data, the researcher attempts to provide a confluence of evidence that breeds credibility (Eisner, 1991:110). By examining information collected

through different methods, the researcher can corroborate findings across data sets and thus reduce the impact of potential biases that exist in a single study.

According to Patton (1990), triangulation helps the researcher guard against the accusation that a study's findings are simply an artefact of a single method, a single source, or a single investigator's bias. Accordingly, this research triangulated information from different methodologies such as interviews, observations, documentary analysis and survey. The objective of triangulation is not only to demonstrate that different data sources yield similar findings but also to understand the differences that may arise due to the use of different data sources. Guion (2002:1) distinguishes between five different types of triangulation, namely data triangulation, investigator triangulation, theory triangulation, methodological triangulation and environmental triangulation. In this study, methodological triangulation was used. Methodological triangulation establishes validity between different methods for example, the use of qualitative and quantitative methods (Guion, 2002:2). This became evident in this study by using both qualitative analysis with the aid of *Atlas.ti* and QI Macros statistical software to analyse the participants' training intervention programme and thinking processes.

5.9 Chapter summary

The foregoing text provided a clear outline of the research design and methodology employed in this research study. The research paradigm concept was conceptualised as an interpretative framework, which is guided by a set of beliefs and feelings about the world and how it should be understood and studied. In this chapter the scope and sample of this study which was undertaken in the Stellenbosch and Drakestein local municipalities was presented. In the chapter the underpinning factor behind the choice of the purposeful sampling strategy of a non-random selection of participants who

constituted the target group of this study was explained. The chronological order in which the data collection process was carried out was also explained. A flow chart depicting the process was provided in the chapter. As depicted by the flow chart, the data collection process commenced with the interview process, collection of documents, pre- and post-training surveys and the post-training evaluation. A post-training evaluation (follow up) that was carried out six months after the pre- and post-training surveys to determine the level of skill transfer into the job was also explained. The interview process comprised of open and semi-structured interviews carried out with municipal staff, councillors, mayor, LED officials in the two municipalities and some officials of COGTA, DEDAT, LGSETA and SALGA. Also presented in the chapter is the relevant documents that were analysed, the pre-and post-surveys that were administered to the trainees before and after the training sessions. This chapter also discussed the instrument (questionnaires) that was used for post-training evaluation, a follow up of training evaluation that was carried out after six months of training. The methodology that was utilised applied in the analysis of the various data obtained through the interviews, documents, observations, pre- and post-training survey and the post-training evaluations were also chronologically presented in this chapter. It was reported in the chapter that a Computerised Assisted Qualitative Data Analysis Software called Atlas,ti was used to analyse the data from the interviews, as well as the pre- and post-training survey through a process of thematic coding that involved inductive coding (themes emerging from participant's discussions) and the statistical methods of analysing responses from Likert scaled survey questions as used in the study. The QI macro statistical software was utilised for the T-test and ANOVA analysis which helped to determine whether the data collected from the two municipalities are statistically different from each other. In addition the conceptual framework developed

by Merino and Carmenado (2012) which is being adopted for this study to analyse capacity building in local municipalities was introduced in the chapter. The ensuing chapter presents the profile of the Cape Winelands district municipality with special focus on the socio-economy and LED activities in the two municipalities (Stellenbosch and Drakenstein) in question.

CHAPTER SIX

PROFILE OF CAPE WINELANDS DISTRICT MUNICIPALITY (CWDM)

6.1 Introduction

This chapter provides an insight into the background of the Cape Winelands District municipality. The social economic profile of the district municipality in terms of poverty and inequality, housing and performance of the economy is presented in the chapter.

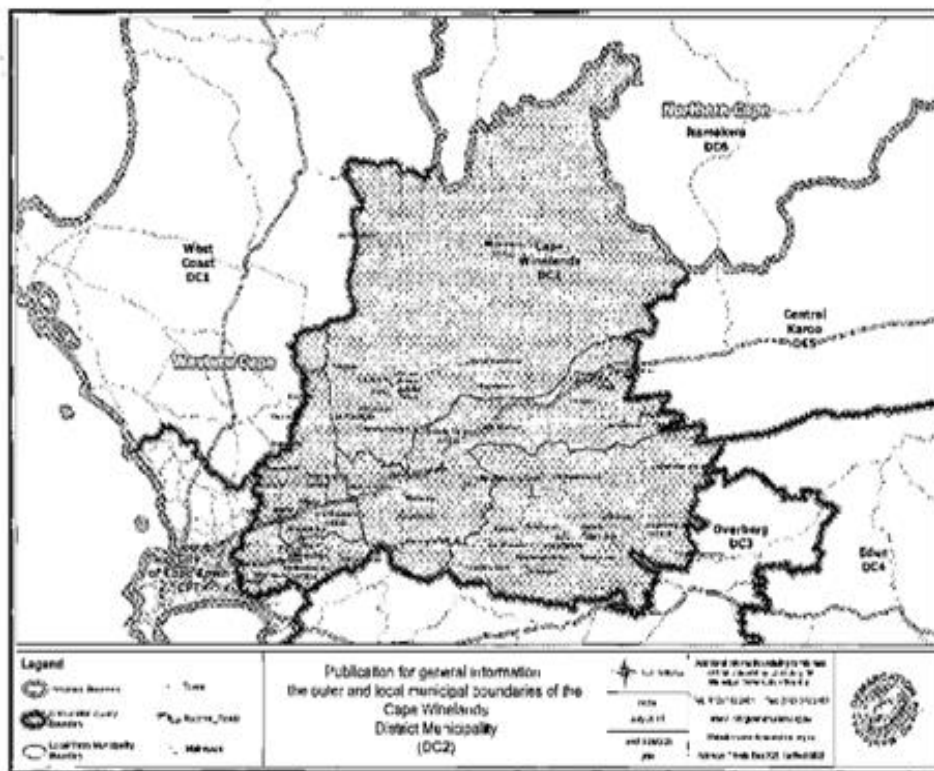
6.2 Background of Cape Winelands District Municipality (CWDM)

The Cape Winelands District Municipality is one of six district municipalities located within the Western Cape Province. The CWDM is bordered by all five of the other district municipalities namely the West Coast District Municipality, City of Cape Town, Overberg District Municipality, Eden District Municipality and the Central Karoo District Municipality. The Cape Winelands District Municipality also shares its northern border with the Northern Cape Province, the Namakwa District Municipality) (Municipal Demarcation Board, 2011). This indicates that the CWDM is strategically located within the Western Cape as well as providing a border/link between the Western Cape Province and the Northern Cape Province. The Cape Winelands District Municipality consists of five local municipalities, namely:

- Witzenberg Local Municipality (WLM)
- Drakenstein Local Municipality (DLM)
- Stellenbosch Local Municipality (SLM)
- Breede Valley Local Municipality (BVLM)
- Langeberg Local Municipality LLM)

Figure 6.1 illustrates the location of the Cape Winelands District Municipality within the Western Cape Province as well as the location of the five local municipalities located within the Cape Winelands District Municipality. The CWDM comprises an area of 22,318 km² as indicated in Figure 6.1.

Figure 6.1: Catographic Map of Cape Winelands District



Source: Municipal Demarcation Board, (2011)

6.3 Socio-Economic Profile

This section provides an overview of the current socio-economic situation within the Cape Winelands District Municipality. It provides an indication of the overall performance of the local economic and social characteristics. Thus the section is structured according to the following sub-sections:

- Poverty and Inequality
- Housing
- Performance and Structure of the Economy

6.3.1 Poverty and inequality

This sub-section helps to provide an overview of the prevailing level of poverty and inequality in the Cape Winelands District Municipality.

Basically, household income levels is a major determinant of poverty levels in a community. Furthermore, the income levels of a particular area provide profound insight into the economic behaviour of a particular community, in terms of the purchasing power of that community and the potential poverty levels that a community might be experiencing. The average annual income levels of households residing in the Cape Winelands District Municipality shows that 51.6% of the population in the CWDM fall within the low income bracket (R 0 – R 38,400), which is also identified as the poverty level. These household generally have difficulty meeting their basic needs. 44.7% of households fall within the middle income group (R 38,401 – R 307,200) and only 3.7% of households fall within the high income bracket (R 307,201 and more).

The average annual household income within the area will not increase unless the skills of the household members improve through better education attainment opportunities and job creation in higher skilled economic sectors (CWDM, 2011).

Access to Services

The majority of the households (63.9%) have access to water within their dwelling. 6.8% of the households still only have access to water within their community, but with a distance greater than 200 meters. In terms of Household Energy for Lighting Supply, the majority of the households make use of electricity (83.7%) for their lighting needs and the majority of households have access to a flush or chemical toilet. It is also important to note that there are still a percentage of households that make use of either a pit latrine, bucket latrine or other forms of sanitation. The condition of the municipal roads are categorised according to the following:

- Very Good and Good – Roads still in serviceable condition with only routine maintenance to be done which could include minor patching or crack sealing
- Fair – Half of the network is approaching an unacceptable condition
- Poor and Very Poor – Roads need to be rehabilitated.

The percentage of roads in the Fair, Poor and Very Poor categories increased from 32% in 2008 to 47% in 2010. In order to eradicate the backlog and to maintain the condition of the network at an excellent level, it is estimated that an amount of R376 million should be allocated to resurfacing of the roads over two years and R388 million

be allocated to the rehabilitation of the roads (over five years) (Draft CWDM IDP, 2011/2012).

6.3.2 Housing

The tenure status for households within the Cape Winelands District Municipality, shows that the majority of the households either own their homes (fully paid off) (33.4%), rent their homes (30.4%) or occupy their homes rent free (21.9%). In terms of the dwelling, the majority of households reside in a formal house on a separate stand or yard (64.4%). It is also important to note that there is currently 16% of households residing in an informal structure either in an informal settlement (12%) or in a back yard (4%). It is important that provision should be made to provide these households with formal residential structures.

The CWDM has difficulty determining the exact housing backlog currently, mainly due to fluctuating demand, number of households living in backyard dwellings, households living in overcrowded conditions and the waiting list at the municipality not being updated regularly. It is estimated that 13,957 of households currently reside in informal settlements and 8,000 households reside in backyard dwellings (Draft CWDM IDP, 2011/2012).

The following challenges are identified regarding the implementation of housing projects:

- Capacity constraints within housing departments,
- insufficient planning to guide decisions regarding housing projects,
- insufficient funding and financial resources,
- insufficient suitable land,
- limited bulk infrastructure capacity, and
- environmental and heritage constraints

6.4 Performance and structure of the economy

Employment Status

Statistics have shown that 48.4% of the population is employed, 40% are not economically active and 11.6% of the population is currently unemployed. The 48.4%

employed population can be divided into the individuals employed in the informal sector (5.7%) as well as the individuals employed in the formal sector (42.7%).

The Cape Winelands District Municipality has a 19% unemployment rate. The unemployment rate is a percentage of the total labour force that is unemployed but actively seeking employment and is willing to work. The unemployment rate of the CWDM is low in comparison to other districts in the Western Cape as well as the national unemployment rate. It is evident that all the local municipalities within the CWDM have lower unemployment than the national rate, however Drakenstein LM and Breede Valley LM are much higher than the other local municipalities.

Employment per Sector

Given the business opportunities stemming from each economic sector within the Cape Winelands District Municipality, data shows that the community and personal services sector (this also includes the general government services) contribute to 27.3% of the employment opportunities within the CWDM. The second largest contributing sector is the agricultural sector (19.2%), followed by the trade sector (19%), manufacturing (14.6%) and the finance and business services sector (11.6%).

Skills Level

Skills levels of the labour force has an impact on the level of income earned (i.e. the higher the skills levels the higher the annual income that could be earned). Half of the formally employed population is employed in semi- and unskilled occupations. 39.4% of the formally employed population is employed in skilled occupations and only 10.7% are employed in highly skilled occupations.

6.5 Chapter Summary

This chapter provided an insight into the background of the Cape Winelands District municipality. The social economic profile of the district municipality in terms of the demographic indicators, poverty and inequality, housing and performance of the economy was presented in the chapter. The next chapter presents the results of the empirical study carried out in the study to determine the extent to which the existing training of municipal staff on LED can be able to impact plausibly on the practices of municipalities towards a viable and sustainable local economy.

CHAPTER SEVEN

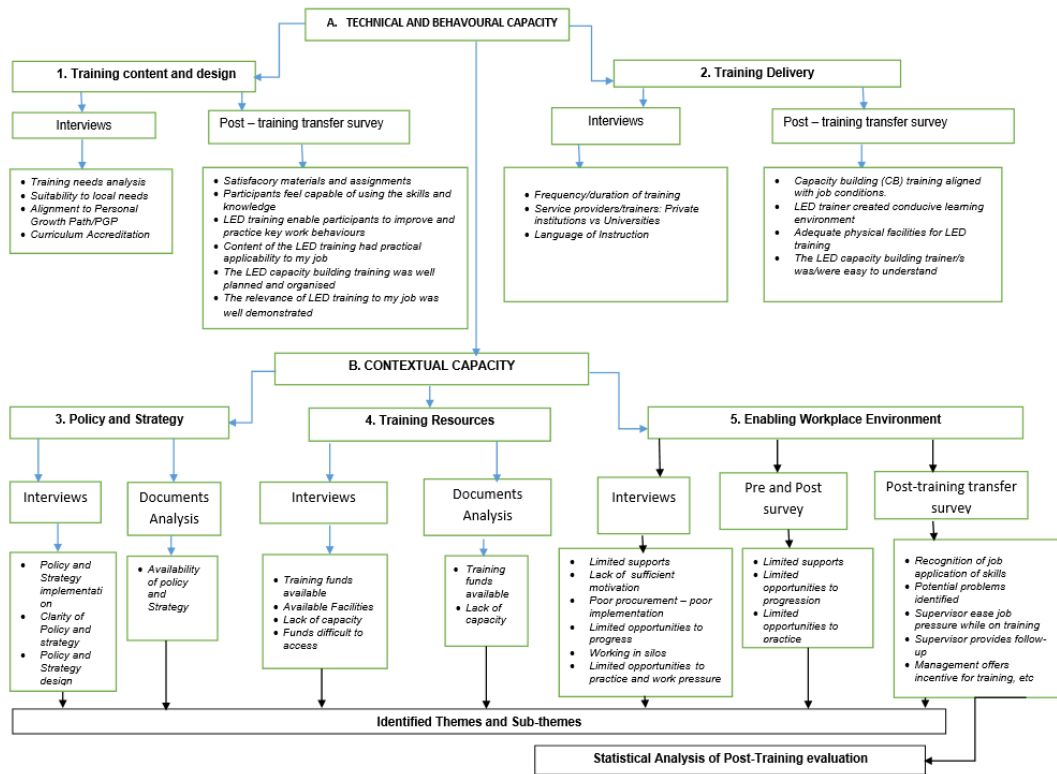
PRESENTATION OF RESULTS

7.1 Introduction

Chapter 7 presents the results of the empirical study. The results are presented as per the adapted Capacity Building framework (Fig. 5.3) and a flow chart as depicted below (Fig. 7.3). The use of framework and flow diagram helps the reader to be focussed on each aspect of the research and how the result continue to the overall aims and objectives. The principal objective of capacity building training is to provide skills and knowledge (Technical capacity) capable of inducing behaviour change (Behavioural capacity) on the employees with the ultimate goal of enhancing their job performance. However, the context in which the employees put their capabilities into action is pivotal to the success of capacity building training projects. This context (Contextual capacity) is shaped by several exogenous factors, such as political commitment and vision; policy, legal and economic frameworks; budget allocations and processes; governance and power structures; incentives and social norms. Therefore the enabling environment provides the drivers as well as constraints for change to be derived from any capacity building intervention. Based on the focus area of this study, five (5) themes were devised for the study. Two (2) themes were devised from the Technical and Behavioural capacity) namely, Training content and design; Training delivery and three (3) themes from the contextual capacity – Policy and Strategy; Municipal resources and the enabling environment. Altogether, Twenty (20) emerging sub-themes were generated from the Interviews, analysed documents, pre and post training survey and post–training transfer survey as schematically presented in the flow chart.

These themes and sub-themes reflects the extent to which the existing training interventions could build skill capacity for LED projects in the Cape Winelands municipalities as perceived by the key stakeholders. A descriptive analysis of these themes and sub-themes are presented in the chapter. Lastly, the results generated from the comparative analysis of the data obtained from the two municipalities, Stellenbosch and Drakenstein, with particular attention given to the statistical analysis, is also reported in the chapter.

Fig. 7.1: Results presentation flow Chart



7.2 Technical and Behavioural Capacity

The LED training interventions is being carried out in the municipalities to enhance the knowledge, skills and attitudes of the municipal staff so as to be able to perform their job more efficiently. For the purpose of this study, two themes were devised, namely, the content and design of training and the training delivery. These two themes were further explored to generate the sub-themes.

7.2.1 Training Content and design

The researcher at this point is concerned with the quality of the content materials of the training and the training design in terms of its ability to fulfil its purpose as to address the needs of the municipality.

7.2.1.1 Interviews

The data obtained from the interviews reveals the participants own assessment of the content of the training in terms of the suitability of the training to local needs, alignment to Personal Growth Path and the Curriculum Accreditation, as indicated in Table 7.1.

Table 7.1: Distribution of sub-themes and responses on the content and design of training

Sub-themes	No of responses
Training Needs Analysis	9
Suitability to local needs	11
Alignment to personal growth	2
Curriculum Accreditation	8
Total	30

Training Needs Analysis (TNA)

The interview data revealed how the training requirements for municipal staff are being determined. Comments emanating from nine of the participants indicated the various processes being followed to determine the type of training needed by each individual staff in the municipality. When asked about how the municipality determine the training needs of their staff, all of the nine participants acknowledged that it is based on the identified skill gap between the employees' profile and the job requirement. "The training gaps emanates from the employee job profile versus what skill the employee currently has and we match that like those that are not match are those we identify them as gaps that's what how we identify the training needs" [P9, 4:4].

In addition, when asked whether they do involve the inputs of the staff in determining their skill gaps, five of the nine participants, as indicated in table 7.2, acknowledged that they do involve the inputs of their staff "We do have a consultation with each of the departments and on each of the Directorates and then from that their skills gaps can be identified and once they identified the skills gap they will identify the correct

people that needs to go for training in order for them to fill these gaps and obviously for them to produce a better service delivery” [P6, 13:13].

However, three participants [P1, P2 and P18] comprising of two LED managers and one LED officer respectively, believed “that most of the training are superimpose...they know what they have and what they don’t have” [P1, 43:43] and “We can just say what our needs are but whether they will procure those services for us to be trained I don’t know” [P1, 27:27]. In addition, participant [P18] added that “The problem is when we as an LED department does our training needs requirement and submit our specialised training needs to the training manager, most often, it does not happen” [P18, 13:13] and again added that “if such training is not what we need, it becomes so difficult to apply it on the job” [P18, 21:21].

Lastly, one LGSETA manager [P19] also criticised the ways and manners in which training needs are done in the municipality as reflected in her comments “Another problem is that most of the municipalities do not do their training needs properly. In selecting a participant for a training programme, some municipalities don't put into consideration the educational background of the person, so as to determine if that person would be able to undergo that training successfully” [P19, 6:6]

Table 7.2: Distribution of sub-themes and responses on Training Needs Analysis (TNA)

Sub-themes	No of responses
Training Needs Analysis	9
Suitability to local needs	11
Alignment to personal growth	2
Curriculum Accreditation	8
Total	30

Suitability to local needs

The interview data revealed the views of eleven of the twenty participants on the suitability of the trainings to local needs. Thus eight participants acknowledged that the LED training done in local municipality to capacitate the staff is not suitable to local

needs of the municipality as indicated in such comments as “they prefer real training, they prefer you to speak about their own situation, don’t come with an advance situation that is prebaked developed somewhere out of the country South Africa” [P4, 26:26].

“So they want you to come and look and address our problem and use our problem as experiment, with pile of it” [P4, 27:27].

“For example one of the other issues we had was with the LED curriculum, who developed it? and this people and that people. Two Professors I don’t know from what University they come from, from what did they develop it? Is it from the legislation? What is in the legislation? What used to happen is not necessarily happening any more” [P5, 108:108].

Participant [P18] acknowledged that most of the training he has attended so far “are not really based on needs, when we submit to the training manager as I have said our specialised training needs, it does not happens” [P18, 13:13]. A Councillor [P11] in one of the municipalities lamented on one of the training sessions he attended as “It’s a formal kind of thing that I sit there with a guide and put a lot of stuff in a power point, something I can do on my computer and so the training is the same [P11, 22:22].when they come to me now that there is another training course maybe I will send my secretary and I can’t do it not anymore” [P11, 21:21]

Participant [P1] was concerned with the lack of specific requirements and accreditation body for LED and he believed that “Once we don’t have those in place they would not be able to sit down here what should be the type of training one should need to be competent in LED” [P1, 126:126]. The comment from participant [P13] adds impetus to the latter by mentioning “You can imagine how difficult it is...to see the diversity of demands and you must be able to tell us how can that something that is so diverse, how can a training programmes be designed for it” [P13, 147:147].

However, three participants [P4, P9 and P14] believe that the contents of their training reflects local needs as indicated when stated, “Most definitely as part of the skills facilitators we sit and we check in terms of if the curriculum is already designed and we check where we can customise and customise and ensure it talks to the local government needs” [P9, 13:13].

Alignment to personal growth path

The interview data revealed that two participants [P13 and P18] believe that the training being done to capacitate municipal staff on LED is not aligned to personal growth paths of municipal staff as indicated in his comment “People are being trained fine, but this should be in line with their personal growth plan” [P18, 19:19].

Curriculum Accreditation

When the participants were asked about how they ensure that the training is quality assured, four participants expressed their concerns in respect of the non-accreditation of LED training being delivered to the municipal staff. Participant [P1] commented on the lack of a constituted “body that accredit LED practitioners like planners....there is no specific requirement that you need to have in LED besides to decide possibly a degree in LED like economic sciences, there is no specific criteria” [P1, 126:126]. In a credence to the aforementioned comments, participant [P4], a Manager from SALGA, acknowledged that most of their training materials were not accredited, “...we also do a lot of workshops and updating kind of training and so those are tropical issues, they are not an accredited training” [P4,6:6]. Participants [P4 and P5] acknowledged that “to get accreditation for a course in South Africa is not just a matter of curriculum” [P4, 55:55].

However, one LED officer in one of the municipalities [P18] acknowledged that in their municipality the quality of training is being optimised and they were able to achieve this “by ensuring that accredited training and trainers are utilised” [P18, 43:43]. In addition to that another participant [P3] believed that the choice of accredited courses “depends on what the municipal are asking...in our term of reference, if we specify that we want accredited training, obviously then it must be accredited and must be approved and it depends on whether the person wanting the service ask for accreditation” [P3, 41:41]. Participants [P6 and P9] believed that one of the requirements in determining a service provider is that “they must be accredited in whatever training area...for competency we must actually ensure accreditation at first” [P9, 7:7] and “learning material must be aligned to the SAQA unit standards because then if it is not aligned they won’t be able

to receive any credits on the NQF” [P6, 15:15]. As indicated in Table 7.3, the comments emanating from the participants in terms of the training curriculum accreditation.

Table 7.3: Table of sub-themes and responses distribution for curriculum accreditation

Sub-themes
Not accredited
Accredited
Accreditation a matter of choice
Accreditation as compulsory prerequisite
Total

7.2.1.2 Post – Training transfer survey

A post-training transfer was carried out to explore the drivers and inhibitor of change that could enhance or prevent the application of learned skills into the job. To this end, survey questionnaire were used to obtain data from the respondents. Responses to the survey questions are presented below.

Satisfactory quality of materials and assignments used in LED training (Q4)

One of the objectives of this survey question was to determine the extent to which the quality of materials and assignments utilised for LED training satisfies the desired requirements. When the Supervisors where asked this survey question (Q4), each of them responded differently - 33% of them strongly disagreed, whilst another 33% of the repondents acknowledged the satisfactory quality of materials and assignment in LED, and the remaining 33% of the repondents remained neutral as shown in Table 1 and Figure 1A (Appendice 15). However, in Drakenstein municipality, 100% of the respondents representing the segment of trainees, acknowledged the satisfactory quality of materials and sssignments used in LED training. While 80% of the respondents in Stellenbosch agreed, 20% remained neutral as shown in Figure 3A.

Participants feel capable of using the skills and knowledge from training in their everyday work (Q10)

In addition, the analysed results stemming from the post-training transfer evaluation as shown in Table 1 and Figure 1A (Appendice 15), reveals that 67% of the respondents (supervisors) acknowledged that participants feel capable of using the skill and

knowledge acquired from training in their everyday work, while the rest (33%) disagreed.

As shown in Figure 3A, in both municipalities 80% of the trainee respondents acknowledged that after the training, they felt capable of using the skills and knowledge developed in the LED training in their everyday work. However, 20% of the respondent did not feel capable.

Content of the LED training had practical applicability to my job (Q15)

As indicated in Figure 3A, 20% of the respondents in Stellenbosch believed that the content of the LED training had practical applicability to their job and 80% remained neutral. While in Drakenstein municipality, 80% of the respondents agreed and 20% strongly disagreed.

The LED capacity building training was well planned and organised (Q37)

All 10 respondents (100%) acknowledged that the capacity building training that they attended were well organised.

The relevance of LED training to my job was well demonstrated ((Q43)

The data from the survey revealed that 60% of the respondents believe that the relevance of the LED training to their job was well demonstrated. However, 30% disagreed with the statement, while the remaining 10% were neutral in their response.

7.2.2 Training delivery

It becomes important to determine how the LED training should be conducted to ensure effective application of the trainees' new capacities once they return to their place. Imperatively, the evaluation of the methods and processes of delivery of existing training in terms of its ability to build skill capacity for municipal staff becomes worthwhile. To this end the following sub-themes were generated from the data derived from the interviews

7.2.2.1 Interviews

The data emanating from the interviews revealed the following sub-themes as presented below.

Frequency/duration of training

The interview data revealed the views and comments of ten participants. All the ten participants acknowledged that the training is mostly once off and of a short duration of two to three days. A training manager [P4] from SALGA described their experience in saying; “We have very good attendance in our working group. We find them they prefer short term interventions of training of 2-3 days or one day training on specific topic rather than wide range of topics on specific things...that is troubling around in municipality” [P4, 25:25]. However, he justified the reason behind their strategy as “I cannot come back to you in the municipality. What we strive to do when we go and train we leave that skill there because for two reasons, for resource point of view, we are very economical, I cannot come back to you in the municipality” [P4, 49:49]. Participant [P5] also acknowledged the same fact that the municipality gets irritated when flooded with training from different service providers, as indicated in their comments “One of the things that irritates municipality is SALGA comes in, province comes, National government comes in, all with something very similar” [P4, 88:88].

When asked about how many training sessions were carried out in their municipality last year, four participants [P5, P8, P14 and P18] acknowledged that LED training was seldom done in the municipalities. A Skill Development Facilitator [P8] in one of the municipalities could not even remember if any LED training for municipal staff was done in his municipality last year as indicated in her comments, “No I can’t remember I don’t think we do any training for LED last year” [P8, 13:13]. Participants [P14 and P18] acknowledged that five and four capacity building training sessions respectively were carried out in their municipality.

Service providers/trainers: public institutions versus private service providers

The interview data revealed that many participants acknowledged the use of mainly the universities and FET colleges to deliver training in the municipality “because mostly our work forces are comprised of people that have qualifications below NQF level 4 which actually enforce us to make use of FET Colleges for Occupational related

training and also the independent training providers that also have mostly their training pitched and below NQF Level 4” [P9, 9:9]. Another person stated, “However, what you find now is your private provider although a bit more expensive but their standard and quality are higher than that of the universities” [P5, 128:128].

Language of instruction

When it comes to the language of instruction, the interview data revealed that two participants doubted the credibility of the use of English as the language of instruction in an environment that is mostly Afrikaans speaking. They commented, “Yeah I know it disadvantage, I mean like I went to university. My first year I could still do all my subjects in Afrikaans the second year, they just say is going to be English and you have to switch over from Afrikaans to another language” [P3, 189:189].

7.2.2.2 Post –training transfer survey

Capacity (CB) training aligned with job conditions (Q1)

The survey data revealed that each of the three participants have different perceptions of the training in terms of its alignment with job conditions as shown in Table 1 and Figure. 1A (Appendice 15). It revealed that 33% of the respondents strongly disagree with the survey question (SQ), whilst another 33% of the respondents agreed with the SQ, the rest (33%) of the respondents remained undecided or neutral.

LED training enables participants to improve and practice key behaviours related to their skills (Q13)

The survey data revealed that 67% of the respondents disagreed with this statement while only 33% acknowledged it as shown in Table 1 and Figure 1A (Appendice 15).

LED trainer create conducive learning enviroment (Q21)

The table of analysed results (Appendice 15) shows that 67% of the repondents agreed that LED trainer created a conducive learning enviroment for them while in training, while the rest (33%) disagreed.

The LED capacity building trainer/s was/were easy to understand (Q28)

All 10 respondents acknowledged that the LED capacity building trainer/s was/were easy to understand as shown in Figure 2C.

7.3 Contextual Capacity

The effectiveness of capacity building training is determined by certain factors found in the context in which capacity building takes place or where individual or organisations put their capabilities into practice. During the course of the study, this context was explored through Interviews, document analysis, pre and post training survey and post – training transfer survey. For the purpose of this study, three themes were devised, namely, Policy and Strategy; municipal resources and the supportive environment.

7.3.1 Policy and strategy

The researcher deemed it necessary to explore the Policy framework that guides the contents and delivery of LED training in the municipalities. To this ends, interviews were conducted with the respondents as well as the analysis of LED capacity building related documents.

7.3.1.1 Interviews

The data emanating from the interviews held with various LED stakeholders in terms of their views and experiences as per the legal policy frameworks that guide the content and delivery of LED training in the municipalities reveals the following sub-themes: policy and strategy implementation; clarity of policy and strategy; and policy and strategy design. Table 7.4 shows the distribution of responses to the emerging themes and sub-themes. Thus 18 responses were received on policy and strategy implementation, 14 responses on the clarity of policy and strategy and 6 responses on policy and strategy design.

Table 7.4: Distribution of sub-themes and responses on LED policy and strategy

Sub-themes	No of responses
Policy and strategy implementation	18
Clarity of Policy and strategy	14
Policies and strategy design	6
Total	38

Policy and strategy implementation

The interview revealed that 16 of the 18 respondents on policy and strategy implementation of LED in local municipalities were aware of the existence of a missing link between the existing policies and strategies on LED and its implementation by the LED key stakeholders. This was epitomised by comments made by some of the participants such as “You may have the vision but when it comes to implementation it is difficult, some of these municipalities are getting it right to be here and there, some of them are still struggling” [P2, 3:3].¹ Four participants commented on the lack or non-existence of follow-up on LED training for municipal staff and LED portfolio councillors. This is vividly revealed by the various comments made by the participants.

