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**UNIVERSITY OF KWAZULU-NATAL**

AN INSIGHT INTO THE CAUSES OF POOR SERVICE DELIVERY  
IN KWAZULU-NATAL PROVINCE

“A Case study of 8 Municipalities in the Northern Region”

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## **ACRONYMS**

CSIR .....	Council for Scientific and Industrial Research
DBSA .....	Development Bank of Southern Africa.
DLGTA .....	Department of Local Government & Traditional Affairs
DM.....	District Municipality.
DMA.....	District Management Area.
DPLG.....	Department of Provincial and Local Government.
DoE.....	Department of Education.
DoH.....	Department of Housing.
DoT.....	Department of Transport.
ECA.....	Environmental Conservation Act.
GIS.....	Geographical Information Systems.
GTZ .....	German Agency for Technical Cooperation.
IDP.....	Integrated Development Planning.
IDT.....	Independent Development Trust.
IRDP.....	Integrated Rural Development Programme
ISRDP.....	Integrated Sustainable Rural Development Programme.
KWANALOGA.....	KwaZulu-Natal Local Government Association.
KZN.....	KwaZulu-Natal.
MEC.....	Provincial Member of the Executive Committee.
MTEF.....	Medium Term Expenditure Framework.
NA Committee.....	National Assembly Committee.
NEMA.....	National Environmental Management Act.
NPM.....	New Public Management.
NREP.....	National Rural Employment Programme.
ODA.....	Overseas Development Agency of the United Kingdom.
OPMS.....	Organisational Performance Management System.
PC.....	Project Consolidate.
PCC.....	Presidential Coordination Committee.

PIMS..... Planning, Implementation and Management Support.  
PGDS..... Provincial Growth and Development Strategy.  
RRTF.....Rural Road Transport Forums.  
ZDM.....Zululand District Municipality



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## **ABSTRACT**

The socio-economic problems created by apartheid in South Africa are a huge challenge to the current government. In order to alleviate the above, Integrated Development Planning was seen as the most appropriate strategy the country could apply. There was need to introduce a new approach to planning which was integrated, democratic and environmentally sensitive. For the first time, planning became 'people focused' by introducing participatory processes.

As a backup to the above strategy, government introduced a variety of measures to bring total transformation to local government to facilitate service delivery. The key actions taken were; restructuring of local authorities, provision of new legislative framework and various capacity support programmes. Ironically, ten years after democracy was achieved, the situation has hardly changed. Access to basic services is still poor, poverty is worsening and unemployment is on the increase. This fact has been confirmed by the 2001 census data, which generally reflect deteriorating standard of living. This has been the cause of the current widespread violent demonstrations by communities in the country. It is ironical that despite all the effort being put by the provincial and national governments, the desired goals are not being achieved. This raises the big question, 'What is going wrong?' Are there shortcomings within the structures and processes or programmes being undertaken?

The above question can be answered by conducting a research to try and find the root cause of the problem. This would be carried out by way of scrutinizing the roles and responsibilities of major stakeholders in

development namely; municipalities, sector departments and communities. Focus would be made on issues like; cooperative governance, weakness within support initiatives, availability of funding, compliance with prescribed processes and procedures etc. The research aims to interrogate the causes of poor service delivery and possible practical solutions.

## **CHAPTER ONE: BACKGROUND AND METHODOLOGY**

### **1.0 General Introduction**

One of the biggest challenges confronting local government in South Africa today is its ability to deliver services effectively and efficiently in order to improve the standard of living for its citizens. It was necessary to find out if municipalities were matching the challenge and if not, determine possible reasons leading to ultimate solutions. This research focused on the subject of 'Service Delivery' by municipalities in KwaZulu Natal Province. It dealt with 8 of the 19 municipalities in the Northern Region, namely; Ulundi, Mthonjaneni, Nkandla, Ntambanana, Big Five False Bay and Jozini Local Municipalities, Zululand and Umkhanyakude District Municipalities.

In a broad sense, the study basically looked at the issue of service delivery by municipalities within the context of the Integrated Development Plan (IDP) as a tool for socio-economic development in local government. Furthermore, attention was given to the socio-economic and political environment under which the local councils were operating. This was regarded necessary in order to find out whether or not it is conducive to service delivery by these institutions.

The legal framework for service delivery at Local Government level is set by the, White Paper on Local Government, Local Government Transitional Act (Second Amendment) 1996, The Demarcation Board Act, Municipal Systems Act, 32 of 2000 and the Municipal Structures Act, 117 of 1998. The prominent objective of these pieces of legislation was to transform the approach to the planning and development process by making it more participatory as well as transforming municipalities into 'developmental institutions'. (DPLG, 2001)

The study therefore, looked at the role of local government in service delivery. The planning and implementation function, which used to be conducted centrally and autocratically, was given a new lease of life in the post-apartheid era by decentralizing it to local government level. It was realized that the success of development programmes depended on them being operated at grass roots level if they were to have a positive impact on the lives of the local communities. Therefore, municipalities were given the developmental mandate through the above legislation. (Meiklejohn et al, 2003)

The other important area covered by this research was the nature of provincial and national government support initiatives to municipalities, their strengths and weaknesses. To this end, a variety of programmes have been established and rolled out but their effectiveness is still to be determined. Some of them dealt with in this study are; municipal development planning capacity building model, integrated development planning, organizational performance management system, planning and implementation management centres, integrated sustainable rural development programme and project consolidate. These were usually backed by financial support and training by the government. (DLGTA, 2003)

In order to enhance understanding on this subject, the role played by key players in the process of integrated development planning (IDP) and implementation have been studied and analysed. These are; the municipality, sector departments with special focus on the Department of Local Government and Traditional Affairs. It is through their co-ordinated and focused approach, that the anticipated goal of achieving effective service delivery was to be realised. This was seen as a prerequisite for upgrading the standard of living for the local communities.



The institutional capacity in municipalities and government was also scrutinized, to find out if the status-quo was conducive to sustainable service delivery. Since the term 'capacity' embraces a broad meaning, it should be pointed out that this study would focus on the 'human resources' element only and not on any other form. This is a key element to service provision and has to be matched with implementation of development programmes. It was also important to determine the extent to which the local authorities depended on the appointment of consultants to drive their development initiatives.

The other vital aspect covered by the research was the establishment of ward development committee structures for community participation. Under this section it was imperative to look at the nature of lines of communication between the Council and the communities. Since public involvement in planning and implementation is to a great extent, dependent on this factor, it was important to see how local authorities were approaching it. The different ways in which municipalities disseminate information to their citizens, were similarly investigated.

Lastly, the study suggested a 'programme of action' comprising remedial actions which various role players should effect in order to improve the existing situation.

### **1.1 The Research Problem.**

Before dealing with details of the status-quo, it is necessary to get a clear understanding of what 'service delivery' means. As you shall witness earlier on different authors have different meanings for this term. I am however, influenced most by Pickering (2003), who views it as; *'Basic municipal services' which means a municipal service that is necessary to ensure an acceptable*



*quality of life and if not provided, would endanger public health or safety or the environment'.*

On the other hand, the Municipal Ordinance 20 of 1974, describes service delivery as;

*'Any system conducted by or on behalf of a municipality for collection, generation, treatment or disposal of sewage or storm-water or for the manufacture, generation, impounding, storage, purification, distribution, conduction, transmission, conveyance, provision or supply of water, gas and electricity'.*

Meanwhile, it should be noted that the Municipal Systems Act, 32 of 2000, which spearheads the notion of service delivery, does not define the term at all. It does, however, spell out the powers and functions of municipalities. In spite of this shortfall, it is assumed that the description given in the above paragraphs gives sufficient basic understanding required for purposes of this study.

There is a strong nationwide belief that municipalities have failed to deliver, though they have existed for ten years after the achievement of national democracy. This issue has been raised many times, for example, in the Presidents State of the Nation's address, media reports, local government conferences, speeches by provincial and national government ministers and the public. A moment's glance at part of the State of the Province Address by KwaZulu Natal's (KZN) Premier on 25 May 2004 also mentions the topic of service delivery with grave concern. He stated that there were municipalities, which were significantly and constantly under-performing and consequently failing to meet their constitutional mandate. Further, he reported receiving a report from the Municipal Demarcation Board which indicated that over 10 municipalities in KZN were weak in terms of performing their constitutional

functions. This called for urgent action to redress the situation (State of the Province Address, 2004; Zululand Observer, 13/09/04)

Currently, there is mounting service delivery related unrest in various corners of the country, especially in Western Cape, Free State and Eastern Cape. Towards the end of 2004, several towns (eg Harrismith in Free State Province, Newcastle in KZN, Khayelitsha in Cape Town etc) were rocked by violent public demonstrations due to poor service delivery by municipalities. It is not known when this trend is going to stop. (Sunday Times: 26/9/04, Sowetan: 29/10/04)

## **1.2 The Research Question**

The above service delivery crisis leads to the major research question, which shall read as follows;

**Why are municipalities failing to deliver services to the satisfaction of the public at large, despite adopting the integrated development planning strategy and benefiting from substantial government support programmes?**

In order to unpack the above principal question, a set of sub-questions have been developed, whose answers would help in understanding the current operational environment within which municipalities are performing their functions. It should be borne in mind that these questions would also form the basis for the content of interview guides to be utilised during the study.

### **1.2.1 Sub-Questions**

- Are the municipal IDPs being compiled in accordance with the provisions of the Municipal Systems Act?
- What is the role being played by the key stakeholders in the planning and implementation of IDPs?
- Do local councils have the requisite resources to undertake the necessary IDP processes?
- Do municipalities have the requisite manpower and skills to undertake the expected service delivery functions?
- What is the level of inter-governmental relations in the IDP processes?
- How is vertical and horizontal alignment being achieved in municipal planning and development processes?
- Is the government committing adequate financial and human resources to assist local government programmes?
- To what extent are municipalities financially viable and what are their sources of funding? Do they depend on external funding?
- Have municipalities established the necessary lines of communication with the local communities? (eg establishment of Ward Committees and communication policies)
- To what extent can the existing human capacity in provincial and national departments efficiently support Municipalities?
- Is the engagement of sector departments and service providers resulting in improved service delivery? Are they taking cognizance of municipal IDPs in planning and implementation of their projects?
- What are the views of municipalities and provincial government on poor service delivery?

- What are the possible solutions to the issues identified in the study?
- Have municipalities established a Performance Management System as required by the Municipal Systems Act, 32 of 2000?
- Is the PMS easy enough to be understood by municipal staff, the community and councillors?

### **1.3 Hypothesis/Argument**

Though provincial and national government have, by now channelled massive resources to municipalities to enhance the delivery of services, not much has been achieved to date. The standard of living has barely changed. This is an indicator that something is wrong somewhere. (Mercury, 06/05/05)

Development planning processes, procedures including state's support initiatives are believed to be sound, comprehensive and well documented but not being adhered to by the responsible role players. For example, it is my perception that community participation is still below standard and that there is inadequate involvement by sector departments and service providers. This situation has perpetuated the existence of the traditional sectoral planning which is now undesirable under the current integrated development planning strategy.

I believe that a turn around can only be achieved if the above trends are reversed through proper application of pre-scribed processes and procedures and the participation of all stakeholders to integrate initiatives as well as to achieve horizontal and vertical alignment.

My research seeks to make a substantial contribution in this regard. Apart from attempting to find fresh problems in planning and development, it will further propose some realistic practical solutions in order to assist municipalities in

decision making. This point stems out of the fact that between 2002 and 2003 government, in partnership with other private bodies, conducted many workshops to unearth the causes of poor service delivery. It was observed that the resolutions taken at such events were inconclusive, hence could not be implemented by municipalities. In view of the above background, this research intends to go a step further by attempting to suggest workable solutions for the identified problems.

## **1.4 Methodology**

### **1.4.0 Background To Study Area.**

The study area falls within the administrative region known as 'the Northern Region' of KwaZulu Natal Province. According to DLGTA, the Province is divided into 3 administrative regions namely; Coastal Region which covers Durban and Durban South, Inland Region covering the area from Pietermaritzburg to Newcastle and the Northern Region covering the area from Vryheid, Eshowe, Richards Bay to Pongola on the Swaziland border.

The northern region comprises geographical areas under three district municipalities namely; Zululand, Umkhanyakude and Uthungulu, which in total accommodate 19 municipalities. This is also the poorest region in KZN, evidenced by the highest number of municipalities under Project Consolidate and the ISRDP programmes. (See map 1 p49 and map 2 at the back)

A qualitative approach was utilized to gather data for this study, which involved the administration of unstructured/face-to-face interviews with municipal and government officials. Gaskel (2000 p.41-42) gives a short and clear objective of such an approach as 'to sample the range of views' and not 'to count the number

of opinions'. The interviews were based on the interview guide, which comprised both closed and open-ended questions. However, most of them fell in the latter category and the intention was to allow opportunities for probing, in cases where more details were needed. Most of the techniques applied in designing the questions were borrowed from authors such as Oppenheim (1992). Because of limitations in time and other resources, the most appropriate sampling method applied was 'convenience sampling' This allowed the targeting of particular municipalities and state departments which had potential to contribute valuable information. The major advantage in the method was that it allowed direct interaction with people who were actively involved in municipal planning and development. (Mikkelsen, 2005). See appendices pages 45 & 46.

During each interview it was important to ensure that the researcher paid his utmost attention to what was said and gave an opportunity to every respondent to lead the session uninterrupted. Because the interviews were held at an individual level, the respondents were free to express their perceptions on how things were happening and additionally, how they thought things should be done. (Mikkelsen, 2005; Hope et al, 1995)

The principal method for data collection was through the use of three different types of interview guides targeting municipalities, sector departments and LGTA. The aim of the exercise was again to get the range of views from the three different institutions, who were actively involved in municipal planning and development. Leaving any of them out was tantamount to fracturing the whole study process, which would possibly have resulted in misleading findings. Below is a summary of tools/data sources used in the exercise.



### **1.4.1 Sources of Research Data.**

#### **i) Municipal Interviews**

Though it would have been ideal to undertake a study covering the entire Northern Region, which comprised 19 municipalities, it was not possible, due to limited time, human and financial resources. As a result, a total of 8 local municipalities were hand picked for the study. The criteria for selection was as listed below;

- It had to be a newly established municipality (a result of re-demarcation exercise in 2000) coupled with a rural background,
- High dependency on grant funding for financing development programmes.
- The municipality should have been under the Integrated Sustainable Rural Development Programme or Project Consolidate Initiative.

The application of the above criteria resulted in the selection of 8 municipalities, namely; Ulundi, Mthonjaneni, Nkandla, Ntambanana, Jozini, Big Five False Bay, Zululand and Umkhanyakude. The interviews dwelt on how municipalities viewed the roll out of government support programmes, grant funding, inter-governmental relations etc.

#### **ii) Government Interviews.**

Two different interview guides were administered to government departments. The first one specifically targeted DLGTA, in their capacity as facilitators of the integrated development programme. This department, which was appointed by the Provincial Government as the custodian of IDPs in the province, shoulders a

lot of responsibilities, hence were expected to provide most of the required information. It should be remembered that it was responsible for the roll out of about six support programmes. As a result, their officers had fertile knowledge on what was happening in municipalities with respect to service delivery.

The second batch of interviews targeted other government departments like Transport, Health, Education, Agriculture and Water Affairs and Forestry, which were also actively involved in rural development. It was important to derive their views with respect to development programmes, participation in municipal planning and budgeting. The degree of their commitment to the IDP process and the nature of their development programmes had to be evaluated.

iii) Municipal Managers Forum.

This was a quarterly meeting for all the 19 municipal managers of the region, where technical and administrative discussions were held. The forum was used as a launching pad for the study by utilizing it to introduce the research, its aims and objectives. It was necessary to ensure that the managers buy-in was obtained to guarantee co-operation. Therefore the managers were made aware of the project well before it commenced. This was followed by dispatching letters of introduction as a matter of procedure.

iv) Integrated Development Plans.

IDPs for the studied municipalities were used to provide additional information and for verifying and refining the collected data. They helped in reflecting the socio-economic profile of each municipality, based on the 2001 national census data, municipal budgets, poverty and unemployment levels, compiled sector plans etc.



v) Speeches, Newspaper Articles, Observation etc

Important information in the form of suggestions and comments from government and senior political figures was obtained from sources such as; public speeches, IDP meetings, conference papers, newspaper articles etc. The researcher was also able to use his experiential knowledge on the subject since he had worked with municipalities for five years in total. A lot had been observed and experienced during this period, thus contributing valuable information to the research.

vi) Books and Journals.

The Study benefited a lot from findings, ideas and recommendations made by other researchers who had undertaken similar studies in the past. As can be appreciated, this exercise was not undertaken in a vacuum as it considered both old and contemporary literature. At the back of this report is a full list of reference books and journals consulted during the exercise.

#### **1.4.2 Limitations and Constraints.**

This study process was not smooth flowing as the following text will reveal. Firstly, as already pointed out limitations with respect to time, manpower and finances compelled the study to focus on a total of only 8 municipalities and 7 government departments. Under normal circumstances it would have been desirable to have a broader coverage in order to increase the accuracy of the results. The study had to be structured such that it could be managed by the researcher alone, eliminating the need for additional interviewees.

Securing dates to interview Municipal Managers and their senior staff was sometimes a mammoth task. Their diaries were always congested with other

commitments making it impossible to get them as and when planned. Delays were therefore realised here and there. Appointments were sometimes usually cancelled without notice and some trips were worthless and had to be re-planned. Part of the reason was the numerous unplanned meetings which they are expected to attend at short notice by many public and private organisations.

Some of the Municipal Managers were reluctant to be interviewed apparently because many institutions had undertaken similar exercises with them and were viewing it as a 'nuisance' The probable reason sensed was that they were never informed about the outcome of most of these surveys for which they would have contributed immensely in ideas, information and time.

Equally, it was such a struggle to interview government officials similarly due to time constraints. Bureaucracy also played its part in delaying the exercise as clearance from senior management was often required for most respondents before they could participate. The positive observation made was that for as long as that authority was granted, everything would move swiftly thereafter. Patience had to be exercised in all such situations.

However despite the above hiccups, the research proceeded with the application of some persistence, flexibility, understanding and tolerance.

### **1.4.3 Conclusion.**

This chapter has given an overview of the research problem which should be answered by providing an answer to the research question. The key problem was lack of service delivery by local government in spite of the introduction of a package of support programmes by government. Explanation has been given to the methodology applied in the study, which generally employs a qualitative approach.

Having put together the above mechanisms, the following chapter will then explain the theoretical background to the whole study. It attempts to highlight the underpinning schools of thought which form the basis of this research. Basically, the ideas applied in this exercise were not a 'new invention' but were derived from results from findings conducted by early researchers and theorists.

## **CHAPTER TWO: THEORETICAL FRAMEWORK**

### **2.0 International Influence**

The theoretical framework mainly focused on municipal administration, service delivery, integrated development planning process and state assistance programmes. A good understanding of these two concepts was expected to go a long way in finding out the loopholes with each of them, and lead the search for appropriate solutions.

The concept of Integrated Development Planning was not invented in South Africa, but instead, it was imported from other parts of the world. The strategy came as a product of several development concepts pioneered by countries in Europe, Asia and Latin America and so forth. As was proven during the exercise, it is believed that the notion of integrated development planning was constructed on ideas borrowed from international experiences, new public management approach, decentralization and collaborative planning. Below is a summary of the factors in question.

Around the 80's and internationally, planning was shifting from ad-hoc project based approach towards strategic and integrated forms. Harrison (2001) states that the local IDP resembled recent ideas applied in many countries such as the United Kingdom, New Zealand, India etc.

Many international development agencies, working in South Africa, brought with them ideas on this new kind of planning. Some of these were the German Agency for Technical Cooperation (GTZ), the World Bank Urban Sector Missions to SA, UK's Overseas Development Agency (ODA) and foreign consultants.

Other ideas were imported during international visits by senior government officials and politicians. Some of the countries visited were; Zimbabwe, Brazil, India, Malaysia, Canada, Poland and Philippines. (Harrison, 2001)

## **2.1 Theoretical Influence.**

### **2.1.0 New Public Management Approach. (NPM)**

The introduction of the democratic government in South Africa coincided with a new thinking meant to improve public administration. This brought in some new approaches (around the 80s) to the public sector such as; performance management, competitive incentives, service delivery partnerships, goal-directed budgeting etc. Focus was made on citizens as clients or customers and on the need for public agencies to provide them with efficient service. A key feature of NPM was the introduction of a 'corporate culture' meaning a concern with business-like efficiency and outcomes in the public sector. Harrison's (2001) thinks that New Public Management (NPM) could possibly have originated from policies introduced in the UK by the Margaret Thatcher government in 1979.

Hafteck (1997) who also studied the 'corporate model' of management, states that it was characterized by centralization of political and managerial power. The Chief Executive Officer, who in local government is equivalent to a Municipal Manager, co-ordinates the activities of the various departments. As in the above case, he also views community as customers and emphasized the need for intensive participation and interaction within and outside the organization. Generally modern management techniques used in big companies in the private sector were introduced in the local government establishment. (Hafteck, 1997)

The New Public Management was, in the South African context, responsible for the birth of additional concepts, which are dominating the current planning processes. These are, namely; community building, inclusion, participation,

poverty alleviation and integration. These concepts, which have been legalized through local government legislation, would result in a bottom-up planning process. Therefore it is evident that the local IDP process drew some of its ideas from the NPM. (Harrison, 2001 & 2004).

### **2.1.1 Decentralization.**

This concept brought in some new thinking in the development planning arena. In order to enhance its understanding, it is necessary to reflect how different authors define this term. Slater (1989) defines it as *'the creation of relatively autonomous agencies and enterprises that can carry out specific functions with greater flexibility and speed than the traditional ministries'*.

On the other hand, Rondinelli et al (1989) views decentralization as *'the transfer of responsibility for planning, management, the raising and allocation of resources from central government and its agencies to field units of government agencies, subordinate units or levels of government, semi-autonomous public authorities, or non-governmental private or voluntary organizations'*. According to these two, decentralization results in a situation where public goods and services are provided primarily through Local Government to citizens, to satisfy their needs.

Basically the above definitions reflect one common principle, that of transfer of roles and responsibilities from a centralized higher authority (eg national government) to a lower ranking authority where specific actions would be undertaken to provide services to communities. Several assumptions underpin the notion of decentralization. Their understanding would also help to appreciate the reason why this concept is regarded as workable.