“We have actually introduced a SALGA mentorship framework at the skill development forum which is all the SDF from all the municipalities will meet once a quarter and we do that and I have encourage they adopt our mentorship framework, mentorship and coaching framework and by their own admission it does not happen and from my own knowledge it does not happen and there is a another places that we are lacking, there is no formalised, institutionalised mentoring coaching programme. We tried; we have the initiative” [P4, 121:121].

¹ (P2, 3:3) = document number, start and end position of the quotation.

When one of the service providers was asked if they have a type of follow-up in their training package, he acknowledged that it is not necessarily budgeted for:

As a service provider, we don't put emphasis on follow-up and support as the client normally does not pay for that, so it will be a wasteful exercise, it is an unnecessary expense for the service providers [P14, 17:17].

In addition, participant [P17] acknowledges that "in most cases, it is all once-off. There is nothing like a follow-up by the trainer" [P17, 5:5]. Participants [P18] also stated: "There has never been any follow up on any of their training. For the ones that I have participated in it has all been once off. Except for this current PACA workshop, I cannot really say for sure now, whether there will be a follow up or not" [P18, 17:17].

However, two of the participants (P1 and P9) are of the opinion that a kind of follow up does happen in some of the municipalities as revealed by the following comments: "There is an element of follow up on training in my department. For example, most of the trainings that staff have attended in their department is mostly on report writing, End-user training on MS Excel. On return from their training, they will be given some work to do to see if they have improved on their work performance "[P1, 63:63].

"Yes! Whenever we set specification for our training providers we ensure that we also add in the post training support because it is very important for us to ensure that the money that is actually spent on training by the municipality there is returned upon" [P9, 19:19].

Besides the aforementioned scenarios of poor LED implementation problems, the interview data also revealed another non compliance in terms of staff performance management systems as contained in the Municipal Systems Act, 2000 (P22). In an impetus to that, participant [P13] acknowledged that "besides the right needs we don't have the formal management system in here. Part of that process is that we need to submit a professional development plan. How do you see yourself in the organisation in the next ten years? And that plan gives the management an indication of how a proper career path can take place" [P13, 157:157] .

In addition, one participant [P15, 15:15] from the National Department (COGTA) also acknowledged that "there is no study that has been done to confirm the performance gap". To this end the participant [P10, 62:62] portrays the fear that "there is a skewed

sort of approach towards this whole thing and this is my personal point of view but I think that we don't realize that we are going to be in the streets in this country."

Another participant commented on the political influence on LED policy and strategy implementation. The participant revealed that what needs to be done as far as LED is concerned tends to be politically motivated.

"If the Indian party is in charge then the manifesto dictates the LED. That perspective will be different in the next five years before another political party might be governing and that will be governing on their perspective. It is the influence by the political spectrum, like now they talking about the cooperatives" (P13).

Participants (P4) revealed that there is a gap between policy and strategy because most of the LED officials lack the adequate knowledge of what LED entails, "You can quickly find out that they don't know LED is supposed to be doing and don't know what their functions are" (P4).

Participants (P3 and P4) revealed, however, that SALGA does carry out LED maturity assessment on municipalities to assess their level of understanding and involvement in LED projects as thus: "We do LED maturity assessment that is something we ask 30 questions to find out if the municipality do understanding and their value of LED is improving, we do that every year". The Table (table 7.5), shows tabulated responses on LED policy and strategy implementation.

Table 7.5 shows that 4 participants acknowledged that there is a lack of follow up on trainings, while 2 participants acknowledged the existence of occasional follow up. The late submission of Work Skill Plan/Annual Training Reports, poor performance management, working in silos attracted comments from two participants respectively.

Table 7.5: Distribution of sub-themes and responses on LED policy and strategy implementation

Sub-themes	No of responses
Incapacity of LED managers	1
Late submission of WSP/ATR	2
Occasional training follow-up	2
Poor procurement services	1
Working in silos	2
Political influence	1
Lack of training follow up	4
Lack of proper M&E	1
Poor performance management	2
Programme maturity assessment	2
Total	18

Clarity of policy and strategy

The interview data revealed that ten out of the fourteen responses to the interviews on the clarity of LED policy and strategy mentioned that there is no clarity of LED strategy especially when it comes to capacity building for municipal staff, as indicated by comments such as “if there was a policy saying that gives the direction, there must be a sort of guidelines. For people to be able to achieve this, this is our bible guidelines, this is how we do things, we don’t have that, if it is there, we don’t take it serious and we are not going to achieve what we want. I think that is where we are still falling short. We don’t have clear guidelines on how we are doing things” [P2, 45:45]. As Participant [P1] simply put it:

There is no body that accredit LED practitioners like planners, there is nothing, there is no specific requirement that you need to have in LED besides to decide possibly a degree in LED like economic sciences, there is no specific criteria [P1, 126:126].

Participant [P4] commented that “there are be some form of skill capacity building projects like apprenticeship taking place in their municipality they do have, but not as normalised” [P4, 128:128] .

Participant [P13] is of the view that it’s not an easy task to determine the needs requirements for LED training in the municipalities. He commented that “Local economic development has not been identified correctly in this country and there is different perspectives of what LED is and different perspectives of how really it should happen based on those schools of thought the training programmes are designed on” [P13, 136:136]. In addition, participant [P18] seems to buttress the fact as indicated in his comments “that there are no concrete LED policies for municipal staff training with the exemption of few drafts now and then” [P18, 11:11]. However, participant [P1] again sees LED in South Africa as still more or less in its infancy stage as indicated in his comment, “Yeah, their biggest problem, remember that LED is still very new and is about around for the last 15 years or so it started off just to being part of projects and move up where it became a sort of lower level just to help the needy, it is now they could made the distinction between social development and economic growth. No one ever help them” [P1, 126:126].

However, the interview data revealed that four of the responses received seemed to be confident of the available policies and strategies for LED capacity building for municipal staff as indicated by comments such as “Sometimes there is a national guideline...there is also a local government mandate to come out with policies but that are not going to be in conflict with national policies as long as they will be working together to achieve the same goal” [P2, 47:47]. Participant [P15, 2:2] commented that the National LED Framework prescribes skills and capacity building as a core human resources and capacity development [P15].

Policy and Strategy Design

The interview data revealed that six of the participants believed that there are flaws in the enabling LED policy or strategy for skill development of municipal staff. In his comment, participants [P4] mentioned that “South Africa is in such a complicated legal framework for local government, but eeh, it is very difficult to take examples from other nation and transfer them here” [P4, 28:28]. Participant [P2] believes that there is a

skewed policy requirement in terms of the minimum competency course for directors in the municipality as indicated in his comments such as “For example, to be a director, there is a special requirement that you have to complete, they called it minimum competency course, but now no one not everyone can apply for the post of a director, it does not matter how long you have been manager here with all the degrees but if you don’t have that minimum competency course, you cannot be a director. But what they do only people who are already directors that are being sent to that course” [P2, 25:25]. In addition, participant [P10] believed that the national policy is not decentralised enough to enhance the success of LED projects as indicated in his comment such as “yes enabling people to do things but give the necessary authority downward don’t take it up but what we got here is in South Africa there is rather the tendency to centralise not to decentralize decision” [P10, 71:71]. Again, when the participant [P15] from COGTA was asked about their role as the curator of LED policy or framework in ensuring the target group (stakeholders) compliance to the policies, this is what he has to say: “There are no quality assurance measures in place at the moment”[P15, 12:12].

7.3.1.2 Document Analysis

For the purpose of triangulation, related policy documents on LED capacity building were analysed to ensure that data were obtained from varied sources.

Availability of Policy and Strategy

Besides the interview data, a total of ten documents were reviewed. Thus four out of the ten documents reviewed in this study reveals the existence of capacity building frameworks and strategies for municipalities.

In addition, two of the ten documents revealed the roles of the stakeholders in skill capacitation of municipal staff for local economic development. As indicated by these extracts from the National Capacity Building Framework, the NCBF encourages an integrated approach to individual, institutional and environmental support, capacity building and training for improved success in addressing gaps / needs and / or challenges identified towards achieving sustainability in the functionality, performance and delivery of services by municipalities (COGTA, 2012:2).

The documentary report of this study revealed that within the legal framework of the Municipal Systems Act, the Cape Winelands district municipality developed a performance management system policy document. This policy document provides a framework for the initiation, development, implementation, reporting and rewarding of performance management within the municipality. The policy framework also offers the municipality a platform to implement, assess, monitor, measure, review, manage and reward performance throughout the municipality (CWDM, 2012: 49).

7.3.2 Training Resources

Resources are always limited in supply. At this point, the researcher tends to explore the use of municipal resources for LED capacity building training in the two municipalities. This process was carried out through interviews and the review of relevant documents.

7.3.2.1 Interviews

The data emanating from the interviews reveals that whilst training funds may be difficult to access, however, the two municipalities have their own training facilities for conducting their staff training as presented below in detail.

Facilities

Information that emerged from the interview of three of the participants revealed the existence of municipal training centres or venues as indicated by such comments as “What we do is that we’ve developed a relationship with the municipality, we decentralize the training and they supply us with the venue” [P4, 78:78].

“It was actually a 50-50 arrangement, we finance the venue and the catering, BGRV finance the training equipment, they also pay for their training consultant as well pay for their travelling subsistence” [P7, 4:4].

“Yes there are actually that facility we have the skills centre it has been accredited though now we still awaiting for another accreditation from LGSETA for offering Fire, firefighting courses” [P9, 13:31].

Funds Difficult to Access

When asked about the ease of access to training funds for LED training of municipal staff, seven participants acknowledged that though the fund is available the ease of access is problematic, as indicated by comments such as “um yeah, look, there are a lot of training fund available, but to access the fund and to access it in the time frame that you are given it is not always aligned, it is a challenge” [P4, 75:75]. One of the participants described the process in his comments as: “If there is an application you pray and hold your breath and hope you get the money (loud laughter), that is basically how it works” [P4, 67:67]. This same view is being shared with participants [P5, P6, P8 P9 and P19] as indicated by the following comments:

“We deal with WSP, the workplace skills plan being submitted on the 30th of April every year. There is a lot of work that goes into compiling that document and couple to that is the annual training report as well which speaks about the budget and the money spent things like that in municipality” [P6, 4:4].

“But the hiccup is for the discretionary grant for where they use their discretion for, what they give” [P8, 38:38].

Following this uneasiness of access to training funds, “most municipalities actually lose out four months of the year training that is besides the time frame you have to advertise. If your planning is not good, you are not going to train” [P8, 43:43] and as a result, “there is no specific time periods in terms of saying by this time I will be disbursed this amount of money. Sometimes you apply for funding and you know, once the financial year end and you find out that you receive the money that was set to actually implement within the financial towards the end and now you left with this amount of untrained and you have to reapply in another financial year” [P9, 25:25]. From the municipalities’ perspectives, “there are certain processes or administration that is not going smoothly within the SETA itself and it really needs attention in terms of their specific periods on when they have to disperse the money to the Municipalities” [P9, 26:26]. In addition, participant [P10] commented that “in addition to that the LGSETA is currently under administration so they don’t pay up the money. So it sits on our budget and makes it practically difficult for us that we can’t offer the course [P10, 100:100].

However, one of the participants [P19] from LGSETA acknowledged that the problem of training funds delay is due to non-compliance problems emanating from some of the municipalities as indicated when she says “one of the problems is that some of the municipalities always fall behind in meeting the requirement for grant in terms of submitting the necessary documents. I can tell you that some of the municipalities do not have the data base of some of the information required by the SETA” [P19, 6:6].

7.3.2.2 Document analysis

In addition to the interview, the data generated from the reviewed documents further reveals two sub-themes as thus: Training funds available and lack of capacity as presented below in detailed.

Funds available

In trying to validate the data from the interview, some policy or strategy documents on LED were reviewed. Four of the documents (Department of Labour, 1998; COGTA, 2005; LGSETA, 2012; CWDM, 2012;) reviewed emphasised that municipalities are envisaged to play a connector role in respect of LED whereby they draw on resources locked in a range of different government support instruments into their local municipalities. An extract from one of the documents reveals the obligatory role of the LGSETA as provider of funds for municipal staff training as it states, “Amongst the LGSETA's function is the management of the environment, financing and facilitating of skill development and is responsible for accreditation” [P25].

Lack of capacity

In addition, data from the national capacity building framework, one of the documents reviewed in this study, equally revealed the inefficiency of municipal staff in terms of the usage of training funds:

...however, despite the collection of substantial amounts of money from skills levies, municipalities use relatively small portions of this because they often do not have sufficient capacity to prepare suitable WSPs and implement learnerships [P25, 127:159].

7.3.3 Enabling Environment

The work place environment where trainings are being carried out and where the municipal staff need to apply their newly acquired knowledge, skills and attitude to job were examined here in terms of its ability to promote or hinder the effectiveness of the LED training in the two municipalities.

7.3.3.1 Interviews

The data that has emerged from the interviews has pointed out some contextual factors in the work environment that could influence the transfer of required skills in training into the workplace as presented in Table 7.7 and discussed below in detail.

Table 7.6: Table of distribution of sub-themes and responses on enabling workplace environment

Sub-themes	No of responses
Limited Support	6
Motivation	5
Procurement	5
Limited opportunity for progression	3
Working in silos	6
Opportunity to practice	2
Work pressure	1
Total	28

Limited support

The interview data revealed that six of the responses received acknowledge the limited support in terms of follow up on trainings in the municipalities: “There has never been any follow up on any training. For the ones that I have participated it has all been once off. Except the current PACA workshop, I cannot really say for sure now, whether there will be a follow up or not” [P18, 17:17]. Participant [P14], a service provider acknowledges that “ it is not always budgeted for and as a service provider, we don’t put emphasis on follow-up and support as the client normally does not pay for that, so it will be a wasteful exercise, it is an unnecessary expense for the service providers” [P14, 17:17]. In addition, one training manager from SALGA mentioned that follow-up

exercises are not being done a lot in their region as they “don’t have the manpower” [P4, 121:121]. However, “SALGA have tried to introduce mentorship at the skill development forum all the SDF from all the municipalities but it does not happen and that is another places that we are lacking, there is no formalised, institutionalised mentoring coaching programme” [P4, 126:126].

Furthermore, participant [P4 and P9] acknowledged that “You do have where you have apprenticeship in the municipalities where a guy in that particular department does mentor and coaching for his staff but not as a culture and an institutionalised way of doing things” [P4, 128:128].

However, one Skill Development Facilitator [P9] believed that the question of having a training follow up or not “depends on what kind of training. We don’t do follow up on Stress Management if you thought somebody how to handle stress in the work and that, that, what happens is that you give that person a certain skill” [P8, 42:42].

Motivation

The interview data revealed that five of the participants embraced the importance of motivating their workers. All five of the participants acknowledged that “there is no incentive scheme in place in the municipality to motivate trainees to apply what they learnt in training at work” [P17, 12:12]. Participant [P5] acknowledged that “our individual performance system is not in existence. The system we have was a thick paper based thing quarterly need to fill in but nothing happened” [P5, 51:51]. He believed that there is still a lot of ways one can actually reward people and is that one “we never seen in our systems and we had to monitor and reward people” [P5, 55:55].

One Councillor [P12] in one of the municipalities acknowledged that:

“there are ways that people will receive some recognition for work they have done unfortunately that also happen but you asking very important questions and the whole issue about motivation is crucial because if you don’t have motivation and what will you do in your work/offices without no motivation and the only motivation is to be promoted to get a better salary and if you don’t get you will feel frustrated” [P12, 68:68]. However, participant [P13] also believes in the overarching power of intrinsic motivation of one’s achievement, “I’ve done my best because in doing your best that was the motivation” [P13, 65:65].

Procurement

Four of the participants acknowledged the problem of procurement as an impediment to the capacity building project by virtue of its snail pace process and bureaucratic protocol in municipalities. Participants [P3] believed that one of the greatest areas of concern is procurement as indicated in her comments such as “May be one of the area you can look into is how the procurement is impacting on how the people in really getting the training because is such a process to get there...that is an area you can also see that there is a problem or challenge” [P3, 59:59].

However, one of the provincial LGSETA managers [P19] believes that delays in procurement processes within the municipal systems affects the timely approval and distribution of their skill development grants from LGSETA to the municipalities. This is indicated in her comments, “One of the problems is that some of the municipalities always fall behind in meeting the requirement for grant in terms of submitting the necessary documents. I can tell you that some of the municipalities do not have the data base of some of the information required by the SETA” [P19, 6:6].

Limited opportunities to progression

The interview data revealed that three of the participants [P9, P10 and P13] acknowledge that there is no formal performance management system in their municipalities. This is shown when one states, “I must mention that it’s not actually formally, formally especially in local government, especially in our Municipality I don’t know about the others but I know mostly they don’t have it effectively implemented” [P9, 16:16]. Another person said: “However, our performance management at this point in time is only catering for Senior Management. We have different phases where it is going to be rolled down to employees” [P9, 16:16].

Nonetheless, participant [P8] acknowledges that their “first priority is to get you competent in what you do eh. Get competent in what you do and when you competent in what you do then we look at career planning and so on and this stage that is the priority for us” [P8, 26:26]. In addition, one LED Portfolio Councillor [P10] in one of the municipalities believes that there are limited opportunities for career progression in their municipality due to a lack of resources as reflected in his comment “...so we don’t have that kind of money to enable our staff to build their own career within our context

like you have rightly said once they qualify they move” [P10, 89:89]. Participant [P4] added in her comment that “We do motivate the people to apply for job and so on but it doesn’t automatically happen like that and you get a higher qualification then you get another job and it also depends on whether there’s position available on the organogram in the organisation” [P8, 55:55].

Working in Silos

The interview data revealed that LED is not fully integrated with other functional departments in the municipality. In other words, in most municipalities, LED practices are confined to the LED units in the municipalities. Six participants [P2, P5, P10, P11, P15 and P18] believe that the LED department is not completely fused with other departments in the municipalities as indicated by comments such as “our department are still working in silos and as I’m saying LED supposed to be in all the departments, it supposed to be involved in all department, at the end of the day there are chances of development in all the department, here they are still working in silos” (P2, 41:41). Participants [P5] believe that even within the department of LED, there is still a rift, “That is precisely what is happening in LED that they the managers don’t want to speak to the deputy manager, the deputy managers don’t want to speak to the officers and the officers is battling with the clerk, and nobody talks to each other” [P5, 44:44]. Participants [P18] acknowledged that there is “No awareness training for every department in the municipality to integrate their functions” [P18, 14:14].

However, one director [P15] from COGTA acknowledged that “Guidelines will be developed on the mainstreaming of LED across the municipality. A strong monitoring and evaluation system will be developed to monitor progress” [P15, 20:20].

Opportunities to practice

The interview data revealed that on completion of the training most of the trainers were not given the opportunity in the workplace to put what they had learnt in the training into practice. In other words, trainees are being hindered from transferring acquired skill and knowledge into the job. Participants [P13] acknowledged that “it depends on the demands of the department sometimes you can go to training then the department will need you to do something totally different else that is what is a fear” [P13, 59:59].

However, participant [P17] acknowledged that “Some does while others don’t. It all depends on the attitude of the trainee” [P17].

Work pressure

One of the participants [P13] acknowledged that his supervisor did not help him to ease the pressure of work while he was away for training. Upon his return, there was a backlog of work waiting for him, with encroaching deadlines, as indicated in his comment “When I come there was pressure job to meet the due dates to meet all of what supposed to do for those days...so I was in that dilemma and then I had to take a decision to face my boss or I will do this the other time. Let me be honest for NQF5 did not hand in my assignment” [P13, 67:67].

7.3.3.2 Pre and Post survey

The researcher considered it necessary to obtain the views and comments of the trainees just before and immediately after a training session as to what they feel about the training that was just done and also to ascertain from the trainees about what they do as perceived in their working environment that could hamper their skill transfer into the job. The following sub-themes emerged:

Limited support

The data from the survey also revealed the overriding importance of training follow up as a possible determinant variable for application of training in the workplace. When the participants were asked about the strategies that could be used to overcome the barriers of training transfer, 100% of the respondents to this question believed in the overarching need for mentorship, coaching and peer support as reflected in their comments: “I want them to coach me and consider the resources” [P36: Case 8]; “better management, job creation, assistance and coaching” [P37: Case 9]; “We need such as “resources, stakeholder buy in and mentorship” [P31 Case 3, 23:23].

Limited opportunities to progression

In a cross-case analysis, the data emanating from the survey also revealed the views and comments of the participants in respect of the foregoing assertion of there being limited career opportunities in the municipalities. When the participants were asked “On completion of your training, is there any possibility of being promoted at work”?

[SQ3] 36% of the respondents [P30: Case 2, P31: Case 3, P33: Case 5 and P43: Case 15] as indicated in Table 8.1 believed that they would not be promoted, 46% of the respondents believed that they would be promoted, while 18% of the respondents were of the belief that they may be promoted as indicated in such comment as “there is the possibility but only in time and the right training” [P39: Case 11]; “that has never been promised, unless there is a post, then I have to apply” [P45: Case 17].

When the participants were asked the subsequent survey question, “If not, what would you do after the completion of your training?” [SQ4], only four participants responded to this question. Two of the participants [P32: Case 4 and P45: Case 17] acknowledged that they would leave the municipality as indicated in such comments as, “I will update my CV and try to find a better job” [P45: Case 17]. The other two participants stated that they would do what they need to do to gain experience and wait for opportunities as indicated in one of the comments, “I'm going back to my work and wait if there are an opening for this work, I'm going to apply for the job” [P40: Case 12].

Table 7.7: Distribution table of responses obtained on progression opportunities

Progression opportunities	No of responses	% score
Lack of opportunities	4	36%
Existence of opportunities	5	46%
Never promised	2	18%
Total	11	100%

Limited opportunities to practice

The survey data revealed that when the participants were asked about the barriers or issues that may prevent the application of the skill that they’ve learned in training into their job [SQ3], 36% of the respondents [P31: Case 3, P36: Case 8, P37: Case 9, P40: Case 12 and P41: Case 13] declared that the issue was not being given the opportunity to apply what they had learnt in training.

Furthermore, the participants were asked the survey question in terms of on completion of the training, if they would feel de-motivated if not allowed at their workplace to use

what they had learnt in the training? Only four participants responded to this particular question. Three participants [P30: Case 2, P31: Case 3, P42: Case 14 and P43: Case 15] affirmed that they would be de-motivated if not allowed to use their acquired skill in the job place. Participant [P43: Case 15] expressed his disappointment of his situation as thus, “I already did a trade test and passed still not allow me to practice what I learned in the workplace and training. I already agreed not to do my national certificate in plumbing, building science, building drawings” [P43: Case 15].

However, participant [P41: Case 13] declared that he would not be de-motivated when he stated, “If I can’t practice what I’ve learnt at my workplace, so I won’t be de-motivated” [P41: Case 13].

7.3.3.3 Post – Training transfer survey

This constitute one of the instrument that was utilised in the study to obtain data from already trained municipal staff and supervisors to establish other contextual (variables). Besides, the LED policy and strategy, and the resources that influence the transfer of LED training into the work place in the two municipalities. To achieve this, two sets of post training evaluation instruments were utilised in the study one set for the trainees or participants (Appendix 10) and the other set for their supervisors (Appendix 11).

Data were generated using the 25 and 50 components from the Supervisors and Trainee questionnaires respectively, as described in chapter 5 (Table 5.7 and 5.8). The instruments provided a rich source of data for in-case and cross-case analysis of data. For example, the data gathered from the training survey was closely related to data gathered from the interviews, as well as the pre and post training surveys. Thus, the instrument does not represent separate themes, topics or categories. A score out of 5 was given for each of all the components as described in chapter 5 and were utilised to generated the analysed result (Appendix 15) used in this chapter

7.3.3.3.1 Supervisors

A table of the analysed results of the supervisors’ responses to the post evaluation survey and the corresponding bar charts are shown in Appendix 15.

Management recognition of job skill application(Q3)

The survey data revealed that 67% of the respondents disagree altogether with the SQ that management does recognise the application of newly acquired job skills and knowledge from training in the work place. 33% of the respondents remain neutral as shown in the analysed results in Table 1 and Figure 1A (Appendix 15).

Supervisors discuss potential barrier to LED skill and knowledge job application (Q5)

The analysed results as shown in table 1 and Figure 1A (Appendix 15), reveals that 33% of the participants (Supervisors) in the survey acknowledged that they do discuss potential barriers that could hinder the trainees from the application of acquired skills and knowledge from training into their jobs. Another 33% of the participants disagreed, while the remaining 33% was neutral.

Peer recognition of job application of newly learned skill (Q6)

67% of the participants responded neutrally to this SQ about peer recognition of job applications of newly learned skills in the workplace. While 33% of the participants plausibly acknowledged it as shown in Appendix 15.

Participants discuss problem of skill and knowledge application(Q7)

67% of the participants acknowledged that participants do discuss problem of skill and knowledge application in the workplace, while the remaining 33% disagreed.

Supervisors discuss with participants action plan on skill and knowledge job application (Q8)

Again as shown in Appendix 15, the survey data revealed that 67% of respondents acknowledged that they do discuss with participants action plans on how they would apply their newly acquired skills and knowledge from the LED training into their jobs. The rest (33%) was neutral.

Supervisor eases work pressure while on training (Q15)

As shown in table 1 and Figure 1B (Appendix 15), 100% of the respondents acknowledged the SQ as being true.

Supervisor provides follow up coaching (Q18)

The survey data as shown in the table and graph of analysed results, Table 1 and Figure 1B (Appendix 15) revealed that 33% of the respondents disagreed with the statement while 67% was neutral.

Supervisor provides recommendation for promotion (Q20)

The data generated from the survey, as shown in Table 1 and Figure 1B (Appendix 15), shows that 67% of the participants acknowledged that supervisors do provide recommendations for the promotion for staff on the application of skills and knowledge that improved their performance in the work place. 33% of the respondent were neutral.

LED Trainer provides follow up support (Q22)

In addition, as shown in the appendice, 67% of the respondents strongly disagreed with the statement that LED trainer does provide follow up support on training to ascertain if they are applying the newly acquired knowledge and skill in the workplace. 33% of the participants were neutral.

7.3.3.3.2 Trainees

For training to be beneficial, individuals participating in the training need to take the new knowledge, skills and attitudes back to the workplace and apply what they have learnt (Hatala & Fleming, 2007; Wang & Wilcox, 2006). Therefore, it is important to explore how workplace environment encourage the transfer of learning in order to achieve greater training impact.

Recognition on job application of skill and knowledge (Q3)

When the participants were asked the survey question about recognition of the application of newly acquired skill and knowledge in the work place, in Stellenbosch municipality, 60% of the respondents agreed and 20% disagreed, while 80% of the respondents in Drakenstein agreed with 40% disagreeing as shown in Figure 3A (Appendix 15).

After training, supervisor and trainee identified potential barriers to applying new skills and knowledge (Q5)

As shown in Figure 3A, in both municipalities, 80% of the respondents acknowledged that after training, their supervisors and themselves identified the potential barriers to the application of the new skills and knowledge in the workplace while 20% of the respondents disagreed.

My supervisor helped ease the pressure of work while on training (Q16)

In Stellenbosch municipality, 20% of the responded refuted this claim, while the majority (80%) acknowledged it. Whilst in Drakenstein municipality, 60% of the respondents agreed and the rest (40%) was neutral as shown in Figure 3A.

Supervisors provide follow-up coaching directly related to LED training (Q20)

60% of the respondents in Stellenbosch municipality acknowledged that the supervisor provided follow-up coaching directly related to LED training, 20% of the respondents disagreed and 20% remained neutral. Whilst in Drakenstein municipality, 60% strongly disagreed and 40% agreed as shown in Figure 3A.

Supervisors provide recommendations for promotion for job application of newly learned skill and knowledge (Q25)

On the application of newly learned skills and knowledge on the job, 60% of the respondents in Stellenbosch acknowledged that their supervisors did provide recommendation for promotion, whilst the remaining 40% disagreed. In Drakeinstein, 80% of the respondents disagreed, while 20% agreed to the survey question as shown in Figure 3B (Appendice 15).

Supervisor listened attentively to my concerns about applying LED capacity building learning (Q34)

In Stellenbosch municipality, 60% of responded acknowledged that their Supervisor listenend actively to their concerns about applying LED capacity building training and 40% of the respondents were neutral. Whilst in Drakenstein, 40% disagreed, whilst the rest 40% agreed as shown in Figure 3B.

My Supervisor gave positive feedback about my Job performance (Q40)

In Stellenbosch, 40% of the respondents acknowledged that their Supervisor do give positive and constructive feedback about their LED job performance, while 60% remained neutral. Whilst in Drakenstein 40% disagreed as another 40% agreed, the remaining 20% provided neutral response as shown in Figure 3B.

Before the training, my Supervisor and I, discussed the objectives of the training (Q41)

In Stellenbosch, 60% acknowledged that before training, their supervisor and themselves discussed the objectives of the LED training programme, 20% of the respondents disagreed, and the remaining 20% were neutral. However, in Drakenstein, 60% of the respondents disagreed as 20% agreed with the statement while the remaining 20% was neutral as indicated in Figure 3B.

My Supervisor reduced the Job pressure on my return from training so that I could take time to become accustomed to using new skills and knowledge (Q42)

As shown in Figure 3B, the survey data revealed that 40% of the respondents in Stellenbosch disagreed with the above statement.. In the same vein 60% of the respondents in Drakenstein disagreed with the statement whilst 40% of the respondents accorded to it.

My Supervisor held follow up meetings at periodic intervals for information sharing, problem solving, and support in applying (Q44)

When asked to what extent they agree or disagree to the statement above, In Stellenbosch municipality, 20% disagreed with the statement, while 40% agreed and the other 40% were neutral. Whilst in Drakenstein, 30% of the respondents agreed, another 40% disagreed and the remaining 30% were neutral as indicated in Figure 3B.

My supervisor assisted in meeting the LED training goals by providing me with opportunities to apply new LED skills and knowledge (Q46)

60% of the respondents in Stellenbosch agreed with the claim that their supervisor assisted and provide them the opportunities to apply new LED skills and knowledge in the workplace and 20% strongly disagreed. Whilst in Drakenstein 20% of the respondents agreed as 60% disagreed and the remaining 20% responded were neutral as shown in Figure 3B.

Management offers some form of incentive for me to apply to the job what I learnt in LED training (Q47)

The survey data revealed that 40% of the respondent in Stellenbosch agreed and another 40% denounced the survey question that management offers some form of incentive for them to apply to the job what they learnt in LED training. The rest, 20%, were neutral. Comparatively, in Drakenstein 20% agreed to the survey question and 80% of the respondents disagreed with the survey question as indicated in Figure 3B.

My supervisor asked me or others to freely and positively share with our co-workers what we learned in LED training (Q49)

As shown in Figure 3B, in the Stellenbosch municipality, 40% of the respondents disagreed as 20% agreed that their supervisors asked them or others to freely and positively share with their co-workers what they learned in LED training. The remaining 40% were neutral. In comparison, 40% of the respondents in Drakenstein were in favour of this as indicated by their agreed response to the survey question. While another 60% of the respondents disagreed.

7.4 Identified Themes and Sub-themes

The themes and sub-themes identified in this study as presented in this chapter are consistent with those that were anticipated beforehand, whilst others emerged and added to the overall understanding of capacity building for local economic development. These themes and sub-themes profoundly reflect the views, comments, experiences and aspirations of major LED stakeholders in the two municipalities studied in the Cape Winelands districts. Moreover it concisely mirrored the dimensions as to what extent the existing training interventions are able to build skill capacity for LED projects in the Cape Winelands municipalities as perceived by the key stakeholders. Thus, five main themes and twenty sub-themes emerged from the analysis of the data. These emerging themes and sub-themes are summarised and presented in Table 7.8

Table 7.8 Summary of Identified themes and sub-theme

Themes	Sub-themes
Training content and design	Training needs analysis
	Suitability to local needs
	Alignment to Personal Growth Path/PGP
	Curriculum accreditation
Training delivery	Frequency/duration of training
	Service provider Public Institutions vs Private providers
Policy and Strategy	Language of instruction
	Policy and strategy implementation
	Clarity of policy and strategy
Training Resources	Policy and strategy design
	Training funds available
	Lack of capacity
	Funds difficult to access
Enabling work environment	Facilities
	Limited support
	Motivation
	Procurement
	Limited opportunities for progression
	Working in silos
	Limited opportunities to practice

7.5. Statistical analysis of post-training evaluation

In order for the researcher to improve his understanding of the data that emerged from the study of the two municipalities, it was important to carry out a comparative statistical analysis on the data derived in terms of the participant’s responses to the post-training evaluation questionnaires. To this end data that was obtained from the questionnaires was.. Thus the responses to eight survey questions were randomly selected. These are: Survey Questions 16, 20, 23, 24, 25, 33, 34 and 41. These are grouped into two as DQ16, DQ20, DQ23, DQ24, DQ25, DQ33 DQ34, and DQ41 representing the group from Drakenstein Municipality and SQ16, SQ20, SQ23, SQ24, SQ25, SQ33, SQ34 and SQ41 for Stellenbosch municipality.

a) T-test

A t-test was used to analyse whether the two groups were statistically different from each other in terms of their responses to the survey questions. Put simply, a t-test is used to try and determine whether there is a difference between the two independent sample groups representing Stellenbosch and Drakenstein municipality. As the sample size for this study is too small to make use of more advanced methods, it became essential for the researcher to make use of this method. Thus the mean scores of both groups were then compared using an independent-sample t-test, which is applied when it becomes desirable (as in this case) to compare the mean score for two different groups of participants (Pallant, 2013). In the analysis of the independent-samples t-test, the significance value was adjusted at 0.05. Accordingly, the difference in the scores obtained from the two groups would be considered significant if the probability value was less than or equal to 0.05 ($p \leq 0.05$). The difference would also be considered non-significant if the probability value was greater than 0.05 ($p > 0.05$). A large probability value ($p > 0.05$) indicates that the difference between the two groups can be attributed to chance (Gravetter & Wallnau, 2008). The analysis for this study was performed with the aid of QI Macros Software. The summarised one-tailed t-test analysis results for the two municipalities based on 95% level of confidence is shown in Table 7.9.

Table 7.9: Summary of t-test result for the trainee post-training evaluation (95% level of confidence)

Questions	t-statistic	df	P(T<=t) one-tail	Mean difference	Remarks
Q16	0,8018	4	0,2338	0,60	Non-significant
Q20	1,1586	4	0,1556	1,40	Non-significant
Q23	2,0580	4	0,0544	1,20	Non-significant
Q24	0,5345	4	0,3107	0,20	Non-significant
Q25	1,5000	4	0,1040	1,20	Non-significant
Q33	0,4589	4	0,3351	0,40	Non-significant
Q34	0,8018	4	0,2338	0,60	Non-significant
Q41	2,1380	4	0,0500	1,60	Significant

To find out whether or not there is a significant difference between data emanating from the two municipalities, a significance value was used. A significance value of equal to or less than 0.05 ($p \leq 0.05$) indicates a significant difference in the mean scores of the two municipalities' responses to the survey questions, whereas a significance value of above 0.05 ($p > 0.05$) indicates an insignificant difference between the two groups (Pallant, 2013). According to the above table, the significance value for the responses of the two groups on the Q16 which says "When I attended the LED training program, my supervisors helped to ease the pressures of work while I was off the job" is 0,233802. As this value is above the cut-off of 0.05, there is non-statistically significant difference in the mean scores for the participants' responses to the question (Q16) in both municipalities. As indicated in Table 8.3, the p-values accrued to all the responses to the survey questions by both municipalities are above the cut-off of 0, 05, except Q41 which is 0,051. It is therefore interpreted as a statistically significant difference between the responses emanating from the municipalities on that question. Stemming from the results derived from the others, there are non-statistical differences between the perceptions, views and experiences of both municipalities as far as transfer of learned skills into the job is concerned.

b) ANOVA Test.

In order for the researcher to rely on this statistical inference of non-significant mean differences between the two groups, a one way Anova Test was carried out on the same data. Table 7.10 shows the summary of the p-values that were obtained.

Table 7.10: Summary of ANOVA result for the trainee post-training evaluation

Anova: Single factor α 0,05

Questions	<i>P-Value</i>	Remarks
Q16	0,580	Non-significant
Q20	0,156	Non-significant
Q23	0,227	Non-significant
Q24	0,849	Non-significant
Q25	0,273	Non-significant
Q33	0,620	Non-significant
Q34	0,521	Non-significant
Q41	0,104	Non-significant

Table 7.10 clearly reveals the p-Value generated by the ANOVA which confirms the the statistical inference of non-significant means between the data emanating from

both municipalities. The P-values for all the responses to the questions made by both municipalities are all greater than 0,05. Therefore, one can conclude that there is no statistically significant difference between both municipalities. One can also therefore conclude that the differences between condition means are likely due to chance and not likely due to the Independent Variable Manipulation.

7.6 Chapter summary

This chapter presented the emanating results from the interviews, documents analysis, pre- and post-training survey as well as that of the post training transfer evaluation (follow-up). The various themes and sub-theme that emerged from this study were presented in this chapter. A statistical test result on the comparative analysis of some of the data obtained from the two municipalities were presented in the chapter. The results reveal that there is non-statistically significant difference in the mean scores for the participants' responses to the question. Put simply, there are no statistical differences between the perceptions, views and experiences of both municipalities as far as transfer of learned skills into the job is concerned. The following chapter presents how the adapted Merino Carmenado (2012) capacity framweoek is being used to evaluate the esisting training interervention in the two municipalities

CHAPTER EIGHT

CAPACITY BUILDING PROJECT EVALUATION

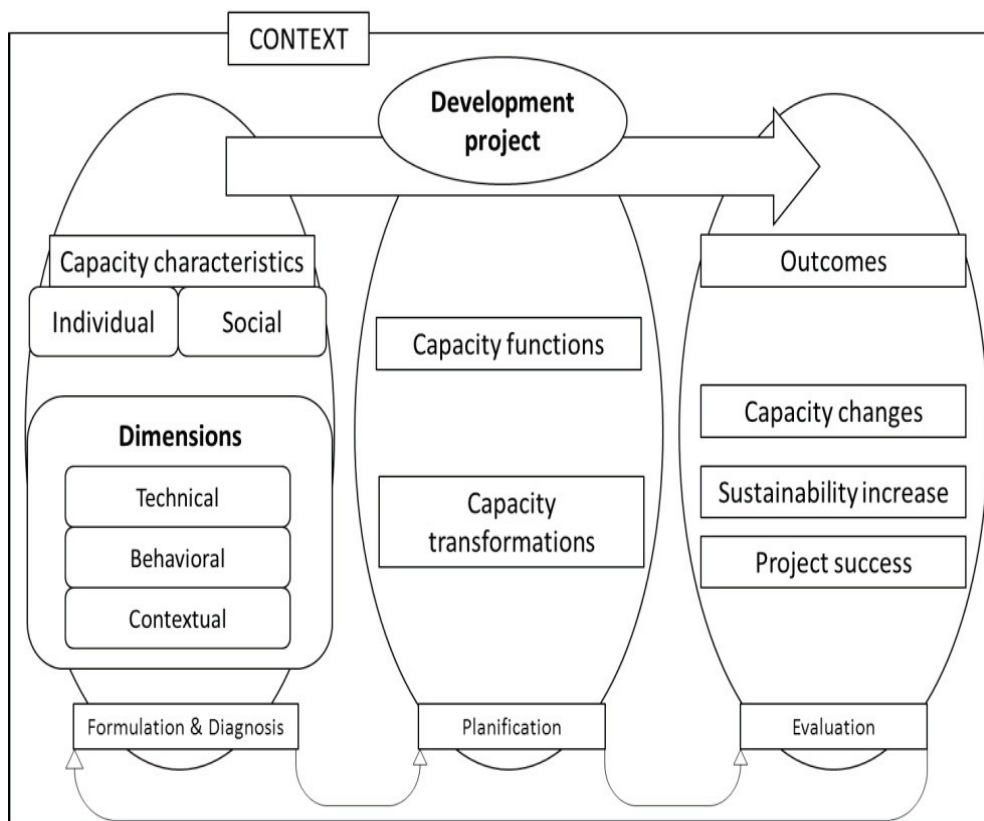
8.1 Introduction

This chapter presents the conceptual framework (Figure 5.3) developed by Merino and Carmenado (2012) to analyse the capacity building interventions in the Cape Winelands' Municipalities. The municipality's commitment to promoting LED is evident in their attempt to improve the staff capabilities in the municipality through training. One of the most significant aspects of their LED strategy is the development of LED training intervention projects for capacitating municipal staff for LED. Whilst the previous chapter sought to describe the results emanating from the study, the purpose of this chapter is to evaluate and discuss the training interventions in accordance with the assessment methods discussed in chapter five. The framework is used to analyse the training in terms of its ability to build capacity for municipal staff. Therefore the framework is used to evaluate the content and delivery of the current and previous training sessions in the two municipalities (Stellenbosch and Drakenstein) to determine their ability to build the technical and behavioural capabilities needed in both municipalities for LED. Additionally, the range of factors and issues in the context in which municipalities are embedded which determine actual and future capacity as well as performance are also being analysed through the framework. Stemming from this study, these contextual factors and issues are: the policy framework that guide the content and delivery of LED training, availability of resources for LED training and the supportive work place for training transfer to the job.

8.2 Conceptual framework

The conceptual framework (Figure 5.1) developed by Merino and Carmenado (2012) to analyse capacity building in development projects was adopted. The framework is designed to guide the mapping of capacity at individual and social levels in order to increase the success and sustainability of further projects and interventions. It is based on a multi-disciplinary approach which combines various theoretical perspectives including social and human capital theory, social capacity, capacity building, competencies and evaluation methods and the social learning process.

Figure 5.3: Conceptual framework for analysing capacity building in development projects (Merino and Carmenado, 2012: 965).



The framework is used as a base to analyse the critical level of capacity at each level that promotes success and sustainability over time. This is done according to three elements: technical, behavioural and contextual. The changes in capacity are analysed by considering changes in performance and outcomes. It is pertinent to acknowledge that this evaluation is not an exhaustive analysis of the capacity building project and initiatives in the municipality. This evaluation principally focusses on the existing LED training programmes which are oriented towards capacitating municipal staff in the Cape Winelands municipalities of Stellenbosch and Drakenstein. Put differently, the analysis is focussed on the evaluation of capacity building training interventions in the municipalities aimed at promoting LED in local municipalities.

The Merino capacity building framework is used as a tool to guide the evaluation in terms of identifying the relevant factors that need to be considered when evaluating the municipality's response to economic development. Extant evaluation of capacity building projects are more often outcomes based and focussed on how capacity building projects are being evaluated in terms of the numbers of people trained through the project.

The foundation of this evaluation framework is based on the analysis of individual technical capabilities in terms of the skills, knowledge and attitudes (behavioural change) gained through the training and the range of factors and issues in the context in which organisations are embedded which determine actual and future capacity as well as the performance. This context provides drivers for change as well as constraints for change (Boesen & Therkildsen, 2005: 6). By introducing contextual levels to the evaluation of a project, evaluators have a much broader understanding of successes and challenges of the project. Thus the framework is used as a base to analyse the critical level of capacity at each level that promotes success and sustainability over

time according to three elements: technical, behavioural and contextual. The changes in capacity are analysed by considering changes in performance and outcomes.

Technical capacity

According to Merino and Carmenado (2012: 965) technical capacity is needed in any organisation to perform all the required activities involved in a business. This type of capacity requirement at individual level refers to the skills, experience and knowledge vested in people that allow them to perform at work or in society at large. Some of these are acquired through formal training and education, others through learning by doing and experience (UNDP, 2008:6). Thus the framework is utilised to analyse the extent to which LED capacity building training is able to improve the skill, experience and knowledge of municipal employees.

To guarantee the objectivity and reliability of the study, multiple data collection instruments such as interviews, pre- and post-surveys and post training transfer surveys were employed to obtain data used in analysing the content design and delivery of LED staff in the two municipalities (Stellenbosch and Drakenstein) This was done to ascertain the training's effectiveness in providing the municipal LED staff with the required skills, knowledge and behaviour to perform well their jobs. The model of Carmenado (2012) helps to explain the findings emanating from the study that in terms of training design and delivery outcomes, undeniably, well-structured and professionally delivered training ultimately influences the outcome and sustainability of the training project. Interestingly, the content design and delivery of the training was found in the study to be satisfactory with just a few drawbacks, as presented in the results chapter. The emerging sub-themes from the study are presented and analysed below

8.3 Training content/design

According to Nel and Werner (2004) and Mohlala, Phago and Mpehle (2014:220), human resources training and development management should be aligned to the institution's strategic developmental objectives, in order to ensure proper institutional skills audit and assessment.

Training needs analysis

The study found that over 56% of the participants acknowledged that the LED training carried out in their municipality is based on the identified skill gaps. However, the remaining 44% of the participants contended that trainings are superimpose on them without their inputs as per their training needs

Suitability to local needs

The study found that 40% of the participants in the interviews acknowledged that the LED training that has been carried out in their local municipality to capacitate the municipal staff does not match the local needs of the municipality.

Alignment to Personal Growth Path (PDP)

The study found little evidence to substantiate the claims of some of the participants in the study that the LED capacity building training that was carried out in their municipalities did not align to their personal growth path. Mixed results were generated in this context. It was evident from the interviews that 30% of the participants acknowledge that the training did not align to their personal growth path, whilst the rest (70%) of the participants attested favourably to the relevance of the training to their needs.

Curriculum accreditation

The study found that 50% of the participants in the interviews who commented on the curriculum accreditation of training acknowledged that the LED training curriculum used for training municipal staff was not accredited based on the premise that there is a lack of a constituted body of knowledge that regulates the practices of LED practitioners. However, over 36% of the participants acknowledged that curriculum accreditation is a necessary prerequisite for their training in the municipality

Satisfactory quality of materials and assignment in LED training

Each of them responded differently. One of them strongly disagreed (33%), then the next participant (33%) acknowledged the satisfactory quality of materials and assignment in LED, while the last participant (33%) remained neutral. In addition, 90% of the respondents (employees) agreed to the satisfactory quality of the nature of materials and assignments used in LED training. The remaining 10% of the respondents were neutral.

Participants feel capable of using the skills and knowledge from training in their everyday work

As reported in the study, 67% of the respondents acknowledged that participants feel capable of using the skill and knowledge acquired from training in their everyday work, while the rest (33%) disagreed. 80% of the respondents representing the employees acknowledged that after the training, they felt capable of using the skills and knowledge developed in the LED training in their everyday work. However, 20% of the respondents did not feel capable.

LED training enables participants to improve and practice key behaviours related to their skills

The survey data revealed that 67% of the respondents disagreed with the statement that LED training enables participants to improve and practice key behaviours related to their skills in the workplace, while only 33% acknowledged it.

Content of the LED training had practical applicability to my job

The study found that 90% of the respondents believed that the content of the LED training had practical applicability to their job. While 10% of the respondents strongly disagreed

The LED capacity building training was well planned and organised

The study found that a significant proportion of the survey respondents acknowledged that the capacity building training that they attended was well planned and organised.

The relevance of LED training to my job was well demonstrated

The study found that the trainees acknowledged how well the relevance of the LED training was demonstrated to the trainees. It found that 60% of the respondents believed this, however, 30% disagreed with the statement, while the remaining 10% were neutral in their response.

8.4 Training delivery

According to UN-Habitat (2012:5), if training is the option deemed best to improve work performance, it becomes important to determine how that training should be conducted to ensure effective application of the trainees' new capacities once they return to their place.

Frequency/duration of training

One of the findings of this study revealed that 50% of the participants acknowledge that LED training for municipal staff is mostly once off and of a short duration of 2-3 days. This was seen as negative by some of the municipal staff as they believe it impacts negatively on the transfer of training in the work place. On this note, the study evidently reveals that 40% of the participants in the interviews acknowledge that LED training for staff was seldom carried out in the municipalities.

Interest

The study found that the trainees on average adjudicated the training they had attended to be interesting.

Capacity building (CB) training aligned with job conditions

The study found varied perceptions of the training among the supervisors in terms of the training being aligned with the job conditions of the trainees. Whilst 33% of the survey respondents strongly disagreed that the training was well aligned to the trainees job conditions, another 33% of the respondents believed that the training was well aligned to the trainees job condition, while the remaining 33% remained neutral. Similarly, 80% of the trainees who were involved in the survey acknowledged that the training content and materials were up-to-date and aligned with the job requirements.

LED trainer created conducive learning environment

This study reported that 67% of the respondents agreed that the LED trainer created a conducive learning environment for them at the training, while the rest (33%) disagreed. In addition, 80% of the employees who participated in the survey acknowledged that the trainers created a conducive environment for learning. However, 10% disagreed, while the other 10% were neutral.

Adequate physical facilities for LED training

The study found that 33% of the survey respondents acknowledged the adequacy of the physical facilities the LED training.

The LED capacity building trainer/s was/were easy to understand

The study found that a significant portion of the survey respondents acknowledged that the LED capacity building trainers were easy to understand.

A summarised version of the research findings on the training design and delivery of training in the two municipalities is tabulated in Table 8.1.

Table 8.1: Summary of research findings: Training design and delivery

Training design and delivery			
Pros	Source	Cons	Sources
Matches Personal Development Goal	Interview	Training needs superimpose	Interviews and theoretical framework
Interesting training - trainees	Interview, Post-survey and theoretical framework	Compatibility to local needs	Interviews and theoretical framework
Language of instruction acceptable	Interview and theoretical framework	Curriculum not accredited	Interviews and theoretical framework
Trainer's Knowledge of the subject and delivery	Post -Training Transfer Evaluation and theoretical framework		
Training aligned to job condition	Post-training survey, Post Training Transfer Evaluation and theoretical framework		
Learning environment	Post Training Transfer Evaluation		
Level of participation	Post-Training Transfer survey		
LED training provides participants to change behaviour	Post Training Transfer survey		

Behavioural Capacity

In addition, the researcher uses the adapted Merino and Carmenado (2012) framework to explain that capacity building goes beyond a simple technical intervention. It is focussed on inducing behavioural change, a change process that involves learning, moderating attitudes and possibly adopting new values at individual, organisational and system levels (Lafond and Brown, 2003:9). In other words, the level of success of any capacity building training project could be evaluated in terms of its degree of behaviour change (individual and social) induced in the trainee that results in a change in performance and outcomes.

According to Porras & Robertson (1992:724) individual organisational member's behaviour is at the core of organisational change. Organisations only change and act through their members, and successful change will persist over the long term only when individuals alter their 'on-the-job' behaviours in appropriate ways. As Merino and Moral (2013) simply put it, besides the technical skill, capacity building has been related to the development of certain skills and competences (social capacity), such as participation and cooperation, commitment, leadership, trust, communication, network building, entrepreneurship, norms, teamwork, group process skills, sense of community, shared values and vision and strategy. In the development and organisational learning literature these networks, norms and trust which facilitate co-operation for mutual benefit are referred to as 'social capital'. Social capital can be thought of as the framework that supports the process of learning through interaction, and requires the formation of networking paths that are horizontal. Therefore social capital is required to promote many capabilities that enable a community-based enterprise or organisation to succeed in the long term aside from technical capacity (WRI, 2008).

The study revealed that the LED units in the Cape Winelands municipalities are working in silos with little or no degree of partnership, alliance building and interactions with other functional departments in the local municipalities. Moreover, it was found that the supervisors do not encourage the trainees to freely and positively share with their co-workers what they learnt in LED training. What can be deduced from the study is a threat to the social capital formation that is needed to promote abilities in the municipality. This prompts the researcher to put to question the ability of the current and previous capacity training to induce the requisite behaviour change in the employees to enhance the social capabilities needed for an effective capacity building project.

Bearing in mind, however, the non-linearity reaction of training designs and delivery on the outcome of the project, it is imperative to take into due consideration other contextual factors that could impede or foster the outcome and sustainability of any capacity building project's success and to look at the challenges of the project. In other words, there is a wide range of factors and issues in the context in which organisations are embedded which determine actual and future capacity and performance.

Contextual Factors

The enabling environment is the context in which individuals and organisations put their capabilities into action, and as well as where capacity development processes take place. It is a function of political commitment and vision; policy, legal and economic frameworks; budget allocations and processes; governance and power structures; incentives and social norms (FAO, 2013). This context provides the drivers for change as well as constraints for change. To this end, Choi and Ruona (2011:63) argue that individuals who work in an environment that embodies a learning culture

are more likely to be capable of making genuine contributions to change than those who do not. Moreover, individuals are more likely to have higher levels of readiness for organisational change if they perceive their work environment to have the characteristics associated with a learning culture and if it alters the organisational members' beliefs and attitudes about change so that they perceive the changes as both necessary and likely to be successful (Choi and Ruona, 2011:64). For the purpose of this study the three contextual factors that are delineated for considerations are: the policy framework that guides the content and delivery of LED training, availability of resources for LED training and the supportive work place for training transfer to the job.

8.5 Policy and Strategy

Weak policy implementation

The study found that the majority (16 out of 18) of the participants feel that LED in general, is poorly implemented by LED stakeholders in the municipalities.

Non clarity LED strategies

It was found in the study that 50% of the participants interviewed believe that there are no clear strategies for LED implementation, especially when it comes to capacity building for municipal staff.

Flaws in LED policy

It was found in the study that there are some flaws in the LED policy framework and strategies. The summary of the research findings are shown in table 8.2.

Table 8.2: Summary of research findings: Contextual factor - Policy

POLICY			
Pros	Sources	Cons	Sources
Availability of LED policies and strategies	Interviews, documentary review and theoretical framework	Weak policy implementation	Interviews, pre and post-training survey, post-training transfer survey and theoretical framework
		No clear strategies	Interviews and theoretical framework
		Flaws in LED policy	Interviews and theoretical framework

8.6 Resources

Lack of capacity

The study found that 40% of the participants in the interviews believe that there is lack of capacity to effectively and efficiently implement LED policies and strategies in the local municipalities. A Councillor in one of the municipalities believes that one of the major problems of not having funds for LED training in the municipality is the lack of knowledge on how to access the fund. This seems to be in support with the assertion of Isaacs (2006:18) that many municipalities rely on outside funding and support to be able to initiate projects. Whilst financial support for LED can be derived from a wide range of sources, a key difficulty is that the municipality or local development agency often lacks adequate competencies to drive the LED process independently.

Some of the participants lamented on the lack of adequate knowledge of LED in the municipality as most municipal LED staff have no adequate knowledge as to what LED is meant to do and by virtue of their portfolios fail to articulate their LED roles and responsibilities in the municipalities. The documentary evidence in the study reinforced that despite the collection of substantial amounts of money from skills levies,

municipalities use relatively small portions of this because they often do not have sufficient capacity to prepare suitable Work Skills Plans and implement learnerships.

Facilities

The study found that most of the municipalities have their own accredited training centres for the training of their staff.

Funds difficult to access

The study found that 35% of interviewees, mostly LED officers and Skill Development Facilitators, acknowledged that though the funds may be available for LED staff training, the ease of access to the funds is problematic. Thus over 70% of these participants complained about the bureaucratic processes of acquiring funds from the LGSETA which is one of the principal sources of funds for skill development in the municipalities, based on their grants derived from the Skill Development Levy contributions administered by the LGSETA.

Resources availability

The study found out that 55% of the participants in the interviews acknowledged the availability of resources for LED training of municipal staff through the municipalities own budget and LGSETA grants which is being derived from the skill development levies (SDL). Besides the municipal budgets and grants from the LGSETA, the study found that there other role players are also involved such as Department of Trade Industries (DTI), Centre for Local Economic Development (CENLED) and a German Development Agency (BGRV) in LED projects of building capacity for local municipal staff.

However, the study equally found that a little segment (15%) of the participants in the interviews remained discontent with the inadequacy of resources for knowledge and skill applications on the job.

8.7 Enabling Workplace Environment

The contextual enabling environment is the range of factors and issues in the context in which organisations are embedded which determines actual and future capacity and performance.

Limited support

The study found that 50% of the participants acknowledged the imperativeness of coaching and mentorship in training. 60% of these participants further acknowledged that there is no emphasis on post training follow up and supports for trained municipal staff to enhance their change in attitudes, behaviour, skill and knowledge in their work situations. In contrast, 40% of the participants acknowledged the practice of a kind of coaching and mentorship in their municipalities. For example, their supervisors in the municipalities are trained coaches so they are trained to assess and follow-up to ensure training transfer in the work place. Where there are gaps or necessitate additional support, they are also able to assist them.

Motivation

The study found that over 25% of the participants in the interview embraced the importance of motivating their workers and acknowledged the dearth of incentive schemes in place in the municipality to motivate trainees to apply what they learnt in training to the job. It was revealed in the study that the Performance Management System in their municipalities is not fully operational.

Procurement

It was also found in the study the procurement challenges between LED and supply management chain in terms of demand management process. Thus over 25% of the participants in the interviews acknowledged the procurement challenges between LED and supply management chain in terms of the demand management process as an impediment to the capacity building project by virtue of its extremely slow processes due to bureaucratic practices in the municipalities. This delay in procurement processes within the municipal system affects the timely compliance of the municipalities to the LGSETA grant requirements which eventually delays the approval and distribution of the skill development grants by the LGSETA to the municipalities.

Limited opportunities to progression

It was also found in the study that there are limited opportunities to career progression in some of the municipalities and that there is little or no formalised performance management system and career planning in their municipalities. The small traces of a Performance Management System that could be found in the municipalities was only catering to the senior management of the municipalities. In terms of career progression opportunities, it was found that some municipalities have little or no strategies in place to boost staff retention. This was confirmed by an LED councillor who stated that there is limited opportunity to career progression in their municipality due to lack of resources as the municipality doesn't have money available in order to enable staff to build their own careers within their context. He also stated that often once staff members qualify they look for better paid work elsewhere.

In a cross-case analysis, the study found that over 35% of the trainees who participated in the survey believed that even on completion of their training, they would not be promoted. Whilst over 45% of the trainees were confident that they would be promoted.

Almost 20% acknowledged that they may be promoted as there is possibility though they were not promised.

Working in Silos

The study found that LED is not fully integrated with other functional departments in the municipality which makes LED practices in most municipalities to be confined to the LED units in the municipalities. LED units tend to be working in silos and not completely fused or present in other departments in the municipalities. Participants acknowledge that there is no awareness training for every department in the municipality to integrate their functions. On this note, a director from COGTA asserted that plans are on the way for LED policy and strategy to incorporate some guidelines on the mainstreaming of LED across the municipality and a strong monitoring and evaluation system will be developed to monitor progress.

Limited opportunities to practice

The study also found that on completion of the training most of the trainees were not given the opportunity in the workplace to put what they had learnt in the training into practice. In other words, trainees were being hindered from transferring acquired skill and knowledge into the job. The study revealed that 60% of the respondents to the survey question on these post training practices acknowledged that they would feel de-motivated if not allowed to use their acquired skill in the job place. This finding tends to be in the same stance with other extant research studies who have found the correlation between learning transfer and opportunity to practice (Raliphada *et. al*, (2014) and that positive transfer is limited when trainees are not provided with opportunities to use new learning in their work setting (Gaudine & Saks, 2004; Lim & Morris, 2006).

Management recognition of Job Skill application

The study found that 67% of the respondents (supervisors) disagreed altogether with the survey question that management does recognise the application of newly acquired job skills and knowledge from training in the work place. Whilst the rest (33%) were neutral. However, 60% of the respondent representing the employees acknowledged that management does recognise to some extent the application of the newly acquired skills and knowledge in the work place, 30% disagreed, while the rest (10%) remained neutral.

Supervisors discuss potential barrier to LED skill and knowledge job application

It was found in the study that supervisors discuss potential barriers with the trainees in terms of any potential barriers that would prevent the trainees from the application of the newly acquired skills and knowledge in the work place. Whilst one (33%) supervisor acknowledged that they do discuss potential barriers that could hinder the trainees from the application of acquired skill and knowledge from training into their jobs. The second participant (33%) disagreed, while the third one (33%) was neutral. In addition, 70% of the participants (employees) acknowledged that after training, their supervisors and themselves identified the potential barriers to the application of the new skills and knowledge in the workplace. 30% of the respondents disagreed.

Peer recognition of Job application of newly learned Skill

It was found in the study that the majority (67%) of the supervisors that responded to the survey questions denounced the practice of peer recognition of job application of newly learnt skills. But in contrast, the majority (60%) of the survey respondents on the part of the trainees acknowledged that their peers recognised their job application of newly learned skills in the work place.

Participants discuss problems of skill and knowledge application

The study found that 67% of the participants acknowledged that participants do discuss problems of skill and knowledge application in the workplace, while the rest (33%) disagreed. Again, 70% of the trainees respondents acknowledged that the process is being carried out. While the rest (30%) disagreed.

Supervisors discuss with participants action plans on skill and knowledge job application

The study found that the supervisors, by virtue of their position, do discuss with trainees the action plan for the transfer of newly acquired skills and knowledge into their work place. The survey data revealed that 67% of respondents acknowledged this. In addition, 70% of the trainees acknowledged that their supervisors do discuss action plans in terms of on-the –job application of skills and knowledge acquired from training, while 30% disagreed.