Rondinelli et al (1989) states that more efficiency in delivery is achieved when public services are provided under conditions of free choice and involvement of local institutions than when central government is the sole provider. Slater (1977) who carried out studies on decentralization in Tanzania, believes that decentralization extends and consolidates the regional power of the state on the local people. Similarly, Ghana used the strategy to push political costs on to alternative levels of government but still maintained overall authority. After going through two decades of military rule, Brazil used the same strategy to build its revenue base by using local government as tax collection structures. Thus we see that the concept could be manipulated to achieve a variety of objectives. His main argument was that not all decentralization policies were implemented in good faith. (Dillinger, 1993)

For successful implementation of decentralization, there is need to design relevant policies carefully. Critical factors to be considered comprise; analysis of services to be provided, characteristics of users, financial requirements and organizational structures. These should all be consolidated with a political and economic framework, which should be linked to two major disciplinary approaches to analysis, namely; public choice theory and public policy approach. These two should be merged to achieve an implementation focus. It is therefore believed that decentralization is necessary. This view is supported by USAID (1979) whose report states that *'decentralization is necessary to increase the scope of decisions, and thus, incentives, available to local participants, as well as to build institutions and to encourage, structure, focus and stabilize such participation'* Important components of decentralization are identified in the passage below;

- Definition of nature of services: The decentralization policy should clearly understand the nature of services to be decentralized without compromising efficiency and effectiveness. This requires background knowledge on the services users. The exercise should define public and

private goods as well as analyse the beneficiaries' ability to consume them.

- **Financial Responsibility:** Institutions to which functions are being decentralized should be capable of delivering the services. This requires a financial analysis which deals with issues such as; identification of sources of funding, adoption of user charges, adoption of co-financing, revenue raising strategies, revenue sources for public goods etc. Rondinelli (1986) warns that financial assistance from central government should not be mistaken for perpetual support as it would diminish in time! In order to overcome this problem, local government should be given authority to raise revenue through taxes, fees, engaging in income-generating activities and so forth.
- **Delivery Performance:** There is need to focus on local government expenditure. Efficient service delivery reduces demand for additional revenue and results in attainment of targets. However this can only be judged through the setting up of a Performance Assessment Framework. This mechanism would ensure that local government performance in service delivery was measured and monitored.
- **Institutional Arrangements:** Decentralization requires a very strong administrative and technical capacity within central and local government. This would enable them to carry out the desired capacity support and development functions respectively. Support was required from central government in terms of; planning, programming, logistics, personnel, budgeting, training, resources etc. Finally, Rondinelli et al (1989), points out the need for formulating policies to ensure both political and community participation in decision-making processes.



- **Legal Frame work:** Laws, regulations, and directives were necessary to support decentralization. The laws would help to define the working relationships within the various levels of government and local administration, allocation of functions amongst organizational units and their roles and responsibilities. The legislation should also capture the need for active engagement of general citizens during planning and implementation.

The above passage revealed the immense contribution made to the Development Planning strategy in this country by early theorists. Though the above text is not exhaustive, an attempt has been made to highlight some of the most important factors. However, all the points listed above form the basic principles on which the IDP process has been established. (Slater, 1989; Rondinelli, 1986).

### **2.1.2 Collaborative Planning**

This was one of the concepts, which had greatly influenced the notion of development planning. Healey (1997) studied much on this subject in terms of where, when, why and how the concept was developed. This author derived most of her experiences from the British and American models of collaborative planning. She attributes the emergence of this approach from the traditional central planning practices undertaken in these countries, whose emphasis was on three areas, namely; economic planning, physical planning and policy analysis and planning. Because of the capitalist nature of their economies, the planning, which was centrally controlled, was basically a 'top-down' system where community needs were determined from the top. Similarly, strategy formulation, project prioritization and implementation were all performed centrally, hence planning took a prescriptive approach. (Healey, 1997).

As planning experienced a revolution during the 19<sup>th</sup> century, through the introduction of new ideas by pioneer planners such as Giddens, Haberman etc, the respect for human rights gathered momentum and became a central debate. It was then realized that traditional planning was getting out of step with the way business and citizens were conducting their activities. Governments were, as a result, urged to modernize by creating active links with these two groups of stakeholders and start involving them in planning. Demands were made for government to be more responsive to concerns of business and citizens and to be accountable to the two groups. The need for collaborative planning was established.

Next, it is paramount to understand what Healey (1997) meant by 'collaborative planning'. It was the kind of planning that focused on principles of conflict mediation and consensus-building. It puts emphasis on shared concerns on socio-economic issues. Collaboration also involved the acceptance of different views through high involvement of interested parties. Healey (1997) reminds us that this term should be discussed within the realm of Governance, as it is a part of this bigger picture. In the end, the process helps to achieve; mutual understanding amongst involved parties, legitimacy to planning process, trust, sustainability and acquisition of skills and knowledge through interactive discussions.

It is important to identify key principles of collaborative planning as stated by Healey (1997), as these would provide some guidance to those who wish to establish good collaborative systems in future;

- Collaboration should encourage power-sharing across different ethnic communities through open interaction, sharing and contributing ideas.
- Processes should consider the importance of obtaining local knowledge and experiences in addition to technical knowledge availed by expert groups. Based on their culture, reasoning, feelings and values, local

- communities can define their needs and solutions better than anybody else.
- Collaboration processes should encourage dialogue between stakeholders as well as their full participation in planning. This is achieved through the design of convenient structures and procedures to give effect to such processes. This action results in consensus-building.
  - Processes should recognize the range and variety of stakeholders concerned with what is happening to their local environment, their cultural diversity and powers, which exist in them.
  - Good collaboration results in capacity building on the part of participants. Knowledge is shared through social networks on areas of common concern. This also includes knowledge on socio-economic impact of various development programmes being rolled out by central or local government.
  - The processes should ensure that they are not hi-jacked by those with power, who might want to dominate the poorer section of the community. In other words, the community is regarded as egalitarian in nature.
  - The collaboration system should ensure a right to good quality information available to all parties (communities and other stakeholders) to assist them to consider what is at stake. This includes important information that lie behind decisions, like; political arguments, the images, the consideration of stakeholders concerns etc.
  - Processes should provide an opportunity to communities who can prove to have a stake in an issue, to challenge decisions made in governance arenas, on the grounds that their stake had not been adequately taken into account. (Healey, 1997).

There is a strong linkage between all the items listed above with the provisions for public participation, as prescribed by the Municipal Systems Act. In fact, all of them have been incorporated within the participation procedures and requirements outlined under Chapter 4 (Sections 16-22) of the same Act.

The research was, to a great extent, influenced by ideas, debates and concepts already presented by existing literature. This formed the baseline of my arguments or new findings. It should be noted that since the inception of IDP strategy about 6 years ago, many researches, conferences and workshops have been conducted, dealing with its different aspects. This means there is a lot of literature from which ideas can be derived and perhaps it is worth mentioning that importance was given to both failures and successes of those countries, which have tried it, in order to obtain a balance of ideas from countries located in different parts of the world. However, it should be conceded that integrated development planning is a broad field, whose issues cannot possibly be dealt with by one study.

## **2.2 Other Local Examples.**

Numerous studies have already been undertaken by various individuals and organizations in the field of integrated development planning with respect to establishing its applicability, weaknesses and how to reinforce it to improve service delivery. Government has demonstrated its seriousness in supporting municipalities to carry out their constitutional mandate by conducting two important Local Government Conferences in January, 2003 and April 2005. The objective was to bring together all stakeholders in local government with a view to finding new and innovative solutions to challenges facing delivery of services. It is disturbing to note that most of the challenges being faced today were also discussed in the conference of 2003. This means solutions to many problems are still outstanding, calling for urgent state attention. In brief, the common issues

discussed involved; ways of improving inter-governmental relations, the role of women and youth in local government, improvement in public participation, poverty alleviation through infrastructure provision, role of traditional leaders, performance management, capacity building, co-operative governance and achievement of financial viability. The fact that most of these issues still lie unresolved is because most of the resolutions taken were not comprehensive and conclusive, hence could not be implemented. (MEC Speeches, 2003 & 2005)

It is important to state, at this juncture, that this new planning concept is very dynamic and many researches will have to be undertaken to find solutions to obstructions that will arise during implementation. Therefore research should be seen as an on-going process. In particular, this study benefited substantially from existing literature and experiences.

The above view was confirmed by Jah, (1985) who stated that,

*"Development is a dynamic process. The strategy for development cannot be static. The very process of development brings about changes which open new opportunities and also give rise to fresh challenges"*.

Therefore, the need for continuous research in this field cannot be over-emphasized.

### **2.3 International Examples: Ghana, India and Pakistan.**

It was necessary to study at least three countries where the concept was implemented and tested. This assisted by providing experiences from which this research substantially benefited. The selected countries, which have implemented the integrated development planning concept, were Ghana in Africa, India and Pakistan in Asia. Selection was based on the notion that these three share almost a similar socio-economic background with South Africa, hence are expected to provide relevant lessons. This assumption was further confirmed



by Aryeetey and Tarp (2000) who states that Ghana was seen as a fore-runner in economic reform process that had dominated African policy making since the early 1980s. On the other hand, India and Pakistan were expected to give us the Asian experience.

### **2.3 Integrated Development Planning in Ghana, India and Pakistan.**

As already pointed out, the study necessitated taking a look at Ghana, India and Pakistan, countries which (like South Africa) are in the Developing World. It was assumed that because they share similar socio-economic problems, their experiences in integrated development planning could be handy. Some notable common characteristics with these countries were; extreme poverty, unemployment, poor access to basic services and underdevelopment. To a large extent, this situation was attributed to the old colonial regimes' exploitative economic policies which discriminated society based on race. (Appiah et al, 2000

For example, about 30% of Ghana's population was living below the poverty datum line in 1992. There was serious lack of access to social services like education and health as well as poor infrastructural provision. (Appiah et al, 2000). On the other hand, Bandyopadhyay (1985.p524-25) states that during the years 1979/80, 51.1% of India's population was living below the poverty datum line. Pakistan was in no better situation as the British colonial regime's policy saw almost 75 million people being driven to the rural sector which was dependent on poor subsistence farming. (Khan, 1980.p2-10)

The above mentioned countries decided to turn to the concept of 'integrated development planning' in order to address these economic imbalances. The ultimate aim was to upgrade the standard of living for their communities and declaring war on poverty. Some of the common tools applied by the 3 countries to introduce and strengthen this new planning concept were as follows;

Generally the countries realized the need to formulate strong policies to lead their action programmes. For example, Ghana's Vision 2020 development policy had a strong bias on poverty alleviation through the application of 'basic needs approach'. Some of the principal sub-programmes driven by the state comprised; poverty alleviation, access to basic services, population and women development, health, nutrition, informal sector and employment. Despite its presence, Vision 2020 did not make any noticeable impact on the lives of people as government was not committed to implementing it. According to Goldstein et al (2000, p294-5) the action plan did not have an explicit social policy and as a result, many public agencies and donor agencies did not regard it as an official document. Their feeling was that the government just wanted to satisfy the Constitutional requirement by making it available. Otherwise there was no will to implement it, hence it was considered only as a list of ideas.

Meanwhile, India developed the strongest policy framework which in all comprised 7 five-year strategic plans which cascaded into lower level individual annual plans. The strategy mainly focused on dealing with basic minimum needs especially targeting poor rural communities. This also included the development of infrastructure and social services like water supply, provision of housing sites, primary health care and nutrition, primary education, adult literacy, to name a few. Unlike Ghana, India showed much commitment and focus in implementing its development planning policy. Consequently Bandyopadhyay (1985. p524-25) points out that India's economic approaches achieved notable positive results in alleviating poverty, though many programmes had their own weaknesses and challenges. On the whole, there are some lessons to be learnt from this country.

Pakistan devised an approach which was a bit different from the other two. The policy focused on the establishment of centres known as Makhaz which would manage development in each sub-region. This body, which was made up of officials from all governments technical departments responsible for rural

development, was led by an elected Chairman. It was the function of the Makhaz to plan and provide physical infrastructure like; roads, drainage, electricity, water, etc. Therefore the convergence of multiple expertise ensured coordination and alignment in integrated development planning at grass roots level. An important point to note was that plans were prepared in close consultation with local communities! This was in contradiction to how planning was undertaken in Ghana where a 'top-bottom' approach was in use. (Khan, 1980)

Though the government of Ghana was conscious of the need to involve the public during planning, this was not practised. It failed to establish public participation structures and processes. Therefore the system marginalized the local communities in planning and implementation. This resulted in some of the development programmes like education and health reforms being resisted by the people. Furthermore it is stated that because of lack of consultation the goals and objectives of Vision 2020 did not reflect the entire needs of the citizens. Minimum progress was consequently achieved. The same approach was replicated in India where the identification of needs and implementation of programmes did not directly involve beneficiaries, relegating them to play a receptive role only. (Rao, 1985). In contrast to the above cases, Pakistan followed a different approach. The planning system ensured that plans were prepared in close consultation with local communities. Planning was undertaken at a local level through structures known as 'village units'. This was driven by the general belief that it was the local community who were in the best position to identify their needs and no one else was more sensitive to their needs than themselves. Moreover, experience had shown that at village level, needs differed drastically hence should not be generalized. (Khan, 1980)

All the 3 countries studied realized the need to create decentralized planning structures. In order to facilitate effective service delivery, Ghana formulated new legislation to delegate powers to local government to deal with; planning



functions, service provision, budgeting and revenue raising. The principal function of local government was to provide services to the communities. (Appiah et al, 2000). Indian planning was done at various levels, namely at block, district and national levels. Each level had its own team of planners. However, it was mentioned that some development initiatives were driven through a top-down planning approach. (Bandyopadhyay, 1985.p533-538).

It was noticed that in the 3 examples the degree of success in integrated development was, to some extent, dependent on the seriousness of that particular government. A good example was given by Ghana who developed a development vision which the state was not committed to implement. According to Goldstein et al, 2000 p294-5), the action plan did not have any explicit social policy and as a result, many public and donor agencies did not regard it as an official document. Their feeling was that the government only wanted to satisfy a Constitutional requirement by making it available. There was no will to implement it, hence it was considered only as a list of ideas. On the other hand the Pakistan government meant business and their efforts were fruitful.

This was a common feature to all the 3 countries. The need to involve all government departments in integrated planning was shown through the composition of Makhaz units in Pakistan where representatives of all technical departments were appointed as members. Planning was done as one body, thus facilitating alignment and cohesion of development initiatives. Similarly, in India the responsibility of implementing the Seventh Five Year Plan, which aimed at poverty alleviation, was not a responsibility of one sector department. The activities were driven by all sectors which were brought together through an effective horizontal alignment from local to national level. (Bandyopadhyay, 1985)

Although India, Ghana and Pakistan scored successes at different degrees, their approaches had some weaknesses. Of relevance to this study were practices such as; formulation of development policy to guide interventions, the need to decentralize planning to local levels, encouraging community involvement in decision making process, adopting an integrated approach to planning through the involvement of various sector departments, the need for state commitment in implementing policies, etc.

As indicated in the preceding section, some countries could not achieve their goals and objectives because they marginalized the public in planning and implementation. This led to the identification of initiatives which were irrelevant to the upgrading of peoples' lives. Therefore top-bottom planning should be discouraged.

#### **2.4 Assessment of IDPs in South Africa**

The idea of transforming local government into a 'developmental' organ of the state was introduced by The Constitution of South Africa. This culminated in the formulation of several pieces of local government legislation, which focused on this objective. eg Municipal Systems Act, 2000, Municipal Structures Act, 1998 etc. All of them dealt with the common issue of transformation, thought to be a pre-requisite for the much needed service delivery. As a starting point, it was necessary to determine a benchmark for what could be seen as a 'delivery focused' municipality.

Mackenzie (2003) explains the importance of peer review in municipalities and further illustrates how the South African benchmark was influenced by the British system. The benchmark design was influenced by the challenges facing local government, which, in the South African context, comprised issues of poverty, unemployment and poor service delivery. Peer review exercises, which were

based on the benchmark criteria present a logical and practical way in which municipalities could assess and improve their performances.

Thus in this country benchmarking has been based on the following criteria;

- How far a municipality had managed to implement the new legislative framework inclusive of the Constitution. As already pointed out, the new legislation was used as a tool for transforming local government and this transformation was meant to ensure that services were delivered to the communities. Thus we see a correlation between implementation of legislation and service delivery.
- Sustainable development: Includes checking on how the municipality was addressing its key challenges as well as basic services. Additionally, issues like the Integrated Development Plan and its priorities as well as economic development were also assessed.
- Leading and Learning: This mainly referred to issues of leadership in the municipality concerning councillors and staff, their relationships, teamwork etc,
- Democracy and community engagement: Since democracy was one of the key goals of local government, it was necessary to create a strong relationship between councillors and the community, council and residents, level of council communication with the community and effectiveness of public participation.
- Performance and resource Management: This would involve a look at council's human and financial management and control mechanisms. Under the same heading would be project planning, implementation, monitoring and evaluation.

The above was seen as a generic benchmark suitable for South African municipalities. Achieving high points in the above areas would signify a developmental orientated municipality capable of delivering services. (Mckenzie, 2003 p8-14)

#### **2.4.0 Institutional Administration.**

The institution is usually considered as the engine room for all local government operations. This is where all the planning, implementation, monitoring and evaluation is conducted. Therefore any fault with the organization would have direct negative impact on its performance, hence delivery of services to the people. It is because of this vital role that Gotz et al (2003) decided to undertake a study of the current political and administrative interface in municipalities.

Before dealing with the findings of the study, it is necessary to mention that municipal administration is currently guided by a body of legislation whose most important pieces are the Municipal Structures Act, 117 of 1998 and Municipal Systems Act, 32 of 2000. The objectives of these Acts are to; prescribe the decision making systems for different categories of municipalities, powers and duties of executive committees and mayors, municipal manager's responsibilities, explain powers and functions and relationships between officials and councillors.

The findings from the research were as follows:

- Municipalities had not complied with Section 53 (1) of the Municipal Structures Act, which requires them to define the roles of each political structure and office bearer in writing.
- There was lack of capacity on Provincial Government's side to monitor local government activities.
- There was poor debate in the chambers due to lack of interest in contributions from members from the opposition parties.

- Insufficient support was being rendered to some municipalities without capacity. They were grappling to build capacity.
- Concerns were being expressed over the redistribution of powers and functions, an exercise, which was nearing completion.

(Wooldridge et al, 2003 p15-20)

According to the Status Report on Municipalities in KwaZulu-Natal per District/Metro, produced by DLGTA in 2004, most municipalities in the Northern Region of the province had relatively good organizational structures and administrative systems in place to manage their affairs. However the critical shortage of skilled manpower was still a problem.

#### **2.4.1 Establishment of Ward Committees.**

The current local government legislation places a heavy responsibility on municipalities to develop *'a culture of municipal governance that complements formal representative government with a system of participatory governance'* (Section 16 (1) Municipal Systems Act, 32 of 2000). The same Act goes on to state that, *'The objective of a Ward Committee is to enhance participatory democracy in local government'*

The above provisions from the Municipal Systems Act derived their roots from Section 152 (1) of the Constitution, which requires a municipality to;

- *'Provide democratic and accountable government for local communities, and,*
- *To encourage the involvement of communities and community organizations in matters of local government'*

Local government transformation introduced a new dimension to the planning process. This was ensuring community participation in municipal activities and



ward committees were seen as an important vehicle through which this goal could be achieved. They would form a vital two-way communication channel between the municipality and the people. Through ward committees, citizens would be given an opportunity to contribute to the decision making process of a municipality.

The study revealed that a majority of municipalities did not have Ward Committees in place. As a result, not much involvement was being experienced. The major obstruction was that there were no written procedures on the establishment of these structures. Guidelines on how to conduct elections, criteria for qualifying to contest, who presides on the elections, parameters of ward committees roles and responsibilities were required. There was also no clarity on who was responsible for funding activities of these institutions. In some areas where the committees were in place, they were not functioning as envisaged due to friction with Traditional Authorities and local councillors. Clarity on their roles and responsibilities was required before they could operate and provision of terms of reference could have been a solution to the problem. (Hollands, 2003.p21-27)

Meanwhile, a study undertaken by the Portfolio Committee on Provincial and Local Government in 2003 revealed that though ward committees were established in some municipalities, they were not fully effective because of many challenges being confronted. They found that functions of the committees were not clearly defined, causing confusion and sometimes friction with the local councillors and the municipality. It was also found out that where they existed, they were not getting financial or administrative support from the municipalities. The committee recommended that all municipalities should have ward committees as a matter of urgency. This was because of their importance in enhancing public involvement. (NA Committee, 2003)



## **2.4.2 Communication with Communities.**

Communication is an important component in local government as it facilitates contact with the communities being served by municipalities. It is safe to say that public participation cannot be a reality without this factor. In fact, there is no reason to establish ward committees and other community structures if lines of communication do not exist. Hetherington et al (2003), allege that during the pre-democracy era, communication between local authorities and the public was characterized by lack of transparency of local government and access to information was considered a privilege not a right. There was neither openness nor transparency in the entire system. Therefore council decisions did not embrace the interests of the majority since a top-down planning approach was in place.

The above scenario was transformed by the new Constitution, which introduced the notion of public participation as a way of deepening democracy and governance. For example, Section 152 (1)(e) reads;

*'In setting out the objects of local government, municipalities must encourage the involvement of communities and community organisations in matters of local government.'*

These provisions were unpacked in the subsequent White Paper on Local Government and at a later stage by the Municipal Systems Act, which devotes the whole of chapter 4 to this cause. The White Paper endorses the Batho Pele principles, which emphasize the importance of consulting citizens on the quality of services they receive, giving accurate information, transparency and openness. It is vital to point out that this interaction should be a two-way process, allowing municipalities to communicate their business to the public

whilst at the same time allowing active consultation regarding major council policies.

Therefore, the need for formulation of a communication strategy or policy in a council cannot be overemphasized. Ways of communication used by some municipalities were; meetings, print and electronic media, internet, road shows, rallies etc. However, special arrangements should be made for those citizens who cannot read and write and the blind. The same recommendation was also made by the Portfolio Committee on Local Government, after finding out that municipalities did not have adequate lines of communication with the public. (Hetherington et al, 2003p 45-51; NA Committee, 2003).