Enough facilities and material in work place to enhance job application of skill

The study reported that 67% of the supervisors who participated in the survey acknowledged that there were enough facilities and material at their work place to enhance skill and knowledge transfer, while the rest (33%) were neutral. The report from the survey revealed that 80% of the respondents (employees) acknowledged the availability of facilities and materials in the work place to enhance skill and knowledge application, while 20% disagreed.

Supervisor eases work pressure while on training

The survey found that 100% of the survey respondents (supervisors) acknowledged that their supervisor does ease work pressure for them while on training. In addition on the side of the employees, a majority of the respondent, 90% agreed to the practice

that supervisors do ensure that work is covered in their absence whilst attending training. However, 10% strongly disagreed.

Supervisor provides follow up coaching

The survey report revealed that 33% of the respondents (supervisors) disagreed with the statement while 67% were neutral. Based on the perspectives of the employees, the study found that 50% of the respondents acknowledged that their supervisor do provide them with a sort of follow-up coaching directly related to LED training. However, another 40% disagreed, while 10% was neutral.

Supervisor provides recommendation for promotion

The study found that 67% of the participants (supervisor) acknowledge that they do provide recommendation for promotion for staff on the application of the skills and knowledge that improved their performance in the work place. 33% of the respondents were neutral. Based on the employees perspectives, 30% of the respondents acknowledge that their supervisors do provide recommendation for promotion. However, 70% disagreed.

LED Trainer provides follow up support

The study found that 67% of the respondents strongly disagreed with the statement that LED trainers provide follow-up support on training to ascertain if the trainees are applying the newly acquired knowledge and skill in the job place. 33% of the participants were neutral.

LED training provided trainees with sufficient opportunities to practice the key behaviour related to the skills they should improve

The study found that 90% believe that the training provided them with sufficient opportunities to practice the key behaviour related to the skill they should improve.

Had sufficient time to apply newly learned skills and knowledge in the workplace

Whilst 50% of the trainee respondents acknowledged that they had sufficient time to apply their newly learned LED skills and knowledge in the workplace, another 40% disagreed and the other 10% were neutral.

Supervisor listened attentively to my concerns about applying LED capacity building learning

40% of respondents stated in the study that their supervisor listened actively to their concerns about applying LED capacity building training. However, another 40% disagreed, whilst the rest (20%) provided a neutral response.

My supervisor gave positive feedback about my job performance

While 30% of the survey respondents declared that their supervisors don't provide them such feedback. However, 40% of the respondents also acknowledged that their supervisor does give positive and constructive feedback about their LED job performance.

Before the training, my supervisor and I discussed the objectives of the training

Although the study found that 40% of the participants acknowledged that before training, their supervisor and themselves discussed the objectives of the LED training programme, another significant 40% of the respondents disagreed with the statement, whilst the remaining 20% were neutral in their answer.

My supervisor reduced the Job pressure on my return from training so that I could take time to become accustomed to using new skills and knowledge

The study found that the supervisors did not reduced job pressure for trainees on their return from training so as to have enough time to become accustomed to using the

new skills and knowledge in the workplace. The study found that 50% of the respondents disagree with the statement, however, another 40% acknowledged it, while the remaining 10% were neutral.

My supervisor held follow up meetings at periodic intervals for information sharing, problem solving, and support in applying new skills and knowledge

One of the findings of the study was on supervisors' support, such as follow-up meetings, information sharing, problem sharing, problem solving and support in applying new skills in the work place. Thus the study found that 40% of the survey respondents stated that their supervisor did not hold follow-up meetings at periodic intervals for information sharing, problem solving, and support in applying new skills and knowledge, while 30% agreed that they did and the other 30% were neutral.

Management offers some form of incentive for me to apply to the job, what I learned in LED training

The study found that 6% of the survey respondents denounced the fact that management offered them some form of incentive for them to apply to the job what I learnt in LED training, while 30% agreed to the survey question, 10% remained neutral.

My supervisor asked me or others to freely and positively share with our co-workers what we learned in LED training

The study found out that the supervisors do not encourage the trainees to freely and positively share with their co-workers what they learnt in LED training. Thus the study found in the survey that 50% of the respondents disagreed that their supervisors ever asked them or others to freely and positively share with their co-workers what they had

learnt in LED training. However, 30% of the respondent were in favour of this statement as indicated by their agreed response to the survey question. The remaining 10% were neutral.

Table 8.3a and 8.3b: presents the summarised research findings on contextual enabling workplace environment.

Table 8.3a: Summary of research findings: Enabling workplace environment

Enabling Workplace Environment			
Pros	Sources	Cons	Sources
Management recognition of job application	Post transfer training survey	Limited supports	Interviews, Pre and Post training survey, Post Training Transfer Evaluation and Theoretical framework
Supervisors discuss potential barriers to training.	Post transfer training survey (Trainees)	No sufficient motivation	Interviews, Pre and Post survey, Post-Training Transfer survey
Participants discuss problems of job application	Post Training Transfer survey	Poor procurement – poor implementation	Interviews, Post-Training Transfer Evaluation and Theoretical framework
Supervisors discuss action plan	Post Training Transfer survey	Limited opportunities to progress	Interviews, Post-Training Transfer Evaluation and Theoretical framework
Participants feel capable of using training skills	Post Training Transfer survey	Working in silos	Interviews, Post Training Transfer Evaluation and Theoretical framework
Supervisor eases work pressure while on training	Post Training Transfer survey	Limited opportunities to practice	Interviews, Post Training Transfer Evaluation and Theoretical framework
Supervisor provides follow up Coaching	Post Training Transfer survey	No trainer follow up Support	Post-training transfer Evaluation and Theoretical framework
	Post Training Transfer survey	Prior to the training Supervisor don't always discussed with the trainees the objectives of the trainings	Post-Training Transfer Evaluation and Theoretical framework

Table 8.3b: Summary of research findings: Enabling workplace environment

Enabling Workplace Environment			
Pros	Sources	Cons	Sources
Supervisor provides follow up Coaching	Post Training Transfer survey	No much Peer recognition of job application	Post -Training Transfer Evaluation and Theoretical framework
		Supervisor don't always provides positive feedback about job performance	Post -Training Transfer Evaluation and Theoretical framework
		Supervisor don't always provides recommendation for promotion.	Post-Training Transfer Evaluation and Theoretical framework
		Supervisor don't pay sufficient attention to the trainees concerns about applying LED capacity building learning.	Post-Training Transfer Evaluation and Theoretical framework

8.8 Chapter summary

This chapter has shown how the Cape Wineland's municipalities, Stellenbosch and Drakenstein, aims to improve the capabilities of municipal employees for LED through training intervention programmes. The LED capacity building strategy provides opportunities for municipal employees to improve their technical capacity needed in the municipalities to render all the services required to foster LED. The LED capacity building training goes beyond a simple technical intervention. It is focussed on inducing behaviour change, a change process that involves learning, moderating attitudes and possibly adopting new values at individual, organisation and system levels. The level of success of any capacity building training project could be evaluated in terms of its degree of behavioural change (individual and social) induced in the trainee that results in changes in performance and outcomes. Thus the design of the content and delivery of training interventions was analysed through the capacity building framework to evaluate its effectiveness. The outcomes of the evaluation in this context have shown that the municipalities are making great strides in terms of the training delivery. However, there are some pitfalls such as training curriculum not accredited, training being superimposed and training not compatible to local needs, although there were plausible reports of the training matching the personal goals of the municipal employees. Besides the analysis of the content and delivery of the training interventions, the other contextual factors that could impede or foster the outcome and sustainability of any capacity building projects success and the challenges of the project were also accorded the due considerations. These were the policy and strategy design that guides the implementation of LED training in the municipalities, the extent to which the municipal resources are used for LED training and the supportive workplace environment. The municipalities have partially failed to implement proper

LED strategies. In addition, the study found the municipalities to be partially confounded with the LED strategies due to lack of clarity and inherent flaws in the design of the strategies. In terms of the resources, it was shown that even though there may be resources available for training, the municipalities found it quite difficult to access it, especially the skill training grants from the LGSETA. In addition, the municipalities lack the capacity to effectively and efficiently implement LED policies and strategies.

The result stemming from the contextual issues of the supportive enabling environments revealed a myriads of practice gaps in the municipalities. These range from limited support in terms of training, coaching and mentorship to municipal employees, lack of proper motivation as there is limited opportunities for progression and lack of opportunities to practice learned skills to poor procurement practices. Failure within each of these parameters indicates undeniably the potential inability to reach the outcomes associated with capacity building training for LED in the two municipalities in question. Thus a capacity building intervention programme is the one that breaks this cycle, in whatever way possible, and improves the capabilities of municipal staff to have influence over their situation. The evaluation has identified the relevant factors that will help to improve the municipalities 'abilities to overcome obstacles and challenges relating to efficient and effective capability building training'. The following chapter presents the discussion of the results in terms of the extent to which the municipal staff capacity building training in the two municipalities is being able to build capacity for LED. The conclusion incorporates recommendations for future capacity building interventions.

CHAPTER NINE

DISCUSSION OF RESULTS

9.1 Introduction

Chapter 9 presents the discussions on the findings emanating from the empirical study. The discourse is presented in the same format as per the flow chart (Fig. 7.1) in chapter 7. This chapter discusses the results generated from the interviews, documents analysis, the pre- and post-training survey as well as the post-training transfer evaluation (follow up) in terms of the emerging themes and sub-themes. The findings emanating from the LED key stakeholder interviews, pre- and post-training survey and the reviewed documents are discussed to provide a greater understanding of the effectiveness of the existing and current capacity building initiative in terms of its ability to build the skill capacity requirement for local economic development in the two municipalities (Stellenbosch and Drakenstein) in the Cape Winelands district.

9.2 Technical and Behaviour capacity

In order for the two municipalities (Stellenbosch and Drakenstein) to be able to succeed in establishing themselves as a developmental local government, they need strategic, organisational, and technical capacities. According to Merino and Carmenado (2012: 965) technical capacity is needed in any organisation to perform all the required activities involved in a business. This type of capacity requirement at individual level refers to the skills, experience and knowledge that are vested in people that allow them to perform at work or in society at large and some of these are acquired through formal training and education, others through learning by doing and experience (UNDP, 2008:6). The strategic interventions to build sustainable human resources capacity in the two municipalities to effectively carry out their developmental duties as required by the constitution, are therefore necessary and critically important (Maserumule, 2010:441). In order to determine the extent to which existing capacity building trainings in the two municipalities is being able to build the required skill capacity for LED, the researcher deemed it necessary to evaluate the contents and design of the training as well as the training delivery. Certain contextual variables that could shape the outcomes of the training, such as the LED policy and strategy, resources for training and the enabling supportive work climate were all duly examined

9.2.1 Training Content and Design

Training is best employed to address knowledge, skill, and ability deficits; therefore, an appropriate needs analysis can be useful for determining whether training transfer is relevant (Burke & Hutchins, 2007:272). Training cannot be effective unless it meets the individual, organisational, and task needs as identified by a needs analysis (Alvarez, Salas, & Garofano 2004:389). Needs assessment, or needs analysis, is the process of determining the organisation's training needs and seeks to answer the question of whether the organisation's needs, objectives, and problems can be met or addressed by training (Authur, *et al.*, 2003:292). In order to examine the credibility of the Training contents and design of existing LED trainings for municipal staff of the two municipalities, interviews and survey (Post –training transfer survey) were utilised to generate the data for this purpose.

9.2.1.1 Interview

The data emanating from the interviews revealed the participants own assessment of the content of the training in terms of the suitability of the training to local needs, alignment to Personal Growth Path and the Curriculum Accreditation.

Training Needs Analysis (TNA)

The underpinning conceptual framework of this study provides that a good return on training investment is assured when the training addresses real performance discrepancies and skill needs (UN-Habitat, 2008:38). The interview data revealed how the training requirements for municipal staff are being determined. Comments emanating from nine of the participants indicated the various processes being followed to determine the type of training needed by each individual staff in the municipality. When the participants were asked the question of how does the municipality determines the training needs of their staff, all of the nine participants acknowledged that it is based on the identified skill gap between the employees' profile and the job requirement. As could be deduced from the data emanating from the survey, certain processes were being followed in the municipalities to determine the skill gaps for training intervention. This is simply done by identifying the skill gaps between the employees' profile and their job requirements. This process is regarded pivotal to the success of any training intervention. According to UN-Habitat (2012:5) Training needs analysis will enable the training to be designed in the most effective manner, ensuring

that training entry points and delivery will have an optimal effect in transferring learning to trainees' as individuals and members of their organisations. However, what is yet to be seen is the level of participation of municipal staff (Trainee) in this process. In other words, extent to which this process allows the inputs of the municipal staff.

When the participants were further asked if they involve the inputs of the staff in determining the skill gaps, five of the nine participants acknowledged that they do involve the input of their staff as indicated in the comments such as "We do have a consultation with each of the departments and on each of the Directorates and then from their skills gaps can be identified and once they identified the skills gap they will identify the correct people that needs to go for training in order for them to fill these gaps and obviously for them to produce a better service delivery" [P6, 13:13].

Contrarily, four participants [P1, P2, P18 and P19] comprising of three LED managers and one LED officer respectively, believe "that most of the training are superimpose...they know what they have and what they don't have" [P1, 43:43] and "We can just say what our needs are but whether they will procure those services for us to be trained I don't know" [P1, 27:27]. In addition, participant [P18] added that the "The problem is when we as an LED department does our training needs requirement and submit our specialised training needs to the training manager, most often, it does not happen" [P18, 13:13] and again added that "if such training is not what we need, it becomes so difficult to apply it on the job" [P18, 21:21].

Suitability to local needs

The interview data revealed the views of eleven of the twenty participants on the suitability of the trainings to local needs. Thus eight participants acknowledged that the LED training done in local municipality to capacitate the staff is not suitable to the local needs of the municipality. Participant [P18] acknowledged that most of the training he has attended so far "are not really based on needs, when we submit to the training manager as I have said our specialised training needs, it does not happens" [P18, 13:13].

It is obvious that trainings interventions constitutes a quantum of costs both in terms of time and money to the municipalities. Therefore it becomes imperative for the training contents and design to be relevant to the local needs so that it could be effective enough to guarantee good returns on investment. As argued by Liebermann and

Hoffmann (2008) if the perceived practical relevance of the training were to match or exceed the trainee's expectations, he/she would be satisfied and react positively. If the training is not relevant, however, the trainee will be less satisfied or may show a negative reaction (Bhatti & Kaur 2010:661). In buttressing further the imperativeness of matching training content with local needs, it has also being argued elsewhere, UN-Habitat (2008:39) that enrichment of content with local examples, new concepts or strategies, experience, wisdom, and ideas of the participants could also enhance training transfer into job. Lastly, However, Kemal (2005:352) states curriculum should be developed by the experts and reviewed periodically by taking into consideration changes in the operational techniques and introduction of new technology.

Alignment to Personal Growth Path

The interview data revealed that two participants [P13 and P18] believe that the training being done to capacitate municipal staff on LED is not aligned to the personal growth path of municipal staff as indicated in his comment "People are being trained fine, but this should be in line with their personal growth plan" [P18, 19:19]. It is of common practice for employees to strive towards achieving their yearnings and aspirations by setting their own goals and targets. Thus Goal-setting has been found to help individuals regulate their transfer induced behaviour by directing attention and action, mobilising energy expenditure or effort, prolonging effort over time (persistence), and motivating the individual to develop relevant strategies for goal attainment (Brown, 2005; Locke & Latham, 2002; Locke *et al.*, 1981 cited in Burke and Hutchins, 2007:274). Drawing from the survey and the conceptual framework, it can be deduce that the behaviour of employees in the municipalities will only be induced to transfer skill from training if the content of the training is aligned to their personal growth path.

Curriculum Accreditation

When the participants were asked about how they ensure that the training is quality assured, four participants expressed their concerns in respect of the non-accreditation of LED training that is being delivered to the municipal staff. It was also revealed that the learning material for LED training in the municipalities are not aligned to the SAQA unit standards which makes it difficult to obtain any credit on the NQF level in terms of recognition of prior learning (RPL). In contrary, four other participants acknowledged that in their municipality the quality of training is being optimised and they were able to achieve this "by ensuring that accredited training and trainers are utilised" [P18, 43:43].

In addition to that another participant [P3] believed that the choice of obtaining accredited courses “depends on what the municipal are asking...in our term of reference, if we specify that we want accredited training, obviously then it must be accredited and must be approved and it depends on whether the person wanting the service ask for accreditation” [P3, 41:41]. Participants [P6 and P9] believed that one of the requirements in determining a service provider is that “they must be accredited in whatever training area...for competency we must actually ensure accreditation at first” [P9, 7:7] and “learning material must be aligned to the SAQA unit standards because then if it is not aligned they won’t be able to receive any credits on the NQF” [P6, 15:15].

Therefore in summarising as it is provided in the theoretical framework of this study, Martin (2010:522) highlighted the important questions to be pre-occupied with in training programme designs. These amongst other things include:

- Are the objectives of the training understood and clearly communicated to the participants?
- Are the skills to be acquired similar to skills currently in use?
- Is the training perceived as relevant to the job currently being performed or objectives to be achieved?
- Have participants been involved in determining the content and design of the training program?
- Do participants believe they will have an opportunity to practice the skills or apply the knowledge gained?
- Will participants receive feedback on their performance or application and have the opportunity to make appropriate adjustments?
- Is the training location conducive to effective learning? Is the timing of the training appropriate and are job demands adjusted to allow for training?

9.2.1.2 Post – Training transfer survey

The data emanating from the post –training transfer survey in terms of the participants views, comment and experience on the contents and design of the training that could enhance or impede them from applying the acquired skills, knowledge and attitude in their operational activities. The following sub-themes emerged: Satisfactory quality of LED training materials and assignments; Practical applicability of content of LED

training; LED training well Planned; and LED training provides opportunity to improve relevant key behaviours.

Satisfactory quality of LED training materials and assignments

One of the objectives of this survey question was to determine the extent to which the quality of materials and assignments utilised for LED training satisfies the desired requirements. Each of supervisors that responded to this question, responded differently. 33% of them strongly disagreed, whilst another 33% of the respondents acknowledged them to be satisfactory. The remaining 33% of the respondents remained neutral. In terms of the trainees, whilst 100% of the respondents in the Drakenstein municipality, believe the quality of the materials and assignments used in LED training to be of satisfactory quality, in Stellenbosch, 80% of the respondents agreed and 20% remained neutral.

Practical applicability Content of LED training

As provided in the conceptual framework of this study, Nikandrou *et al.* (2009) and Bhatti & Kaur (2010) argued that when trainees perceive the contents of the training are similar to the actual job, they influence and maximize the transfer. In addition, Kauffeld and Lehmann-Willenbrock (2010) find that training transfer can be improved by trying out training content in real work situations. The result from the survey showed that 20% of the respondents in Stellenbosch believed that the content of the LED training had practical application in their job and 80% remained neutral. While in the Drakenstein municipality, 80% of the respondents agreed and 20% strongly disagreed. As could be deduced from the survey and the conceptual framework, the trainees in the Drakenstein municipality will be more determined to transfer acquired skill gained through LED training to work than their counterparts in Stellenbosch municipality as the majority of them acknowledged the practical applicability of the content of LED training received.

9.2.2 Training Delivery

According to UN-Habitat (2012:5), if training is the best option deemed fit to improve work performance, it becomes important to determine how that training should be conducted to ensure effective application of the trainees' new capacities once they return to their place of work. Imperatively, the evaluation of the methods and processes of delivery of existing training in terms of its ability to build skill capacity for municipal

staff becomes worthwhile. To this end, two research tools were utilised to generate data for this purpose – interviews and survey.

9.2.2.1 Interviews

The data emanating from the interviews developed the following sub-themes as discussed below in detail.

Frequency/duration of training

The interview data revealed the views and comments of ten participants. All the ten participants acknowledged that the training is mostly once off and mostly of a short duration of 2-3 days. A training manager [P4] from SALGA described their experience as “We have very good attendance in our working group. We find them they prefer short term interventions of training of 2-3 days or one day training on specific topic rather than wide range of topics on specific things...that is troubling around in municipality” [P4, 25:25]. However, he justified the reason behind their strategy as “I cannot come back to you in the municipality. What we strive to do when we go and train we leave that skill there because for two reasons, for resource point of view, we are very economical, I cannot come back to you in the municipality” [P4, 49:49]. Participant [P5] also acknowledged the same fact that the municipality gets annoyed when flooded with training from different service providers as indicated in their comments “One of the things that irritates municipalities is SALGA comes in, province comes, National government comes in, all with something very similar” [P4, 88:88].

However, the results reveal that four participants [P5, P8, P14 and P18] acknowledged that LED training was seldom done in the municipalities.

Service providers/trainers: Public Institutions versus private service providers

Municipalities commonly outsourced their staff trainings on LED to the Private and Public institutions as training service providers. These are primarily comprised of non-governmental organisations, universities, Technical and Vocational Education and Training Colleges (TVET) , private companies, provincial training centres, commercial training and development consultants, and professional bodies. Drawing from the theoretical framework of this study as argued by Sebola (2014:637) these institutions, named as training providers, have different approaches of culture and standards of training that they provide and may use training facilitators of an unequal knowledge

base which will also impact negatively on the training provided, especially if the approach to the training is viewed in business terms rather than in developmental terms. On the same note, Kanyane (2008:518) however cautions that the municipalities in their pro-activeness and engagement of institutions of higher learning, should ensure that they use reputable schools and that departments of public administration should design specialised programmes that addresses their needs.

The report derived from the interviews portrayed that many of the participants acknowledged the use of mainly the universities and TVET colleges to deliver training in the municipalities for competency and accreditation purposes as the majority of their workforce are composed mainly of people with qualifications below NQF level 4.

Language of Instruction

According to Sebola (2014:639) it's unachievable and difficult for SALGA to attain the objective of capacity building for councillors while the majority of councillors may be dominated by individuals with a questionable educational level which compromises the benefits of training to acquire knowledge. Training is often conducted in English, a language that the intended beneficiaries do not know. When it comes to the language of instruction, the interview report revealed that two participants vehemently denounced the credibility of the use of English language for instructional design and delivery of training in a place densely populated by mostly Afrikaans speaking people.

9.2.2.2 Post –training transfer survey

The data from the Post-training transfer survey generated the following two sub-themes as discussed below: LED trainer create conducive learning environment and The LED capacity building trainer easy to understand. These two sub-themes are discussed below in detailed .

LED trainer created conducive learning environment

It is imperative for trainers to foster a climate for learning in which learners and instructors support each other in the learning process, in and out of formal learning situations (Caffarella & Merriam 1999; Caudron, 200; Gauld & Miller, 2004:10). According to Ricks, Williams and Weeks (2012:606) when trainers create an exciting learning environment that has a sense of informality, and they are able to demonstrate patience, trainees will be more inclined to step outside of their comfort zone and will

be able to experience a higher level of self-efficacy. This study reported that 67% of the respondents agreed that LED trainers created a conducive learning environment for them while in training, while the rest (33%) disagreed.

The LED capacity building trainers easy to understand.

The findings of Ghosh, *et al.* (2012:199) also suggest a high correlation between clarity in responding to questions and ability to keep the session lively and interesting. The more clearly the trainer in responding to the questions asked by the participants, the higher the level of enthusiasm of the participants, and hence the livelier and more interesting the session would be. This would increase their level of involvement and hence help in retention of what is learnt. Thus the survey reported that 100% of the respondents acknowledged that the LED capacity building trainers were easy to understand. Drawing from the survey and the conceptual framework, it can be deduced that the level of LED training delivery in both municipalities seems to be satisfactory.

9.3 Contextual Capacity

As mentioned in the previous chapter, the efficacy of capacity building training is shaped by certain factors found in the context in which capacity building takes place or where the employees put their capabilities into practice. For the purpose of this study, three themes were devised, namely, Policy and Strategy; municipal resources and the supportive environment.

9.3.1 Policy and strategy

The LED Policy and strategy amongst other things provides the framework for LED and its related practices. The success of LED and its related activities, inclusive of the capacity building aspect of it, is enormously being influenced by the provisions of its enabling policies and strategies. To this end, the researcher deemed it important to take an in-depth look at these policies and strategies as it reflects on the implementation of LED capacity building interventions in the two municipalities of Stellenbosch and Drakenstein. This was achieved through the use of interviews and the analysis of some policy related documents. The data emanating from the study in this context are discussed below.

9.3.1.1 Interviews

According to Patterson (2008:40) the national LED policy recognises the importance of local government in facilitating LED at local levels. The challenge there, however, is that very little capacity, competence and understanding of LED exists. Moreover, although the policies exist, there are no implementation guidelines for local municipalities to follow. Stemming from this backdrop, the participants were asked amongst other things on the existence of any LED enabling policy framework or strategies that guide the content and delivery of LED training in the municipalities, and to express their views on how the policy and strategy are being implemented in their municipality. The data emanating from the interviews reveals the following sub-themes: policy and strategy implementation; availability of policy and strategy; clarity of policy and strategy; policy and strategy design.

Policy and strategy implementation

The interview revealed that 16 of the 18 responses received commented on the policy and strategy implementation of LED in local municipalities and were aware of a missing link between the existing policies and strategies on LED and its implementation by the LED key stakeholders. This was epitomised by comments made by some of the participants such as “You may have the vision but when it comes to implementation it is difficult, some of these municipalities are getting it right to be here and there, some of them are still” [P2, 3:3]. This findings is consistent with Patterson (2008:11) that LED is not yet well embedded in municipal practice. As Abraham (2003:186) bluntly argues, LED planning has also brought in a degree of confusion among local government officials in terms of its effective implementation as the local government officials have had difficulty in translating these approaches into effective and meaningful LED implementation in their localities. Thus Rogerson (2010b:491) asserts that as municipalities lack capacity to monitor the quality of these strategies, there is a cumulative trend towards the production of low-quality LED plans marked by a project focus, unrealistic targets, an inability to identify the drivers of local development and poor implementation. In addition, Lawrence and Hadingham (2008:44) question the ability of key personnel holding strategic LED portfolios to negotiate and strategise with the often intimidating private sector, who are big stumbling blocks to the effective implementation of LED initiatives.

Another area of concern is the post training follow up that is not being carried out in the municipalities to ensure the application of skill in the workplace. Four participants commented on the lack or non-existence of follow-up on LED training for municipal staff and LED portfolio councillors. SALGA, as reported by one of the participants, tried to introduce a SALGA mentorship and coaching framework at the skill development forum for Skill Development Facilitators in municipalities, but failed to succeed. Again as one of the training service providers has reported during the interview, no emphasis is being put on training follow up and support as it's not necessarily budgeted for in training.

However, two of the participants (P1 and P9) are of the opinion that a kind of follow-up does happen in some of the municipalities as they tend to ensure that there is the returns on money spent by the municipality on staff training.

Additionally, the interview data also revealed the act of non-compliance practices of the municipality to the municipal Systems Act, 2000 in terms of staff performance management systems. It was found that the performance management system as envisioned in the municipal system Act is not operationalised in the municipalities.

Another participant commented on the political influence on LED policy and strategy implementation. The participant revealed that what needs to be done as far as LED is concerned tends to be politically motivated. However, Participants (P3 and P4) revealed that SALGA does carry out LED maturity assessment at municipalities to assess their level of understanding and involvement in LED projects.

Clarity of Policies and Strategies

The interview data revealed that 4 of the participants seemed to be confident with the available policies and strategies for LED capacity building for municipal staff. However, ten out of the twenty participants who participated in the interviews mentioned that there is no clarity of LED strategy especially when it comes to capacity building for municipal staff. This is quite consistent with the echo made by Rogerson (2011:157) that there is enormous duplication of tasks between various stakeholders in relation to LED processes and one outcome of this duplication of tasks is problems of coordinating the contributions of different LED stakeholders. Thus Meyer-Stammer (2003:4) critically argues that LED in South Africa tends to be confused and highly selective and in compounding this problem with the limited capacity and experience

local governments tend to have in terms of promoting economic development, it is unlikely that LED will make much of a difference.

According to Tomlinson (2003:49) LED is clearly poorly understood and the divergence of views held by DTI and DPLG has translated into a very poor understanding of what LED is. In other words, LED in its operations, can either have a 'pro-poor' focus (i.e. seeking poverty alleviation) as encouraged by the Department of Provincial and Local Government, or a 'pro-growth' focus (i.e. seeking economic growth), as encouraged by the Department of Trade and Industry. These two conflicting paradigms have been pulling in different directions (Tomlinson, 2003). To this end Abraham (2003:186) argue that LED planning has not only brought along with it renewed hope and energy to deal with ailing and stagnating local economies but also a degree of confusion in its effective implementation as the local government officials have had difficulty in translating these approaches into effective and meaningful LED implementation in their localities. Moreover, Patterson (2008:4) argues that most policy papers are characterised by this tension between those two paradigms and try to bridge these tensions in various ways. Lastly, even though the National Framework for LED has provided guidelines to localities, there has not been a clear policy mandate from the national level of government with regard to LED. In particular national government has not been able to provide guidelines to assist localities to achieve a balance between a competitive and a poverty focus in LED strategies. With this lack of clarity from the national level it is not always clear to local authorities on the issues they should prioritise on for LED planning, slowing the progress of LED (National Treasury, 2013:24).

One of the participants acknowledged that it's not an easy task to determine the needs requirements for LED training in the municipalities. He commented that "local economic development has not been identified correctly in this country and there is different perspectives of what LED is and different perspective of how really it should happen based on those schools of thought training programme are designed" .The latter correctly shared the same view with Hofisi, *et al.* (2013:593) as they argue that the conceptualisation of LED is theoretically unclear, underdeveloped and further erodes the capacity of municipalities to successfully conceptualise and implement strategies for LED. National policies, as pursued by the Department of Provincial and Local Government (now COGTA) and the Department of Trade and Industry in

particular, are based on conflicting paradigms and have been pulling in different directions (Hofisi, *et al.* (2013:593).

Policy and Strategy Design

Hofisi, *et al.* (2013:593) argues that the conceptualisation of LED is theoretically unclear, underdeveloped and further erodes the capacity of municipalities to successfully conceptualise and implement strategies for LED. Similarly, the Local Government Turnaround Strategy refers to a myriad of problems facing local government which amongst other things include the model of local government; policy and legislative factors; weaknesses in accountability systems; and capacity and skills constraints (Cooperative Governance and Traditional Affairs, 2009). In a related development, Rodriguez and Tijmastra (2009:52) echoed that such policies do not match local capacities very well and as a result territories have failed to use them to their full advantage.

The interview data revealed that six of the participants believe that there are flaws in the enabling LED policy and strategy for skill development of municipal staff. Stemming from a comment made by one of the participants, “South Africa is in such a complicated legal framework for local government, but eeh, it is very difficult to take examples from other nation and transfer them here” [P4, 28:28], it suffices to reinforce latter with the assertion made by Blakely and Bradshaw (2002:39) that though national LED policies and strategies can improve the general development prospects within the country, they do not address the problems of specific territories. Where national development policies do target a specific region or locality, they are often focused on improving infrastructure or diverting economic activity away from one area in favour of another.

9.3.1.2 Document Analysis

The policy and strategy related documents on LED with particular focuss on Capacity building that were reviewed, generated thses sub-theme, namely, policy and strategy as discussed below

Availability of policy and Strategy

According to Nussbaum (2011:9) the capabilities approach aspires an urgent task to the government and public policy to improve the quality of lives for all people as defined by their capabilities, thus policies are evaluated according to their impact on people’s capabilities. Besides the interview data, a total of ten documents were reviewed. Thus

four out of the ten documents reviewed in this study reveals the existence of capacity building frameworks and strategies for municipalities.

In addition, two of the ten documents revealed the roles of the stakeholders in skill capacitation of municipal staff for local economic development. As indicated by these extracts from the National Capacity Building Framework, the NCBF encourages an integrated approach to individual, institutional and environmental support, capacity building and training for improved success in addressing gaps / needs and / or challenges identified towards achieving sustainability in the functionality, performance and delivery of services by municipalities (COGTA, 2012:2).

The documentary report of this study revealed that within the legal framework of the Municipal Systems Act, the Cape Winelands district municipality developed a performance management system policy document. This policy document provides a framework for the initiation, development, implementation, reporting and rewarding of performance management within the municipality. The policy framework also offers the municipality a platform to implement, assess, monitor, measure, review, manage and reward performance throughout the municipality (CWDM, 2012: 49). However, what remains to be seen is the effective implementation of the framework.

9.3.2 Training Resources

All training projects involves the use of resources. Resources supply are always limited and therefore projects tends to be constraint due to lack of resources. One of the cogent questions that needs to be asked here is, to what extent are these resources available for the two municipalities (Stellenbosch and Drakenstein) to conduct LED training for their staff? The plausible answers to the afore-mentioned question could be deduced from the various data generated from the interviews and the reviewed relevant documents in conjunction with the underpinning theoretical framework of this study as discussed below

9.3.2.1 Interviews

The interviews held with key LED Stakeholders in the two municipalities generated the following sub-themes: Training funds available; Lack of capacity; Available facilities; and funds difficult to access. Each of these sub-themes are discussed below.

Training funds available

As Xua (2007:120) correctly acknowledges funding sources for LED are not scarce as various national and international entities have committed funding, targeting support for local development initiatives and that there are a range of funding sources for LED activities, including the DBSA LED Fund, national sector support from various government departments, the Municipal Infrastructure Grant, the Neighbourhood Development Partnership Grant, local governments own revenue and equitable share funds as well as donor funding. When the participants were asked about the sources and the availability of funds for LED capacity building training in the municipalities, 11 of the 20 participants believed that there are resources available for training of municipal staff through the municipality's own budget and grants from the LGSETA. As revealed by the interview report, it is obvious that the municipalities have to prepare their own budget for training and could access funds through the mandatory, discretionary and pivotal grants on the submission of the Workplace Skill Plan annually to the Local Government Sector for Education and Training (LGSETA).

Besides the municipal budgets and grants from LGSETA, one of the participants mentioned that there are other providers/sponsors of capacity building training for LED in the municipalities. For example, DTI, CENLED, BGRV of which most of them fund their own training. Drawing from the data emerging from the interviews and the contemporary literature by Xua (2007) as presented above, it can be deduce that there seems to be valid sources to acquire funds for LED staff training in the two municipalities. This assertion is further buttressed in (Nel, Hill & Goodenough (2007:37) that a well-resourced municipality is able to effect many of its identified LED strategies

Lack of capacity

As equally identified by Rogerson (2010b), one of the strategic challenges hampering the effective implementation of LED in the municipalities is lack of capacity at local government level; lack of funding for LED; ineffective LED methodologies for planning and poor coordination of networks. Hindson (2003:4) argues the same point, that the results from LED have generally been disappointing with capacity and resource constraints being the key hindrances in many local authority areas. Thus limited capacities of LED staff have the consequence that many smaller municipalities 'focus on compliance with statutory requirements rather than attempting to proactively

manage economic opportunities that could have widespread local impact' (Lawrence & Hadingham, 2008:45).

The interview data revealed the comments of eight participants who believe that there is lack of knowledge capacity in the local municipality. A Councillor in one of the municipalities believed that one of the major problems of not having funds for LED training in the municipality is the lack of knowledge on how to access the fund. According to (Maserumele, 2008 and Kanye, 2006), the result on the empirical studies on municipalities' skill challenges for accelerated service delivery in South Africa revealed that municipalities in South Africa are generally in crisis which is a clear case of a capacity gap that necessitates a skill revolution. In addition, Davids and Esau (2012:82) reinforced that the shortage of skills and its negative impact on the ability of the state to fulfil its constitutional mandate in many respects have emerged as contributing factors to the waves of service delivery protests (Good Governance Learning Network 2008: 84). However, Rodriguez and Trimstra (2005: 6) point out that lessons that seem to be emerging from the South African experience are in many ways similar to those found in other parts of the world. Issues that are also common within LED projects in the North, such as internal constraints, lack of local resources and skills, have been found to have an effect on the success of LED strategies in the Sub-Saharan African context too. In addition, Xua's (2007:120) personal experience in working in a municipal LED unit points to a lack of understanding of the local economy (mainly due to unavailability of reliable data), understanding of what LED is, what it should focus on, and how it relates to the work carried out in other municipal departments (SALGA, 2010). Stemming from the empirical study, comments from four of the participants lamented on the lack of adequate knowledge of LED in the municipality. "You can quickly find out that they don't know what LED supposed to be doing and don't know what their functions are." [P5, 36:36] and as such "most of the municipalities do not do their training needs properly" [P19, 6:6]. Thus Rogerson (2010b:491) argues that what usually pose a challenge is 'what is being funded' and 'how the funding is structured'. Put simply, Sibisi (2009 as cited in Rogerson, 2010b:491) asserts that while the arguments that LED is an 'unfunded mandate' no longer have credence, limitations remain in access to development finance, especially outside the more well-resourced metropolitan municipalities, many of which can access finance from commercial markets. Smaller municipalities struggle to access available sources of funding 'due to internal capacity constraints whilst their credit

rating and weak revenue base bar them from accessing standard concessional loan instruments' (DBSA, 2008:3).

However, one of the participants remarked that there are some municipalities that are not all that in the dark as far as LED is concerned as indicated in comments made by the mayor "We all know what LED is and the way in which it is successfully implement but we all know what the goals and the set goals of government and ourselves and everybody is in terms of local economic development" [P10, 6:6]

Facilities Available

Data emanating from the interview of three of the participants revealed the existence of municipal training centres or venues as indicated by such comments as "What we do is that we've developed a relationship with the municipality, we decentralize the training and they supply us with the venue" [P4, 78:78]. However, the conditions of the municipal staff training centres and its roles in enhancing the efficacy of training in the municipalities could be another focus area to be researched.

Funds Difficult to Access

The nightmare of inaccessibility of funds has been a major stumbling block for especially local authorities who struggle for funds due to limited internal capacity constraints, which generally affects their credit rating and weak revenue base, and bars them from accessing standard concessional loan instruments (DBSA, 2008:3; Hofsi et al.2013:594). According to Hofsi *et al.* (2013:594) it's worrisome that the funds available at local and national level are insecure. In the same vein, Patterson (2008) has also maintained that in general LED has few secure funding sources and the municipalities tend to find succour from charitable donations and public grants. Thus giving credence to local and international non-governmental organisations or donors as significant actors for many local authorities in terms of either accessing or making available direct funding for local development initiatives (Rogerson, 2010a in Hofsi *et al.* 2013:594). Consistent with the theoretical framework of this study the interviews revealed that seven participants acknowledge that though the fund is available the ease of access is problematic as indicated by comments such as "um yeah, look, there are a lot of training fund available, but to access the fund and to access it in the time frame that you are given it is not always aligned, it is a challenge" [P4, 75:75]. One of the participants described the process in his comments as: "If there is an application you pray and hold your breath and hope you get the money (loud laughter), that is

basically how it works” [P4, 67:67]. This same view is being shared with participants [P5, P6, P8 P9 and P19] as indicated by their comments

“We deal with WSP the workplace skills plan being submitted on the 30th of April every year. “But the hiccup is for the discretionary grant for where they use their discretion for, what they give [P8, 38:38] and because it is difficult to access “most municipalities actually lose out four months of the year training that is besides the time frame you have to advertise. “There is no specific time periods in terms of saying by this time I will be disbursed this amount of money. Sometimes you apply for funding and you know, once the financial year end and you find out that you receive the money that was set to actually implement within the financial towards the end and now you left with this amount of untrained and you have to reapply in another financial year” [P9, 25:25]. From the municipalities’ perspectives, “there are certain processes or administration that is not going smoothly within the SETA itself and it really needs attention in terms of their specific periods on when they have to disperse the money to the Municipalities”[P9, 26:26]. In addition, participant [P10] commented that “in addition to that the LGSETA is currently under administration so they don’t pay up the money. So it sits on our budget and makes it practically difficult for us that we can’t offer the course” [P10, 100:100].

However, one of the participants [P19] from LGSETA acknowledged that the problem of training funds delay is due to non-compliance problems emanating from some of the municipalities as indicated in her comment, “one of the problems is that some of the municipalities always fall behind in meeting the requirement for grant in terms of submitting the necessary documents. I can tell you that some of the municipalities do not have the data base of some of the information required by the SETA” [P19, 6:6].

9.3.2.2 Document analysis

The analysis of some policy and strategy documents on LED framework, National capacity building frameworks, LGSETA grants and LGSETA annual reports forms parts of the ten documents that were reviewed for this study. Therefore the following two sub-themes were generated, namely, resources available and lack of capacity as discussed below.

Training funds available

Four of the documents reviewed emphasised that municipalities are envisaged to play a connector role in respect of LED whereby they draw on resources locked in a range of different government support instruments into their localities. For example, municipalities can draw on the support of the Sector Education and Training Authorities (SETAs) to address skills development in their areas (Department of labour, 1998; COGTA, 2005; LGSETA, 2012; CWDM, 2012;).

Lack of capacity

In addition, data from the national capacity building framework, one of the documents reviewed in this study, equally revealed the inefficacy of municipal staffs to prepare suitable WSPs and implement learnerships [P25, 127:159].

9.3.3 Enabling Workplace Environment

It is argued that the kinds of management policies pursued within the organisation in terms of allocating resources, the training opportunities they provide and the participatory process they set up, organisations act as a conversion operator of resources into capabilities of individuals in the organisation (Lambert & Vero, 2010; Zimmermann, 2006). In order to evaluate the extent to which the employees' workplace environment shapes the effectiveness of LED capacity building interventions from municipal staff in Stellenbosch and Drakenstein, this study applies diverse ideas, bringing together triangulating research methods and data sourced from the municipal authorities in the two municipalities through the processes interviews, pre and post-training survey and post-training transfer survey.

9.3.3.1 Interviews

Stemming from the interviews conducted with municipal authorities, emerged the following sub-themes: Limited supports; Lack of Motivation; poor procurement (implementation); Limited opportunities to progression; Working in Silos; Opportunities to practice and work pressure, Each of these sub-themes are below discussed in detailed.

Limited supports

According to Matovu (2013:13), most of the training programmes are supply-driven in the sense that in most institutions, there is no effort to involve client organisations in training needs assessment nor are there resources to enable training institutions to

undertake post-training evaluation to gain ideas on the impact of their training programmes on the client organisation.

Some researchers have identified manager supportive behaviours such as discussing new learning, participating in training, providing encouragement and coaching to trainees about use of new knowledge and skills on the job as salient contributors to positive transfer (Burkes & Hutchins 2007:281; Ismail, *et al.*, 2010:32). Similarly, Hua, Ahmad and Ismail's (2009) investigation on the relationship between a supervisor's role in training programmes, and the transfer of training in four East Malaysian local governments shows a positive and significant relationship between the supervisor's role in training programmes and the transfer of training. The results of this study have several possible implications for increasing the application of trained skills to the workplace. Enrolling employees to attend programmes in a non-supportive working environment may waste training funds. According to Goss and Coetzee (2007) a common thread through all successful project components was a focus on directly supporting and mentoring individuals. This was demonstrated by Hua, Anmad and Ismail ((2011), who found the ability of supervisors to allocate sufficient guidance and time to apply training resulted in positive transfer of training among 706 employees in the East Malaysian city-based local governments. In a related development study Bhatti, *et al.* (2013: 667) found that supervisor support positively influences transfer motivation and indirectly influences the training transfer.

In consistent with the theoretical framework of this study the interview data revealed that ten of the participants acknowledged the imperativeness of having a follow-up on training. Six of the ten participants further acknowledged that there has never been any follow-up on any training in their municipality as the municipality doesn't put emphasis on training follow-up and support. It was found in the study that SALGA had tried to introduce a mentorship and coaching programme at the Skill Development Forum for all the Skill Development Facilitators from the municipalities, unfortunately it did not worked.

However, three participants also acknowledged a limited practice of coaching and mentorship in the municipalities in the form of apprenticeship in the municipalities.

Lack of Motivation

Capacity development initiatives are successful where there is attention paid to performance and results, provided further that the overall balance of incentives and power are change oriented (Boesen & Therkildsen, 2004: 7). According to Burke & Hutchins (2007: 265), one of the more enduring conceptualisations in the psychology literature is that an individual's ability and motivation affect performance.

Drawing from Bandura's (1997) expectancy-value theory of motivation, learners will have no motivation to participate in a learning experience without the belief that change is possible.

The interview data revealed that five of the participants embraced the importance of motivating their workers. All five participants acknowledged that there is no incentive scheme in place in the municipality to motivate trainees to apply what they learnt in training at work. One of the participants reported that the Performance Management System in their municipality is not fully operational.

Poor Procurement- implementation

It suffices to mention here that the theoretical framework of this study provides that LED depends to a large extent on a municipality's SCM system and the manner in which it is introduced based on the SCM policy (Visser, 2009). According to the DBSA (2010) one of the challenges in municipalities is non-compliance of supply chain management and procurement processes. In addition, the study conducted by Migiro and Ambe (2008) to evaluate the extent to which the supply chain management (SCM) practices are being implemented in local municipalities revealed an 82% non-compliance to SCM guidelines and policies in the SCM practices of the Central District Municipality and its local municipalities in the North West Province. Thus it can be deduced from the theoretical perspectives that the non-compliance to SCM practices could result in inappropriate procurement of trainers for LED training in the municipalities.

Four of the participants acknowledged the problem of procurement as an impediment to the capacity building project by virtue of its slow process and the bureaucratic protocol in municipalities. These participants shared the same view with Ambe and Badenhorst-Weiss (2012:251) who argue that demand management is integral to the SCM process and it defines the decision-making process that allows departments to procure at the right time, at the right place and at the right cost (National Treasury

2004:25). However, many government entities are still faced with the challenges of improper planning and linking demand to budget (Ambe & Badenhorst-Weiss, 2011).

Limited opportunities to progression

According to Maserumele (2008:440), contemporary studies show that most municipalities in South Africa do not fare well in their attempt to assert themselves as developmental local governments. This limited perceived success of LED in South Africa has meant that its career path lacks credibility, with the consequence that it is associated with low-level staffing and high turnover, especially outside the larger metropolitan areas and cities. According to Rogerson (2010b) the practice of LED in many municipalities becomes either a 'dumping ground' for ineffective officials or only a stepping stone for competent local government personnel because of LED's constrained career prospects. Rogerson (2009:63) argued that overall, there is an absence of professionalism in LED because of its poor career prospects, with the result that LED does not attract or retain the sort of officials who might be able to combine business skills with public sector skills and that only rarely is LED located in its own department, often operating within a wider unit such as planning and community services. In addition, SALGA (2010) asserts that municipalities have poor skills bases, lack of training and career paths and that certain municipalities are battling to recruit the requisite skills due to a lack of response either to not being able to afford the salaries or attract those skilled individuals to their (sometimes rural) localities. However, it is necessary to provide attractive career paths and associated incentives for municipal staff (SALGA, 2010).

The report emanating from the interviews revealed that three of the participants acknowledged that there is no formal performance management system and career planning in their municipalities. One of the participants revealed that the performance management system in their municipalities at this point in time is only catering for senior management but it is hoped that it will flow down to other employees in due course. Consequently, one LED Portfolio Councillor in one of the municipalities acknowledged that due to the limited opportunities to career progression in their municipality, as staff get qualified through training, they move out for a better career elsewhere. However, one LED manager advised that promotion should be taken as a means to an end of training in the sense that in his own capacity he attended the

training not just necessarily to be promoted but to gain the requisite knowledge and understanding of what is LED, and all that is expected of him as an LED officer.

Working in Silos

According to SALGA (2009:51) some of the key issues beyond the municipality is that LED remains poorly defined or understood. Limited alignment, integration and cooperation between district, local and/ provincial initiatives, LED is often not given the political weight and attention it deserves as one of the key priorities of government. There is also very little reporting and M&E in place to provide any kind of feedback and support along with the inability to identify 'real' economic opportunities and to establish or maintain partnerships with stakeholders. Thus Rogerson (2010b:491) argues that lack of networks reinforces a lack of awareness in poorer municipalities of the range of funding opportunities are available to them and this lack of awareness is worsened by the complexity of available funding mechanisms, such as those available through the DTI. The DBSA (2008:4) stresses the importance of enhancing institutional strength for LED through building associated networks which can facilitate a more structured sharing of tools, documentation of good practices and development of guidelines' (Salazar-Xirinachs, 2008: v). Concomitant to the aforementioned, the interview report revealed that LED is not fully integrated with other functional departments in the municipality. LED practices are confined to the LED units in the municipalities. Based on the report, six participants believed that the LED department tends to be working in silos and not completely fused or present in other departments in the municipalities. Participants acknowledged that there is no training which teaches every department in the municipality how to integrate their functions. However, one director from COGTA assures that guidelines will be developed on the mainstreaming of LED across the municipality and a strong monitoring and evaluation system will be developed to monitor progress.

Opportunities to practice

Some research studies have found that positive transfer is limited when trainees are not provided with opportunities to use new learning in their work setting (Gaudine & Saks, 2004; Lim & Morris, 2006). Drawing from the study of Nikandrou, Brinia, and Bereri (2009:265) as well, people who believe and know in advance that they will not have any opportunity to apply their new skills did not transfer their training to their work.

According to Raliphada, Coetzee and Ukpere (2014:750), there is a high correlation between learning transfer and opportunity to practice.

The interview report revealed that on completion of the training most of the trainees were not given the opportunity in the workplace to put what they have learned in the training into practice.

Work pressure

Waller (2012) found that time may be one of the biggest barriers to the application of learning. It was reported that when employees return to work, pressure of heavy workloads made it difficult to find time to try out new ways of working. Thus Raliphada, Coetzee and Ukpere (2014:750) assert the time necessary for employees to reflect on what they have learnt and that a good mental space and less distractions at work improves the probability of learning transfer. However, from the report derived from the interview, one of the participants acknowledged that his supervisor did not help him to ease the pressure of work while he was away for training. Upon his return, there was a backlog of work with encroaching deadlines waiting for him to carry out to the extent that he didn't have time to do and hand in his assignment.

9.3.3.2 Pre and Post survey

The data emanating from the pre and post survey that was carried out to obtain the views and comments of the trainees just before and immediately after the training session emerged the following two sub-themes: Limited supports and Limited opportunities to progression as discussed below in detailed.

Limited supports

The data from the survey also revealed the overriding importance of training follow up as a possible determinant variable for application of training in the workplace. When the participants were asked about the strategies that could be used to overcome the barriers of training transfer, 100% of the respondents to this question believed in the overarching need for mentorship, coaching and peer support as reflected in their comments: "I want them to coach me and consider the resources" [P36: Case 8]; "better management, job creation, assistance and coaching" [P37: Case 9]; "We need such as "resources, stakeholder buy in and mentorship" [P31 Case 3, 23:23].

Limited opportunities to progression

Drawing from the data emanating from the survey, the participants believed that there were limited career opportunities to progression in the two municipalities in question. When the participants were asked “On completion of your training, is there any possibility of being promoted at work”? Though 46% of the respondents [P30: Case 2, P31: Case 3, P33: Case 5 and P43: Case 15] believed that they would not be promoted, 46% of the respondents attested that there could be opportunities for promotion in their municipalities, 36% of the respondents believed there is no opportunities, while the remaining 18% reported that they were never promised.

When the participants were asked the subsequent survey question “If not what would you do after the completion of your training?” [SQ4] only four participants responded to this question. Two of the participants [P32: Case 4 and P45: Case 17] acknowledged that they would leave the municipality as indicated in such comments as “I will update my CV and try to find a better job” [P45: Case 17]. The other two participants stated that they would do what they need to do to gain experience and wait for opportunities as indicated in one of the comments, “I'm going back to my work and wait if there are an opening for this work, I'm going to apply for the job” [P40: Case 12].

Limited opportunities to practice

The survey data revealed that when the participants were asked about the barriers or issues that may prevent the application of the skill that they've learned in training into their job [SQ3], 36% of the respondents [P31: Case 3, P36: Case 8, P37: Case 9, P40: Case 12 and P41: Case 13] declared that the issue was not being given the opportunity to apply what they had learnt in training.

Furthermore, the participants were asked the survey question in terms of on completion of the training, if they would feel de-motivated if not allowed at their workplace to use what they had learnt in the training? Majority of the participants who responded to this particular question affirmed that they would be de-motivated if not allowed to use their acquired skill in the job place. Participant [P43: Case 15] expressed the discontentment about his situation as thus “I already did a trade test and passed still not allow me to practice what I learned in the workplace and training. I already agreed not to do my national certificate in plumbing, building science, building drawings. [P43: Case 15]. This empirical revelation is again in concomitant with the study of Nikandrou, Brinia, and Bereri (2009:265) as well, people who believe and know in advance that they will

not have any opportunity to apply their new skills did not transfer their training to their work.

9.3.3.3 Post – Training evaluation

The post-training transfer survey that was carried out six months later (after the training) aims to obtain the views, comments and experience from the trainees and their supervisor as to what could promote or impede the transfer of their newly acquired skills into their operational activities. The ensuing discussions are focussed on the data that were generated from the survey.

9.3.3.3.1 Supervisor

The underpinning conceptual framework of this study amongst other things argued that one area in training research that has continued to elude practitioners and researchers is enhancing the use of trained skills back on the job (training transfer) Burke and Hutchins (2007). The paramount concern of organisational training efforts is the extent to which the learning that results from a training experience transfers to the job and leads to meaningful changes in work performance (Goldstein & Ford, 2002). To achieve this, two sets of post training evaluation instruments were utilised in the study. One set for the trainees or participants and the other set for their supervisors.

Supervisory support is often defined as the extent to which supervisors encourage employees to attend training and apply the training on the job (Switzer, Nagy & Mullins, 2005). Karatepe also found this in his study to investigate the inter-relationship of job commitment, supervisor support and desirable job outcomes. The results suggest that supervisor support is critical to fostering a sense of commitment and ownership in employees, with the result that employees can handle difficulties associated with their jobs effectively and do not have intentions to leave the organisation (Karatepe, 2014:395). For the purpose of this survey, the following sub-themes emerged from the data obtained from the Supervisor's survey: *Management recognition of job skill application; Supervisors discuss potential barriers to LED skill and knowledge job application; Peer recognition of job application of newly learned skill; Participants discuss problem of skill and knowledge application; Supervisors discuss with participants action plan on skill and knowledge job application; Supervisor provides follow up coaching; Supervisor provides recommendation for promotion; and LED*

trainer provides follow up support. Each of these sub-themes are discussed below in detail.

Management recognition of job skill application

Extant literature reveals that organisational support increases employees' satisfaction and commitment (Ng & Sorensen, 2008) and is reciprocated by employees' feelings of obligation toward the organisation, leading further to increased work engagement (Salanova, Agut, & Peiro, 2005). Similarly, employees who perceive high levels of organisational support may also demonstrate their commitment through being more motivated in a training context and applying the new learning on the job (Pidd, 2004; Russell *et al.*, 1985; Tansky & Cohen, 2001). The survey data revealed that 67% of the respondents disagreed altogether with the SQ that management do recognise the application of newly acquired job skills and knowledge from training in the work place. 33% of the respondents remained neutral. Stemming from this result, one could deduce that there is a lack of management recognition of job skill application in the municipalities in question.

Supervisors discuss potential barriers to LED skill and knowledge job application

The data from the survey revealed that 33% of the participated supervisors in the survey acknowledged that they do discuss potential barriers that could hinder the trainees from the application of acquired skill and knowledge from training into their jobs. Another 33% of the participants disagreed, while the remaining 33% were neutral.

Peer recognition of job application of newly learned skill

67% of the participants responded neutral to this SQ on whether they received peer recognition for applying their newly learned skill in the workplace. While 33% of the participants plausibly acknowledged that they do receive peer recognition for applying their newly learned skill in the workplace

Participants discuss problem of skill and knowledge application(Q7)

67% of the participants acknowledged that participants do discuss problem of skill and knowledge application in the workplace, while the remaining 33% disagreed. Stemming from the conceptual framework, Chiaburu (2010:53) argues that co-workers are proximal to their colleagues, in immediate contact with them, and of equal status. Their influence on peers' work outcomes is sizeable, even when controlling for leadership

influence. Moreover, Burke and Hutchins (2008: 115) argued that support originating from peers is positioned as one of the most important emergent practices (e.g. “trainees learn best from peers through a variety of means”) of training transfer.

Supervisors discuss with participants action plan on skill and knowledge job application

The survey data revealed that 67% of respondents acknowledged that they do discuss with participants the action plan on how they would apply their newly acquired skill and knowledge from the LED training into their jobs. The rest (33%) were neutral.

Supervisory support is a multidimensional construct that consists of goal-setting activities, modelling of trained behaviours and reinforcement (Tannenbaum & Yukl, 1992). In addition, Fecteau *et al.* (1995) categorise supervisors’ support as the extent to which trainees were provided with opportunities to use the skills they had gained, make mistakes in the process and were provided with reinforcement activities to transfer the skills. According to Chaiaburu (2014:95) reinforcement activities in this context include rewards provided by supervisors on successful transfer of skills by trainees. Managers or supervisors should therefore be able to communicate to employees the purpose and importance of training, the relevance of training to their jobs and the outcomes expected (Chaiaburu, 2014:95).

Supervisor provides follow up coaching

Findings from extant studies show that the ability of supervisors to provide adequate support for example, supervisory encouragement to attend training and apply the knowledge, skills and attitude acquired onto the job and to use a comfortable communication style such as the supervisor providing clear feedback, is a major determinant of the transfer of training in the organisation (Lim, 2000). The survey data revealed that 33% of the respondents disagreed with the statement while 67% were neutral.

Supervisor provides recommendation for promotion

According to Molokane (2008) poor participation resulting from low staff morale and performance within the organisation is caused by inadequately defined career paths. Chaiaburu and Marinova (2005) suggest that contextual factors such as organisational reward structures could be used to influence aspects of the environment that are likely to deemphasise a learning orientation (and favour a performance orientation). That is,

rewards that are based on effort rather than results, such as sales quotas, may increase trainees' goals toward learning rather than just performance. The survey result revealed that 67% of the participants supervisors provide recommendation for promotion of staff on the application of skills and knowledge that then improved their performance in the work place. 33% of the respondents were neutral.

LED trainer provides follow up support

According to Matovu (2013:6) most of the training programmes are supply-driven and in most institutions, there are no resources available to enable training institutions to undertake post-training evaluation on the impact of their training programmes on the client organisation. On this note, as revealed by the survey report from this study, 67% of the respondents strongly disagreed with the statement that LED trainers provide follow-up support on training to ascertain if they are applying the newly acquired knowledge and skill in the job place. 33% of the participants were neutral in this regard.

9.3.3.3.2 Trainees

The following sub-themes emerged from data generated by the survey administered to the trainees.

Recognition on job application of skill and knowledge; I feel capable of using the skills and knowledge from LED training; Supervisor helps ease the pressure of work while on training; Supervisors provide follow-up coaching; Had sufficient time to apply newly learned skills and knowledge in the workplace; Supervisors provide recommendations for promotion for new skills application; Supervisor listened attentively to my concerns about applying LED capacity building learning; Supervisor gave positive feedback about my job performance; prior training, my supervisor discussed the objectives of the training with trainees; Supervisor reduced the job pressure after training for staff to become accustomed to using new skills and knowledge; My supervisor held follow up meetings for information sharing, problem solving, and support in applying; and Management offers some form of incentive for me to apply to the job what I learnt in LED training.

Recognition on job application of skill and knowledge

When the participants were asked the survey question about recognition of the application of newly acquired skill and knowledge in the work place, in the Stellenbosch

municipality 60% of the respondents agreed and 20% did not agree that this recognition was given but in Drakenstein 80% of the respondents agreed and 40% disagreed. This result also seems to be in agreement with the provisions of the conceptual framework of this study as argued in extant literature that employees who perceive high levels of organisational support may also demonstrate their commitment through being more motivated in a training context and applying the new learning on the job (Pidd, 2004; Russell *et al.*, 1985; Tansky & Cohen, 2001).

After training, supervisor and trainee identified potential barriers to applying new skills and knowledge (Q5)

80% of the respondents acknowledged that after training, their supervisors and themselves identified the potential barriers to the application of the new skills and knowledge in the workplace while 20% of the respondents disagreed.

I feel capable of using the skills and knowledge from LED training

The result of this question revealed that in both municipalities, 80% of the respondents felt able, after the training, to use the skills and knowledge developed in the LED training in their everyday work. However, 20% of the respondents did not feel capable of this.

My supervisor helps ease the pressure of work while on training

In Stellenbosch municipality, 20% of those who took part in the survey refuted this claim, while a majority of 80% acknowledged it. In comparison, in the Drakenstein municipality, 60% of the respondents agreed and the remaining 40% were neutral.

Supervisors provide follow-up coaching directly related to LED training

60% of the respondents in Stellenbosch municipality acknowledged that their supervisor did provide follow-up coaching directly related to LED training, 20% of the respondents disagreed and 20% remained neutral. Whilst in Drakenstein municipality, 60% strongly disagreed and 40% agreed. Again as provided in the theoretical framework of this study, supervisor support is critical to fostering a sense of commitment and ownership in employees, with the result that employees can handle difficulties associated with their jobs effectively and do not have intentions to leave the organisation (Karatepe, 2014:395).

Had sufficient time to apply newly learned skills and knowledge in the workplace

Whilst 40% of the respondents in Stellenbosch believed that they had sufficient time to apply their newly learned LED skills and knowledge in the workplace, another 40% disagreed and the other 20% remained neutral. In Drakenstein, 60% strongly agreed and 40% strongly disagreed.