The Local Government Conference of April 2005 identified lack of participation by vulnerable groups in this province as still a problem. This includes, women, the youth, the aged and those with disabilities. Women continued to be marginalized or under-represented in government, political and administrative structures. They were also overburdened with the responsibility of caring for AIDS orphans. On the other hand, there are no policies for the protection of orphaned children and the aged. The Conference recommended the formulation of an open door policy to be used by municipalities to promote access to information. Further, municipalities were encouraged to review their procurement policies which currently favour well established companies. They should open up opportunities to those companies owned by or whose greater membership comprises the vulnerable groups. Lastly, considering that about 70% of the population in KwaZulu-Natal was IsiZulu speaking, municipal documents (agendas, minutes etc) should, to a greater extent, be written in this language as opposed to English. This would increase access and understanding of council debates. (LG Conference, 2005)

## **2.5 Integrated Development Plans**

Integrated development plans (IDPs) are 5-year strategic plans, which were introduced by the new democratic government of South Africa. This new approach brought about a complete revolution to the planning process by involving communities in decision-making. Therefore, IDPs are supposed to inform all Council decisions regarding, planning, budgeting and resource allocation. It was believed that following the proper planning, implementation and monitoring processes would culminate in efficient service delivery thereby uplifting the lives of poor communities as well as promoting economic development. (DPLG, 2001 and Meiklejohn et al, 2003)

The framework for the new local government system was set by the White Paper on Local Government. Deriving its mandate from the Constitution, the Paper presented the IDP as the only tool for developmental local government. Municipalities were given the role of planning and development because of their closeness to communities and their good knowledge of local conditions. It is in this view that IDPs were made a legal requirement under the Municipal Systems Act, 32 of 2000. This Act prescribes the framework for IDPs, principles for the process and the minimum requirements. (DLGTA, 2001)

The National Assembly Portfolio Committee on Local Government, (2003) carried out a study on how the IDP process was being undertaken by Municipalities and came out with important findings which reflected achievements made and weaknesses. The reason for embarking on the study was to understand what was taking place in order to find out appropriate solutions. Ideally, any study is expected to yield practical recommendations capable of being implemented to improve the existing situation. Failure to do this would render the whole exercise worthless. Though the National Assembly Committee's study made valuable

revelations regarding some of the problems faced by municipalities in carrying out integrated development planning, it fell short of making concrete recommendations, hence remained only as an informative tool.

It is now 4 years since these findings were made. The question one might ask is: 'What action has been taken by the involved role players to improve the situation?' This text shall only look at the identified gaps which were as follows;

### **2.5.0 Sector Departments' Involvement.**

The buy-in of IDPs by sector departments was very poor and as a result their participation in municipal planning processes was minimal. The result was that IDPs did not include development programmes by sector departments, who, on the other hand, were playing a major role in the development of rural areas. It should be remembered that most of these local authorities were new and resourceless and had to depend on grant funding from government for most of their capital projects. Consequently, sector departments continued to perpetuate the traditional individualized planning, ignoring municipalities. They ignored the existence of IDPs. This point was also established by the National Assembly's Committee during their study of municipalities in 2003. This is why it was crucial to bring them to the planning table, to pull and co-ordinate these development efforts together. This approach was expected to achieve alignment in project implementation, avoid duplication as well as strengthening the programmes.

As a solution to the above, the research recommended that immediate efforts should be made by national and provincial sector departments to get involved in IDP processes. (NA Committee, 2003)

### **2.5.1 Institutional Capacity.**

Municipalities, especially the newly created ones were struggling to build capacity and hence needed a lot of assistance from provincial and local government spheres. The National Assembly Committee (2003) study observed that municipalities were making numerous requests for assistance and support. The support required was mainly for skilled personnel, training and financial. A municipality which lacked capacity could not be expected to deliver. There were no skilled personnel to deal with project planning and implementation as well as financial management. Lack of capacity was forcing many municipalities to depend on consultants, even in the compilation of IDPs. (NA Committee, 2003) A recommendation made for the above was for the formulation of a support strategy by national and provincial governments.

### **2.5.2 Lack of Strategic Approach**

The first round of IDPs resembled 'wish lists' and lacked the strategic touch. The Portfolio Committee, in its study conducted in 2003, found out that the lists were produced during public consultation meetings held by municipalities. It was difficult to balance the priorities, which emerged from the meetings with available resources such as manpower and funding. Basically, they contained unrealistic expectations, causing communities to lay their hope on impossible achievements. Compiling the IDP was seen as a task requiring listing all projects decided by the communities. The biggest problem was that municipalities had no strategic planning skills which entailed the formulation of issues, a vision, goals, objectives, strategies and projects. To many of them, focus was on producing the document within the legally stipulated time frame and not on its practicality. As a result, consultants used to compile the IDPs independently without municipal inputs. That is how they became consultant-owned and irrelevant.



Through the Capacity Building Programme, government desires to see municipalities gradually weaning from consultants services.

In addition to the above, it was found that IDP studies spent no effort in understanding the local economies and what the local economic development needs were. As a result local economic development needs were usually presented as groups of projects instead of policy statements on economic recovery. It is due to the same reason that the Spatial Development Frameworks compiled by most municipalities were not comprehensive. This view had always been presented by DLGTA during IDP assessments. (Meiklejohn et al, 2003; National Assembly Committee, 2003)

### **2.5.3 Provincial Government Support.**

The research revealed that only a few provinces played an effective role in supporting municipalities and also monitoring the way they were undertaking the IDP business. The structures in place were not conducive to giving the required assistance. This situation was however improving gradually. This is a true reflection of the situation in KwaZulu Natal. For example, the Northern Regional Office, for Development Planning which caters for 19 municipalities have a staff compliment of 6 out of the recommended 19 planning staff members. Presently, this thin group was over-stretched and struggling to serve the region. This means municipalities cannot get assistance as and when required. The above capacity problems prevailed in many state departments, thereby resulting in poor support. (DLGTA, 2004)

### **2.5.4 Financial Viability and Fiscal Decentralisation**

It was found that there was a mismatch between development planning and financial planning processes. Though there had been a devolution of planning



powers and functions to local authorities, no similar action had been applied to financial sector. Financial management and control remained in the hands of National and Provincial Treasury who determine handouts to local government. Therefore a top-down approach, which the current system intends to remove, still exists in this sector.

The Portfolio Committee's study revealed that generally, municipalities were suffering from a shortage of funding and the financial assistance they get from government was inadequate. This was worsened by the fact that most were facing difficulties in recovering debts from individuals and government departments. Additionally, many had no economic base (eg rates base) and had to rely solely on external assistance. Meanwhile, a large percentage of their budgets were consumed by salaries, a problem for which they had no immediate solution. This scenario saw such local authorities being unable to fund any capital projects from their own coffers, thus affecting service delivery.

The above problems could not be dealt with by one solution due to nature and complexity of the prevailing challenges. To this end, the Committee recommended the review of municipal boundaries by the Municipal Demarcation Board in order to deal with the non-viable municipalities. Another proposal made was to encourage municipalities to reduce the percentage of their budgets allocated to personnel expenditure and, at the same time, increasing allocation to capital expenditure. A strong suggestion was made on the need to formulate income-generating strategies for raising their own income.

The last recommendation made was the need for formulating a long-term capacity strategy to ensure that municipalities would be able to manage the fiscus should decentralization occur in future.

(Meiklejohn et al, 2003; NA Committee, 2003)

### **2.5.5 Public Participation.**

Even though there had been notable improvement in public involvement in IDP processes, it was still not yet satisfactory. Many municipalities had tried their best to establish structures to facilitate participatory processes. Rauch (2002) concluded that IDP project lists generally reflected community needs and this was a result of opportunities given to them to engage in the initial processes of project identification and prioritization. He found out that communities were satisfied with their involvement. However, this participation rarely went beyond the identification of needs stage. They were not involved in the formulation of strategies as well as project design. Legally, the process of community engagement should be taken through out the entire IDP planning process. This helps to create a feeling of ownership of the IDP in addition to contributing valuable information based on local experience. (Meiklejohn and Coetzee, 2003)

### **2.5.6 Organisational Performance Management System (OPMS)**

Service delivery is meaningless if there are no tools to measure how municipalities are performing. Measuring performance helps to gauge whether or not targets are being achieved and if not introduce appropriate changes to the strategy being used. Therefore the whole purpose of Organisational Performance Management System (OPMS) is utilized to measure if councils' commitments to the public were being fulfilled or not. The system also assists in achieving greater effectiveness in the implementation of development programmes.

The issue of performance management cannot be separated from integrated development planning. This is the reason why both issues are dealt with by the White Paper on Local Government. The Paper states that '*involving communities in developing some municipal key performance indicators increases the*

*accountability of the municipality.*' This point was taken further by the Municipal Systems Act, 32 of 2000, which requires municipalities to establish performance management systems for their organizations. As in the case with IDPs this exercise has to be undertaken in close consultation with the public, especially when choosing Key Performance Indicators.

The study on municipal organisational performance management was conducted by Moodley (2003 p 105-113) who states that the establishment of an appropriate institutional framework is a necessity. The researcher gave the following important tips on this subject;

- A high profile figure such as the Mayor or Executive Committee should drive the Performance Management System to stem out possible resistance from politicians or officials.
- At least one senior official should be responsible for both the IDP and OPMS and that he or she should be located in the office of the Municipal Manager. The duty to manage an OPMS should not be allocated to some officer who has other functions to ensure maximum dedication.
- Where the system is developed by consultants, the municipality must fully participate in the process and that there should be effective skills transfer.
- Each selected indicator should have a specific officer who would be responsible for its measurement, analysis and reporting.

By the year 2003, most municipalities had not established performance management systems, as required by the Municipal Systems Act, No 32 of 2000. However, it was found that they had developed some elements of the system which comprised; performance targets and indicators in IDPs, report-back meetings with communities, performance contracts with senior management and regular reports to council, provincial and local government. They regarded these

as forms of performance management systems. Generally because of its complexity, councils were engaging the services of consultants to establish their systems. The Portfolio Committee of the National Assembly recommended that Provincial and National Governments should give support and direction to local authorities in establishing their systems. (NA Committee, 2003)

Meanwhile, the development of OPMS still lags behind in the province as a whole. Despite the fact that municipalities in the Northern Region received R60 000 each from the DLGTA in the 2003/2004 financial year to commence their OPMS, the funding has not been utilized by many of them. The major problem encountered was that they do not know where to start. At the time of writing this report, DLGTA was busy undertaking one-on-one OPMS training sessions with municipalities, in order to enhance understanding. (DLGTA, 2005)

### **2.5.7 Capacity Building**

The issue of capacity is mentioned in the Constitution, which states that; *'national governments and provincial governments, by legislative and other measures, must support and strengthen the capacity of municipalities to manage their own affairs, to exercise their powers and to perform their functions.'*

Capacity can be viewed from 3 different angles such as human resources, new administrative systems, facilities and infrastructure. For the purposes of this study, capacity shall be construed to mean 'human resources'. Kitchin (2003) describes capacity building as 'a sustained and sustainable improvement in the ability of municipalities to perform their prescribed functions to run their own affairs with respect to administration, finance, legal issues, procurement, infrastructure development and maintenance and service delivery'

The Portfolio Committee (2003) found out that sector departments were initiating unco-ordinated capacity building programmes in municipalities. These needed to be co-ordinated, necessitating the formulation of a proper policy to achieve an integrated approach. The study points out that there were some constraints working against the current capacity interventions and unless these were removed, the programme would not succeed in the long run. Some of the necessary interventions included; transforming work environments, standard practices, incentives, instruments and structured relationships.

A common shortfall found with IDPs was lack of Works Skills Plans, meaning municipalities were unable to identify their own capacity building and institutional needs. Therefore a need was identified for them to develop their own Capacity Building Plans and submit them in their IDPs.

Kitchin (2003) further warns that because municipalities had different capacity needs, no one model should be applied as a blue print. Each municipality should be studied and its needs defined. He further warns that capacity building should not end in a dependency fever. Some important suggestions made were as listed here under;

- Engagement of expert staff instead of consultants,
- Capacity building needs and strategies should be a strong element of the IDP,
- Utilise a shared capacity concept as well as transfer of skills,
- Ensure that the sector departments were adequately capacitated to assist local authorities,
- To improve the co-ordination of all capacity building initiatives by sector departments.



According to the findings of the Portfolio Committee on Provincial and Local Government (2003) there was a need for major and effective capacity building strategy and training programmes for municipalities. They noted that without this, service delivery, democracy and development would not be achieved. A review of existing capacity building and training programmes was suggested. (NA Committee, 2003)

## **2.6 Overall Conclusion**

Mixed lessons have been encountered in the existing literature visited during the survey. It was clear from the readings that although the notion of 'integrated development planning was new to South Africa, it was not so to the outside world. Many countries in Europe, Asia and South America had tried to implement it but ending with mixed results. Of the countries closely studied, namely; Ghana, India and Pakistan, there was no instance where the strategy scored total success. The achievement of desired ends was always hindered by some challenges encountered during the planning process. The main purpose of this 'literature scan' was to extract best practices from those who have tried this concept and also those who have studied it.

Many researchers and theorists came in with different ideas on how integrated planning should best be undertaken. Generally there was agreement on the importance of the following elements in planning; decentralising planning to grass roots levels, thus adopting a bottom-up approach, sound intergovernmental relations, alignment of development plans and budgets between all spheres of government, the need for genuine public involvement in decision making, strong capacity building programmes, comprehensive legislative framework to deal with powers and functions, the need for organisational performance management system, the need for clear channels of communication



with the communities, full participation of state departments in planning and implementation etc.

It was noticeable from the readings that wherever one or more of the above principles was ignored, things would go the wrong way. For example in Ghana, the strategy could not achieve the desired results because the government lacked commitment, there was no social policy, lack of governance, poor financial support to Local Councils and marginalisation of women. On the other hand, India's success was hampered by; lack of public involvement in programmes, failure to identify poverty groups, poor project planning and implementation practices, poor communication between policy drivers and implementers. In the final analysis, the good practices noted in the literature were compared with the findings of this study to determine if recommended actions were being undertaken accordingly. If not, these would be assumed to be the probable problems causing poor service delivery by municipalities.

## **CHAPTER 3 : RESEARCH FINDINGS.**

### **3.0 Background**

#### **3.0.1 Socio-Economic Characteristics**

The study involved the following municipalities; Ulundi, Nkandla, Mthonjaneni, Ntambanana, Jozini, Big Five False Bay, Zululand and Umkhanyakude, all of which are located in Northern KwaZulu-Natal Province. Whilst the first 7 are all small local municipalities, the last 2 are district municipalities. (Refer to map1 on page 49 and map2 at the rear)

Generally, the region is sparsely settled and most of it is rural land. However, it boasts of several large urban centers like Richards Bay and Empangeni, to the east, Pongola and Paulpietersburg to the north, Vryheid to the west and Eshowe and Gingindlovu to the south. The highest population density is found in the eastern area around Richards Bay and Empangeni, which are the largest urban centres. Because of its rural character, about 70% of the population resides in areas under the leadership of Traditional Authorities.

The region is characterized by extreme poverty, unemployment, high crime rate, high illiteracy levels, high HIV/AIDS prevalence, lack of access to basic services to name a few. In the whole region, the priority need is water supply followed by electricity and infrastructure. The following figures reflecting backlogs signify why this region is regarded as one of the poorest in the country. Whilst about 50-65% of the people are without water, 70% have no sanitation and 80% need refuse services. The backlog for electricity lies at 80%. (Stats SA, 2001)

According to Ndebele's report (2002) approximately 5 084 162 people (53%) in the province had incomes below the poverty income level compared to 3 989 690 in 1996. Poverty was highest in rural areas where about 74% of the people lived on incomes below the poverty income level. This picture was not different to that at national level.

Though the region was once a famous coal producer, the greatest economic potentials now lie in tourism and agriculture. If fully exploited, these potentials could easily be the backbone of the region's economy. However, the current economic landscape still reflects the existence of the two traditional economic sectors, the well developed urban centres and the underdeveloped rural or traditional areas. It is the later sector which is characterized by acute service backlogs and where communities are dependent on subsistence farming. (DLGTA, 2004)

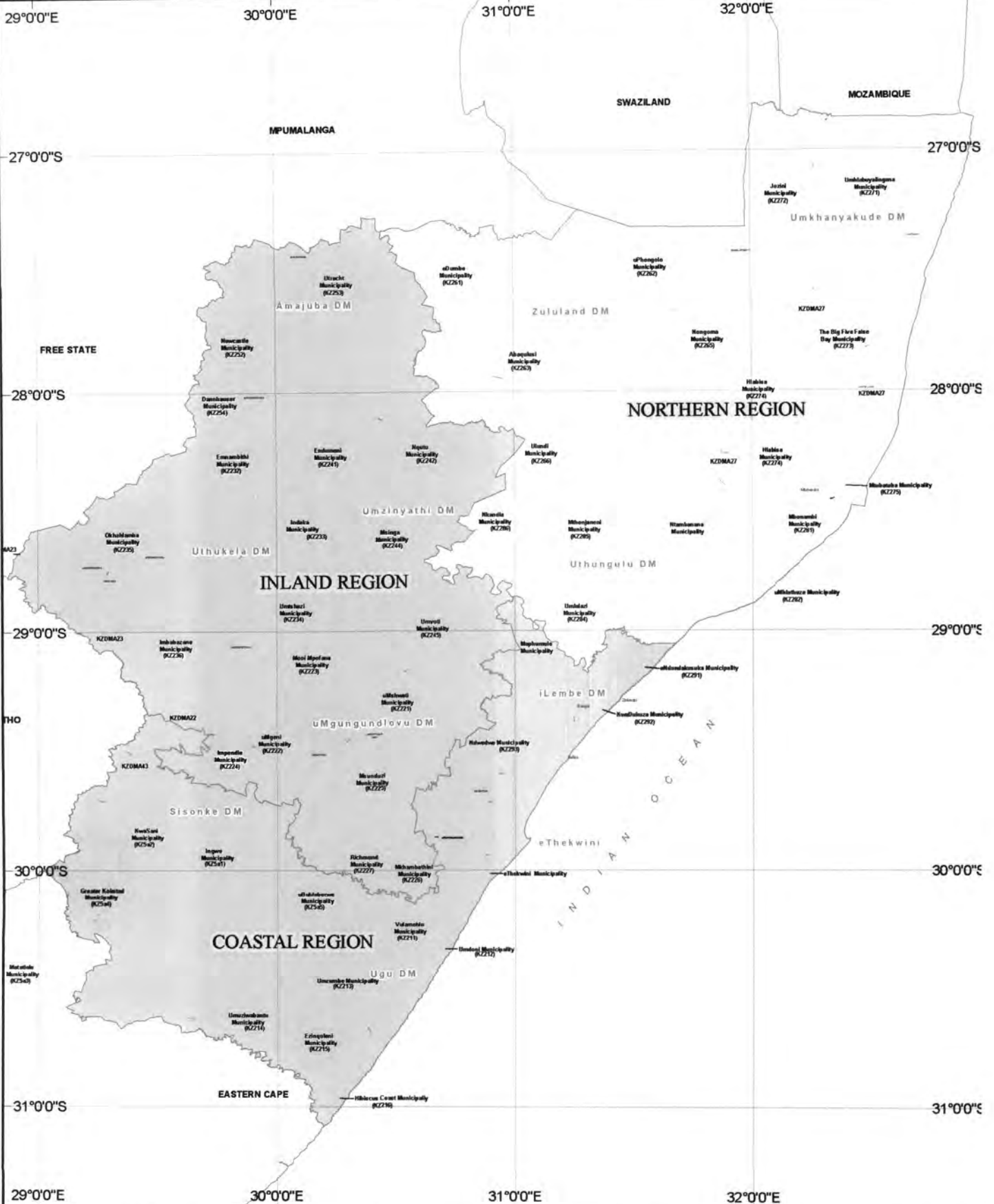
It is because of this striking background that the State President selected two districts, namely Zululand and Umkhanyakude to be part of the national ISRDP initiative in order to attract development attention and priority. This intervention was also followed by others such as the current Project Consolidate which primarily aims at speeding up service delivery. The municipalities were also benefiting from support on capacity building, performance management, IDPs, landuse management and various formal and informal training programmes. (DLGTA, 2004)

### **3.0.2 Financial Background.**

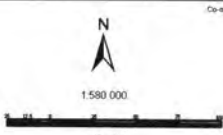
Since most of the municipalities had a strong rural background, they had little or no income base, compelling them to rely on financial handouts from external sources like the state, non-governmental organizations and other service providers.



# LOCATIONAL MAP: NORTHERN REGION IN KZN PROVINCE



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 Reference: KZN\_870  
 Version: 1  
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Co-ordinate System: WGS84 Geographic

MAP No.1

**Disclaimer:**  
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This dependency, which ranges from about 50-60%, means they could not be totally in charge of their development programmes as most of them were externally funded and besides that, some of the funding came with conditions. This situation had prompted a majority of the municipalities to be put under the Management Assistance Programme by the Provincial Government. For example, the acute shortage of financial management skills was reflected by the failure by many municipalities to produce audited statements. On some occasions, the Provincial Government had to second their staff to help in the setting up of proper financial management systems. (LA Committee, 2003)

### **3.0.3 Planning and Development.**

It is relieving to note that irrespective of the above constraints, the municipalities have managed to build adequate institutional structures to manage their basic functions. Even though most of them have not managed to establish special components to deal with IDPs, they are managing to compile quality documents, which they submit to MEC of Local Government in terms of the Municipal Systems Act. This means that the municipalities are also heavily dependent on consultants in performing tasks of a technical nature. It is important to remind all stakeholders that the municipalities which were dealt with in this study, were considered as requiring 'critical care' hence needed all the necessary support until such time that they were self-reliant and sustainable. (DLGTA, 2004)

In order to reverse the current socio-economic inequalities, the 1996 Constitution was specially designed to transform local government structures and planning systems. Local government was transformed into 'developmental' institutions as opposed to its traditional control-based role. According to Harrison (2004) *developmental local government* means 'local government that is concerned with

promoting economic and social development of communities' On the other hand, Pycroft (2000) sees it as a system which was designed to reverse the negative effects of apartheid and the creation of an egalitarian society. It was seen as a daunting task for central government to provide services to so many small and dispersed rural villages. Therefore municipalities were seen as the delivery point of services to the communities. It was strongly believed that if they were given proper support and guidance, effective service delivery would be achieved thereby causing some uplift in the lives of the poor people. These dynamics should be viewed against an environment characterized by an increased demand for services!

The above reflects a similarity in strategies between Britain and South Africa, regarding decentralization in local government. This was important for cross-fertilization of ideas between the two worlds. (Bennington and Hartley, 1994)

The next section looks at what government has done in order to assist service delivery in municipalities. The initiatives were undertaken to strengthen as well as speed up the provision of services.

### **3.1 Provincial and National Government Support Programmes.**

As a result of the need to strengthen and speed up the provision of services to the suffering communities, the government decided to roll out some support programmes to assist municipalities. This was after the realization that the newly created local government structures were, in most cases, were too weak and inexperienced to tackle the envisaged development tasks. Therefore two packages of support initiatives were designed, firstly those driven by Province (DLGTA) and those by National Government (DPLG). Province initiated programmes such as; integrated development planning, capacity building, performance management system, whilst National were directly involved in the



establishment of Planning and Implementation Management Centres (PIMS), Integrated Sustainable Rural Development Programme (ISRDP) and the recently introduced Project Consolidate. It should be noted that DPLG support programmes have always been driven through LGTA who are closer to the benefiting municipalities, thus playing a facilitative and monitoring role.