Supervisors provide recommendations for promotion for job application of newly learned skill and knowledge

In the Stellenbosch respondent group 60% felt that their supervisor provided recommendation for promotion on the application of newly learned skills and knowledge on the job, whilst the remaining 40% disagreed. In Drakeinstein, 80% of the respondents disagreed, while 20% agreed to the survey question.

Supervisor listened attentively to my concerns about applying LED capacity building learning

In Stellenbosch municipality, 60% of respondents acknowledged that their supervisor listened actively to their concerns about applying LED capacity building training but 40% of the respondents were neutral on this. In Drakenstein 40% disagreed, however, whilst the rest (60%) agreed.

My Supervisor gave positive feedback about my job performance

In Stellenbosch, 40% of the respondents acknowledged that their supervisor gave positive and constructive feedback about their LED job performance, while 60% remained neutral. Whilst in Drakenstein 40% disagreed and the other 40% agreed with the remaining 20% providing a neutral response.

Before the training, my supervisor and I, discussed the objectives of the training

In Stellenbosch, 60% acknowledged that before training, their supervisor and themselves discussed the objectives of the LED training programme, 20% of the respondents disagreed, and the remaining 20% were neutral. However, in Drakenstein, 60% of the respondents disagreed as 20% agreed with the statement while the remaining 20% were neutral.

Supervisor reduced the job pressure after training for staff to become accustomed to using new skills and knowledge

The survey data revealed that 40% of the respondents in Stellenbosch disagreed with the above statement as 60% responded neutrally. 60% of respondents in Drakenstein

also disagreed with the statement whilst in comparison 40% of the respondents accorded to it.

My supervisor held follow up meetings for information sharing, problem solving, and support in applying new skills

When asked to what extent survey respondents agree or disagree with the above statement in the Stellenbosch municipality, 20% disagreed with the statement, while 40% agreed and the other 40% were neutral whilst in Drakenstein, 30% of the respondents agreed, another 40% disagreed and the remaining 30% were neutral.

My supervisor assisted in meeting the LED training goals by providing me with opportunities to apply new LED skills and knowledge

60% of the respondents in Stellenbosch agreed with the claim that their Supervisor assisted and provided them with the opportunities to apply new LED skills and knowledge in the workplace and 20% strongly disagreed but in Drakenstein 20% of the respondents agreed as 60% disagreed and the remaining 20% responded neutrally.

Management offers some form of incentive for me to apply to the job what I learnt in LED training

The survey data revealed that 40% of the respondents in Stellenbosch agreed and another 40% denounced the survey question above. The rest (20%) were neutral. Comparatively, in Drakenstein 20% agreed to the survey question, 80% of the respondents disagreed with the survey question.

9.4 Themes identified

The context presents the emerging themes and sub-themes. Some of the themes and sub-themes are consistent with those that were anticipated beforehand, whilst others emerged and added to my overall profound understanding of capacity building for local economic development. These themes and sub-themes reflect the views, comments, experiences and aspirations of major LED Stakeholders in the Cape Winelands District municipality, especially the two municipalities, vis-à-vis Stellenbosch and Drakenstein municipalities. Moreover the themes and sub-themes concisely mirrored the dimensions to which the existing training interventions could be able to build skill capacity for LED projects in the two municipalities as perceived by the key stakeholders. Thus, five main themes and twenty sub-themes emerged from the

analysis of the data. These emerging themes and sub-themes are summarised and presented in Table 8.1 (chapter 7).

9.5 Statistical Analysis of Post-Training transfer evaluation

In order for the researcher to improve his understanding of the data emanating from the two municipalities, it was important to carry out a comparative statistical analysis on the data derived from the two municipalities in terms of the trainees responses to the post-training evaluation questionnaires. To this end the responses to eight survey questions were randomly selected. These are: Survey Questions 16, 20, 23, 24, 25, 33, 34 and 41. These are grouped into two as DQ16, DQ20, DQ23, DQ24, DQ25, DQ33, DQ34, and DQ41 representing the group from Drakenstein Municipality and SQ16, SQ20, SQ23, SQ24, SQ25, SQ33, SQ34 and SQ41 for Stellenbosch municipality.

a) T-test

A t-test was used to analyse whether the two groups were statistically different from each other in terms of their responses to the survey questions. Put simply, to try and determine whether there is a difference between the two independent sample groups representing Stellenbosch and Drakenstein municipality. The use of this method becomes imperative for the study as the sample size for the study is too small to make use of more advanced methods.

Thus the mean scores of both groups were then compared using independent-sample t-tests, which is applied when it becomes desirable (as in this case) to compare the mean score for two different groups of participants (Pallant, 2013). In the analysis of an independent-samples t-test, the significance value was adjusted at 0.05. Accordingly, the difference in the scores obtained from the two groups would be considered significant if the probability value was less than or equal to 0.05 ($p \leq 0.05$). The difference would be also considered non-significant if the probability value was greater than 0.05 ($p > 0.05$). A large probability value ($p > 0.05$) indicates that the difference indicated between the two groups can be attributed to chance (Gravetter & Wallnau, 2008). The analysis for this study was performed with the aid of QI Macros Software.

The results reveal that the p-values accrued to all the responses to the survey questions by both municipalities are all above the cut-off of 0,05, except Q41 which is 0,051. Stemming from the results derived from the others, there are non-statistical difference between the perceptions, views and experiences of both municipalities as far as transfer of learned skills into the job is concerned.

In order for the researcher to rely on this statistical inference of non-significant mean difference between the two groups, a one way Anova test was carried out on the same data. The information generated by the ANOVA confirmed the statistical inference of non-significant means between the data emanating from both municipalities. The *p-values* for all the responses to the questions made by both municipalities are all again greater than 0,05. Therefore one can conclude that there is no statistically significant difference between both municipalities in the responses of both municipalities to the survey questions.

9.6 Chapter Summary

The discussions on the results generated from the study. The results generated from the comparative analysis of responses received from both municipalities were also discussed in the chapter. The results reveal that there is a non-statistically significant difference in the mean scores for the trainees' responses to the survey questions. Put simply, there is no statistical difference between the perceptions, views and experiences of both municipalities as far as transfer of learned skills into the job is concerned. The overarching ideas emerging from the study as well some useful recommendations are presented in the next chapter.

CONCLUSIONS AND RECOMMENDATIONS

CHAPTER TEN

10.1 Introduction

The principal objective of LED should be to build the economic capacity of local areas for sustainable economic development. According to Watson (2006), an essential component of community-led rural development is the ability of local people to solve their own problems. This paradigmatic shifts in development approaches as epitomised by contemporary discourses about development confer a prominent role on municipalities for localised and territorial development. The developmental role assigned to local areas of government in South Africa has led to increased constitutional responsibilities of the municipalities (Maserumule, 2008:437). According to Nel and Binns (2003:165) the new developmental role required municipalities to put in place a strategic socio-economic intervention to secure investment, encourage growth and deal with issues of social exclusion and poverty. Maserumele (2008:441) argues that for the municipalities to succeed in establishing themselves as developmental local government structures, they will need strategic, organisational, and technical capacities. The continuing challenges we face therefore, is one of ensuring that all municipalities develop the requisite capacity in order to be able to work towards the achievement of its developmental mandate. However, current experience with the implementation of LED programmes in South Africa indicates that capacity gap exist in different areas across all districts and municipalities to implement the programme (Rogerson, 2009). This Chapter summarises the main arguments and research findings of this dissertation within the framework of the identified research problems and stated research objectives identified in Chapter One. This study has attempted to determine if and how LED capacity building training in Stellenbosch and Drakenstein municipalities impacted on LED practices in the two municipalities. This final chapter therefore aims to directly answer the research question posed in Chapter One.

10.2 Research Question and objectives

The main question addressed in this study is “To what extent can the existing training interventions help to build the skill capacity for LED projects in two of the Cape Winelands local municipalities?”

In order to provide plausible answer to the research question, analysis were carried out through the use of capacity building framework on the main policy frameworks which guide the content and delivery of LED training of municipal staff as well as the extent to which municipality resources are used to undertake training in LED within the two municipalities (Stellenbosch and Drakenstein).

The answers to this research question unfortunately remains mixed. The study has shown how the two municipalities (Stellenbosch and Drakenstein) aims to improve the capabilities of municipal employees for LED through training intervention programmes. The LED capacity building strategy provides the opportunities for municipal employees to improve their technical and behavioural capabilities needed in the municipalities to render all the services required to foster LED. On the positive side, the two municipalities are making great strides in terms of the training delivery. However, there are some pitfalls such as training curriculum not accredited, training being superimposed on municipal staff and training not compatible to local needs, although there were some plausible reports on the training matching the personal goals of the municipal employees. Besides the foregoing pitfalls, there were some other obvious contextual issue that impedes on the success and sustainability of LED capacity building projects in the two municipalities. In other words, despite the emulating strides achieved by the two municipalities in training delivery, the two municipalities still remain to be well grounded in their implementation of LED strategies. They still lack the capacity to effectively and efficiently implement LED policies and strategies. However, the study found the existing LED policy and strategy to be ambiguous as there are different perspectives of what LED is and different perspective of how it should happen. The inherent flaws in the design of the LED policy and strategy were also exhumed in the study. In terms of the use of municipal resources for training, though there may be resources available for training, the municipalities lack the capacity to access it, especially the skill training grants from the LGSETA. Although trainings may be efficiently delivered, the trained staff in the two municipalities found it difficult to transfer into their jobs their newly acquired skills due to lack of enabling workplace climate.

There were limited supports in terms of post-training supports such as coaching and mentorship being carried, the staff becomes demotivated as there is limited opportunities for career progression and lack of opportunities to practice learned skills at workplace.

Lastly, the capacity building training in the two municipalities that could have been able to foster the culture of collaboration, shared value and network between the functional departments in the two municipalities failed to create the desired social capital to enhance LED practices in the municipalities. Thus, LED is not fully integrated with other functional departments in the municipality which makes LED practices in the two municipalities confined to the LED units in the municipalities. Failure within each of these parameters undeniably indicates the potential inability to reach the outcomes associated with capacity building training aims at enhancing LED in the two municipalities. This conclusion does not invalidate the promise of capacity building to transform the two municipalities into an efficient developmental agent, but highlights the importance of supportive work environment (adequacy of supports, motivations, shared values and collaborations), resources availability (accessibility of financial resources) are all critical factors shaping positive outcomes. However, the Researcher is still optimistic that capacitating the staff in the two municipalities through training remains the most effective panacea that could be used to improve the capabilities of the staff in the two municipalities to have influence over their situation and thereby boost their LED practices in the municipalities.

10.3 Recommendations

In order to implement the capacity building strategies effectively and efficiently, there is a need to change the approach in the implementation of LED at the two local municipalities (Stellenbosch and Drakenstein) so that wastage of resources can be avoided and the intended objectives and impact of the capacity building strategies are achieved. The various recommendations arising from the findings of this study are discussed below.

- To address the low staff morale resulting from inadequate implementation of performance management systems, there should be a strategy for work practices and an improved and well managed Performance Management

System (PMS) for the LG sector as contained in Draft 1 Professionalisation Framework for Local Government (2013) in both municipalities.

- A strategy should be in place to monitor and evaluate the processes, procedures and outcomes of municipal staff capacity building as proposed in the Draft 4 Revised National Capacity Building Framework (NCBF) for Local Government 2012 to 2016. The national through the provincial and district level need to coordinate capacity building interventions in the local municipalities. The two local municipalities (Stellenbosch and Drakenstein) on its own needs to develop their own capacity building strategy that embraces the culture of monitoring and evaluation of processes, procedures and outcomes of capacity projects in their municipalities. On this note, it's further recommended that Monitoring and evaluation committee should be constituted and be operationalised in each municipalities principally charged with responsibilities to oversee, monitor and evaluate the implementation and outcomes of municipal staff capacity building projects.
- To address the lack of capacity in the local municipality, a strategy should be implemented to attract and retain competent personnel to work in the municipalities, as proposed by COGTA in Draft 1 Strategy for Local Government as Career of Choice: 2013 to 2016. In order to ensure that the two local municipalities in question (Stellenbosch and Drakenstein) is able to attract and retain competent personnel to work in the municipalities, the municipalities should put in place strategies to improve Human resources and personal development practices, career pathing, talent management and succession planning and retention practices.
- Support, guidance and positive reinforcement of using newly acquired knowledge and skill should be given to employees. The two municipalities Trainees should be encouraged to freely and positively share with their co-workers what they learnt in LED training as the recognition of their good practice by their co-workers enhances the learning culture of the municipality. On this note, it's recommended for the two municipalities to set up something like "Staff forum" where municipal workers could freely share work related ideas with their co-staff.
- The operationalisation of LED should not be confined solely to responsibilities of LED units alone but should be in all other functional areas in the municipality.

There is the great need to integrate LED practices with other functional department in the two municipalities in question. A paradigmatic shift awareness campaign needs to be carried out in both municipalities to deconstruct their mentalities of confining LED practices to LED unit. The two municipalities needs to put in place a change management strategy, including communication plan.

- Developing all supervisors to become performance coaches - Supervisors could become active transfer agents in the process of ensuring learning transfer success. The ability to assist Trainees when they returned to the workplace upon the completion of a training intervention becomes an enabler of successful transfer of training.
- In order to enhance effective transfer of training in job applications, supervisors should be taught how to be supportive as well as be capable of monitoring whether the newly acquired skills are being applied correctly in the work place
- In addition, the intrinsic motivation possessed by the employees to transfer their learning should not be dampened by any barriers. Barriers to learning transfer emerges when the supervisors prevent the employees from using their newly acquired knowledge and skill when they return to the workplace. On return from their training, they should be given the time and opportunities to practice in their job what they have learnt in training. Their Supervisors should continue to motivate employees to transfer their learning.
- Trainees should endeavour to be intrinsically motivated to transfer their leaning even if they are not fully supported by their supervisors. They must remain motivated and focussed to turn their knowledge and skill into increased work performance.
- Municipalities should endeavour to comply with the supply chain (procurement) legislations. The lead time it takes to procure training service providers in the two municipalities needs to be improve upon. The municipalities needs to maintain a regularly updated database of competent and reliable training service providers.
- The two municipalities should endeavour to build in post-training follow-up into their training design and delivery. Post-training follow up helps the trainer and the municipalities to monitor and evaluate the effectiveness of training design and delivery by virtue of the job application of the newly acquired skills and knowledge by the trainees. This will help both the trainers and the municipalities

among other things to discern between what works well and what does not work well and under what circumstances. This would help to improve on the design and delivery of future training.

- The operations of LGSETA need to be overhauled to dislodge access barriers to training fund. There is an urgent needs to reform the operations of LGSETA to facilitate the processing of Workplace Skill Plans and the disbursement of training funds to the municipalities.
- Customised training and leadership development programmes for LED Portfolio councillors and LED officials (portfolio based training). One size fits all package of training for all Portfolio councillors and LED officials should be discouraged at the two municipalities. Training needs analysis should always be duly carried out to establish their skill gaps for training purposes. An operational training committee should be constituted in the two municipalities. The training committee should be responsible for determining the training requirements of the municipalities in due consultations with municipal staff.

10.4 Limitations of study

It is noteworthy to mention here that more studies, using a longitudinal methodology, are needed to examine the processes and outcomes of LED training transfer among municipal staff as this study did not allow one to examine and quantify the impact of training transfer on organisational performance. Future studies should also address this issue. Thus as a possible further study, an evaluation could be done to quantify the impacts or the outcomes of LED capacity building training for municipal staff. It could be a mixed research design study, with the objective of determining the tangible and measurable impacts of the project on local municipalities.

10.5. Final remarks

As noted in the introduction and in chapter five on method, the primary aim of this research study has been to assess the extent to which the existing training interventions help to build the skill capacity for LED projects in two of the Cape Winelands local municipalities. I would argue that the empirical evidence shows that the two municipalities have actually made great strides in their efforts to capacitate their staff to enhance the practices of LED in their municipalities. However, their efforts are being dwarfed by some endogenous and contextual variables. Whilst the endogenous variables are mirrored on the non-accreditation of curriculum on LED

training and the municipalities non-indulgence in conducting credible training needs analysis to establish the “Skill gaps” in the municipalities, the contextual variables are epitomised by issues of ambiguities in LED national policy and strategy, difficulties in accessing funds for training and lack of supportive workplace climate to enhance skills and knowledge transfer into the workplace. Amidst all these shortcomings, it’s very difficult to witness any plausible impacts of the LED capacity building trainings on the practices of LED in the two municipalities. However, the findings of this study does not per se, erodes the credibility of LED training to transform LED practices in the two municipalities in question, but highlights the imperativeness of embracing all critical factors that shapes the positive outcomes of any LED capacity building initiatives for municipal staff.

It is the opinion of the researcher that the aforementioned recommendations are practical and if implemented would result in an immediate improvement in performance outcomes resulting from changing capacity and ultimately increased project success and sustainability. It is hoped that the recommendations for this study will enable LED capacity building stakeholders in the two municipalities to understand and manage the design and delivery of capacity building training, proactively manage the contextual variables influencing learning transfer in their organisation and thus mitigate the barriers to a successful and sustainable capacity building project in the local municipality.

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APPENDIX 1 – Interview Schedule

Interview Schedule for Municipal Mayor, LED Portfolio Councillors, LED managers, LED Supervisors and Training Managers and Facilitators in the Cape Winelands District Municipality

The interviewee will be assured of anonymity and confidentiality of the contents of the interview. The interviewing schedule is composed of the following three major parts: the opening; the body; and the closing. The opening will make the interviewee feel welcomed and relaxed. It will also clearly indicate the objectives of the interview.

Finally, the opening will indicate the expected length of the interview.

The body consist of the potential questions to be asked. The closing will maintain the tone set throughout the interview and will be brief but not abrupt. Interviewers will then thank the interviewee for his or her time.

Opening

The purpose of the interview will be provided to the interviewees. Interviewees will be motivated by ensuring them that the information will be used to help improve the capacity building initiatives for local economic development in the municipalities. Interviewees will also be informed of the estimated duration of the interview.

(The interview will take about 30 minutes). Interviewees will then be asked if they understand, and requested to ask any question that they might be having.

Interview Questions

- Can you please provide me with the statistics of Local Economic Development (LED) training projects that have taken place in your municipality for the past six years?
- How often do you carryout LED training for municipal staff?
- Please tell me the average duration of your training.
- Do you have any workplace skill plan in your municipality?
- How is (LED) training for municipal staff integrated into your work skill plan?
- What types of LED skill training for municipal staff have been held in the municipality in the past six years
- How does the municipality determines the type of training to embark on
- How does the municipality determines the training participants or the criteria for selection of participants
- Who are the trainers?
- What criteria are being used for the selection of trainers?
- Is there any policy on LED training in your municipality?
- Who is funding the training?
- Is there a budget in the municipality allocated to LED Training?
- If any, what is the adequacy of the budget?
- Are there any incentives in place the municipality to stimulate participant's involvement in the training?
- Does the Municipality provide some sort of recognition for those who use on-the-job skills and knowledge from their capacity building training?
- Does the Supervisor after training, discuss with returning participants potential barriers to applying new LED capacity building skills and knowledge.
- Does the training participants on their return to the job from LED capacity building training discuss problems related to using the skills and knowledge taught in capacity building training

- How often does supervisor meet with those who participated in LED capacity building training to discuss action plans and on-the-job application of what was taught?
- How well in advance do you notify participants of LED training of their enrolment in LED capacity building training?
- How does the municipality ensures that those who participate in LED capacity building training use their newly learned knowledge in their work
- In your opinion, do you consider the LED capacity building training in your municipality to be clearly linked to participant career and/or performance objectives?
- In your opinion again, do you consider the LED capacity building training in your municipality to be clearly linked to goals and objectives of the municipality?
- Do you think that the capacity building training in your municipality realistically reflects the conditions of the job?
- Is there anything else relating to LED training in your municipality that you might wish to add?

I appreciate the time you took out of your day for this interview.

Thanks for your time.

APPENDIX 2 – Interview Schedule

Interview Schedule for LED Stakeholder (DEDAT)

- How you do identify the LED training needs of each municipality?
- If there is the existence of LED skill training support plan for municipalities (Integrated support plan)
- What type of grant is available for LED skill training for municipal staff
- How do you approve grant for LED skill training
- Sources of fund for the grant e.g from skill levies, taxes, donations, etc.
- Is there any budget for LED staff training for municipalities
- Is the available fund enough for the grant
- How are the grant disbursed
- What are the criteria for eligibility?
- What are the Monitoring & Evaluation mechanisms in place to ensure that the disbursed grant is optimally utilised.
- Do you have any training committee responsible for municipal staff training on LED?
- Mandate of the training committee, if any
- Composition of the training committee

- Determine the percentage of needs contained in the municipal support plan that are being addressed annually by the western cape department of economic and tourism
- How do you ensure that training has addressed the needs it was intended for
- How do you ensure that the training is quality assured?
- Number of LED capacity intervention at the municipalities in 2013
- Promotion of LED skill development: Number of workshops held on LED skill training for municipal staff

APPENDIX 3 – Interview Schedule

Interview Schedule for LED Stakeholder (LGSETA)

- What type of grant is available for LED skill training for municipal staff
- How do you approve grant for LED skill training
- Sources of fund for the grant e.g from skill levies, taxes, donations, etc.
- Do you have annual budget for LED staff training for municipalities
- Is the available fund enough for the grant
- How are the grant disbursed
- What are the criteria for eligibility?
- What are the Monitoring & Evaluation mechanisms in place to ensure that the disbursed grant is optimally utilised.
- What mechanisms are in place to ensure that the municipal WSP submissions for grant are quality assured? In other words, how do you ensure that the WSP reflects the actual training needs of the municipality?
- What mechanism are in place to ensure that the municipal ATR is quality assured?
- In the event of mismanagement of fund or grant on the part of municipality, what is your remedy?
- Do you have any training Board/Committee responsible for municipal staff training on LED?
- Mandate of the training Board/Committee, if any
- Composition of the training Board/Committee
- Competency of members of the training Board/Committee
- Estimate the percentage of needs contained in the municipal WSP for municipal staff LED training that are being funded annually by the LGSETA

- How do you ensure that training has addressed the needs it was intended for
- How do you ensure that the training is quality assured?
- Number of LED capacity building training for municipal staff funded in 2013
- Number of LED municipal staff trained in 2013

APPENDIX 4 – Interview Schedule

Interview Schedule for LED Stakeholder (SALGA)

- What type of support do you render to local municipality in terms of LED training
- Do you render any financial support or grant
- What type of grant is available for LED skill training for municipal staff in your organisation?
- How do you approve grant for LED skill training
- Sources of fund for your training of Councillors and municipal staff?
- Do you have annual budget for LED staff training for municipalities
- Is the available fund enough for the grant
- How are the grant disbursed
- What are the criteria for eligibility?
- What are the Monitoring & Evaluation mechanisms in place to ensure that the disbursed grant is optimally utilised.
- What mechanisms are in place to ensure that the municipal WSP submissions for grant are quality assured? In other words, how do you ensure that the WSP reflects the actual training needs of the municipality?
- What mechanism is in place to ensure that the municipal Annual Training Report is quality assured?

- In the event of mismanagement of fund or grant on the part of municipality, what is your remedy?
- Do you have any training Board/Committee responsible for municipal staff training on LED?
- Mandate of the training Board/Committee, if any
- Composition of the training Board/Committee
- Competency of members of the training Board/Committee
- Estimate the percentage of needs contained in the municipal Workplace Skill Plan for municipal staff LED training that are being funded annually by the SALGA?
- How do you ensure that training has addressed the needs it was intended for
- How do you ensure that the training is quality assured?
- Number of LED capacity building training for municipal staff funded in 2013
- Number of LED municipal staff trained in 2013
- Percentage of employees trained on LED skills in line with their personal Development Plan:

APPENDIX 5 – Interview Schedule

Interview Schedules for LED Stakeholder (CoGTA)

- Do you have any policy on capacity building for LED municipal staff?
- If yes, how does the policy or policies enhance LED capacity building for municipal staff?
- How do you implement these policies?
- . Who are the target group as far as these policies are concerned?
- What is your own assessment in terms of the target group compliance to the policies?
- How do you quality assure the target group compliance to the policies?
- How do you respond to the performance gap between policies and practices of the target group?
- Is been observed that municipal staff after being trained by the municipality tends to look for greener pastures outside the municipality as there seems to be no career path or job articulations to a higher position in the municipalities. What could your department do to redress this high staff turnover?
- What could your department do to ensure that the disadvantaged municipalities in rural areas are able to acquire adequate resources for staff training (LED)?
- What could your department do to ensure that LED practices are holistically embraced by all other functional department in the municipality rather than being restricted only to LED units in the municipalities?

APPENDIX 6 – Interview Schedules

Interview Schedules for LED Stakeholder (LED training Service provider)

- Have you ever been involved yourself in training the staff on LED?
- How do you deliver your training, the curriculum, how do you design your curriculum? Do you get input from the municipal staff or the trainee?
- Is the curriculum something that you have been using elsewhere before and did you include the inputs or contributions of the staff?
- Do you do any follow up on training?
- As you have been dealing with this municipality, have you done any training in Worcester?
- How often the municipality do make use of your service?
- When you do your training or render your services to the municipality, do they pay you on time?
- When you do your training, do you give them training manuals? Do you have training manuals?

APPENDIX 7: Pre-training Questionnaires

To be completed by the trainee before attending training/workshop

Training:.....

Date:.....

Municipality:.....

Department:.....

Duration of service:.....

Personal Objectives

What do you want to learn by attending the training?

1. _____
2. _____
3. _____

How will this learning develop your ability to do your work?

1. _____
2. _____
3. _____

On- job application

What barriers or issues may prevent the application of this skill on the job?

1. _____
2. _____
3. _____

What strategies could be used to overcome these barriers?

(Consider resources, assistance, coaching, etc.)

1. _____
2. _____
3. _____

On completion of this training, will you be de-motivated if you're not allowed to put into practice your workplace what you've learned in the training?

On completion of your training, is there any possibility of being promoted at work?

If not, what would you do after the completion of your training?

Briefly describe the process of your selection to participate in this training programme

APPENDIX 8: Post -Training questionnaire

Post-Training questionnaire

Training **evaluation**

Name (Optional): _____

Please complete this survey before you leave. Your responses will be used to evaluate this training and plan further training. Thanks for your help.

Course: _____ Location: _____ Date: _____

1. List your three main learning objectives in attending this training.

a) _____
b) _____
c) _____

2. To what extent were each of these objectives achieved?
Where your expectations have not been met, why was this?

a) _____
b) _____
c) _____

3. What did you find most useful?

• _____
• _____
• _____

4. What did you find least useful?

• _____
• _____
• _____


5. Please list at least three words to describe the style of training delivery.

6. Please rate the training in terms of the following criteria:
(circle one number only)

	Low	Medium	High
Your participation	1 2 3 4 5	6 7 8 9 10	
Your understanding of the content material	1 2 3 4 5	6 7 8 9 10	
Relevance to the content of your job	1 2 3 4 5	6 7 8 9 10	
Maintained your interest	1 2 3 4 5	6 7 8 9 10	
Trainer's knowledge of the subject	1 2 3 4 5	6 7 8 9 10	
Creation of appropriate learning climate	1 2 3 4 5	6 7 8 9 10	

7. Are there any changes you would recommend should be made to this training?

• _____
• _____
• _____



APPENDIX 9 – Post training transfer questionnaire (Trainees)



Dear Sir/Madam

I'm currently registered with Nelson Mandela Metropolitan University to do my Master's Degree in Development studies (Research). I'm looking at the role of training and capacity building within LED departments in the local municipalities of the Cape Winelands Municipalities.

You are humbly requested to spend approximately 20 minutes of your time in completing the attached questionnaire. The information you provide will be kept strictly confidential.

Thank you for your co-operation. It is much appreciated.

Yours sincerely,
Richard Douglas

TRANSFER OF TRAINING QUESTIONNAIRE: TRAINEE

SECTION A

BIOGRAPHICAL DETAILS

1. Gender Male Female

2. Age level 20 - 29 20 - 29 36 - 40 40 - 50 51 - 69

3. Highest qualification High School Technical college Tertiary Institution

4. Name of Municipality:

5. How long have you been working in this municipality?

6. Present position

7. Number of years in the position _____

SECTION B: QUESTIONNAIRE: PLEASE MARK THE APPROPRIATE BLOCK

WITH

AN “X”

LEGEND:

1. = Strongly disagree

2. = Disagree

3. = Neutral

4. = Agree

5. = Strongly agree.

	1	2	3	4	5
1. The LED capacity building training is up-to-date and aligned with current conditions of the job					

	1	2	3	4	5
2. Communication and directions during LED capacity building training are clear and adequate					

	1	2	3	4	5
3. When I use new skills and knowledge on the job that I learned in LED capacity building training, I receive some sort of recognition					

	1	2	3	4	5
4. The quality of materials and assignments used in LED capacity building training was satisfactory					

	1	2	3	4	5
5. After training, my supervisor and I identified potential barriers to applying new skills and knowledge					

	1	2	3	4	5
6. My co-workers recognize my effectiveness when I use the newly learned LED skills on the job.					

	1	2	3	4	5
7. My co-workers discuss problems related to use of the skills and knowledge taught in the capacity building training.					

	1	2	3	4	5
8. My supervisor met with me for a sufficient amount of time to discuss action plans and on-the-job application of capacity building training.					

	1	2	3	4	5
9. Supervisors ensured that work was covered while I attended LED capacity building training					

	1	2	3	4	5
10. Supervisors notified me well in advance of my enrolment in LED training.					

	1	2	3	4	5
11. I feel capable of using the skills and knowledge developed in the LED training in my everyday work.					

	1	2	3	4	5
12. The equipment, facilities and materials in my department were adequate to help me in applying newly learned LED skills and knowledge to the job.					

	1	2	3	4	5
13. My co-workers encourage me to use the skills and knowledge I learned in LED training.					

	1	2	3	4	5
14. The LED training provided me with sufficient opportunities to practice the key behaviour related to the skills I should improve					

	1	2	3	4	5
15. The content of the LED training had practical applicability to my job.					

	1	2	3	4	5
16. When I attended the LED training program, my supervisors helped to ease the pressures of work while I was off the job.					

	1	2	3	4	5
17. My co-workers praise and recognize when I use the newly learned LED skills on the job.					

	1	2	3	4	5
--	---	---	---	---	---

18. I use my newly learned LED skills and knowledge in my work.					
---	--	--	--	--	--

	1	2	3	4	5
19. The LED trainer/s provided refresher or problem-solving sessions to give a brief summary of essential concepts and discuss problems I or others encountered.					

	1	2	3	4	5
20. Supervisors provide follow-up coaching directly related to LED training.					

	1	2	3	4	5
21. LED capacity building trainers create an environment that is conducive to learning					

	1	2	3	4	5
22. Supervisors praise or reward those who demonstrate that they have effectively applied on-the-job what was taught in LED capacity building training.					