The roll out of these programmes started as early as 2001, that is, about 6 years ago. Meanwhile, Performance Management System and Project Consolidate were still in the process of being established, hence not fully operational at the time of the study.

In addition to these, national government introduced several new pieces of legislation to guide planning and implementation at local government level. The purpose was to prescribe procedures, processes, structures and institutional frameworks required in undertaking integrated development planning. The following section gives an account of the initiatives and legislation mentioned above, commencing with the provincial initiatives, ending with the national ones.

## **3.2 Provincial Government Support Programmes.**

### **3.2.0 Integrated Development Planning.**

Lastly, it is important to point out that in order to assist municipalities to compile IDPs for their areas, The Department of Local Government and Traditional Affairs has since 2001 been mandated to drive the IDP strategy at Local Government level. This function meant, among other things, assisting municipalities in compiling their IDPs through financial support, skills training, production of written guidelines and research programmes. Backup support has been given by the national Department of Provincial and Local Government. These efforts were also complimented, by the German Development Technical Agency and CSIR,

through the provision of technical skills. This assistance was however, on going. (DLGTA, 2001; Pycroft, 2000)

### **3.2.1 Municipal Development Planning Capacity Building Model. (MDPCBM)**

At the inception of IDPs, a majority of small municipalities did not have the slightest understanding of the concept, coupled with lack of skilled staff. Therefore it was ambitious to expect delivery to be achieved without the necessary resources. This situation prompted the Department, in 2001, to join hands with the KwaZulu Natal Local Government Association (KWANALOGA) in developing a capacity building model to assist them. A private consultant company, Multi-Consult was engaged to input technical expertise in addition to facilitating its roll-out. This support to local government was critical for the achievement of sustainability in development planning and financial viability. It enabled government to offer targeted capacity buildings programmes to municipalities to enable them to fulfill their integrated development planning mandates. In the final analysis, the model aims to establish a Development Planning Component within a municipality, capable of managing the entire planning, implementation and monitoring processes. (DLGTA, 2001)

The primary objective of the model was to create the most appropriate institutional arrangement for a municipality, thereby developing a management system to achieve sustainable integrated development planning. It was 'generic' in nature, hence could be manipulated to suit any category of a municipality. The model was built out the following key features;

- The minimum structure for a development planning function should comprise; Municipal Manager, Development Planning Practitioner. Community Liasion, LED, Legal and Finance and

minimum skills required to perform a development planning function.

- The Development Planning Manager should be responsible for the overall IDP process and his office should be located in the Municipal Manager's component. The reason was to empower the individual to take the responsibility to manage the planning processes.
- A municipal function should be created within a municipality to take responsibility for co-ordination and preparation for IDPs. The development planning function should be considered the most important process in a municipality if development and service delivery were to be achieved.
- For integrated planning to be given the emphasis it requires, the development planning function should be a permanent function.
- The model encourages and promotes resource sharing and should not be bureaucratic and restrictive.
- Municipalities should view their organisations as 'private entities' with special emphasis on measuring performance against established Key Performance Indicators.
- The development planning processes should be strongly linked to budgeting processes.
- Provincial and local government should play a critical supportive role to municipalities by facilitating alignment, co-ordination and integration.
- A Development Planning Steering Committee has to be established at the beginning to manage planning process as well as advising Council.

The Department, in partnership with the Development Bank of South Africa, (DBSA) assists municipalities with funding for capacity building for a continuous

3-year period. The maximum offered to a municipality for a year is about R220 000. This figure is not constant but diminishes over the above period. It is assumed that after the 3<sup>rd</sup> year, the municipality would take full responsibility of the appointed person in terms of remuneration. In most cases poor municipalities fail to take over this function due to lack of funding. (DLGTA, 2001).

Experience with IDPs has reflected one major weakness which is retrogressive to the strategy. It is assumed that local public is fairly illiterate. The above building blocks of the IDP encourage high participation and this can never be achieved if the question of illiteracy is not addressed first. Without this there cannot be meaningful communication, hence community involvement could remain a dream.

### **3.2.2 Organisational Performance Management System (OPMS)**

According to DPLG, Performance Management is defined as;

*"a strategic approach to management, which equips leaders, managers, employees and stake holders at different levels with a set of tools and techniques to regularly plan, continuously monitor, periodically measure and review performance of the organization in terms of indicators and targets for efficiency, effectiveness and impact"*

The system ensures that all municipal staff and councillors are held accountable for their actions, which results in improved service delivery.

Moodley (2003) defines the term as follows;

*"An approach to the management of municipalities that relies on; measurement of municipal performance against commitments made using indicators and targets relevant to the IDP of the municipality; assessment by key stakeholders, of whether the IDP is being fulfilled; adoption of corrective action, and,*

*improvement of the IDP*". The above author also acknowledges the purpose of OPMS as a useful management tool in helping municipalities achieve greater effectiveness.

The establishment of an OPMS is a legal requirement, according to Section 38 of the Municipal Systems Act, 32 of 2000. It allows an effective communication process between the municipality and the communities who consume municipal services. Since municipalities were mandated to provide services, the system would provide a measuring mechanism to determine if this duty was being performed effectively or not. Apart from ensuring informed decision-making, the OPMS would provide an early warning system of impending need to adjust the development plan. (DLGTA, 2003).

According to the PMS guide pack, the key principles of a successful Organisational Performance Management System are as follows;

- Top Management and Council should drive the system,
- Its value and application should be understood by municipal staff, councillors and the public.
- Line managers are trained and take responsibility for performance management.
- Institutional preparedness to start a performance management, which includes a dedicated officer to manage it as well as establishment of an Audit Committee.

In order to facilitate its roll-out, the DLGTA, in partnership with Price Waterhouse-Coopers, developed guidelines to assist municipalities on the process, content and structure of an organizational performance management system. The guide pack also gives three options of the system from which municipalities would select their preferred choice. These are the spreadsheet model, the municipal scorecard and balanced scorecard models. Of these three



the spreadsheet is the cheapest and easiest to understand, hence recommended for small municipalities. This model is generic and can be further developed as the municipality grows.

Apart from providing the OPMS guide pack, the Department, in partnership with DBSA has provided funding to District and Local Municipalities for the development of their OPMS. In the 2003/2004 financial year, DLGTA, through the Northern Office, provided training and funding amounting to R60 000, to each of the region's municipalities. This was intended to enable them to start the process and additional financial assistance was supposed to be sourced from DBSA, on submission of an application supported by the Department. (DLGTA, 2003).

The OPMS was not without its own problems as experienced with other programmes. There was resistance in its acceptance with municipalities because it was viewed as a tool to punish those officials who were not performing well. However the situation is improving with time as this misunderstanding clears up. Those municipalities who have established it are facing difficulties in understanding it, hence cannot implement it. An advisory document for the Department, produced by an OPMS consultant from the Australian Government, emphasizes on two basic necessities for OPMS. These are; the need for it to be easily understood by councilors, officials and the public, and the need for widespread consultation. Further warning was given against municipalities going for complicated models which were expensive and not implementable. A good OPMS should grow with the organization. The benefit of the system will be evaluated when municipalities have started to implement it. (DLGTA, 2003)



### **3.2.3 Annual IDP Assessments**

As one of its functions in supporting municipalities, the provincial Department of Local Government and Traditional Affairs has to assess IDPs annually around April/May. This exercise is done on behalf of the MEC for the department, in compliance with provisions of Section 32 of the Municipal Systems Act, 32 of 2000. Under this section a municipality is required to submit a copy of the adopted IDP to the MEC for his scrutiny. Therefore the Department assesses the IDPs, compiles comments and sends them to him usually around September. Subsequently the MEC writes to the municipality expressing his findings. This process has been in operation since the compilation of the first round of IDPs in 2001. The objectives of the annual assessments are as follows;

- To improve the quality of the IDPs in terms of structure, content and general presentation of facts.
- To ensure that they are as strategic as possible and capable of guiding municipal planning, budgeting and decision-making, in general.
- To ensure that the planning process was undertaken in accordance with provisions of the Municipal Systems Act as well as guidelines produced by the Department. This includes issues like public participation, stakeholder involvement etc.
- To advise the municipality on shortfalls with the IDP with a view to improve on the future submission.
- To monitor implementation of projects and general performance

Though the process has resulted in the general improvement in the quality of IDPs, there are areas, which still need a lot of focus. According to assessments undertaken in the Northern Region, municipalities now need to direct their energies to; the development of Organizational Performance Management

System, achievement of horizontal alignment of IDPs (cross-boundary alignment), formulation of sector plans, alignment of Spatial Development Frameworks, provision of comprehensive project implementation frameworks, submission of income generating strategies, the need to compile IDPs internally etc. A latest requirement for the 2005/2006 has been the need to attend to issues raised by service providers during the previous decentralized Provincial Multi- Sectoral IDP Forum meetings conducted in February, 2005. (DLGTA, 2005)

### **3.3 National Government Support Programmes.**

Whilst Province was rolling out the above initiatives, National was simultaneously running parallel ones with the same objective of strengthening and speeding up the provision of services to poor communities. The first of these was the compilation of Local Government Legislation then came others such as; the Integrated Sustainable Rural Development Programme (ISRDP), Planning and Implementation Management Support (PIMS) and Project Consolidate (PC).

#### **3.3.0 Local Government Legislation.**

As already stated, legislation played a crucial role in determining the way local government was expected to conduct itself in providing services to their citizens. It established the basis for communications, relationships, prescribed processes and procedures for planning, and roles and responsibilities for all the spheres of government. This section seeks to explain in detail, the importance and roles of each piece of Local Government Legislation.

Government created the following pieces of legislation to control, guide and monitor the much needed transformation in local government;

- Constitution of South Africa, 108 of 1996.
- Local Government Transitional Act, 1993 (amended in 1996)

- White Paper on Local Government, 1998.
- Municipal Demarcation Act, 1998.
- Municipal Structures Act, 117 of 1998.
- Municipal Systems Act, 32 of 2000.

However the last 3 pieces of legislation were expected to introduce developmental local government by reversing the socio-economic damages caused by apartheid. The above list also reflects the chronological order in which the laws were formulated and implemented. It is vital to give a brief account of the purpose and importance of four of these Acts. (Pycroft, 2000)

i) White Paper on Local Government, 1998.

The Paper was instrumental in further defining the parameters within which transformation was going to occur. More emphasis was put on IDPs and other associated instruments like the OPMS and the need for service delivery partnerships. It introduced the concept of 'developmental local government' and the need for active involvement of communities in decision-making processes in order to build vibrant local democracy. Consultation was seen as a pillar to development success and municipalities had an obligation to provide its citizens with all information deemed necessary for decision-making. Lastly the Paper listed down the major contents of IDPs.

(Harrison, 2001; McKenzie, 2003)

ii) The Municipal Demarcation Act, 1998.

The main purpose of this Act was to facilitate the re-demarcation of all municipal boundaries. It should be remembered that the old system was based on segregating urban and rural local government. Under this Act, some urban and rural areas were to be integrated to fall under the jurisdiction of one

municipality. According to Pycroft (2000) one of the Demarcation Board's main priorities was to ensure that within each new boundary, there would be sufficient economic activity coupled with a local taxation base. This move would subsequently guarantee that the new municipality to be established would have sufficient income to be financially viable. This requirement was not always observed by the Board, as municipalities like Ntambanana were created, without any such economic base. As a result they are struggling to survive. (Pycroft, 2000)

### iii) Municipal Structures Act, 117 of 1998

This Act empowers the responsible Provincial Member of the Executive Council (MEC) to determine what type of municipality would operate in each boundary. (amongst Category A, B, or C municipalities). It further prescribed parameters of how each municipality would operate whilst giving emphasis to IDPs. This includes issues like municipal structures, elections, committees' business, powers and functions. The Municipal Structures Act brought in a new era of 'transparency' in local government. It dictates municipalities to conduct their business in an open and transparent manner. Thus they should allow public access to decision-making processes under normal circumstances. Such publicity also extends to IDPs and OPMS processes. (McKenzie, 2003; Pycroft, 2000).

Apart from introducing the concept of co-ordination and integration, in terms of social, economic, physical, institutional and environmental spheres of development, it focused on;

- Provision of household infrastructure and services,
- Creation of livable integrated cities, towns and rural areas,
- Local Economic Development, and,
- Community empowerment and redistribution. (Orange et al,1999)

iv) Municipal Systems Act, 32 of 2000.)

The Municipal Systems is basically a translation of the White Paper on Local Government into law. Therefore it guides municipalities on issues of the IDPs namely, detailed compilation process, major components, structure, effective public participation, who stakeholders are, approval process, how to conduct annual review, roles of the municipality, the public and the government, submission to MEC etc. Section 25 of this Act emphasizes the need for every municipality to develop and approve an IDP (for a 5 year period) making its production a legal requirement. The OPMS is given as one of the most important components of the IDP, and its provision is also a requirement in terms of Section 38 of this Act.

From the above it is evident that Government was serious about the success of its goal of improving the standard of living for its people through a pragmatic service delivery strategy. Thus it has provided a strong legislative framework to assist municipalities in undertaking various actions. However, more legislation continues to be provided as and when required. (LGTA, 2001)

### **3.3.1 Integrated Sustainable Rural Development Programme (ISRDP)**

This strategy was launched on 09 February, 2001 by President T.M Mbeki during a parliamentary address. This was a pragmatic reaction to the fact that though it was seven years into the new dispensation, the country was still suffering from severe underdevelopment in rural areas, lack of access to basic services and poverty. The President announced a total of 18 nodes nation-wide, 13 of which were ISRDP and the remaining 5 Urban Renewal Projects (URP). Five of the eighteen nodes are in KwaZulu Natal; namely; Umkhanyakude, Ugu, Umzinyathi, Zululand Districts and Inanda, Ntuzuma and KwaMashu in eThekweni Metro. The



fact that two of the nodes are located in the Northern region reflects the degree of backwardness prevailing in the region.

Therefore ISRDP, which was driven by DLGTA on behalf of the Department of Provincial and Local Government (DPLG) was meant to intensify the offensive against poverty and underdevelopment. Its objectives were;

- To address socio-economic infrastructure and spatial imbalances,
- To extend existing state programmes and ensure that all funding for this purpose would be channeled through these programmes,
- To address micro and local development imperatives instead of macro national issues,
- To target specific priority areas, following a nodal approach,
- Focusing on the integration of service delivery and development at local level,
- Acknowledge that planning and project prioritization will be done at local level in accordance with the approved IDPs,
- Envisaged to have a ten-year time horizon, that is from 2000-2010.

In order to enhance the effectiveness of the ISRDP, it was seen necessary to support it with some institutional arrangements. In order to provide political backup to the implementation of the programme, senior political figures were appointed to the position of 'political champions.' Their major role was to provide direct political support to each node. The champions' ranks ranged hierarchically, from district, provincial and national. The President is the National Champion.

District Municipalities were selected as nodal points where all development programmes were centred and managed. From there they would be directed to individual areas. Workshops were conducted to identify 'Key Anchor Projects' per node. Such projects were supposed to be capable of unlocking development potentials of a sub-region or region.



DLGTA entered into an agreement with Independent Development Trust (IDT) to help with the alignment of national and provincial support processes to nodal municipalities. They took over the responsibility of managing and reporting on ISRDP progress to DLGTA, on a monthly basis. (Brooks, 2003)

### **3.3.2 Planning and Implementation Management Support. (PIMS)**

The PIMS was basically a small team of planning experts set up as recommended by Decentralized Development Planning Programme to support municipalities. A total of 31 units were established throughout the country and placed within district municipalities. They were funded by DPLG through Municipal Systems Improvement Grant (MSIG). The establishment of these units was necessitated by the need for municipalities to produce IDPs in 2001 soon after the new dispensation. During this period, they lacked experience in IDPs whilst at the same time, Municipal Systems Act required them to compile and submit them to the MEC of DLGTA. PIMS centers were therefore created to support weak municipalities with technical expertise. As a result, they were attached to District Municipalities to centralize their services.

Although they operated as semi-autonomous entities, they fell under the respective control of district municipal managers. Below are some of the roles played by PIMS Centres;

- The principal mandate was to assist municipalities, which had limited capacity, during the IDP process,
- Assist other stakeholder and community groups who might need planning help
- Assist municipalities in sourcing funding for project implementation.
- Assist municipalities in establishing Organisational Performance Management Systems as well as a Landuse Management System.

- Production of monthly reports to the District Municipal Manager, in terms of tasks included on the Work Plan.
- Liaising with and supplementing efforts by officials from DLGTA regarding development planning and implementation, (DLGTA, 2001)

Municipalities did not readily accept PIMS Centres and most were reluctant to utilize them, opting to engage consultants. The reason for this attitude is still unknown. However, the Department always encouraged them to utilize PIMS support. Positive results were being achieved. Although the centres have been quite active in assisting poor local municipalities, staff moral started to diminish from the time the dissolution of PIMS was announced. This was because DPLG no longer saw the purpose for this structure. Consequently a lot of uncertainty was created leading to the centres instability.

### **3.3.3 Project Consolidate. (PC)**

This is a strong 3 year local government intervention programme (2004-2006) formulated by DPLG to accelerate and strengthen municipal service delivery capacity. Its formation was a result of the realization by the Presidential Coordinating Committee (PCC) that although the earlier support initiatives (mentioned above) were producing positive results, the pace was not fast enough, necessitating new thinking. This culminated in the designing of this new initiative, which was launched by the Minister of Provincial and Local Government on 29 October 2004.

As indicated above, the primary objective of Project Consolidate was to strengthen municipalities in service delivery capacity. This was to be achieved through focusing, integrating and co-ordinating provincial and national programmes. Thus it can be seen that its aim was not very different from ISRDP.

Specific areas of focus for the intervention will be given in the two following paragraphs.

Processes to effect improvement in the integration and co-ordination of Provincial Programmes, which impact on service delivery capacity of municipalities eg,

- Provincial Growth and Development Strategy (PGDS).
- Provincial Intergovernmental Relations Framework,
- Provincial Expanded Public Works Programme,
- Provincial Municipal Infrastructure Grant,
- Provincial Economic Development Programme etc.

Project Consolidate would focus its attention in 8 'focus areas' which are as follows;

- Public participation, empowerment and community development,
- Capacity building, human resource development and improved organizational structures,
- Integrated human settlement development,
- Free basic services which target poor households, appropriate billing systems and a reduction of municipal debt,
- LED, Job Creation, Expanded Works Programme and Municipal Infrastructure,
- Anti-corruption campaign,
- Special intervention in rural and urban nodes and those municipalities where government has intervened in accordance with section 139 of the Constitution,
- Performance Monitoring, Evaluation and Communication.

Management structures to drive Project Consolidate have been established which include a strong contingent of senior government officials and a team of

consultants. During its execution, periodic reports on progress would be formulated on the ground and forwarded through province and national to The President of South Africa. (Brooks, 2004)

The above programme was not without its own criticism, mainly from municipalities. Some of these were as follows;

- Proposed projects took too long to be implemented. The process of project approval was full of bureaucracy and open to controversy.
- The life span of the programme (3 years) is considered too short for the expected results to be realized.
- PC was formulated in a top-down planning approach with minimal input from both municipalities and provincial government.
- The criteria used to select target municipalities was not known and again the whole process was undertaken individually by DPLG. Some deserving municipalities were left out of PC. This created an impression that they were selected on the basis of failing to perform, hence PC was not welcomed. The reason for the programme was not fully explained. (IDP Meeting, 2004)

### **3.4 Case studies: Municipalities** (see appendices on pages 145-6)

#### **3.4.0 Background.**

Resulting from the subsequent interviews undertaken with identified municipalities, data was collected, from which the following report has been compiled. Individual municipal reports were compiled on the basis of data collected during the interviews. At the end, common factors or views were established and synthesised to give a general perspective of the situation in Local Government with regard to service delivery. This in turn formed the basis for conclusions and recommendations which follow at a later stage.

### **3.4.1 Ulundi Municipality.**

This is one of the 5 local municipalities under Zululand District Municipality. Its population is about 340 157. Of this figure, 54,4% are females whilst 45,6% are males. The municipality, whose income levels are very low, has 25% of its households without any income and 59% of its population under 19 years of age. About 50 000 people stay in Ulundi centre, making it the largest settlement. Ulundi is struggling to satisfy the needs of its citizens. It is a typical rural municipality without any rates base and fully dependent on grant funding from the government. (Ulundi IDP, 2005)

#### **i) IDP Compilation.**

The Municipality's activities were being guided by an adopted reviewed IDP which was compiled in-house. The municipality had stopped utilising consultant services since the appointment of the IDP Manager, who's office was within the Municipal Manager's department. The document's goals and objectives were identified by the local communities, indicating that there was satisfactory public participation at play. There was close alignment between the IDP and the budget.

#### **ii) Establishment of Ward Committees**

Ward Committees had been established on the basis of a policy, terms of reference and guidelines formulated and availed by the Provincial Government. The municipality had provided a budget to assist the committees. In terms of access to council agendas and minutes, these were obtained through their chairpersons. Ulundi educated its communities on IDPs through road shows and ward meetings held at least once a year. However the municipality did not have

a communication strategy. However, reports indicated that it was in the process of being compiled. Minutes and agendas were compiled in English which did not auger well for the large rural society with high levels of illiteracy. Though the documents were availed to the public, it did not mean they were read and understood.

### iii) Project Planning and Management.

The municipality did not have adequate capacity to undertake large projects in-house. As a result, consultants' services were procured to fill in this skills gap. Only small ones were carried out internally by the municipality. This revealed the need for the appointment of a Project Manager in future. Municipal projects were guided by the IDP.

### iv) Organisational Establishment.

Though the organisation was fairly established, it still had some voids. Even though the municipality had all the Heads of Departments in place, more senior people needed to be appointed to ensure its smooth running. Some of these were; a Town Planner, LED officer, Civil Engineer etc. Training of existing staff should be an on-going process.

### v) Financial Stability.

The municipality had no sustainable income base, causing it to be 99,79% grant dependent. For example in the financial year 2005/2006, the municipality was not able to fund any of its capital projects internally. According to the current IDP, the municipality was experiencing serious cash flow problems due to over expenditure, compelling it to apply for a R5 million loan from DLGTA. Ulundi has formulated a Debt Collection policy which was being utilised to collect debts from



its clients. Due to the implementation of various austerity measures, Ulundi had managed to reduce its salaries budget from 60% to 39%. There were only 3 full time councillors in Council. The municipal manager was of the opinion that the municipality's revenue generation could be improved by the formulation of enabling policies. (Ulundi IDP, 2005)

vi) Participation by Sector Departments.

The response indicated that none of sector departments were involved in municipal IDP Forum meetings. This deprived the municipality of an opportunity to influence the prioritisation of projects by the departments. This was despite the fact that Ulundi was both a Nodal and Project Consolidate municipality. In essence, these institutions were not respecting aims and objectives of the above Presidential Programmes.

vii) Government Support Programmes.