	1	2	3	4	5
23. Supervisors authorised release time or altered work schedules to encourage my participation in LED capacity building training.					

	1	2	3	4	5
--	---	---	---	---	---

24. I had sufficient time to apply my newly learned LED capacity building skills and knowledge in the workplace.					
	1	2	3	4	5
25. Supervisors provide recommendations for promotion to those who demonstrate on-the-job LED capacity building training application.					
	1	2	3	4	5
26. I saw a clear link between the LED capacity building training and my career and/or performance objectives					
	1	2	3	4	5
27. I feel the skills and knowledge I learned in LED training will help me do my job better.					
	1	2	3	4	5
28. The LED capacity building trainer/s expressed a personal interest in me and the other trainees.					
	1	2	3	4	5
29. I have helped support my co-workers in the application of LED capacity building training practices.					
	1	2	3	4	5
30. The LED capacity building trainer/s was/were easy to understand.					
	1	2	3	4	5
31. I know of work situations to which I can apply what I learned from my LED capacity building training.					

	1	2	3	4	5
32. Supervisors arranged to minimize disruptions from work that might have intruded on my LED capacity building training.					

	1	2	3	4	5
33. My supervisor listened actively to my concerns about applying LED capacity building learning					

	1	2	3	4	5
34. The LED capacity building training significantly contributed to my job effectiveness.					

	1	2	3	4	5
35. There was a good balance between trainer input (lecture) and participant input (involvement via discussion and group activity/practice sessions).					

	1	2	3	4	5
36. I and my co-workers provide feedback to one another about the value and usefulness of the LED capacity building training					

	1	2	3	4	5
37. The LED capacity building trainer/s provides follow up support after training.					

	1	2	3	4	5
38. The LED capacity building training was well planned and organized.					

	1	2	3	4	5
39. My supervisor gave positive and constructive feedback about my LED job performance.					

	1	2	3	4	5
40. The LED capacity building training realistically reflected the conditions of my job.					
	1	2	3	4	5
41. Before training, my supervisor and I discussed the objectives of the LED training program.					
	1	2	3	4	5
42. My supervisors reduced the job pressure on my return from LED training so that I could take time to become accustomed to using new skills and knowledge					
	1	2	3	4	5
43. The relevance of the LED training to my job was well demonstrated					
	1	2	3	4	5
44. My supervisor held follow-up meetings at periodic intervals for information sharing, problem solving, and support in applying					
	1	2	3	4	5
45. I identified work situations where the application of newly learned LED skills and knowledge was useful.					
	1	2	3	4	5
46. My supervisor assisted in meeting the LED training goals by providing me with opportunities to apply new LED skills and knowledge.					
	1	2	3	4	5
47. Management offers some form of incentive for me to apply to the job what I learned in LED training					

	1	2	3	4	5
48. Physical facilities for the LED training activities that I attended were adequate					

	1	2	3	4	5
49. My supervisor asked me or others to freely and positively share with our co-workers what we learned in LED training					

	1	2	3	4	5
50. The LED capacity building trainer/s was/were well prepared and helped me understand the sequence and time allotted to each topic					

Thank you

APPENDIX 10 – Post training transfer questionnaire (Supervisors)



Dear Sir/Madam

I'm currently registered with Nelson Mandela Metropolitan University to do my Master's Degree in Development studies (Research). I'm looking at the role of training and capacity building within LED departments in the local municipalities of the Cape Winelands Municipalities.

You are humbly requested to spend approximately 20 minutes of your time in completing the attached questionnaire. The information you provide will be kept strictly confidential.

Thank you for your co-operation. It is much appreciated.

Yours sincerely,
Richard Douglas

TRANSFER OF TRAINING QUESTIONNAIRE: SUPERVISOR

SECTION A

BIOGRAPHICAL DETAILS

1. Gender Male Female
2. Age level 20 - 29 20 - 29 36 - 40 40 - 50 51 - 69
3. Highest qualification High School Technical college Tertiary Institution
4. Name of Municipality:

5. How long have you been working in this municipality?

6. Present position

7. Number of years in the position _____

SECTION B: QUESTIONNAIRE: PLEASE MARK THE APPROPRIATE BLOCK WITH AN “X”

LEGEND:

1. = Strongly disagree

2. = Disagree

3. = Neutral

4. = Agree

5. = Strongly agree.

	1	2	3	4	5
1. The LED capacity building training is up-to-date and aligned with current conditions of the job					

	1	2	3	4	5
2. Communication and directions during LED capacity building training are clear and adequate					

	1	2	3	4	5
3. Management provides some sort of recognition for those who use new on-the-job skills and knowledge from their LED capacity building training					

	1	2	3	4	5
4. The quality of materials and assignments used in LED capacity building training is satisfactory.					

	1	2	3	4	5
5. After training, as a general practice in my supervisory capacity, I discuss with returning participants potential barriers to applying new LED capacity building skills and knowledge.					
	1	2	3	4	5
6. I have observed LED capacity building training participants recognize each other's effectiveness when they use newly learned capacity building skills on the job.					

	1	2	3	4	5
7. I have observed on their return to the job that LED capacity building training participants discuss problems related to using the skills and knowledge taught in capacity building training.					

	1	2	3	4	5
8. As a general practice in my supervisory capacity, I meet with those who participated in LED capacity building training for a sufficient amount of time to discuss action plans and on-the-job application of what was taught.					

	1	2	3	4	5
9. As a general practice in my supervisory capacity, I notify participants well in advance of their enrolment in LED capacity building training.					

	1	2	3	4	5
10. Those who participate in LED capacity building training feel capable of using the skills and knowledge they developed in their everyday work					

	1	2	3	4	5
11. The equipment, facilities, and materials in our department are adequate to help in applying newly learned LED capacity building skills and knowledge to the job.					

	1	2	3	4	5
12. I have observed on their return to the job, LED capacity building training participants encourage one another to use the skills and knowledge learned in LED capacity building training.					

	1	2	3	4	5
13. The LED capacity building training provides participants with sufficient opportunities to practice the key behaviours related to the skills they should improve.					

	1	2	3	4	5
14. The content of the LED capacity building training has practical applicability to the job.					

	1	2	3	4	5
15. As a general practice in my supervisory capacity, I help ease the pressure of work while participants are off the job attending LED capacity building training.					

	1	2	3	4	5
16. I have observed on their return to the job, LED capacity building training participants praise and recognize one another when they observe					

	1	2	3	4	5
17.Those who participate in LED capacity building training use their newly learned knowledge in their work.					

	1	2	3	4	5
19.As a general practice in my supervisory capacity, I provide follow-up coaching directly related to LED capacity building training.					

	1	2	3	4	5
20.As a general practice in my supervisory capacity, I authorise release time or alter work schedules to encourage participation in LED capacity building training					

	1	2	3	4	5
21.As a general practice in my supervisory capacity, I provide recommendations for promotion to those who demonstrate on the-job LED capacity building training application					

	1	2	3	4	5
22.LED capacity building trainers create an environment that is conducive to learning					

	1	2	3	4	5
23.The LED capacity building trainer/s provides follow up support after training.					

	1	2	3	4	5

24. As a general practice in my supervisory capacity, I hold follow-up meetings at periodic intervals for information sharing, problem solving, and support in applying LED skills and knowledge to work					
--	--	--	--	--	--

	1	2	3	4	5
25. After training, as a general practice in my supervisory capacity, I discuss with returning participants potential barriers to applying new LED capacity building skills and knowledge.					

	1	2	3	4	5
26. Physical facilities for the LED capacity building training activities are adequate.					

Thank you.

APPENDIX 11- Correspondence Letters



18/12/2013

Ref:Rd/rql/CWDM/001
Mr. M Mgajo
Municipal manager
Cape Winelands District Municipality

Dear Sir,

**SUB: A REQUEST LETTER TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN
YOUR DISTRICT MUNICIPAL AREA**

I, RICHARD DOUGLAS do hereby humbly request your good office to allow me to conduct a socio-economic research in your District Municipal area. I'm currently registered with Nelson Mandela Metropolitan University to do my Masters Degree in Development studies (Research).

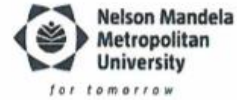
I will be looking at the role of training and capacity building within LED departments in the local municipalities of the Cape Winelands Municipalities, as indicated in the approved title of my thesis:

Capacity Building for Local Economic Development: An evaluation of training initiatives in the Cape Winelands District

I hope that your good office will give me the permission to go ahead with this research as its outcomes could assist you in your future planning and implementation of capacity building programmes.

Yours faithfully,

.....
Richard Douglas (Student No. S212400487)



18/12/2013

Dear Sir/Madam,

SUB: A REQUEST LETTER TO PARTICIPATE IN A SOCIO-ECONOMIC RESEARCH

I, RICHARD DOUGLAS do hereby humbly solicit for your participation in a survey for a socio-economic research on Local Economic development. I'm currently registered with Nelson Mandela Metropolitan University to do my Masters Degree in Development studies (Research).

I will be looking at the role of training and capacity building within LED departments in the local municipalities of the Cape Winelands Municipalities, as indicated in the approved title of my dissertation:

Capacity Building for Local Economic Development: An evaluation of training initiatives in the Cape Winelands District

Your assistance will be greatly appreciated. All information received from participants will be treated as confidential and used for research purposes only. The results of the survey will be made available to all persons who have requested so. If you have any queries, please feel free to contact me.

Yours faithfully,

.....
Richard Douglas (Student No. 5212400487)

E-mail Address: s212400487@nmmu.ac.za

Mobile No. 27 72 653 4190

Nelson Mandela Metropolitan University
• PO Box 77000 •
• Port Elizabeth • 6031 • South Africa •
www.nmmu.ac.za



NMMU, Missionvale Campus
Department of Development Studies
Faculty of Business and Economics
Tel . +27 (0)41 504 1331
samantha.leonard@nmmu.ac.za

To whom it may concern

This letter serves to confirm that Mr Richard Douglas is a student at the Nelson Mandela Metropolitan University, where he is currently registered to do his Masters with the Department of Development Studies. Mr Douglas will be looking at the role of training and capacity building within LED departments in the local municipalities of the Cape Winelands Municipalities, as indicated in the approved title of his thesis:

Capacity Building for Local Economic Development: An evaluation of training initiatives in the Cape Winelands District

Mr Douglas's proposal has been accepted and approved by the Faculty of Business and Economics, and thus he has been given permission to continue with his research. If you have any further queries or concerns, please don't hesitate to contact me, his appointed supervisor, at the contact details given above.

Many thanks

Dr Samantha Leonard



CAPE WINELANDS DISTRICT
MUNICIPALITY • MUNISIPALITEIT • UMASIPALA

NAVRAE/ENQUIRIES/IMBUZO:
TELEFOON/TELEPHONE/UMNKEBA:
FAKS/FAX/IFEKSI:
E-POS/E-MAIL/E-MAIL:
U VERW/YOUR REF/REF YAKHO:
ONS VERW/OUR REF/REF YETHU:

KARINA SMIT
021-8885312
021-8873584
karina@capewinelands.gov.za
17/7/R; 10/2/5

Alexanderstraat 46 Alexander Street
100
STELLENBOSCH
7599

30 January 2014

Mr R Douglas

Sir

APPROVAL TO CONDUCT A SOCIO-ECONOMIC RESEARCH IN THE CAPE WINELANDS DISTRICT MUNICIPALITY

Your letter dated 18 December 2013 refers.

It is hereby confirmed that approval has been granted to you to conduct a socio-economic research within the Cape Winelands District Municipality (CWDM) for your thesis on *Capacity Building for Local Economic Development: An evaluation of training initiatives in the Cape Winelands District*.

For the purpose of this research, you can directly liaise with the following officials of the Cape Winelands District Municipality:

Ms GM Daniëls : Senior Local Economic Development Officer
021 888 5151
gayle@capewinelands.gov.za

Mr R Hollenbach : Manager: Training and Performance Management
023 348 2321
rushdi@capewinelands.gov.za

On behalf of the Cape Winelands District Municipality (CWDM) I wish you all the best with your research project.

Yours faithfully

for MUNICIPAL MANAGER

Alle korrespondensie moet aan die Munisipale Bestuurder gerig word/
All correspondence to be addressed to the Municipal Manager/Yonke imbalelwano mayithunyelwe kuMlawuli kaMasipala
Telefoons/Telephone/Umnxeba: 0861 265 263 • E-pos/E-mail/E-mail: admin@capewinelands.gov.za • Faks/Fax/iFekst: 023 342 8442



cooperative governance

Department:
Cooperative Governance
REPUBLIC OF SOUTH AFRICA

Private Bag X804, Pretoria, 0001 Tel: (012) 334 0600, Fax: (012) 334 0603
cnr Hamilton and Johannes Ramokhoase Street, Arcadia, Pretoria

Reference no: DG14/1/1

Dear Mr Douglas

RE: APPROVAL TO CONDUCT A SOCIO-ECONOMIC RESEARCH

With regard to your email of 19 February 2014,

We hereby confirm that the approval has been granted to you to conduct interviews with our official from LED.

The contact details are as follows:

Ms Pumla Ndaba, Executive Manager: LED, Email: PhumlaN@cogta.gov.za ,
Tel: 012 334 4983.

We wish all the best on your research project.

Kind regards

Ms H Pretorius

EM: Office of the Director-General

Date: 12/03/14

APPENDIX 12 – Information and Informed Consent form

NELSON MANDELA METROPOLITAN UNIVERSITY

INFORMATION AND INFORMED CONSENT FORM

RESEARCHER'S DETAILS	
Title of the research project	Capacity Building for Local Economic Development: An evaluation of training initiatives in the Cape Winelands District
Reference number	
Principal investigator	Richard Douglas
Address	24 Silver Sands Table-view
Postal Code	7439
Contact telephone number (private numbers not advisable)	+27 72 653 4190

A. <u>DECLARATION BY OR ON BEHALF OF PARTICIPANT</u>		<u>Initial</u>
I, the participant and the undersigned	(full names)	
ID number		
<u>OR</u>		
I, in my capacity as	(parent or guardian)	
of the participant	(full names)	
ID number		
Address (of participant)		

A.1 HEREBY CONFIRM AS FOLLOWS:		<u>Initial</u>
I, the participant, was invited to participate in the above-mentioned research project		
that is being undertaken by	Richard Douglas	
from	Department of Development studies	
of the Nelson Mandela Metropolitan University.		

THE FOLLOWING ASPECTS HAVE BEEN EXPLAINED TO ME, THE PARTICIPANT:				<u>Initial</u>
2. 1	Aim:	The investigators are studying the extent to which the existing training interventions can build skill capacity for LED projects in the Cape Winelands municipalities The information will be used for Academic purpose		
2. 2	Procedures:	I understand that I would be interviewed and/ or requested to respond to some questionnaires.		
2. 3	Risks:	I understand that there is no risk or harm to the participant		
2. 4	Possible benefits:	As a result of my participation in this study, there is no financial benefit accrued to the participant other than knowledge acquisition		
2. 5	Confidentiality:	My identity will not be revealed in any discussion, description or scientific publications by the investigators.		
2. 6	Access to findings:	Any new information or benefit that develops during the course of the study will be shared as follows:		
2. 6	Voluntary participation / refusal / discontinuation:	My participation is voluntary	YES	NO
		My decision whether or not to participate will in no way affect my present or future care / employment / lifestyle	TRUE	FALSE

3. THE INFORMATION ABOVE WAS EXPLAINED TO ME/THE PARTICIPANT BY:								<u>Initial</u>
Richard Douglas								
in	Afrikaans		English	x	Xhosa		Other	
and I am in command of this language.								
I was given the opportunity to ask questions and all these questions were answered satisfactorily.								

4.	No pressure was exerted on me to consent to participation and I understand that I may withdraw at any stage without penalisation.	
-----------	---	--

5.	Participation in this study will not result in any additional cost to myself.	
-----------	---	--

A.2 I HEREBY VOLUNTARILY CONSENT TO PARTICIPATE IN THE ABOVE-MENTIONED PROJECT:

Signed/confirmed _____ on _____ 20____
at _____

	Signature of witness:
	Full name of witness:
Signature or right thumb print of participant	



Oral Consent

As you know, I am Richard Douglas, a research student from Nelson Mandela Metropolitan University. I am conducting a study on **Capacity Building for Local Economic Development: An evaluation of training initiatives in the Cape Winelands District**, and I would like to ask you some questions about that. I would like to tape record our conversation, so that I can get your words accurately. If at any time during our talk you feel uncomfortable answering a question please let me know, and you don't have to answer it. Or, if you want to answer a question but do not want it tape recorded, please let me know and I will turn off the machine. If at any time you want to withdraw from this study please tell me and I will erase the tape of our conversation. I will not reveal the content of our conversation beyond myself and people helping me whom I trust to maintain your confidentiality. I will do everything I can to protect your privacy. Now I would like to ask you if you agree to participate in this study, and to talk to me about the subject matter. Do you agree to participate, and to allow me to tape record our conversation?

B. STATEMENT BY OR ON BEHALF OF INVESTIGATOR(S)									
1,	Richard Douglas	declare that:							
1.	I have explained the information given in this document to	(name of /participant)							
	and / or his / her representative	(name of representative)							
2	He / she was encouraged and given ample time to ask me any questions;								
3	This conversation was conducted in	Afrikaans		English	x	Xhosa		Other	
	And no translator was used								
4	I have detached Section C and handed it to the participant	YES							
Signed/confirmed at		on			20				
Signature of interviewer		Signature of witness:							
		Full name of witness:							

C. IMPORTANT MESSAGE TO PARTICIPANT	
Dear participant	
Thank you for your participation in this study.	
Should you , at any time during the study require any further information with regard to the study,	
Kindly contact	me
at telephone number	0726544190

APPENDIX 13 – Research Ethics Application



D/496/05 : APPLICATION FORM: ETHICS APPROVAL (HUMAN)

APPLICATION FOR APPROVAL NMMU RESEARCH ETHICS COMMITTEE (HUMAN)

TO BE FILLED IN BY A REPRESENTATIVE FROM THE FACULTY RTI COMMITTEE:					
Application reference code:	H	*****	*****	*****	*****
	HUMAN	YEAR	FACULTY	DEPARTMENT	NUMBER
Resolution of FRTI Committee:	<input type="checkbox"/> Ethics approval given <input type="checkbox"/> Referred to REC-H (if referred to REC-H, electronic copy of application documents to be emailed to Kirsten.Longe@nmmu.ac.za)				
Resolution date:					
Faculty RTI representative signature:					

1. GENERAL PARTICULARS	
TITLE OF STUDY	
a) Concise descriptive title of study (must contain key words that best describe the study): Capacity Building for Local Economic Development: An evaluation of training initiatives in the Cape Winelands District	
PRIMARY RESPONSIBLE PERSON (PRP)	
b) Name of PRP (must be member of permanent staff. Usually the supervisor in the case of students): Prof Richard Haines	
c) Contact number/s of PRP: +27 41 504 1331	
d) Affiliation of PRP: Faculty Business and Economic Sciences ; Department (or equivalent): Development Studies	
PRINCIPLE INVESTIGATORS AND CO-WORKERS	
e) Name and affiliation of principal investigator (PI) / researcher (may be same as PRP): Richard Douglas Gender: Male	
f) Name(s) and affiliation(s) of all co workers (e.g. co-investigator/assistant researchers/supervisor/co-supervisor/promoter/co-promoter). If names are not yet known, state the affiliations of the groups they will be drawn from, e.g. Interns/M-students, etc. and the number of persons involved: N/A	
STUDY DETAILS	
g) Scope of study: Local	h) If for degree purposes: Masters
i) Funding : No specific funding Additional information (e.g. source of funds or how combined funding is split)	
j) Are there any restrictions or conditions attached to publication and/or presentation of the study results? NO If YES, elaborate: (Any restrictions or conditions contained in contracts must be made available to the Committee) NA	
k) Date of commencement of data collection: 2014 Anticipated duration of study: Two years (2015)	

- l) Objectives of the study (the major objective(s) / Grand Tour questions are to be stated briefly and clearly):
The aim of this study is to investigate the extent to which the existing training interventions can build skill capacity for Local Economic Development (LED) projects in the Cape Winelands municipalities. The study also aims to analyse the main policy frameworks which guide the content and delivery of LED training in the local municipalities, investigate and identify the extent to which municipality resources are used to undertake training in LED within the Cape Winelands local municipalities, develop a framework for the evaluation of capacity building training interventions aimed at promoting LED in local municipalities and finally to evaluate the training interventions in terms of their ability to build skill capacity for LED for the staff of the Cape Winelands municipalities
- m) Rationale for this study: briefly (300 words or less) describe the background to this study i.e. why are you doing this particular piece of work. A few (no more than 5) key scientific references may be included:
In South Africa, the municipal system Act (DPLG, 2000) has made it a legal requirement for municipalities to produce integrated Development Planning (IDPs) of which Local Economic Development (LED) is a key component. According to Heijden (2008), the municipalities lack capacity to monitor the quality of these strategies, thus, resulting in a cumulative trend towards the production of low quality LED plans marked by a project focus, unrealistic targets, an inability to identify the drivers of local development and poor implementation. It is almost six years since the formulation of the 2006 LED policy framework which provided the clearest picture for the roles and responsibilities of local municipalities with respect to social and economic development. Local governments in South Africa are currently grappling with this concept of local economic development which is seen as a paramount vehicle for achieving sustainable development. To this end, several LED training interventions have been made to improve the capability: effectiveness, responsiveness, and accountability, in sustainable forms for local municipalities. Experience has shown that much still have to be done to bridge the capacity gap in the local municipalities (Abrahams, 2003). In response to the above, this study will involve an in-depth study on the capacity enhancement interventions through training for LED practitioners in the Cape Winelands' municipalities. The study will evaluate the current LED training intervention in terms of its effectiveness for building capacity in Cape Winelands' Municipalities. Moreover, the outcomes of this study will help policy makers in the formulation of effective strategies that conform with local needs

METHODOLOGY

- n) Briefly state the methodology (specifically the procedure in which human subjects will be participating) (the full protocol is to be included as *Appendix 1*):
This research is situated within the interpretivist paradigm, which focuses on meanings and attempts to understand the context and totality of each situation by employing a variety of qualitative methods (Mouton, 2001). The aim for the interpretive researcher is an attempt to understand and interpret social situations by becoming part of situations, by listening to the participants, and by sharing their perceptions and their experiences (McFarlane, 2000). According to Kaplan and Maxwell (2002), qualitative research typically involves the systematic and detailed study of individuals in natural settings instead of in settings contrived by the researcher through the use of open-ended interviews intended to elicit detailed, in-depth accounts of the interviewee's experience and perspectives on specific issues and situations. This study will follow a qualitative evaluation research design, which involves "the use of predominantly qualitative research methods to describe and evaluate the performance of programmes in their natural settings, focusing on the processes of implementation rather than on quantifiable outcomes" (Mouton, 2011:161). Research will be undertaken in the Stellenbosch and Drakestein local municipalities. The target group will consist of the elected councillors, staff and communities of Drakestein and Stellenbosch municipalities in the Cape Winelands District. In addition, key role players from the following departments and organisations will be interviewed: (a) South African Local Government Association (SALGA), (b) Local Government sector for education and training (LGSETA), (c) Department of Cooperative Governance and Traditional

Affairs(CoGTA), (d) Western Cape Provincial Department of Local Government (WCDPLG) and Cape Winelands District Municipality, (CWDM) – STELLENBOSCH		
o) State the minimum and maximum number of participants involved (Minimum number should reflect the number of participants necessary to make the study viable)	Min: 50	Max: 100

2. RISKS AND BENEFITS OF THIS STUDY

a) Is there any risk of harm, embarrassment or offence, however slight or temporary, to the participant, third parties or to the community at large? NO If YES, state each risk, and for each risk state i) whether the risk is reversible, ii) whether there are alternative procedures available and iii) whether there are remedial measures available. NA
b) Has the person administering the project previous experience with the particular risk factors involved? NA If YES, please specify:
c) Are any benefits expected to accrue to the participant (e.g. improved health, mental state, financial etc.)? NO If YES, please specify the benefits: N/A
d) Will you be using equipment of any sort? YES If YES, please specify: Digital recorder
e) Will any article of property, personal or cultural be collected in the course of the project? NO If YES, please specify: NA

3. TARGET PARTICIPANT GROUP

a) If particular characteristics of any kind are required in the target group (e.g. age, cultural derivation, background, physical characteristics, disease status etc.) please specify: The study targets individuals and groups directly involved in designing, giving, receiving, or administering the LED training intervention in the municipalities
b) Are participants drawn from NMMU students? NO
c) If participants are drawn from specific groups of NMMU students, please specify: N/A
d) Are participants drawn from a school population? NO If YES, please specify: N/A
e) If participants are drawn from an institutional population (e.g. hospital, prison, mental institution), please specify: N/A
f) If any records will be consulted for information, please specify the source of records: N/A
g) Will each individual participant know his/her records are being consulted? NO If YES, state how these records will be obtained: N/A
h) Are all participants over 21 years of age? YES If NO, state justification for inclusion of minors in study:

4. CONSENT OF PARTICIPANTS

a) Is consent to be given in writing? YES If YES, include the consent form with this application [Appendix 2]. If NO, state reasons why written consent is not appropriate in this study.
b) Are any participant(s) subject to legal restrictions preventing them from giving effective informed consent? NO If YES, please justify:
c) Do any participant(s) operate in an institutional environment, which may cast doubt on the voluntary aspect of consent? NO If YES, state what special precautions will be taken to obtain a legally effective informed consent: N/A
d) Will participants receive remuneration for their participation? NO If YES, justify and state on what basis the remuneration is calculated, and how the veracity of the information can be guaranteed. N/A

- e) Do you require consent of an institutional authority for this study? **YES** If YES, specify: **District Municipality as well as the identified Local Municipalities and other government agencies must give permission to interview their staff members.**

5. INFORMATION TO PARTICIPANTS

- a) What information will be offered to the participant before he/she consents to participate? (Attach written information given as [Appendix 2] and any oral information given as [Appendix 3])
- b) Who will provide this information to the participant? (Give name and role)
Interviewer PI If "Other", please specify: **N/A**
- c) Will the information provided be complete and accurate? **YES** If NO, describe the nature and extent of the deception involved and explain the rationale for the necessity of this deception:

6. PRIVACY, ANONYMITY AND CONFIDENTIALITY OF DATA

- a) Will the participant be identified by name in your research? **NO** If YES, justify: **N/A**
- b) Are provisions made to protect participant's rights to privacy and anonymity and to preserve confidentiality with respect to data? **YES** If NO, justify If YES, specify: **in completing the questionnaires, the names of the**
- c) **respondants/participants will not be required, and interviews will take place out of earshot of other people.**
- d) If mechanical methods of observation be are to be used (e.g. one-way mirrors, recordings, videos etc.), will participant's consent to such methods be obtained? **YES** If NO, justify:
- e) Will data collected be stored in any way? **YES** If YES, please specify: (i) By whom? (ii) How many copies? (iii) For how long? (iv) For what reasons? (v) How will participant's anonymity be protected? **(i) By the Principal Investigator; (ii) one copy of the data; (iii) for the standard period of 5 years; (iv) for the processing of the data and also for the purpose of writing up academic articles; (v) names of the participants will be not be requested.**
- f) Will stored data be made available for re-use? **YES** If YES, how will participant's consent be obtained for such re-usage? **participant's consent will be obtained in writing**
- g) Will any part of the project be conducted on private property (including shopping centres)? **YES** If YES, specify and state how consent of property owner is to be obtained: **Interviews will be conducted on the premises of the Municipalities and other identified government agencies, thus the respective authority will be given a written request asking permission for interviews to take place on their premises.**
- h) Are there any contractual secrecy or confidentiality constraints on this data? **NO** If YES, specify: **N/A**

7. FEEDBACK

- a) Will feedback be given to participants? **NO**
If YES, specify whether feedback will be written, oral or by other means and describe how this is to be given (e.g. to each individual immediately after participation, to each participant after the entire project is completed, to all participants in a group setting, etc.): **N/A**
- b) If you are working in a school or other institutional setting, will you be providing teachers, school authorities or equivalent a copy of your results? **YES** If YES, specify, if NO, motivate: **A binded hardcopy of the result will be given to the municipality upon a request**

8. ETHICAL AND LEGAL ASPECTS

- a) The Declaration of Helsinki (2000) will be included in the references : **YES** If NO, motivate: **The document does not entails medical research**

b) I would like the REC-H to take note of the following additional information:

9. DECLARATION

If any changes are made to the above arrangements or procedures, I will bring these to the attention of the Research Ethics Committee (Human). I have read, understood and will comply with the *Guidelines for Ethical Conduct in Research and Education at the Nelson Mandela Metropolitan University* and have taken cognisance of the availability (on-line) of the Medical Research Council Guidelines on Ethics for Research (<http://www.sahealthinfo.org/ethics/>). All participants are aware of any potential health hazards or risks associated with this study.

I AM aware of potential conflict(s) of interest which should be considered by the Committee.

If affirmative, specify:

	01 August 2015
SIGNATURE: Prof Richard Haines (Primary Responsible Person)	Date
	01 August 2015
SIGNATURE: Richard Douglas (Principal Investigator/Researcher)	Date

10. SCRUTINY BY FACULTY AND INTRA-FACULTY ACADEMIC UNIT

This study has been discussed, and is supported, at Faculty and Departmental (or equivalent) level. This is attested to by the signature below of a Faculty (e.g. RTI) and Departmental (e.g. HoD) representative, neither of whom may be a previous signator.

NAME and CAPACITY (e.g. HoD)	SIGNATURE	Date
NAME and CAPACITY (e.g. Chair:FacRTI)	SIGNATURE	Date

11. APPENDICES

In order to expedite the processing of this application, please ensure that all the required information, as specified below, is attached to your application. Examples of some of these documents can be found on the Research Ethics webpage (<http://www.nmmu.ac.za/default.asp?id=4619&bhcp=1>). You are not compelled to use the documents which have been provided as examples – they are made available as a convenience to those who do not already have them available.

APPENDIX 1: Research methodology

Attach the full protocol and methodology to this application, as "Appendix 1" and include the data collection instrument e.g. questionnaire if applicable.

APPENDIX 2: Informed consent form

If no written consent is required, motivate at 4a). The intention is that you make sure you have covered all the aspects of informed consent as applicable to your work.

APPENDIX 3: Written information given to participant prior to participation

Attach as "Appendix 3". The intention is that you make sure you have covered all the aspects of written information to be supplied to participants, as applicable to your work.



**Nelson Mandela
Metropolitan
University**

for tomorrow

Ref: H14-BES-DEV-051 [Approved]

**Chairperson: Faculty RTI Committee
Faculty of Business and Economics Sciences
Tel. +27 (0)41 504 2906**

27 March 2014

Prof R Haines
NMMU
Faculty Business and Economic Sciences
Dept Development Studies
South Campus

Dear Prof Haines

**PROJECT PROPOSAL: CAPACITY BUILDING FOR LOCAL ECONOMIC DEVELOPMENT: AN
EVALUATION OF TRAINING INITIATIVES IN THE CAPE WINELANDS DISTRICT**

PRP: Prof R Haines
PI: Mr R Douglas

Your above-entitled application for ethics approval served at Fac RTI.