The municipality had benefited from most of the Provincial Government's support initiatives like Capacity Building, PMS, LUMS, ISRDP, Project Consolidate etc. As a result, Ulundi now boasts of an operational Performance Management System – the Spread Sheet Model. There was general satisfaction with the funding support provided by DLGTA for the above programmes.

viii) Conclusion.

Not many issues were raised by Ulundi and these are listed below;

- Lack of Institutional Capacity: Due to financial constraints, the municipality could not employ personnel in some of the key positions. This compelled it to depend on consultants' services.

Some important functions (eg translation of documents) could not be performed due to lack of capacity.

- **Lack of Communication Strategy:** This reduced the effectiveness of the public involvement in planning processes and in general decision making in Council. The issue is worsened by the failure to translate documentation from English to isiZulu.
- **Reliable Income Base:** Ulundi was not self sufficient in terms of finance. Since the municipality did not have a firm income base, it relied more on external funding than on its own resources. This was a cross-cutting issue which affected the whole spectrum of municipal functions.
- **Lack of Participation by Sector Departments:** This was a serious problem, impacting on alignment of development initiatives. In fact, this was a big setback to the spirit of 'cooperative governance'. By abstaining from attending IDP Forums, sector departments were depriving municipalities of the necessary information to achieve alignment through the rational allocation of resources. The municipality suggested that departments should be forced to participate in IDPs.
- **Lack of Consultation at Programme Design stage:** Discussions with Municipal Manager revealed that this subject was of serious concern to the municipality. They never had a chance to contribute ideas on any state support initiatives during the planning stages. It was felt it was because of this reason that the government support initiatives appeared somewhat weak and irrelevant.

### **3.4.2 Mthonjaneni Municipality.**

This is the smallest municipality in Uthungulu District, with a population of about 50 383. The municipal offices are situated in Melmoth, a principal node located

to the west of the district. About 22% of the population had no income at all whilst at 38,4%, farming was the biggest employer. Unemployment stood at 16%. The 5-34 age band accounted for 63% of the total population. The municipality was under Project Consolidate Programme. (Mthonjaneni IDP, 2005)

#### i) IDP Compilation

Mthonjaneni Municipality has an adopted IDP which was compiled by a consultant. This task could not be performed in house due to lack of capacity, which meant there was no IDP Manager. This brought the element of lack of ownership of the document by Council, as the whole process was conducted and owned by the consultant. However, the IDP function was the responsibility of the Director, Community Services. The municipality ensured that the goals and objectives were identified jointly by the council and communities. The municipal budget was aligned to the IDP.

#### ii) Establishment of Ward Committees

The municipality had established a ward committee system which was in operation. This was preceded by the formulation of a policy to guide their establishment as well as the drafting of Terms of Reference. Further, the municipality supported their functioning through the provision of a minor budget. The committees accessed council agendas and minutes through their respective councillors. On the other hand, community education on IDPs was achieved through conducting ward meetings and road shows. Illiterate groups also took advantage of such meetings to know about Council debates. It is important to note that Traditional Leaders took part in the Forum meetings. Though the municipality did not have communication strategy in place, it was in the process of developing it. Council business was still recorded in English, though the greater part of the community does not understand it. The reason for this was

given as lack of capacity. Given this back ground, how could the communities be expected to understand what was going on?

### iii) Project Planning and Management.

At the moment, the municipality had to rely on consultant expertise in the implementation of capital projects because of lack of skilled personnel. Only small projects could be undertaken in-house. This led to the loss of ownership sense on the part of the local authority. In most cases, there was also no skills transfer during such projects due to either staff shortage or lack of policy to cover this aspect in contract agreements by council. Ideally, there should have been a Project Manager to undertake this function.

### iv) Organisational Establishment.

This was a typical small municipality which comprised 3 Departments in all, namely; the Municipal Manager's office, technical services, finance and corporate services. These were thinly staffed, hence capacity was still a major problem. At the time of writing this report, the municipality had just appointed a Town Planner to take care of planning functions. However, back up support in terms of planning was currently being offered by the District through the PIMS office.

The municipality was benefiting from most of the support programmes driven by the government.

### v) Financial Stability.

Though the municipality had rates (Melmoth town) as its major income base, this was inadequate to cover its entire needs. This meant that dependence on grant funding from the government could not be avoided. Pegged at 15%, the dependence is not as serious as in other cases. The municipality had identified

the need to encourage communities to pay for services as a pro-active way to improve its income generating capacity.

vi) Participation by Sector Departments.

Mthonjaneni was totally dissatisfied with the current level of IDP involvement by sector departments. Therefore the alignment issue was at its worst, making it impossible for them to obtain information on proposed development programmes. Inversely, the municipality could not influence the departments in their project prioritisation and implementation. This implied that most government agencies were implementing projects outside the IDP which is both illegal and ad-hoc in nature. The situation needed urgent attention as resources were being wasted because of the non-alignment.

vii) Government Support Programmes.

The municipality had benefited from most of the support programmes except the ISRD because Uthungulu District was not part of the Presidential nodes. Most of the programmes were under development at the moment, eg, PMS, Project Consolidate, Capacity Building, LUMS etc. Generally the municipality had expressed its satisfaction with the funding being provided by DLGTA. The PMS had not yet been formulated.

viii) Conclusion.

The above analysis highlights some serious areas of concern to the municipality. The major ones were as follows;

- Lack of institutional capacity: Though the municipality has established reasonable structures to undertake its duties, the capacity was still a critical issue as evidenced by reliance on

consultants to undertake a variety of functions. For example, the IDP and all capital projects were outsourced. Since the municipality was not yet in a position to engage an IDP Manager, the IDP function was performed by the Director of Community Services. This contravened the principles of the Capacity Building Model which requires this function to be under the Municipal Manager's Office.

- Lack of communication strategy: Though the Ward Committee system was in place, there was no communication strategy to strengthen its operations. Council minutes and agendas were still prepared in English. The majority of the community is illiterate and can not understand these documents, though they are made readily available.
- Lack project management skills: This compelled Mthonjaneni to out source all the capital projects at the moment. This tended to balloon the cost of projects due to high consultants' fees.
- Lack of reliable income base: Though the municipality enjoyed some income in the form of rates, they still alleged that this was inadequate. It was believed that the financial position could be improved by encouraging the communities to pay for services provided. The council had worsened its financial burden by making all the 15 councillors full time. This could be done away with to save public funds.
- Insufficient participation by service providers: The municipality had great concern on this point. Sector departments did not attend IDP Forum meetings resulting in loss of alignment of development programmes. They could not have any input into the prioritisation of projects, creating a lot of problems. Whilst all municipal projects were aligned to the IDP, those by service providers were not.



- Lack of consultation during programme establishment: Discussions with Municipal Managers revealed that this subject was of serious concern to the municipality. They never had a chance to input into all state intervention initiatives during their planning. The principle of active involvement seemed to have been ignored in this instance.

### **3.4.3 Nkandla Municipality.**

Nkandla is one of the 6 local municipalities in Uthungulu District, situated on the western end. It is a newly established municipality, with a population of about 133 606, which is increasing at 3,1% per annum. Basically, Nkandla is a rural municipality where 92,9% of the population can be described as 'rural' and the remaining 7,1% 'semi-urban'. Unemployment rate stands at 99,9% and this takes into account only those capable of being employed. (Nkandla IDP, 2005)

Apart from being a Project Consolidate beneficiary, Nkandla was also benefiting from the newly introduced 'Operation MBO' In isiZulu, 'mbo' is the concept of a surprise attack and this 'attack' resembles a simultaneous provision of services on one municipality by many government departments. Since details of this intervention are still to be unveiled, not much detail can be given at the moment. This is however, a Provincial Government creation.

#### **i) IDP Compilation.**

Nkandla Municipality had an adopted IDP which was compiled in-house. However, this function was placed under the Municipal Manager's office. There was alignment between the IDP and the municipal budget as implementation of projects was based on the former. Therefore the IDP guides all projects in the

municipality. The formulation of strategies and project prioritisation was being undertaken with full public involvement.

ii) Establishment of Ward Committees.

Though Ward Committees had not been established, the municipality had created similar structures known as Development Committees, for which they had a small budget. It was believed that their function was still the same. The committees (including Traditional Authorities) were free to obtain copies of council agendas and minutes from municipal offices. In general, communities participated in IDPs through public meetings in wards, radios and forum meetings. This helped those who could not read. It had been alleged that although the records of council business were readily available, the public had no interest in reading them. This attitude could have arisen from the fact that the documents were produced in English whilst the greater part of the community was illiterate and also isiZulu speaking. Unfortunately, the municipality had no capacity to do translations.

iii) Project Planning and Management.

All major highly technical projects were contracted to consultants due to lack of capacity. However there seemed to be no policy to ensure that consultants capacitated municipal officials during the execution of projects. This function should ideally have been performed by a qualified Project Manager, who could not be recruited due to financial constraints.

iv) Organisational Establishment.

Though the municipality had managed to establish a fairly strong organisation, there was still room for improvement to make it self-sufficient. An IDP Manager

had just been employed to work under the Municipal Manager's component. It was also surprising to note that a municipality of Nkandla's size had managed to engage an LED Officer to spearhead economic development and poverty alleviation programmes.

#### v) Financial Stability

At that moment, the municipality had no income base, the reason for being 88% dependent on grant funding from the state. This position was expected to drastically change when the on-going LUMS study gets completed. The absence of a sustainable income base was identified as a cross-cutting issue, affecting other sectors like recruitment of personnel, implementation of projects, procurement of plant and equipment etc. Nkandla had no full time councillors, hence did not experience this extra financial overburden. It appeared that there was a Debt Recovery Policy which was not being effectively implemented for unknown reasons. The municipality suggests that revenue generation could be improved by attracting investment and extending rates collection to rural areas.

#### vi) Participation by Sector Departments.

The municipality expressed great concern at the fact that sector departments were not participating in municipal IDPs. It was mentioned that only some of their projects were undertaken according to the IDP. As a municipality which was dependent on grant funding, it was absolutely necessary for the departments to submit their development programmes during IDP sessions. Failure to comply with this requirement caused duplication of services and implementation of projects which were not on the priority list. Currently, the municipality had no opportunity to influence project prioritisation by service providers.

## vii) Government Support Programmes

Nkandla Municipality expressed their satisfaction with the way these were being conducted together with the related funding. The following initiatives had been rolled out in the municipality so far; PMS, LUMS, Capacity Building, Project Consolidate , Operation Mbo etc. Among other things, this support had enabled the municipality to; employ an IDP Manager, compile the IDP in-house, commence LUMS study, establish and implement a PMS, improve understanding of IDPs by the Council and society at large etc.

## viii) Conclusion.

The above analysis highlights several points of concern on how IDP processes were unfolding in the municipality of Nkandla, which are listed hereunder;

- High illiteracy rate: This caused the public to lose interest in collecting and reading documents concerning municipal business. As a result they remained ignorant on current debates in the municipality, which affect their lives.
- Lack of skills in project management: The municipality was still dependent on consultants in dealing with projects requiring high technical skills. This proved to be expensive as high professional charges were applied. Additionally, there was no skills capacitation of staff involved, as that was not a condition to the awarding of contracts.
- Lack of income base: This had caused Nkandla to be almost 100% dependent on grant funding. So many problems were encountered as the municipality had no muscle to make things happen on their own. This reduced them a virtual 'beggar position'. On the other

hand, the Debt Collection Policy was not being effectively applied for reasons not supplied.

- Insufficient participation by sector departments: This was having a negative impact on service delivery in that there was no coordination in implementing projects, resulting in duplication and wastage of resources. The municipality could not have any input in how they prioritised projects.

The above points should be focused on and dealt with if service delivery is to have any impact in Nkandla municipality.

#### **3.4.4 Ntambanana Municipality.**

This is the poorest municipality in Uthungulu District. Ntambanana does not have any urban settlements within its boundaries, hence 100% rural. As a result, it experiences the highest backlogs in service provision, poverty, unemployment and underdevelopment. A population of about 82 727 reside here, of which 46% were males whilst the remaining 54% were females. The combined 5-14 and 15-34 age groups account for 63% of the total. (Ntambanana IDP, 2005)

##### **i) IDP Compilation.**

The municipality utilised consultants to compile its IDPs, because of lack of capacity. However the IDP processes seemed to involve adequate public involvement if the given information was anything to go by. There was a strong linkage between the Budget and the IDP, which was being taken as a decision making tool. All municipal projects were guided by the adopted IDP. Communities and traditional leaders were actively involved in contributing information during planning stages.

ii) Establishment of Ward Committees.

Ntambanana had developed Ward Committee on the basis of guidelines and terms of reference supplied by DLGTA. There was no budget set aside by council to assist the committees and it was not known how they could effectively operate without even the minimum funding. It had been stated that the committees had access to municipal agendas and minutes through their councillors. Road shows and ward meetings were conducted to ensure that the illiterate members of the community would be informed on the goings-on in the municipality. Though there was no Communication Strategy, the municipality did its business in accordance with provisions of the Access to Information Act. Further, council minutes and agendas were provided in English only.

iii) Project Planning and Management.

The serious capacity problems faced by the municipality prohibited the execution of projects internally. As a result, these were always out-sourced. Reliance on consultants was therefore a predominant feature in development programmes. The engagement of a Project Manager was not an option at that point in time due to lack of funding.

iv) Organisational Establishment.

The municipality had managed to develop a reasonably strong organisation in terms of departments, senior and junior staff. Consequently this has seen then engaging personnel like; IDP Manager, Town Planner etc.



#### v) Financial Stability

Ntambanana's financial position was saddening. There was virtually no rates base due to its location at the heart of the Traditional Area. Therefore the municipality had no option but depend on grant funding offered by different sector departments, which amounts to 98% of its budget! Contrary to this situation, the municipality had 15 full time councillors! Was this not an unnecessary strain on the local authority's budget? The absence of an LED Officer and related funding erase any opportunity to alleviate the financial position of the municipality through this avenue.

#### vi) Participation by Sector Departments.

Responses from the municipality revealed that none of sector department's projects were aligned to the IDP. This means that the projects which they implement were not included in its IDP, a situation which was no longer acceptable. Additionally, the municipality was unable to access the departments' project lists as well as MTEFs. For the IDP to be a success, there was need for some serious alignment between sector departments and the municipality.

#### vii) Government Support Programmes.

Ntambanana municipality had been assisted by DLGTA to establish a PMS. Although the process was still in progress, it had been pointed out that there was general lack of understanding on the system, raising the need for more workshops.

Support programmes which had been offered to Ntambanana were; LUMS, Capacity Building, PMS, IDP Support, Training on each of these initiatives, on

spot advice and guidance etc. Generally, the municipality was contented with the financial support they were getting for the different programmes.

Finally, the municipality pointed out that in order to improve service delivery, the government should isolate and render special attention to struggling small municipalities like Ntambanana.

#### viii) Conclusion.

From the above analysis, the major areas of concern picked up were as follows;

- Lack of institutional capacity: This was causing the outsourcing of key projects and the IDP. The municipality was operating without some key components and personnel.
- Lack of communication strategy: Though ward committees existed, there was no strategy to support them. The municipality did not have a budget to support their functioning. The situation was being worsened by the fact that Council business was recorded only in English, a language which a majority of the communities did not understand.
- Lack reliable income base: Ntambanana had no income base at all. 98% of its budget survived on state grants and assistance from NGOs.
- Insufficient involvement by sector departments: These were not participating in IDP Forums and depriving the municipality a chance to achieve alignment of development programmes.
- Although there were strong LED strategies, not much could be achieved without the funding coupled with the absence of a qualified LED officer.
- Lack of consultation during programme design: This involved all municipalities. They were not part of this stage both at Provincial or National levels.

### **3.4.5 Jozini Municipality.**

Jozini is one of the 5 local municipalities under Umkhanyakude District. It is a typical rural municipality with a population of 120 930. Of this figure, 54% are females whilst 46% are males. A striking feature of the population is that the 15-34 age cohort accounts for 33,9%! Due to lack of income sources, it is heavily dependent on grant funding as we have seen in all the previous cases. Capacity was still a problem as the municipality was still building up. Like in other municipalities in the region, the key challenges being experienced were; poverty, unemployment, illiteracy, HIV/AIDS, lack of access to basic services. The municipality had a daunting task to deal with these problems. (Jozini IDP, 2005)

#### **i) IDP Compilation**

The municipality was operating through an adopted IDP, which was compiled by a consultant. This was due to the fact that they had no capacity to do it in-house. In order to involve communities in IDPs, road shows and ward meetings were conducted. These also helped to disseminate information to illiterate members of the community. It was stated that the IDP was closely linked to the budget and that the strategies and projects were identified by councillors, management and the public. Though all council projects were informed by the IDP, those by sector departments were not. In Jozini, the IDP's responsibility is directly in the Municipal Manager's hands since there was no IDP Manager.

#### **ii) Establishment of Ward Committees**

The Municipality had already established these committees and were now operational at the moment. A policy was designed and followed by the Terms of

Reference to guide their operations. A calendar for their meetings had been drawn up and being followed. Additionally, council agendas and minutes were made available to them. In order to assist them, the municipality had provided a small budget. Their participation in IDP matters had been enhanced through conducting ward meetings by council and councillors. These went a long way in facilitating understanding amongst illiterate people. Although a communication policy existed, Council business was still recorded in English which the larger section of the society did not understand.

### iii) Project Planning and Management.

Due to financial constraints, the municipality could not afford to employ qualified people to undertake this function. Consequently, they were compelled to depend on consultant services for big projects.

### iv) Organisational Establishment.

Jozini was considered as a small municipality considering the size of the organisation. A lot of key personnel were not yet in place eg. IDP Manager, Project Manager, Community Services Director, etc. Not all heads of departments were in place. This had caused the municipality to seek external expertise especially in project implementation. How could such a local authority be expected to efficiently deliver services under these circumstances?

### v) Financial Stability.

The municipality had no sustainable income base, hence the 72% dependency on grant funding. This was a cross cutting issue which impacted on other areas such as staff recruitment, project implementation, procurement of plant and equipment etc. The staff salaries accounted for 23% of the total council budget

and only one councillor, the Speaker, worked on full time basis. Jozini had just formulated its Debt Recovery Policy which was going to be work-shopped with councillors at a later stage. For the improvement of revenue generation, the municipality suggested the speedy formalisation of Jozini centre as a town. Though Mkuze was currently the main source of funding, the above proposal was expected to help in strengthening their financial position.

vi) Participation by Sector Departments.

According to the municipality, the level of IDP involvement by these organisations was still very poor. As a result, only some of their projects were aligned to the IDP. This meant that the local authority had no knowledge of many of the projects undertaken by those departments who did not take part in IDP sessions. Their non-participation deprived the municipality of valuable information which should have been included in the IDP.

As a solution to this problem, Jozini suggested that the Premier, through Director-General, should instruct all sector departments to involve themselves in municipal IDPs. Secondly, sector departments should be encouraged to send key personnel to attend both IDP and Budget meetings.

vii) Government Support Programmes.

This municipality was benefiting from all the support initiatives like; PMS, Capacity Building, LUMS, ISRDP, Project Consolidate, in addition to many training sessions and conferences. The Organisational PMS was not yet in operation. Generally, Jozini municipality was satisfied with the financial support, together with the attention given to them by DLGTA.

viii) Conclusion.

The above analysis raised a few areas of concern regarding Jozini Municipality, whose summary is given below;

- High illiteracy rate: This was high and reduced the impact of community Participation. The matter was worsened by the fact that municipal records were prepared in English, a language many did not understand.
- Inadequate institutional capacity: Major projects were out sourced because of lack of capacity. There was no condition for transfer of skills to municipal staff attached to contracts for the projects.
- Lack of income base: This had reduced the municipality into a perpetual borrower because of poor income.
- Poor participation by sector departments: Most of their projects were not included in the IDPs, causing alignment problems. Municipalities lost important information on government development programmes.
- Lack of consultation during programme design: Provincial and National Governments continued to design and roll out support initiatives without consulting municipalities for their input. They saw the Local Authority playing a mere receptive role.

#### **3.4.6 Big Five False Bay Municipality.**

This is one of the 5 local municipalities in Umkhanyakude District and has a population of about 31 106 as per 2001 census. Females contribute 53,61% whilst males account for 46,39%. The municipality is characterised by serious service backlogs compounded by high HIV/AIDS levels, unemployment, poverty, lack of access to basic services etc. (Big Five False Bay IDP, 2005)



i) IDP Compilation.

The municipal operations were guided by an adopted IDP which was compiled in-house. IDP functions were being undertaken by the Municipal Manager since there was no IDP Manager. The community was involved in the formulation of strategies and identification of projects. Mass meetings with communities were utilised to ensure public participation in the planning process.

ii) Establishment of Ward Committees.

The municipality had established Ward Committees with guidance from DLGTA, who also provided terms of reference. There was no budget for the committees and it was not known how they were surviving. This problem was a result of the shortage of funding. Council agendas and minutes were availed to them through ward councillors. However, Big Five False Bay Municipality did not have a Communication Plan. Council documentation was generated in English instead of the popular isiZulu. This worsened the public's understanding of prevailing debates at any one time.

iii) Project Planning and Management.

Big Five Municipality neither had a Project Manager nor a strong technical department to manage the implementation of projects. The reason given was that of lack of funding. This hindered the speedy delivery of services.

iv) Organisational Establishment.

Though the municipality had developed satisfactory structures to manage its business, some of the key vacancies had not been filled yet, due to financial constraints. Some of these were; IDP Manager, LED Manager, Project Manager,

Accountants etc, which are central to project implementation. It is because of this reason that most of the large projects were outsourced.

v) Financial Stability.

Since the municipality had no reliable income base, it had to depend on grant funding. About 21% of the budget was consumed by salaries. However, it should be noted that Big Five did not have full time councillors. Though there was no debt recovery policy, DPLG were trying to assist in its establishment. It was believed that the implementation of the Property Rates Act would improve the municipality's income.

vi) Participation by Sector Departments.

The municipality was not satisfied with the involvement of these institutions in their planning processes. It suggested that all-inclusive meetings should be held at the DC level if this problem was to be solved.

vii) Government Support Programmes.

Big Five False Bay had received most of the support initiatives from DLGTA, in the form of; PMS, Capacity Building, LUMS, IDP etc. Most of them were still in progress. However, the Municipal PMS was still being attended to and would be utilised when approved by the council.

viii) Conclusion

The following is a summary of points raised during the above interview;

- High illiteracy rate: The whole of Umkhanyakude region, inclusive of Big Five, had high illiteracy levels. This was a big hindrance to the general understanding of development processes.
- Inadequate institutional capacity: The municipality's organisation was not fully developed to enable it to carry out its development functions in-house. This reduced the level of 'ownership' on many projects by the Local Authority.
- Lack of income base: This had compelled the municipality to be dependent on grant funding, an unsustainable position.
- Lack of participation by sector departments: These institutions were not cooperating with municipalities, thereby affecting alignment of projects and programmes.
- Lack of debt collection policy: Despite the shortage of funding, there was no Debt Collection Policy. This could have led the way to collection of the much-needed income.
- Lack of consultation during programme design: Provincial and National Governments continued to design and roll out support initiatives without consulting municipalities, who are only expected to play a receptive role.

### **3.4.7 Zululand Municipality.**

This district, which has a very strong rural background, comprises 5 local municipalities. The population figure stands at 957 700 and the communities are accommodated in 866 scattered settlements, making service provision an expensive task. Almost half of the district was under Traditional Authorities, whilst the remainder was contributed by private farms, protected areas and privately owned land in urban centres. Zululand is characterised by high levels of poverty, unemployment and HIV/AIDS. Around the 1990s the economy centred on coal mining which was concentrated around the Vryheid region. Since the

closure of the mines around 2000 as a result of a slump in world market, the district's economy has been suffering. No substitute economic activity has been found as yet though there is great potential in agriculture and tourism. (ZDM IDP, 2005)

#### i) IDP Compilation

Zululand's IDP had been compiled in-house. The municipality, through DLGTA's capacity building support, managed to establish a strong strategic planning component, which was undertaking the IDP function. This section extended its assistance to other smaller municipalities like Nongoma and Ulundi. On the issue of public consultation, the municipality availed agendas and minutes to its citizens. Additionally, road shows, radios and councillors were utilised to ensure that all corners of the district were covered to the benefit of local communities especially those who could neither read nor write.

The formulation of strategies and determination of projects was undertaken jointly by the communities, councillors and officials. Traditional Leaders channelled their contribution in IDPs through councillors. Though the municipality had a communication policy, documentation was still produced in English. Translations into isiZulu could not be made due to budgetary constraints.

#### ii) Establishment of Ward Committees

This function lay within local municipalities, hence does not apply to district municipalities. However the district assisted locals in the establishment of such structures.

### iii) Project Planning and Management

Zululand had established one of the strongest Technical Services Departments in the Province, capable of undertaking most of its projects. In order to achieve effective and efficient project planning and monitoring, the municipality had designed a special tool known as IMPI. This was a project management software capable of capturing, prioritising, implementing and monitoring projects. Outsourcing of projects was only done in special cases.

### iv) Organisational Establishment

The municipality had gone a long way in building up its organisation by recruiting people to fill most of the key posts. Apart from establishing a strong IDP Component, the district has appointed other key personnel such as Tourism Officer, LED Officer etc. It is assumed that with the present capacity, municipality can undertake most of its functions.

### iv) Financial Stability

This was the district's weakest point. Zululand did not have a stable income base and therefore survived on grant funding. Since District municipalities do not own or administer land, therefore the possibility of them deriving income from rates was out of question. This puts them in difficult positions, resulting in this municipality being 86% dependent on grant funding. In this respect, it was actually the worst when compared to all its locals. Ironically, the district had 34 councillors working on full time basis!

#### v) Participation by Sector Departments

The municipality was not happy with the present level of involvement in IDPs by these institutions. As a result, only some of their projects were included in the IDP. Furthermore, the municipality was denied an opportunity to have a saying on prioritising projects by sector departments. Zululand was of the opinion that sector departments should implement projects in accordance with municipal priorities.

#### vi) Government Support Programmes.

Zululand was satisfied with the attention and assistance it was getting from DLGTA. The District had benefited from the following programmes; Capacity Building, PMS, ISRDP, Project Consolidate etc. These had enabled the municipality to employ key personnel, develop their GIS and gain valuable information through seminars.

#### vii) Conclusion

Resulting from the analysis of this district, the following were the issues raised for immediate and future attention;

- High illiteracy rate: Communities could not participate effectively in IDPs because of this factor. A majority of people in the district were illiterate, hence the formulation of a strategy to deal with this issue was critical.
- Lack of income base: Zululand did not have a reliable income base, reflecting why the Local Authority was highly dependent on external funding to implement projects.



- Insufficient participation by sector departments: The reluctance of these state organs was negatively impacting on municipal planning and development. Alignment was being totally lost.
- Insufficient financial support: Government programmes had one common assumption – that municipalities would co-fund them. This meant that there is inherent realisation that the funding being offered was not adequate. This requirement resulted in increasing the municipality's financial burden.
- Lack of consultations at programme design: Provincial and National governments had a habit of not consulting local government when designing support programmes. Ultimately, the absence of their input affected the effectiveness or relevance of particular initiatives.

#### **3.4.8 Umkhanyakude District Municipality.**

The district is made up of 5 local municipalities and 1 District Management Area (DMA) – an independent statutory body which administers the Greater St Lucia Wetland Area. Umkhanyakude has a population of 503 874, comprising 55% females and 45% males. People without education and those with primary level constitute 65% of the population, signifying high illiteracy rates in the district. Only 0,5% attained tertiary education. Additionally, the district is basically rural with Tribal Areas covering about 68%. The under-19 years bracket accounts for 57% of the population, necessitating pragmatic employment creation strategies and strong anti-AIDS campaigns. The district experiences socio-economic problems similar to other DMs such as; high HIV/AIDS prevalence, acute unemployment, lack of access to basic services, high illiteracy rates and dependency ratios. The municipality is expected to deal with all these issues in order to transform peoples' lives for the better (Umkhanyakude IDP, 2005)

#### i) IDP Compilation

Though the first 2001/02 IDP was compiled by consultants due to lack of skilled capacity, all the subsequent ones were done in-house. IDP function was the responsibility of the IDP Manager who operated under the Municipal Manager. The determination of goals and strategies included in the IDPs was done jointly by councillors and officials. There was alignment between the IDP and the budget.

#### ii) Establishment of Ward Committees

Since Umkhanyakude was a District Municipality, the establishment of ward committee structures was not under its competence. This was a local municipality function. However, communities had been educated on IDPs through road shows, IDP Forums, print and electronic media etc. Traditional leaders were also consulted during IDP process. The district had just compiled a communication strategy which was being advertised at the time of the survey. Though council minutes and agendas were available to members of the public, they were still prepared in English, an unfamiliar language. This should be viewed against a background of high illiteracy levels in the region.

#### iii) Project Planning and Management.

Umkhanyakude could only undertake minor projects in-house whilst all engineering related ones were outsourced due to lack of capacity. Though there was no Project Manager to manage implementation, the municipality had established a Development Agency to undertake the function.

#### iv) Organisational Establishment.

Umkhanyakude municipality was established from scratch after the former Uthungulu Regional Council was divided into two, the other one being Uthungulu. Since no capacity, in any form, was inherited from the former institution, everything had to be started afresh. Presently, the district had a fairly well established institutional structure capable of undertaking various functions. All the four departments together with their Heads, were in place. This included the IDP Manager. The municipality had benefited from all capacity building programmes driven by the government.

#### v) Financial Stability.

This municipality had no sustainable income base, forcing it to be 66% dependent on grant funding. As a result, most of the capital projects were undertaken with external funding, necessitating strong alignment between the district and service providers. About 31% of the budget was consumed by salaries for staff. The municipality had identified the need for urgent LED Programmes to improve its income generating base

#### vi) Participation by Sector Departments.

According to the municipality, only some of the departments participated in municipal planning. This also meant that not all projects by service providers were implemented in accordance with the IDP. The municipality was only involved in prioritising projects for those departments which attend its planning forums. The problem went further to impact on the provision of Medium Term Expenditure Framework to municipalities. The absence of this information resulted in duplication and wastage of services. The municipality suggested that

the Premier should use his influence to ensure those defiant service providers are compelled to come to the planning table.

vii) Government Support Programmes.

Umkhanyakude municipality had benefited from the following programmes, for which they were grateful to the government; ISRDP, Project Consolidate, PMS, Municipal Development Planning Capacity Building Programme (MDPCB), IDP Assessment, LUMS. They were satisfied with the financial backup for these.

viii) Conclusion.

A quick preview of the District municipalities revealed the following problems;

- High illiteracy Rate: Though the rate was one of the highest in the Province, the municipality medium of communication was English. This meant that the community could not easily understand the current debates in Council, hence their involvement was naturally reduced to minimal levels.
- Lack of skills in project implementation: This resulted in the municipality paying huge bills to consultants, who did not even capacitate their officials. The result was the creation of a dependency syndrome (to consultants) in the municipality.
- Lack of Income Base: Umkhanyakude was highly dependent on grant funding from the state and assistance from other service providers. As a District Municipality, it had no rates base at all. On the other hand, they were expected to deliver services just like other wealthy municipalities.
- Insufficient participation by sector departments: The fact that the district was dependent on external funding to drive its projects makes it mandatory that these stakeholders should participate in

municipal planning and implementation. This would result in the achievement of coordination and alignment of development programmes.

- Insufficient financial support: The funding provided in most of the support programmes was not adequate, therefore the Local Authority was expected to supplement the funding, which tended to worsen its financial burden.

#### **3.4.9 Summary Of issues.**

It was clear from the above interviews that municipalities shared generic issues regarding integrated development planning. However, the scale and nature of their needs varied from municipality to municipality. The following is a list of issues identified;

- Lack of skilled manpower to implement development programmes.
- Lack of income base on which to derive revenue for development
- Absence and lack of understanding for PMS.
- Insufficient financial support for assistance programmes by state departments.
- Reliance on consultants in compiling IDPs and PMS.
- Lack of proper communication strategies with communities.
- Lack of involvement in IDPs by sector departments.
- Extreme poverty coupled with high illiteracy rates.
- Absence of debt collection policies and income generating strategies.

#### **3.5. Case Studies: Sector Departments.**

This section shall deal with the data collected from 6 selected provincial and national departments who were considered as very active in municipal

development planning processes. The list comprises departments such as, Agriculture and Environment, Education, Transport, Health, Social Welfare and Works. Interviews were undertaken at Ulundi in the Government Administrative Building. Each department assigned one senior officer for this task and the researcher had to visit them in their offices at agreed times. However, the exercise was sometimes not smooth going as it took time to get the above officers due to bureaucratic processes within the state institutions. Similarly, individual reports were compiled to reflect the departments' involvement in development at municipal level. The interview revolved around; level of involvement in municipal IDPs, the nature and level of support offered to municipalities, working relationships between the various sectors and municipalities and their perspectives on service delivery by Local Government. The following are detailed reports on each department.

### **3.5.1 Department of Agriculture and Environmental Affairs.**

This was a huge department comprising two primary operational units, namely, the Agriculture branch and the Environmental Branch. As a result, separate interviews were undertaken for each of them.

#### **A) Environmental Branch**

##### **i) IDP Involvement**

The Department participated in IDPs through a dedicated official based at the Head Office. Project prioritisation was not totally done in consultation with municipalities, meaning that they impose some of their projects on local the authorities. The department supplied and workshoped guidelines for their sector plans eg Strategic Environmental Assessments (SEAs), Environmental Impact Assessments (EIAs) and Environmental Management Plans.



No MTEF was provided to municipalities since no funding was transferred to them. This was supposed to have been done for alignment purposes only.

#### ii) Development Programmes

Contribution was made to municipal development by; conducting training sessions on requirements of NEMA, ECA and other legal instruments, conducting and managing Siyavuna Project, environmental awareness, education campaigns to communities and land care (greening) projects. The focus of their programmes was on achieving sustainable development, poverty alleviation and community's economic empowerment.

These programmes did not require transfer of grant funding to municipalities as the Department undertook the projects directly and handed them to municipalities as finished products.

Up to this moment the projects undertaken by DAEA were gradually paying dividends. As communities and private and public agencies became more aware of environmental legislation, more applications and enquiries were now being received for approval before development could be effected. As a result, compliance with legislative requirements was on the increase, resulting in better environmental care.

#### iii) Institutional Capacity.

DAEA had restructured itself with a view to getting services closer to the people through decentralisation. The exercise witnessed the establishment of branches to district level. In addition to the above, the department had decided to establish a Municipal Support Unit which would work closely with

municipalities down to local level. There was adequate capacity to effectively deal with municipalities.

#### iv) General Comments

The Department was of the opinion that in order to enhance service delivery, municipalities should consider the following;

- Employ and capacitate Environmental Officers to stop the current fragmentation of environmental duties amongst various departments, resulting in deterioration of the function.
- Councillors should make objective decisions not based on political background or affiliation. This diverts municipal focus from development to political in-fighting.

### **B) Agricultural Branch**

#### i) Participation in IDPs.

This branch of the Department was actively involved in IDPs through meetings and contributing information on agricultural development. All their projects were informed by the municipal IDPs. Projects list was submitted to the municipality and prioritisation done jointly. Guidelines for the sector plan had already been provided to municipalities.

#### ii) Development Programmes

Most of these were undertaken jointly with Environmental Affairs and the main objective was to uplift the standard of living of the communities, especially regarding food production. Though the funding provided for their projects was not adequate, it gave good a starting point.

It had been stated that efforts by this section were bearing fruit and furthermore, they enjoyed good working relationships with municipalities.

iii) Institutional Capacity.

As in the above case, this branch was also subjected to some restructuring to ensure closer proximity to municipalities. Capacity was not a real problem

iv) General Comments.

In order to improve the effectiveness of agricultural projects, municipalities must first seek advice from DAEA on the feasibility of sites. This involves projects such as vegetable gardens where factors such as slope, water availability may not be conducive for the activities.

### **3.5.2 Department of Education.**

i) Participation in IDPs.

DoE was active in IDPs through attending meetings at municipalities. The respondent was not sure whether their projects were in the IDPs or not. The same response was given for the involvement of municipalities in prioritising their projects. Information contributed to IDPs related to the needs of schools. No guidelines for sector plans had been provided to municipalities.

ii) Development Programmes.

The major projects driven involved the construction of schools and access roads. The aim was to induce community development and it was reported that the projects were not yet achieving the desired goals.

### iii) Institutional Capacity.

No specific person had been appointed to deal with IDPs. Ad-hoc attendance by officials was the usual practice causing loss of the continuity aspect. On the other hand, the working relationship with municipalities was described as good though there was room for improvement.

### iv) General Comments.

Municipal cooperation was required in attending to requests for land on which to develop social infrastructure. For example, Ulundi municipality failed to respond to a request to donate land at Mahlabathini for the development of a community media centre by the Netherlands Embassy. This would have benefited the local community and the educators.

## **3.5.3 Department of Transport.**

### i) Participation in IDPs.

The Department of Transport (DoT) sent its representatives to attend IDP Forum meetings during which MTEFs were presented for inclusion in IDPs. Thus their development programmes were part of these strategic plans. Information provided pointed out that the department had appointed a dedicated person to deal with IDPs. Project prioritisation was undertaken by Rural Roads Transport Forums (RRTF) whose membership included local and district municipalities and councillors from these institutions. The department compiled guidelines and forwarded them to municipalities.

## ii) Development Programmes.

These consisted of; upgrading of existing road network, construction of local roads and causeways, pedestrian bridges and various types of safety awareness campaigns and projects. These projects, which were part of the IDPs, were awarded to Emerging Contractors recommended by RRTFs. Apart from providing a safe and driveable road network, the programmes aimed to introduce development and to alleviate poverty.

The department did not transfer any grant funding to municipalities since they undertook the projects themselves. According to the information collected, positive results were being achieved from the above projects.

## iii) Institutional Capacity

The DoT had adequate capacity to serve municipalities. For example, 'the one stop shop' concept was established and technical teams were strengthened to improve service delivery. Though the relationship with the municipalities was considered good, it was felt that there was still room for improvement. Meetings with District Municipalities were in progress to address this issue.

## iv) General Comments.

The DoT had made two important comments worth noting;

- Better communication should be established to improve its support to municipalities.
- Municipalities should use opportunities and platforms created by the Department to give input eg RRTF.

### **3.5.4 Department of Housing.**

#### **i) Participation in IDPs**

This Department was involved in IDPs through attending IDP Representative Forum and Service Providers meetings, where programmes, projects and budgets were presented. The department undertook its projects in accordance with the municipal IDPs. Furthermore, these were prioritised by the municipalities. Guidelines for the Housing Sector Plan were formulated and availed to the local authorities.

#### **ii) Development Programmes.**

DoH was responsible for rolling out the following programmes in municipalities; provision of urban and rural housing, slum clearance, rental housing, hostel re-development and capacity building. The objective of the above was to deliver housing to communities within the municipal areas.

The Department provided funding for the above programmes. However, this was not always adequate in view of the scale of the existing backlogs. Subsidies were made available to the beneficiaries who qualified to get them.

#### **iii) Institutional Capacity.**

IDP responsibilities were in the hands of the Planning Component. However, due to a human capacity problem, they had established a district based institutional structure. The ultimate aim was to decentralise to local municipality level. Officials were assigned to serve particular districts. DoH described their relationship with municipalities as 'good'.



iv) General Comments.

The Department intended to achieve greater attendance at municipal Housing Forum Meetings to enhance its effectiveness.

### **3.5.5 Department of Social Welfare.**

i) Participation in IDPs.

The Department participated in municipal IDPs, where information was contributed regarding their priorities and services. This meant that the projects presented to municipalities, would already have been prioritised. Line Managers identified and prioritised projects whose final approval was given by the Head of Department. This was an indication that the undesirable 'top-down' planning concept was still being utilised. Though some projects were aligned to the IDP, some were not. Consequently, efforts were being made to ensure improved alignment. Guidelines had been developed and availed to municipalities for utilisation.

ii) Development Programmes.

Social Welfare was undertaking projects such as the following; Expanded Public Works Programme, crèches, poverty alleviation, flagship projects and development centres. The objective of these projects was to improve the welfare of all citizens, children, families, the elderly and those with disability. No money was transferred to municipalities by this department, hence only finished products were handed to them. Expected results were not being achieved because there was no adequate funding for the programmes.

ii) Institutional Capacity.

Though the Department had managed to have a specific staff member dedicated to IDPs, it still had no adequate manpower to serve the community. There was a good working relationship with Municipalities.

iii) General Comments.

This Department suggested that in order to improve its support to municipalities, it should have regular cluster meetings with them at regional or district levels. It was further stated that state departments should avoid duplication of funding and increase understanding of each others roles and responsibilities. What this statement meant was that there was lack of coordination in development programmes between state institutions.

### **3.5.6 Department of Works. (DoW)**

i) Participation in IDPs.

The Department participated in municipal IDPs by attending Forum meetings. They reported that their projects were aligned with the IDPs and that they were prioritised by municipalities. Unfortunately no guidelines had been availed to municipalities as yet.

ii) Development Programmes.

DoW was currently engaged in the construction of multi-purpose centres throughout the province. The overall objective of the project was poverty

reduction and job creation. It was also stated that the projects were achieving the expected objectives.

iii) Institutional Capacity.

Though there was no specific person appointed to deal with IDP issues, they stated that they had adequate personnel to serve municipalities. The department perceived their relationships with local authorities as good.

### **3.5.7 Summary of issues**

- Although most of the Departments alleged that they were participating in municipal planning forums, their contribution was minimal as reflected by IDPs. Many of these documents did not contain projects by these sector departments or their MTEFs. This was a big set back to the municipalities, who regard them as their major source of funding for capital projects.
- It was surprising to find some departments stating that they had adequate staff to serve municipalities, when their attendance at municipal IDP Representative Forum meetings was very poor. A quick check at the attendance registers supplied in the IDPs revealed shocking absentism by officers from many departments! Furthermore, it was evident from the numbers of personnel dealing with IDPs per department that they did not have adequate capacity to cover all municipalities. In the few cases where officers had been appointed to take charge of this task, there was only one person. It was, however, encouraging to note that some departments, (eg DoT, DAEA) were ready to commit themselves fully to engage with IDPs.

- Sector departments were not involving municipalities in project prioritisation, resulting in them rolling out programmes which were not supported by the communities.
- There was lack of alignment between various government institutions themselves. This was resulting in uncoordinated implementation of development programmes which sometimes conflicted or duplicated each other.

### **3.6 Interviews: Department of Local Government and Traditional Affairs (DLGTA)**

This department was the principal player in the roll-out of IDPs at Provincial Level. As pointed out earlier on, one of its functions was to play a coordinating role between municipalities and sector departments in the exercise. It is because of its mandate on IDPs that DLGTA staff had acquired immense working experience in the planning and implementation of the IDPs, making them an important source of data needed by this research. The main focus in the interviews conducted was on the DLGTA driven support programmes with a view to finding out their strengths and weaknesses. A total of 6 officers from this Department, who dealt with IDPs on a daily basis were selected and interviewed. Their experience ranged from 3-5 years signifying the high quality of information expected to be derived from them. The following gives a summary of facts derived from their responses;

#### **3.6.1 Integrated Development Plans. (IDPs)**

Municipal buy-in on the concept of utilising the IDP as a key tool to inform councils in decision making, had been generally achieved, including the need for public involvement. There was strong belief that the strategy was workable and effective in terms of alleviating poverty and upgrading the lives of communities.

The funding provided by DLGTA for supporting IDP compilation (R50 000 per municipality per year) was inadequate and based on the assumption that individual municipalities would source additional funding to suffice their needs. The approximate cost of compiling an IDP is about R250 000 per year. Most of the small newly created local authorities were struggling financially and had nowhere to get the funding.

Amongst the key IDP principles (eg public participation, democracy, alignment, governance, integration), it seemed most problems with respect to IDP planning and implementation were generated by lack of alignment between municipalities and sector departments and amongst sector departments themselves. Thus development programmes for the latter could not be captured in the IDPs, a recipe for duplication of services, ad-hoc development and resource wastage. This situation had seen many departments implementing projects outside the IDPs. However, the problem of lack of alignment was worsened by the absence of Provincial PGDS and Spatial Framework.

Evidence had it that though municipal councillors, their officials and service providers had by now acquired a reasonable level of knowledge in IDPs, this was not the same with members of the public. Their passive reaction and indifferent attitude in participation in IDPs was a result of little knowledge on this strategy, especially their role.

Though high performance municipalities had afforded to establish capacity in IDP Components by employing IDP Managers and other supportive staff, a majority of the smaller ones had not managed to do the same. The reason was lack of financial base. This had seen most of them depending on consultant services, causing the IDPs to be 'externally owned'. This was the situation at Ntambanana, Mthonjaneni, Jozini, Umkhanyakude etc.

DLGTA were not adequately serving municipalities due to the current manpower shortages. The department had too many vacant but crucial posts which had not been filled for the last 3 years! The impact of this situation was that the existing skeletal staff could not deal with all municipal demands in attending meetings, providing on the spot advice and in meeting their training requirements. In short municipalities were being neglected.