We take pleasure in informing you that the application was approved by the Committee.

The ethics clearance reference number is **H14-BES-DEV-051** and is valid for three years. Please inform the Faculty RTI Committee, via the faculty representative, if any changes (particularly in the methodology) occur during this time.

Please inform your co-investigators of the outcome.

Yours sincerely

A handwritten signature in black ink, appearing to read 'C Rootman', with a horizontal line extending to the right.

**Prof C Rootman
Faculty of Business and Economic Sciences**

APPENDIX 14 – Interview Chart

Table 1: Interview Chart and Type of Interview Schedule used

Date of Interview	Organisation	Participant Designation	Type of Interviews	Type of Interview Schedule used
February 2014	LGSETA	Provincial Manager: LGSETA; Training Facilitator: LGSETA	Semi - Structured	Interview schedule for LGSETA – Appendix 3
February 2014	Department of Economic Development and Tourism (DEDAT) - Western Cape Government	Director: Regional and Local Economic Development	Semi - Structured	Interview schedule for DEDAT – Appendix 2
February 2014	Cape Winelands District municipality	LED Supervisor	Semi - Structured	Interview schedule for Municipality – Appendix 1
March 2014	SALGA	Programme Manager: Economic Development and Planning; Training Officer	Semi - Structured	Interview Schedule for SALGA – Appendix 4
March 2014	Cape Winelands District municipality	Manager: Training & Performance Management	Semi - Structured	Interview schedule for Municipality – Appendix 1
March 2014	Stellenbosch Municipality	LED Manager	Semi - Structured	Interview schedule for Municipality – Appendix 1
March 2014	Stellenbosch Municipality	LED Officer	Semi - Structured	Interview schedule for Municipality – Appendix 1
March 2014	Drakenstein Municipality	Chief Training Officer/Skill Facilitator	Semi - Structured	Interview schedule for Municipality – Appendix 1
March 2014	Drakenstein Municipality	LED Manager	Semi - Structured	Interview schedule for Municipality – Appendix 1
March 2014	Drakenstein Municipality	LED Supervisor	Semi - Structured	Interview schedule for Municipality – Appendix 1
March 2014	Stellenbosch Municipality	Skill Development Facilitator	Semi - Structured	Interview schedule for Municipality – Appendix 1
April 2014	Drakenstein Municipality	Service Provider - LED training	Semi - structured	LED training design and delivery – Appendix 6
April 2014	Department of Cooperative Governance and Traditional Affairs	Director: LED Policy and Practice	Semi - Structured	LED policy and strategy on capacity building for municipal staff – Appendix 5
		Executive Manager: Economic Development	Open ended	
April 2014	Cape Winelands District Municipality	Executive Mayor Councillor: Member of Mayoral Committee Portfolio - Rural Development Services	Open-ended	Interview schedule for Municipality – Appendix 1
April 2014	Stellenbosch Municipality	Councillor: Mayoral Committee Member – LED	Open ended	Interview schedule for Municipality – Appendix 1
April 2014	Drakenstein Municipality	Councillor: Planning and Economic Development	Open ended	Interview schedule for Municipality – Appendix 1

APPENDIX 15 – Table and figures of results

Table 1: Analysed result emanating from Post-training transfer Evaluation (Supervisors)

Questions	N	Strongly Disagree	Disagree	Neutral	Agree	Strongly agree	Total
1. CB Training aligned with Job conditions	3	33%	0%	33%	33%	0%	100%
2. Clear and adequate communication and direction during LED training	3	33%	0%	33%	33%	0%	100%
3. Management recognition of job skill application	3	33%	33%	33%	0%	0%	100%
4. Satisfactory quality of materials and assignment in LED training	3	33%	0%	33%	0%	33%	100%
5. Supervisors discuss potential barrier to LED skill and knowledge job application	3	33%	0%	33%	33%	0%	100%
6. Peer recognition of job application of newly learned skill	3	0%	0%	67%	33%	0%	100%
7. Participants discusses problem of skill and knowledge application	3	0%	33%	0%	67%	0%	100%
8. Supervisors discuss with participants action plan on skill and knowledge job application	3	67%	0%	33%	0%	0%	100%
9. Supervisors notify participants in advance of their enrolment in training	3	0%	33%	0%	33%	33%	100%
10. Participants feel capable of using the skills and knowledge from training in their everyday work	3	0%	33%	0%	33%	33%	100%
11. Enough equipment, facilities and material in workplace to enhance job application of skill	3	0%	0%	33%	67%	0%	100%
12. Participants encourage each other to use learned skill in job place	3	0%	0%	67%	33%	0%	100%
13. LED training enable participants to improve and practice key behaviours related to their skills	3	33%	33%	0%	33%	0%	100%
14. Content of the LED capacity building training has practical applicability to the job	3	0%	33%	0%	67%	0%	100%
15. Supervisor eases pressure of work while on training	3	0%	33%	67%	0%	0%	100%
16. Participants praise and recognise each other on job application of skill	3	0%	0%	33%	33%	33%	100%
17. Participants used their newly learned skill in job place	3	0%	0%	67%	33%	0%	100%
18. Supervisor provides follow up coaching	3	0%	0%	33%	33%	33%	100%
19. Supervisor alter work schedule to encourage training participation	3	0%	0%	33%	67%	0%	100%
20. Supervisor provides recommendation for promotion	3	0%	33%	0%	67%	0%	100%
21. LED Trainer create conducive learning environment	3	0%	33%	0%	67%	0%	100%
22. LED Trainer provides follow up support	3	0%	67%	33%	0%	0%	100%
23. Supervisor holds follow up meetings with training participant	3	0%	0%	33%	67%	0%	100%
24. Supervisor discusses with participants potential barriers to skill job application in the workplace	3	0%	0%	67%	33%	0%	100%
25. Adequate physical facilities for LED training	3	0%	33%	33%	33%	0%	100%

Figure 1A: Bar chart representing Supervisors' Post-training Evaluation

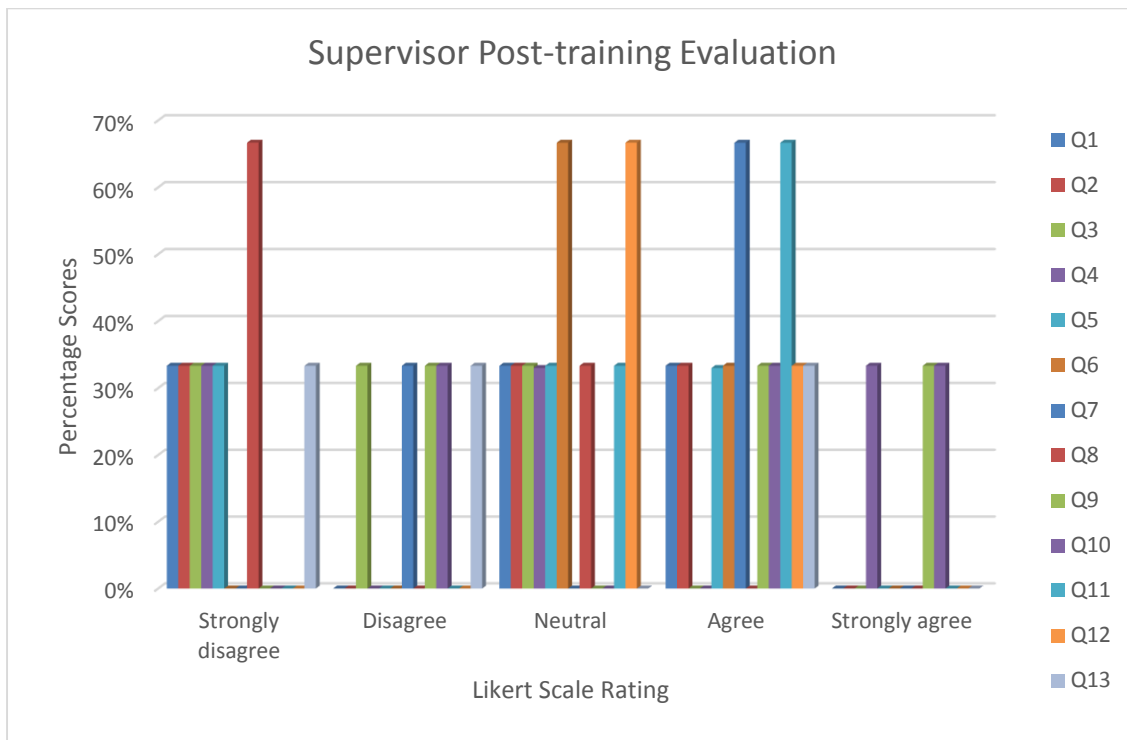


Figure 1B: Bar chart representing Supervisors' Post-training Evaluation

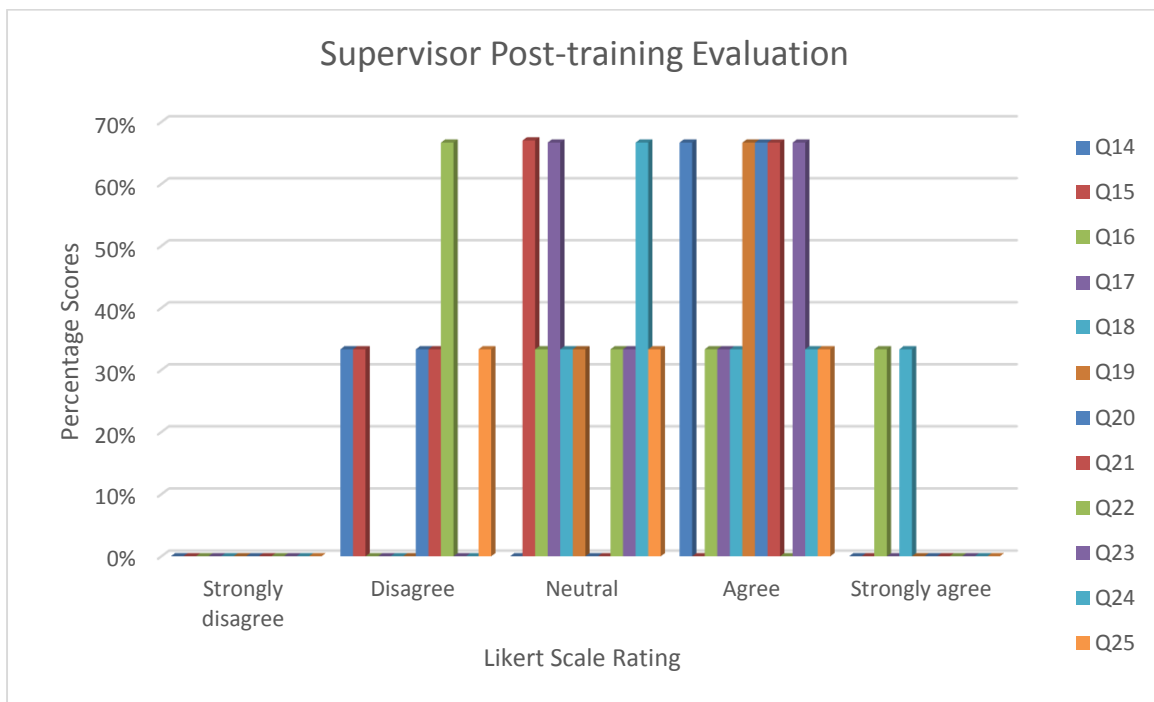


Figure 2A: Bar chart representing Trainees' Post-training Evaluation

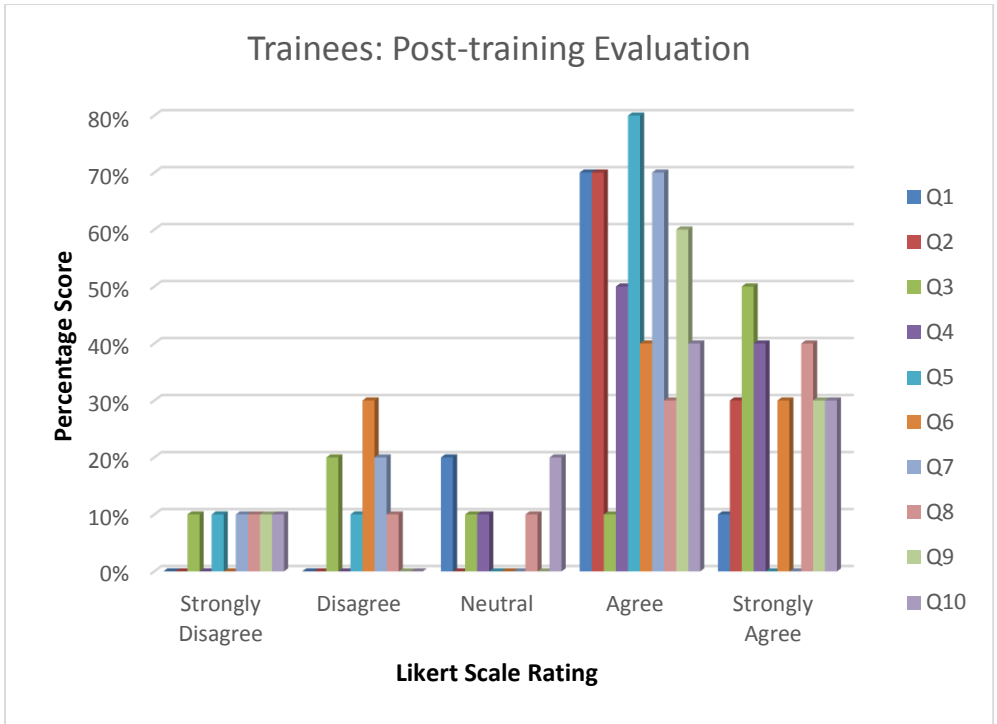


Figure 2B: Bar chart representing Trainees' Post-training Evaluation

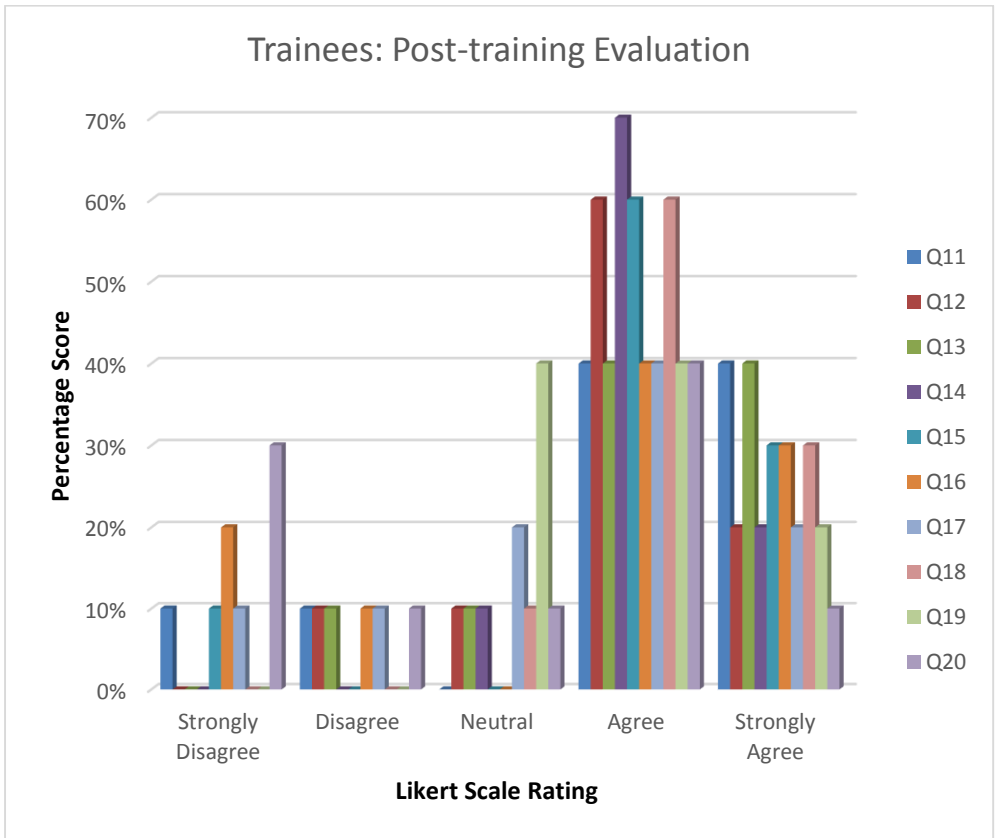


Figure 2C: Bar chart representing Trainees' Post-training Evaluation

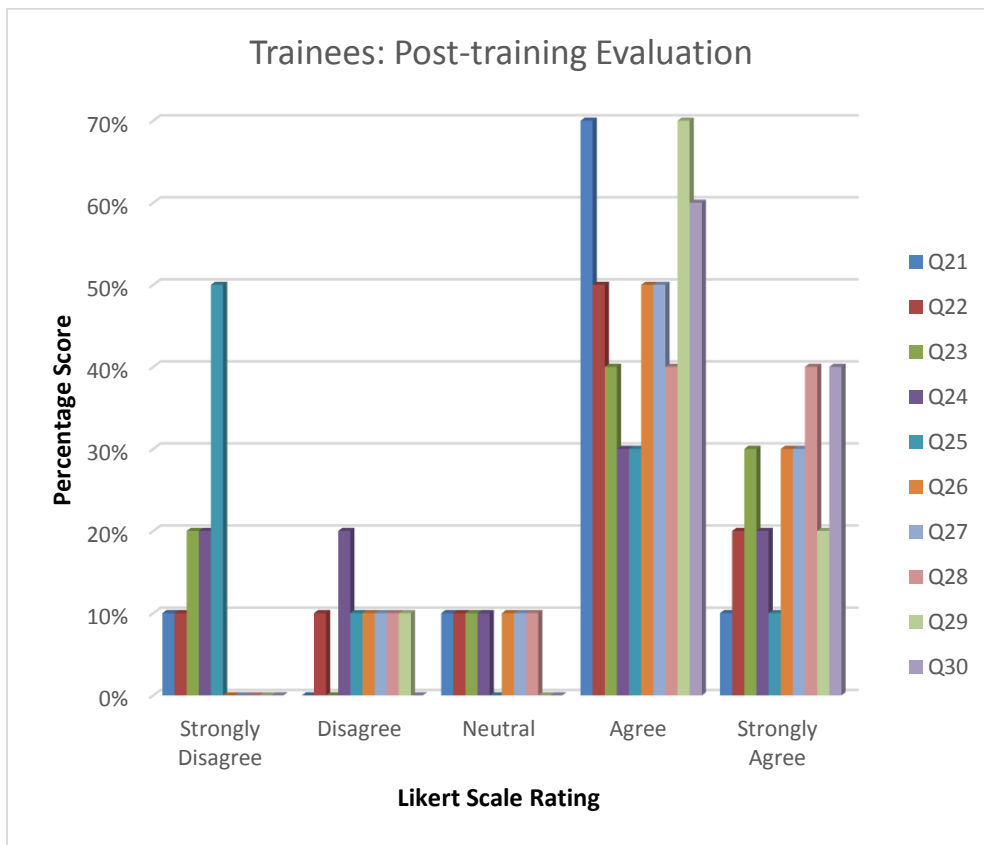


Figure 2D: Bar chart representing Trainees' Post-training Evaluation

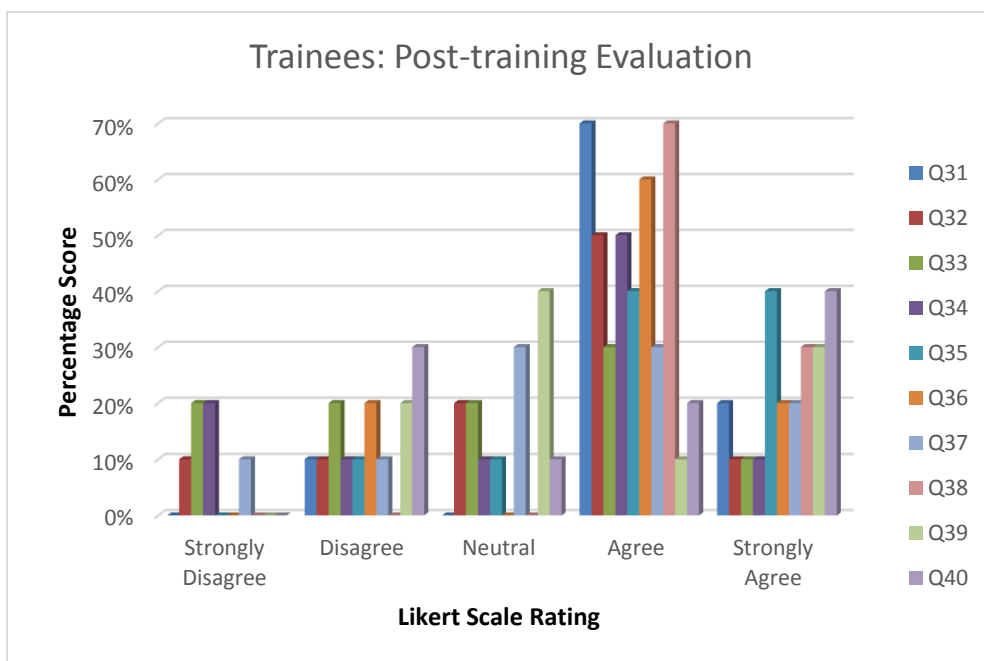


Figure 2E: Bar chart representing Trainees' Post-training Evaluation

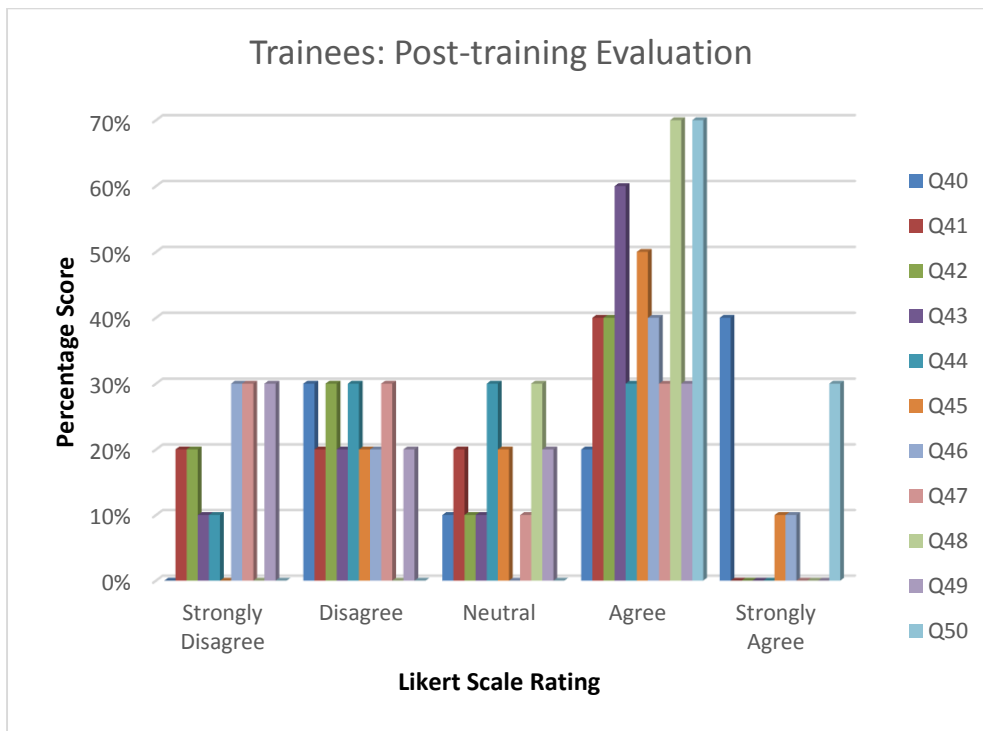


Figure 3A: Side by side Bar chart representing the analysed comparative result of both municipalities Post-training transfer evaluation (Trainees)

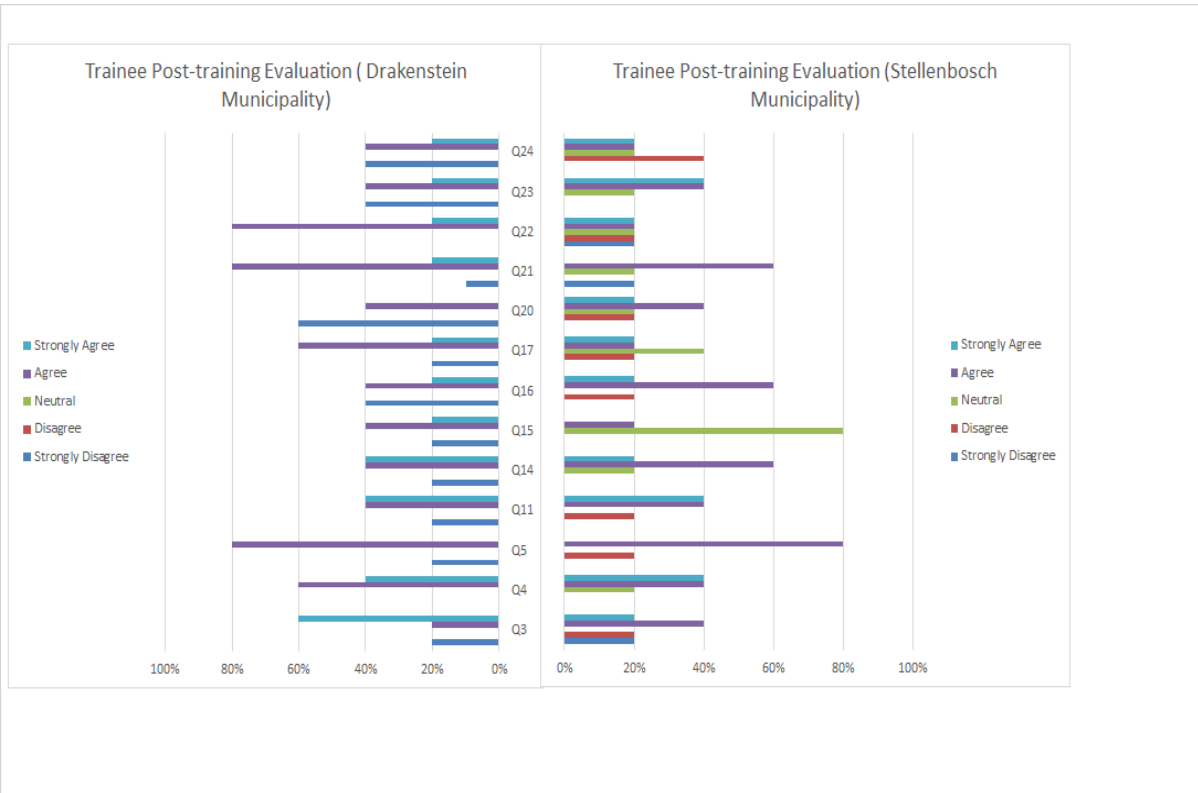
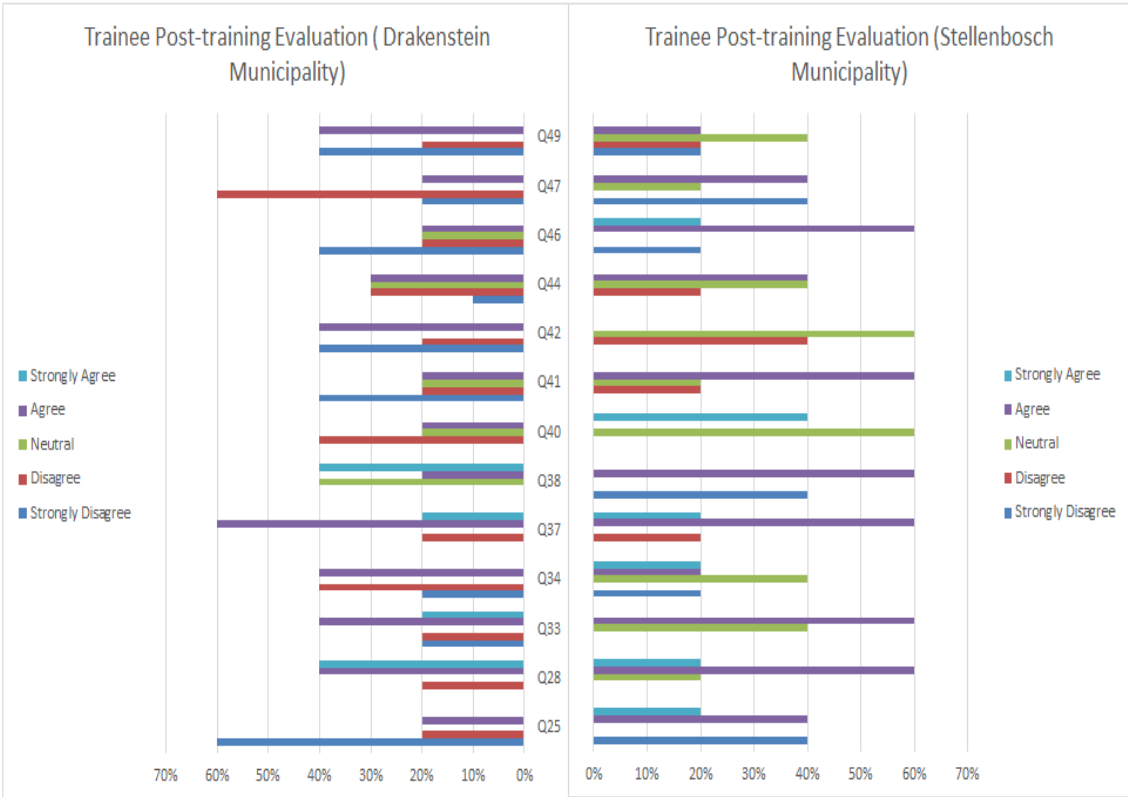


Figure 3B: Side by side Bar chart representing the analysed comparative result of both municipalities Post-training transfer evaluation (Trainees)



APPENDIX 16 – Acknowledgement letter (Editing)

6 December 2015

TO WHOM IT MAY CONCERN

I confirm that I have proofread and edited the dissertation entitled “CAPACITY BUILDING FOR LOCAL ECONOMIC DEVELOPMENT: AN EVALUATION OF TRAINING INITIATIVES IN CAPE WINELANDS DISTRICT” by Richard Douglas Kamara, which will be submitted for the degree of Masters in Development Studies in the Faculty of Business and Economic Science at the Nelson Mandela Metropolitan University.

I can be contacted on email: chettyp@gmail.com for any further details.

Sincerely,

Michelle Chetty

Professional proofreading and editing services.