Municipal efforts in implementing projects were hampered by the lack of funding and 'deceptive' project lists provided by some service providers. The term 'deceptive' has been used because some of them never implement projects reflected on their lists, putting municipalities in trouble with communities. Unfortunately, they had no mechanism with which to force service providers to deliver according to their submitted lists.

Municipalities had not been provided with guidelines or funding for the compilation of sector plans by many departments. This was confirmed during the study by some departments such as works and welfare. Consequently, this has caused slow progress in the compilation of the above plans due to lack of funding. There has been negative impact on development programmes whose implementation was dependent the plans in question. IDPs could not be strategic enough without this input.

The IDP assessment process normally undertaken by DLGTA around April/May every year, was cumbersome and time consuming. This resulted in the late provision of comments by DTLGA and other service providers to municipalities for inclusion in the final IDP. The municipalities were expected to submit draft IDPs, final IDPs and then followed by the MEC's comments. Consequently, municipalities had not been able to factor in the comments before the IDPs were forwarded to the MEC in terms of the Municipal Systems Act, 32 of 2000.



### **3.6.2 Development Planning Capacity Building**

Municipalities had accepted the programme and adopted it. As in the first case, the funding provided by DLGTA was inadequate and municipalities were expected to provide top-up funding for this programme. The sole aim was to establish a specific component to deal with IDPs and led by the IDP Manager. However, according to the model on which this support is based, the component was supposed to be strengthened by appointing an LED officer to take charge of the development and implementation of local economic development strategies. At the time of the study, it was found out that only 4 of the 8 municipalities had managed to compile their IDPs in-house. This was an indication that some capacity had been built in these local authorities. On the other hand, only Nkandla and Zululand municipalities had LED Officers. Who was driving economic development initiatives in the other 6 institutions? The answer is that there was virtually nobody to drive LED programmes. How could the goal of uplifting the peoples' lives be achieved under such circumstances? It is important to realise that no municipality can manage to operate without the above professionals.

Because of the inadequate funding and cases where extra funding could not be obtained, municipalities ended up engaging inexperienced planners whose productivity was less than expected at first. These people would then require a lot of guidance and mentoring by the Department until they gain reasonable experience.

One of the weaknesses revealed by the study was that the Capacity Building Model had not been reviewed since its inception 4 years ago, hence some of its principles could be irrelevant now. The development planning field was characterised by complex dynamics which called for a continuous review for such programmes to ensure relevance and effectiveness.

Generally, the objectives of the programme were gradually being achieved though the pace was too slow to yield positive noticeable impact.

### **3.6.3 Organisational Performance Management System. (OPMS)**

This concept had been work shopped and accepted by all municipalities in the province. The funding being provided was being disbursed over a 3-year period and on a sliding scale, was also inadequate. Despite being a legal requirement, the system was not being afforded the seriousness it requires by the municipalities. Up to now the major problem was that municipalities did not understand the meaning and purpose of OPMS. As a result, most of them had not been able to spend the provided funding. There was lack of its understanding by both councillors and municipal staff.

The PMS had proven to be a consultant driven process. The consultants had a habit of selecting complicated models like 'the balanced score card' worsening confusion on the concept. It should be recorded that DLGTA had carried out some training sessions for municipalities at district level at the inception of the programme. This was not sufficient.

The PMS Guide Pack which was prepared by consultants in conjunction with DLGTA, was not user friendly due to highly technical language applied together with sophisticated models. In order to enhance understanding, the above department developed a much easier version of the guide pack called a 'starter park' which was distributed to municipalities.

As of now most municipalities did not have an operational Organisational Performance Management System, hence their performance could not be measured.

### **3.6.4 Integrated Sustainable Rural Development Programme. (ISRDP)**

Municipal buy-in was obtained at the introduction of this support programme. However, it was not considered as successful due to several factors. Firstly, no funding was attached to it since its main focus was on coordination of projects by sector departments.

Secondly, each node had its own political champion who was supposed to oversee the progress of ISRDP. However, these figures were never visible, hence very passive and unknown. The objectives of the programme were not met due to the above reasons. There was a lot of confusion on the reporting structures from the field, district, provincial, up to national government. As a result, reporting was either not done or the reports ended somewhere. Firstly, the ISRDP responsibility was put in the hands of Chief Directorate: Development Planning and then transferred to Chief Directorate: Urban and Rural Development. This change came with its own confusion regarding handover-takeover of responsibilities. The impact of this initiative is yet to be seen.

### **3.6.5 Project Consolidate (PC)**

It should be borne in mind that all the 8 municipalities dealt with were under Project Consolidate. Though the project was accepted by municipalities, it was felt that it was imposed on them by government. There were several question marks about the programme. For example, the criteria applied in selecting deserving municipalities were not known and that local government were not consulted in its formulation.

Despite the fact that PC was a newly established intervention, its weaknesses had started to surface. The fact that it was supposed to facilitate quick delivery

of services had been defeated by the bureaucracy involved in approving priority projects submitted by municipalities. The process was lengthened by officials arguing whether a project qualified for PC funding or not. The net effect of these actions had been the derailment of the initial action plan in terms of time targets.

In addition to the above, there was no adequate funding to suffice all projects. The physical absence of political champions on the ground unfortunately conveyed a negative feeling about the success of PC. This issue was further compounded by the fact that the champions were never officially introduced to local authorities at the inception stage of the programme. As of now, the general feeling amongst DTLGA respondents was that it was too early to judge the effectiveness of PC on the ground.

### **3.6.6 Project Implementation and Management Centres. (PIMS)**

At first the introduction of PIMS centres was met with some resistance from municipalities who doubted their capability to serve them. This resulted in their underutilisation. However, with time municipalities started to notice their potential and had now fully accepted them as important units. Consequently PIMS were playing a key role in assisting them in; integrated planning and implementation, establishment of PMS, sourcing funding for project implementation, promoting alignment with service providers etc.

PIMS centres were adequately serving weak municipalities, hence achieving their objectives. However, DPLG should encourage and strengthen their role, instead of threatening them with disbandment every now and then. These threats had resulted in many resignations and loss of motivation amongst staff members. PIMS personnel needed training in a variety of fields to ensure that they offered a one-stop service to municipalities. This was crucial as their clients venture into a serious IDP implementation phase. This should be accompanied by providing

them with better transport facilities to improve their interaction with municipalities.

### **3.6.7 Duplication of Support Programmes.**

DLGTA and DPLG had formulated many support programmes to assist municipalities in service delivery. Most of these had already been discussed in the earlier sections of this report. Basically, it was difficult to define the difference between many of the interventions, as they were very similar in their goals, objectives and approaches. A clear example was Project Consolidate and ISRDP. The programmes had further created confusion amongst municipalities as to why government did not consolidate them and come up with one strong initiative. Additionally, the fragmentation of these support initiatives caused funding to be scattered over a wide base, reducing the intended impact on communities.

### **3.7 Summary of Issues.**

This part of the survey produced very exciting results which are outlined below;

- Most of state departments were not interested in involving themselves in municipal IDPs, causing exclusion of their development programmes. Departments carried out their own project prioritisation without consulting with municipalities, causing alignment problems.
- The public at large were not familiar with IDPs, hence their tendency to ignore participating in municipal planning sessions.
- Due to lack of financial resources, municipalities were not able to establish IDP Components to take charge of their planning.



- Some service providers never undertook the projects which they forwarded to municipalities for inclusion in IDPs. On the other hand municipalities had no power to force them to fulfil their promises.
- Both DLGTA and many sector departments did not have adequate capacity to assist municipalities. This was detrimental to the effectiveness of their assistance programmes.
- Municipal IDPs lacked priority sector plans because they did not have adequate funding for them. The responsible sector departments were unwilling to support them both financially and technically.
- The assessment process of IDPs was lengthy, resulting in the delay in availing comments from the MEC. The comments cannot be dealt with at the appropriate time.
- DLGTA did not provide adequate funding to support its assistance programmes to municipalities, requiring them to source 'top-up funding'. This was a forced financial burden.
- Municipal officials, councillors and the public lacked understanding on the purpose and meaning of OPMS. It was mistaken for a punishment tool, hence was received with some resistance.
- In many municipalities, the establishment of OPMS was contracted to private consultants who prescribed complicated systems, exacerbating its understanding.
- The ISRDP was not seriously taken by municipalities because it was not supported with funding. This neutralised its effectiveness. It did not have clear reporting structures, so reports were often disappeared amongst local, provincial or national government offices.
- The selection criteria for Project Consolidate municipalities remain a secret as this was done by national government without grass roots consultation.



- The selection of projects which qualified for Project Consolidate was unclear, creating space for a lot of debate which introduced unforeseen delays in their selection and implementation.
- Additionally, Political Champions, who were senior political figures appointed to render support and guidance to nodal municipalities were ineffective. They never performed their functions at all, to the detriment of the programme.
- PIMS Centres, which were established to render technical support to incapacitated municipalities, were despised by District Municipalities, hence rarely utilised. They were perceived as competing with them in supporting Local Municipalities, causing poor relations between them.

### **3.8 Conclusion**

The study revealed common critical issues as well as differences amongst both municipalities and government departments dealt with. Striking factors were visible in terms of municipal deficiencies in areas such as; human and skills capacity, financial resources, tools for measuring performance, support from state departments, democracy and governance systems etc. Meanwhile, they were at different levels of building their institutional structures, resulting in different capabilities to deliver services.

On the other hand, sector departments' involvement and support in municipal planning and development was still very poor and need to be improved. It is negatively impacting on the implementation of municipal development programmes. However, it was encouraging to note that most of them were gearing themselves for more participation in municipal affairs. This spirit should be encouraged as it would ultimately improve co-operative governance, a vital element to effective and efficient service delivery at municipal level.

## **CHAPTER 4: RESEARCH ANALYSIS**

After undertaking the three-part interviews detailed in the preceding chapter, some trends started emerging shading light on what was taking place in the integrated development planning arena. Common issues became visible, giving emphasis to specific areas of concern, that is, were things were not being done in accordance with existing policies, regulations or principles. This section of the report seeks to identify, synthesize and present the issues as given below.

### **4.0 Lack of institutional capacity.**

Seven of the eight municipalities interviewed indicated that they did not have adequate human capacity to carry out their constitutional mandate. It should be noted that the level of provision of services is, to a great extent, determined by having key components and personnel in place. To this extent, most of the weak municipalities like Ntambanana could not afford to establish effective technical services departments, due to financial constraints. This problem had been compounded by their inability to engage skilled personnel like; IDP managers, LED officers, engineers or project managers. One municipal manager retorted "We are small. We cannot afford competitive salaries. What can we do?" Consequently, there seemed to be wide spread reliance on consultant services. For example, the compilation of IDPs and OPMS had largely been consultant driven resulting in the loss of a 'sense of ownership' on the part of municipalities.

However, in spite of the above gloomy picture Zululand and Umkhanyakude, which are both district municipalities, were better capacitated than the other local municipalities in terms of the institutional structural development and skills capacity.

#### **4.1 Lack of adequate income**

This was a cross cutting issue affecting all the municipalities. The absence of some income base meant that these local authorities had no option but to rely on government grant funding and other external financial sources. Although municipalities like Mthonjaneni and Big Five False Bay had small urban centres, the rates base were still too small to sustain their livelihood. Others like Ntambanana and Nkandla, which were 100% rural had virtually no income at all. As a result, they were about 95% dependent on grant funding, making them unviable local authorities. During the interview the Municipal Manager for Ntambanana revealed frustration by saying, "There is nothing here! Nothing! Where can we get the money in this rural area? For how long are we going to live on handouts?" Understandably, without financial resources, a municipality could not; hire personnel with the required competencies, implement their own projects, purchase plant and equipment, etc.

In spite of the above constraints, the poor municipalities were found to be compounding the situation by appointing many full-time councillors, hence blowing their expenditure budgets! Whilst Ntambanana had none of such councillors, Umkhanyakude had 6 and Zululand 34. Municipal Managers were actually pressurised by councillors to declare them full-time, adding further burden to the already strained municipal budgets.

Most municipalities were owed millions in rands by their citizens, government departments and other agencies. On the other hand, they were struggling to survive financially. They were however, failing to effectively collect the debts due to the absence of Debt Collection Policies. The few municipalities eg Ulundi, who have formulated such policies had managed to collect a lot of debts, easing their financial pressure.

#### **4.2 Poor participation by sector departments.**

Struggling municipalities could not do without the support from sector departments and other service providers. Because they lacked a stable source of income, they had to depend on external funding to implement projects. This made it crucial for state departments to be involved in municipal planning forums. During these sessions, they were expected to contribute information regarding their projects as well as MTEFs, without which the IDPs became useless tools for development. Lack of participation by the departments such as Health, Education, Land Affairs etc, resulted in the loss of alignment with other stakeholders and caused the implementation of projects outside IDPs. On the other hand, those who participated in IDP processes were represented by junior officers who could not make any decisions. Municipalities had expressed deep disappointment on these issues.

#### **4.3 Lack of municipal input in programme design.**

Municipalities only played a 'recipient role' when it came to the design of support initiatives by both provincial and national government. Programmes were formulated without their involvement, thus employing the notorious top-down approach. Therefore, these initiatives were introduced to municipalities as 'surprises'. Examples were; project consolidate, the new 'operation mbo', ISRDP, capacity building etc. According to interviews conducted, it was pointed out that this had caused a huge negative impact on the effectiveness and relevance of some particular support programme. Additionally, municipalities were deprived of an opportunity to take part in the prioritisation of sector departments' projects.

#### **4.4 Lack of Communication Policy.**

Though most municipalities were conscious of the need to enhance public participation, requisite structures to facilitate this were still to be developed. Apart from Zululand and Jozini, the rest did not have communication policies in place, though some had started the process. In the few cases where Ward Committees had been established, there was no specific budget allocated them to meet their operational costs. This meant that most of the Committees were not effective at all. An average of about 90% of the population in the individual municipalities dealt with comprised isiZulu speaking people. Ironically, Council minutes, agendas and other documents were still prepared in English. This discouraged the local communities to engage themselves with municipal matters. It should be remembered that a general characteristic with the communities was the high levels of illiteracy, a key disadvantage to the achievement of effective participation.

#### **4.5 PIMS Centres.**

It is evident that PIMS centres were useful structures in municipal planning and development. Both centres for Umkhanyakude and Zululand were offering an important technical service to municipalities especially those without planning staff. However, optimum production could not be achieved due to repeated threats from DPLG to close down the centres. This had resulted in many resignations by staff members, as they search for more stable working environments. In addition to the above, it was revealed that they lacked adequate resources to carry out their functions effectively. More personnel and financial resources were required to alleviate this plight.



#### **4.6 Capacity Constraints in Govt Departments**

The findings reflected the inability of a majority of sector departments to satisfy municipal demands. This position was affirmed by Departments of Welfare and Agriculture. One of the worst affected departments was unfortunately, DLGTA, which was regarded as the custodian of IDPs. This institution was facing a critical shortage of experienced and qualified personnel. Posts vacated from as far back as 2002 had not been filled because of a prevailing recruitment moratorium. Presently, the current staff members were overstretched and could not serve municipalities as and when required. Critical care municipalities such as Ntambanana, Jozini, Ulundi and Umkhanyakude were unable to get the necessary support and guidance as and when required. However, the remainder had better capacity. Poor attendance at municipal IDP Forums had been commonly blamed on the critical staff shortages in most of the sector departments dealt with causing a lot of concern.

#### **4.7 Non availability of sector plans.**

The importance of these plans in facilitating development was generally realised by all municipalities. Although DLGTA had pleaded with sector departments to provide them with guidelines to assist in the compilation of sector plans, many had not complied to-date. Some of the most important sector plans were; spatial development framework, environmental management plan, disaster management plan, water services plan, education plan, health plan, local economic development plan etc. Based on their capabilities the studied municipalities were at various stages in compiling them. A majority of the municipalities could not afford to fund the compilation of sector plans which they out sourced to consultants. In order to fill this gap, respective departments were requested to provide funding for their particular plans. Similarly, whilst DAEA were supposed to provide guidelines and funding for the production of Strategic



Environmental Plans (SEAs), DoH would be responsible for Housing Plan and DoE for Education Plan etc. Thus, in addition to providing the funding, departments were encouraged to assist municipalities with the recruitment of relevant officers to carry out their specific functions. It was envisaged that such support would effectively see municipalities on the correct development path.

#### **4.8 Inadequate financial support.**

The study revealed that the financial support given to municipalities by DLGTA was not adequate for the intended initiatives. Funding was provided for; development planning capacity building, OPMS, IDPs and LUMS. Though the funding was provided for a 3-year period (on a sliding scale) the tranches were too small to cause notable impact. For example, for LUMS project which cost about R500 000, DLGTA were offering a total of R330 000, disbursed in yearly tranches of R200 000, R80 000 and R50 000. Therefore, municipalities, which were already cash-strapped were expected to top up the funding for all the various programmes. How could Ntambanana, which was 100% grant dependent expected to source the required funds? This extra burden was too much for some of them considering that they were dependent on grant funding. To make matters worse, they were expected to take over a function or programme after the 3 years. Was this position sustainable?

#### **4.9 Organisational Performance Management System (OPMS)**

According to the current IDP Assessment reports, whose comments were reinforced by the views obtained during interviews, municipalities did not understand the concept of OPMS. In most cases, this was confused with individual PMS which already existed in many of them. In this context OPMS can be explained as a tool to measure municipal performance, taking into account the 5 National Key Performance Indicators. In most cases the individual systems,

which were established in the absence of the organisational one, were not linked to the IDPs objectives, making them irrelevant. Correct procedures were not applied in the establishment of the individual performance systems. Procedurally, the first stage should be the establishment of the OPMS which would then cascade downwards into Section 57 Performance Agreements, (for senior management and municipal manager) then to the lower ranks of staff.

Though it is a legal requirement in terms of the Municipal Systems Act, no 32 of 2000, none of the eight municipalities had an approved and operational OPMS. Thus IDP implementation could not be expected to succeed without such a system in place as it ensures that the various departments of a municipality deliver services according to the objectives allocated to each of them.

DLGTA failed to adequately train municipalities and their political leadership to understand the concept. This was one of the contributory factors leading to the slow pace at which OPMS was being established. One of the key requirements for the successful establishment of the system was the need for its understanding by the municipal officials, councillors and the communities. Without this no effective OPMS could be expected.

On its inception, the municipalities saw it as a punishment tool to deal with under performers. Therefore this suspicion caused them to hesitate accepting and implementing it. However, this view is currently changing for the better as more and more understanding is gained.

## **CHAPTER FIVE: CONCLUSION AND RECOMMENDATIONS**

### **5.0 General Comment**

The research has shed light on many areas where processes were not being undertaken correctly, creating a variety of problems for municipalities. In a fair sense, the blame directed to municipalities for failure to deliver services should be shared by all stakeholders especially; sector departments, DLGTA and other service providers. This study also revealed that some of the actions of these institutions had been detrimental to the success of service delivery by municipalities. The cumulative effect of their failure to render the expected support effectively has translated to poor service provision on the ground. Unless remedial action is taken now, poor service delivery would be the order of the day. This section endeavours to sum up some recommendations on the issues uncovered above.

### **5.1 Recommendations**

Immediate action is necessary to address the prevailing explosive situation ignited by community dissatisfaction in service provision by municipalities. However, the action has to be preceded by the careful formulation of possible solutions. It is envisaged that the problems which were highlighted in the previous chapter were partly inhibiting the effective and efficient provision of basic services to local communities within the studied municipalities. However, these involve both municipalities and government departments.

To a large extent, the following recommendations are based on the suggestions and comments made by; respondents during the study, contributions made by DLGTA officials during meetings and one-on-one discussions with individuals.

Unlike in many of the past attempts by other researchers, effort was made to ensure that solutions were clear and practical. It is important to remind readers that these recommendations are not a 'life time prescription' as new challenges on IDPs are being experienced everyday, raising the need to review certain procedures and approaches. This review should be viewed as a continuous process informed by research. As will be seen, the recommendations are not only targeting municipalities but a variety of key role players.

#### **5.1.0 Integrated Development Planning.**

Though the IDP process was generally being conducted in accordance with the provisions of the Municipal Systems Act, 32 of 2000, there were still problems identified which need attention. It was noticed that where IDPs were compiled by consultants and there was no adequate commitment and buy-in from both the Municipal Manager and the Council. The general perception was that the document was consultant owned and prepared only for the sake of complying with legislation. Whenever possible, municipalities should be encouraged to avoid utilising consultants and do it in in-house. Failure to do this would further encourage municipalities to divorce the IDP from the budget, resulting in the loss of its value and purpose. Therefore, whenever possible, municipalities should compile their IDPs in-house to avoid the above situation.

For IDPs to be effective tools for delivering services, they have to be understood by the public, municipality and other agencies, public or private. This goal is almost unachievable, considering the current high levels of illiteracy especially experienced in the northern part of the Province. For example, according to 2001 census, only 0,5% of the population in Umkhanyakude District attained tertiary education! This calls for the Department of Education to devote more effort towards adult education whilst DLGTA and DPLG should ensure that more funds are allocated to training the public to enhance participation in IDPs. This way,

they can be made aware of their role in planning and development thereby raising the level of community involvement.

The annual assessment of IDPs has encountered one major problem, concerning the provision of MEC's comments to municipalities. These comments are always provided too late to be included in the following years' IDP. To be precise, they are usually availed around December instead of August in every year. Therefore they are always dealt with in the second year, reducing their effectiveness. To this end, DLGTA should streamline the assessment process by excluding the need to submit draft IDPs for commenting before submitting final IDPs. The process is windy and lengthy and ends up with the late delivery of comments. All this contributes negatively to the provision of services as action cannot be taken at the appropriate time.

#### **5.1.1 Capacity Building:**

The issue of municipal capacity is central to the ability of municipalities to deliver services to its communities. The government lacks a coordinated or integrated approach to deal with municipal capacity problems. The current approach is ad-hoc, with different departments coming in with different assistance programmes which were sometimes complementary or antagonistic to each other. For example, DLGTA provided funding for 3 different types of capacity building. The support is aimed at enabling municipalities to appoint 3 staff members to take charge of IDP functions, Development Administration and Development Information Services. Though these three functions were considered as separate, they were interrelated and could be merged to function under one person. The same discord was happening amongst state departments. For example, there had been a duplication of training programmes by DLGTA and DPLG on IDP guidelines, PMS, capacity building etc. Therefore Provincial and National



Governments should formulate a clear integrated capacity building strategy for municipalities.

Provincial and National Governments should start by identifying crucial sections and personnel which municipalities cannot do without and these would be treated as priority areas requiring urgent assistance. The research has revealed that the crucial structures and personnel needed were the; financial management, technical services and the IDP/ LED Components. In terms of skilled personnel the following positions were identified; IDP Manager, Civil Engineer, LED Manager, Project Manager etc. Whilst the technical services department is meant to be the engine room for planning and implementing projects, the IDP Component would be responsible for coordinating all IDP related functions in a municipality. On the other hand, the Project Manager would be managing all projects.

All of the municipalities studied could be described as very poor mainly because they did not have reliable income bases. Therefore their dependence on state grants was very high. For example Ntambanana was 98% whilst Nkandla was 88% dependent. This fact would make it mandatory for them to create and maintain LED Section, which, among other things, would be tasked to; devise an LED Strategy, goals and objectives and an action plan. Additionally, it would be the responsibility of this section to source funding for implementing projects. LED is generally seen as the most appropriate way through which the lives of the poor communities could be uplifted, hence the need to develop the requisite operational structures can not be overemphasised.

It has been established that municipalities were compelled to depend on consultants' services in planning and implementing projects, due to lack of skilled personnel. No condition for skills transfer to municipal staff was usually attached to the contracts. This makes projects unsustainable because there will not be



skilled personnel to proceed with them when the contractor has gone. To this end, the imposition of compulsory 'a skills transfer' condition on all contracts or engagement of Project Managers could be the ultimate answers.

Most of the Provincial and National Government Departments did not have adequate manpower to serve municipalities. As a result, they felt a bit neglected since they could not get attention as and when they wished. One of the worst affected departments was DLGTA. The best solution is for every department to ensure that it appoints a dedicated staff member to deal with IDPs. Such a member would then assume a permanent seat on municipal development planning forums. This action would greatly improve the issue of lack of alignment between sector departments and municipalities. Generally, state departments should ensure that they gear themselves up for total and effective support to the local government sphere.

### **5.1.2 Financial Viability.**

As indicated earlier, this is a cross-cutting factor which impacts on almost all municipal activities. It determines their ability to; employ required personnel, offer competitive salaries, procure plant and equipment, implement projects, to mention a few. All the local authorities covered by this research were poor, heavily dependent on grant funding and struggling to provide basic services to their communities. Some of the problems emanated from the way the 2000 demarcation exercise was undertaken by the Municipal Demarcation Board. This saw the creation of some municipalities which were 100% rural, hence without any semblance of an urban settlement. As a result they could not enjoy the benefit of charging rates. Ntambanana and Nkandla Municipalities are good examples to demonstrate this situation.

In order to improve the situation, National Government should withdraw the idea of appointing councillors to a 'permanent status'. This issue is causing unnecessary financial strain on municipalities, which are already struggling to survive. The scheme is open to abuse as no councillor would want to be excluded for obvious economic reasons. The system has brought no positive impact, save controversy, division and hatred amongst councillors, as it is now considered as a permanent source of income.

There is no other applicable solution to the financial position of Ntambanana, save for a re-demarcation. Therefore, it is recommended that the Demarcation Board be requested to review the current boundaries of these under-performing municipalities with a view to allocating them an income base. Those without any rates base could be abolished and merged with the adjacent ones.

The Department of Economic Planning should assist poor municipalities in developing realistic LED strategies, goals, objectives and action plans. This would require a lot of commitment and resource provision on the part of the department, if positive change is to be obtained. Generally, the activities of this Department in terms of assisting municipalities have been marginal, hence the need to adopt a more aggressive approach.

On assessment, a number of IDPs were found to lack strategies for income generation. It is high time municipalities desist from being grant-dependent to being self-sufficient, financially. This change in profile requires a lot of creativity in formulating income generating strategies. Many municipalities have failed to provide them in IDPs, despite repeated requests to do so by the MEC for DLGTA. It is believed that the exercise requires in-depth understanding of the social, economic, political and environmental dynamics within the individual local authorities. Municipalities should look for expert assistance as the strategies would go a long way in alleviating the current shortage of funding.

Lastly, the state provides funding to municipalities using a top-down approach. As pointed out earlier, support programmes were developed, grants determined and their conditions are fixed without their involvement. Caught up in this practice were the departments of Social Welfare and Works. More often than not, the programmes were not in alignment with municipal needs, objectives and strategies. It should be recalled that most of the grant funding was conditional, hence could not be used for any other purpose save for the intended one, without government approval. This had resulted in some funding earmarked for such initiatives to sit in municipal accounts for long periods before being used. Unaware of this problem, a number of sector departments had complained that municipalities were not willing to spend their money.

In order to deal with the above, funding should not just be off-loaded into municipal accounts creating 'undesirable reserves' as is happening at the moment. Instead, the Department should only advise municipalities on the available funding which could be accessed through application. This system would ensure that the government would only transfer needed funds thereby avoiding 'dumping' the scarce resource in municipal coffers for no reason. To avoid misuse, the system would also require municipalities to satisfy certain criteria before funding is approved.

### **5.1.3 Sector Departments' Involvement.**

It was clear from the research findings that small and poor municipalities could not do without support from sector departments and other service providers. These external agencies were actually their life line. It then becomes imperative that these stakeholders should, at all cost, participate in municipal planning forums where development programmes are presented, discussed, integrated and aligned. Not all sector departments were currently taking part, probably

because of resistance to change, lack of capacity, ignorance on IDPs or mere unwillingness. This was true of departments like; Education, Social Welfare etc.

Municipalities shared deep concern on this development which denied them an opportunity to; know what plans sector departments had for their areas, get themselves involved in prioritising projects by sector departments and getting information on their MTEFs. All this information was crucial for IDPs. The biggest problem arising from non participation of sector departments was that of lack of alignment.

It is recommended that sector departments' involvement in municipal IDPs should be declared compulsory either through legislation or through the Premier's Office. Though the IDP programme was being driven by DLGTA, this department had no power to force other departments to comply. On the other hand, the persuasion route was not bearing fruitful results. Therefore the issue of participation by sector departments should be handled by the Premier's Office, whose authority is unquestionable and respected by all of them. Punishment would be meted out to those who did not comply.

On the question of representation, sector departments should be discouraged from sending junior officials to attend IDP meetings at municipalities, because they only acted like observers and did not add any value to the process. It is further recommended that each department appoints a dedicated official responsible for linking its activities with IDPs at municipal level. This would strengthen input in these documents, resulting in enhancing their credibility.

In order to ensure that all government projects are implemented in accordance with IDPs, Provincial and National Treasury should demand that departments provide proof that projects were alignment to the municipal IDPs, before releasing any funding for implementation. These measures would force the

departments to respect the IDP as the sole legal tool to guide development at local government level.

In addition to the above, some departments identified that the issue of duplication of support or services to municipalities was problematic. This indicated that there was lack of coordination in planning. For example, the Department of Health might propose to locate a clinic at a place where water cannot be provided, meaning there was no consultation with Department of Water Affairs or the municipality could propose to provide a sporting facility in the same vicinity earmarked by the Department of Sport for a similar facility. Thus, the golden rule of 'no alignment- no funding' should be applied. The main problem was lack of alignment. Its solution is simple, that is, participating in municipal IDP Forums where the alignment of all development programmes was undertaken.

#### **5.1.4 Municipal Involvement in Programme Design**

The traditional top-down concept was still being practised by some departments in the design of support initiatives for local government. Ironically, this concept was also being perpetuated by the two departments (DLGTA & DPLG) who were the leading forces in the roll out of the integrated development planning process. Furthermore, it was also their responsibility to conscientise other government agencies on the need for co-operative governance, yet they were guilty of the same. In other words, these two departments should practice what they preach.

As found out during the research, municipalities were not consulted during the time support programmes were developed. They only got to know about them when they were being introduced to them, that is, at the introduction and implementation stages. It should be remembered that the principle of participation was centred on the perception that beneficiaries should get involved



in deciding matters which impact on their lives. It is them who know best their problems and how to solve them. This notion was confirmed by Bandyoparhyaya (1985) in his study on rural development in India. Such consultation would help to enrich any programme in terms of its content, acceptability and relevance.

Support programmes such as ISRDP, Project Consolidate, Capacity Building and the latest Operation MBO were designed without any consultation with municipalities. They believe that their input would have seen the subtraction and addition of some aspects to the current initiatives, rendering them more effective. To this end, all sector departments should develop a culture of consulting with municipalities during reviewing or designing new assistance programmes. This is viewed as the mainstay of sustainability and success. The spirit of cooperative governance should be created and implemented in accordance with Section 41 (1) of the SA Constitution.

#### **5.1.5 Organisational Performance Management System (OPMS)**

In order to enhance understanding on this subject, DLGTA has to undertake an aggressive training programme with municipalities. The programme should target municipal officials, councillors and the public. For the purposes of the public, a simplified Zulu version of the OPMS should be developed. At the moment the public are very ignorant about their role and obligation in the implementation of the system.

Municipalities should be discouraged from contracting the establishment of the OPMS which has usually resulted in complicated models being recommended to them. As a result, they have not been able to utilise them due to lack of understanding. An effective OPMS should be easy to understand, cheap to run and can be established internally without consultants' assistance. A recommended system suitable for small municipalities is the Spread Sheet Model.



In house compilation of the OPMS would encourage a sense of ownership and acceptability which is vital for implementation. Poor municipalities are best advised to take this route.

#### **5.1.6 Establishment of Ward Committees.**

Though the majority of municipalities had either completed or were in the process of establishing these committees, there was still no linkage between the two. The missing linkage is supposed to have been provided by a communication policy, which would identify how information was expected to flow between them. It is believed that the level and effectiveness of public participation does, to a great extent, depend on the existence of these lines of communication. Therefore, it is not sufficient just to have the two structures which do not interact. Clear lines of communication should be established between municipal organisations and ward committees.

Municipal business was still recorded in the English language. Ironically, rural municipalities were characterised by communities who were highly illiterate and mainly isiZulu speaking. Bearing in mind this background, how could information be expected to filter down to them so that they could involve themselves in municipal debates? The most appropriate solution is to similarly translate council agendas and minutes into isiZulu. It was interesting to note that although Nkandla Municipality availed these documents, the local community did not show any interest in reading them. The most probable reason was the language used.

The other obstruction to the smooth functioning of Ward Committees was the availability of resources, especially funding. Because of the current financial constraints, municipalities could hardly spare funds to assist the committees. This affected their effectiveness as they needed at least a small budget to deal with daily running costs like transport, stationery etc. Only a few municipalities,

namely Ulundi, Mthonjaneni and Nkandla had managed to set aside some funding for this purpose. Evidence collected indicated that most local authorities could not shoulder this burden. National or Provincial Governments should come to the rescue by providing specific support to the Ward Committees whose establishment is a statutory requirement, not an optional issue. Currently, this seems not to be the case as municipalities were taking their time, putting the whole question of democracy in jeopardy. For example, the Municipal Systems Act, 32 of 2000, devoted the whole of chapter four to the subject of 'community participation' reflecting its importance in planning and development.

#### **5.1.7 PIMS Centres.**

Though DPLG did not seem to appreciate their contribution to municipal development, it was evident that a lot of support was being rendered to municipalities by PIMS Centres. This refers mainly to the under-capacitated ones like Ulundi, Jozini, Nkandla, Ntambanana etc. Disbanding the centres would be crucifying those local authorities who were benefiting from their support. The centres had done commendable work in guiding the local municipalities in developing IDPs and OPMS. It is evident that they would continue to benefit from PIMS and even want to see them strengthened. Thus far, their major area of focus had been on IDPs.

It is recommended that DPLG changes its perception on PIMS centres and stop threatening them with closure. There is need to re-boost the diminishing staff morale by formulating constructive future proposals, one of which would be to appoint additional staff. Secondly, PIMS personnel need further training in many disciplines to enable them to advise and assist municipalities in a variety of areas. As municipalities were now implementing IDPs, multi-faceted challenges were being encountered and the centres had to gear themselves up for this eventuality. This training could be arranged and facilitated by DLGTA and DPLG

in areas such as; financial management, project management, data processing and management, local economic development etc.

#### **5.1.8 Compilation of Sector Plans.**

Sector plans are a very important component of IDPs. Apart from providing a linkage between government and municipal programmes, they guide municipalities to implement projects as per their requirements. As discussed in the earlier chapter, each sector department had its own sector plan which should be part of the IDP. It should be borne in mind that the plans need detailed studies for which municipalities usually sought consultants' expertise. The same departments did not provide assistance to municipalities for this exercise. Some had at least compiled and availed guidelines to them, a step in the right direction. The underlining factor was that funds were required to carry out and produce sector plans, a task which they could not afford on their own. Sector departments were reneging on their constitutional duty to assist municipalities in compiling the plans. Departments should be directed to provide adequate funding and guidelines for the compilation of their individual sector plans. This instruction should come from the Premier's Office, if it is to be observed. Such a move would expedite the formulation and implementation of their plans.

#### **5.1.9 Duplication of Support Initiatives.**

The research witnessed the introduction and implementation of many initiatives, which were similar in nature, by DLGTA and other sector departments. These had brought confusion to municipalities, who found it difficult to define their differences. The other negative effect was that state funds were spread over many interventions, thus reducing their impact on the ground. Why shouldn't all the scattered resources be pulled together to support one or two effective initiatives? The answer is to review all current support programmes with a view

to merging those which are identical. This would help to achieve more focus on fewer and more effective programmes.

## **5.2 Implications for Future Research.**

The major assumption made at the beginning of this research was that the findings to be obtained in interviewing municipalities, sector departments and DLGTA would give an overview of what is taking place provincial wide. Therefore, it is assumed that the issues identified in the preceding section were, in part, contributing to poor service delivery and this is representative of what is happening at a regional and provincial scale. The issues under discussion respond directly to the research question posed in the first chapter of this report. However, in order to give some direction on the necessary corrective actions to be undertaken, the research has recommended some effective and practical solutions. These need total commitment and focus by all concerned stakeholders, private and public.

As can be appreciated from the above experience, the research opened up so many issues which are interrelated. Such is the complexity of integrated development planning and as a result, no study can stand alone. The research undertaken covers only a tip of the iceberg, necessitating the need for further interrogation of other issues. It was pointed out at the beginning, integrated development planning is a field laden with various dynamics, where one solution is not applicable to every problem. Instead, new challenges evolve as implementation progresses necessitating the need for new research.

Practically, no development planning process can be expected to operate in a perfect environment, without obstructions. In view of this reality, all stakeholders in the IDP processes should fully and effectively participate in order to minimise the effect of risks. Only when this stage is attained will the fruits of efficient

service delivery be realised. Consequently the current community protests being experienced in many parts of our country will be history.

At this point in time it is sufficient to point out that the possible areas needing further study will be on; the effectiveness of current Municipal Legislation, the effect of politics in municipal administration, the role of co-operative governance in development, problems of the existing land tenure system and development, the roles and responsibilities of Amakhosi (Traditional Authorities), to name a few. Unless resources are made available to facilitate these surveys, coupled with the focused implementation of the resultant solutions, the question of service delivery will continue to haunt the local government sphere for a long time to come!

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## **INTERVIEW GUIDES**

**-Municipal**

**-Government Departments**

**-Department of Local Govt & Traditional Affairs**

**UNIVERSITY OF KWAZULU-NATAL**

**INTERVIEW GUIDE ON SERVICE DELIVERY : NORTHERN REGION  
MUNICIPALITIES.**

Municipality :..... Municipal Manager:.....

Interviewer : ..... Other official :.....

Date of Interview : .....

**Interview Guide 1 : Municipal Interviews For Municipal Manager/HODs**

**Section A: Municipal Focus**

1. Does the Municipality have an adopted Integrated Development Plan?  
Yes/No. Who compiled it ? .....In house/consultant.  
If done by consultant, why? .....
2. Municipal Managers education background.....
3. Have ward development committees been established?..... Yes/No. If no, why?  
.....
4. Has the Municipality formulated a policy to guide the establishment of ward committees? Yes/No. If no, give reason.....  
.....
5. Has the Council drawn up any Terms of Reference for ward committees? Yes/No.  
If no, give reason .....
6. Does the municipality have a separate budget for Ward Committees?... Yes/No.  
If no why not.....
7. How do they (no 6) access municipal agendas, minutes of meetings and other information? .....

- .....
8. How has the Municipality educated communities on IDPs?.....Explain.....  
.....
  9. How does the Municipality disseminate information to communities who can neither read nor write?.....
  10. Give the frequency of community IDP Education campaigns and the annual budget  
If nothing, give reason .....
  11. Do local communities have access to council agendas and minutes? Yes/ No.  
If yes, how/if no, why not?.....
  12. Does the municipality have a communication policy or strategy? Yes/No.If no why?  
.....
  13. Are Council minutes and agendas also translated into isiZulu?....Yes/No. If no, why?  
.....
  14. If municipality has benefited from Capacity Building support, who was engaged?  
.....
  15. Is project planning and management undertaken inhouse or out sourced?.....  
If out sourced, why?.....
  16. Describe the relationship between your current budget and the IDP?.....  
.....
  17. Does the municipality have a local economic development manager? .....Yes/No.  
If no, why not? .....
  18. Who was instrumental in the formulation of strategies and projects of the IDP and why?.....
  19. To what extend are municipal Projects guided by the IDP?....None/some/all.....  
If none why? .....
  20. To what extent are sector departments projects guided by IDPs?...None/some/all.  
If none, why? .....
  21. Who carries out IDP functions within the municipality and in which Department is this located?.....
  22. How is the municipality involved in prioritising service providers projects?  
If not, why? .....



23. Are you satisfied with sector departments participation IDP planning..Yes/No.  
 If no, solution.....  
 Poor/satisfactory/excellent. If poor, what is the reason?.....  
 .....
24. Do traditional leaders play any role in municipal development functions? .....Yes/No.  
 If yes, how?.....  
 If no, why?.....
25. Does the municipality have all head of Departments in place? .....Yes/No. If no,  
 why not?.....
26. Describe the municipality's major source of income and what percentage goes to  
 salaries?.....
27. Has the municipality formulated a debt recovery policy and how effective has it  
 been? .....  
 Any comment .....
28. Suggest what should be done for Municipality to improve revenue generation?  
 .....
29. How many full time councillors does the municipality have and is council finding it  
 easy to sustain their salaries? .....
30. Does the municipality have a sustainable income generating base? .....Yes/No.  
 If yes, name it .....

**Section B: Government Focus**

31. Has the municipality benefited from the government PMS programme? ...Yes/no,  
 If yes, is there a working system in place now?.....Yes/No.  
 If no, what is the problem? .....
32. Are you satisfied with the financial support given for PMS? ...Yes/No  
 If no, why?.....
33. If there is no PMS what mechanism does the Municipality use to measure customer  
 satisfaction? .....
34. Has the municipality benefited from the government's capacity building programme?

Yes/No. If yes, who was appointed?.....

Are you satisfied with the financial support given for it?...Yes/No.

If no, suggest solutions.....

35. Has the municipality found the ISRDP Programme beneficial?...Yes/No. Give reasons.....

36. Is the municipality part of the national Project Consolidate programme, if so, is it finding it beneficial? Explain .....

37. How is the municipality influencing prioritisation and implementation of projects by sector departments and other service providers? .....

38. Has the municipality benefited from financial support for IDP compilation?...Yes/No  
If yes, are you satisfied with it? ....Yes/No.  
If no, any suggestions?.....

39. Is the municipality getting adequate and efficient attention from the government?  
Yes/No. If no, state the reason .....

40. Any other comments/suggestions .....

**INTERVIEW GUIDE ON SERVICE DELIVERY : NORTHERN REGION MUNICIPALITIES.**

Municipality..... Name of Govt Dept.....

Interviewer: Edward Bonga..... Interviewee's Title:.....

Date of Interview .....

**Interview Guide 2 : Sector Departments**

1. Does your department participate in the Municipal integrated development planning process? Yes/No. If yes, how.....  
If no, state why?.....
2. What development programmes/projects is your Dept implementing in Municipalities?  
.....  
.....
3. Are these included in the Municipal IDPs? Yes/No. If no, why not?.....  
.....
4. How is the Municipality involved in prioritising your development programmes? ....  
.....
5. What is the overall objective of the project/s? .....
6. Are the above programmes backed by financial support? ...Yes/No. If no, give reason .....
7. Is this funding adequate for the project/programme? Yes/No. If no, suggest solution .....
8. Who prioritises the projects implemented by the Dept?.....  
.....
9. What kind of information does the Dept contribute to Municipal IDPs?

.....  
10. Are the projects achieving expected results? Yes/No. If no, state why?  
.....

11. Has your Dept appointed any specific official to link its functions to IDPs Yes/No  
If no, why?.....

13. Describe the working relationship with the Municipality.....Poor/good/excellent.  
If poor, what should be done? .....

14. Does the Dept has adequate capacity to efficiently serve the Municipality?..Yes/No.  
If no, what is the solution?  
.....

15. Has your Dept supplied the Municipality with guidelines for your sector plan?  
Yes/No..If no, why not.....

16. What would you suggest to be done by your Department to improve its support to  
Municipalities? .....

17. Any comments you might have to assist service delivery by Municipalities?  
.....  
.....  
.....

Reponse to returned to : E Bonga,

Dept of Local Govt & Traditional Affairs,

P/Bag X31

ULUNDI

3838.

Phone: 035 874 2732.

Cell: 072 981 1616.

Fax: 035 874 2649

**INTERVIEW GUIDE ON SERVICE DELIVERY : NORTHERN REGION MUNICIPALITIES.**

Municipality...(All selected 9)..... Name of Govt Dept.....TLGTA

Interviewer ...E Bonga..... Interviewee's Title:.....

Date of Interview .....

**Interview Guide 3 : Local Government & Traditional Affairs Dept**

**SECTION A: IDPs**

1. How efficient is the IDP as a tool for achieving service delivery?.....  
.....
2. Have municipalities generally accepted the IDP strategy as workable? Yes/No.  
If no, why?.....
3. It has been established that grant funding to municipalities is too inadequate to be effective. How can this be solved?.....  
.....
4. In which of these principles are municipalities not doing well? Participation, alignment, democracy, cooperative governance, integration. Explain.....  
.....
5. Do you think municipal officials, councillors and the public have a good understanding on IDP? Support your answer.....  
.....
6. Have municipalities established IDP Component within their organisations? Yes/No  
In no, who does the planning?.....  
.....
7. Rank in ascending order the following stakeholders based on their commitment to IDP

- planning and implementation? Public, council, Sector Departments. What can be done to deal with the last two?.....
- .....
8. Is this funding adequate for the project/programme? Yes/No. If no, suggest solution .....
- .....
9. Is municipal planning and implementation guided by the IDP. Support your answer.....
- .....
10. What kind of information does the Dept contribute to Municipal IDPs? .....
- .....
12. Are projects/programmes of sector departments aligned with IDPs?..Yes/No. Support your answer .....
- .....
11. Suggest what should be done to compel sector departments to align their programmes with councils.?.....
- .....
13. Describe the working relationship with the Municipality.....Poor/good/excellent. If poor, what should be done? .....
- .....
14. Does the Dept has adequate capacity to efficiently serve the Municipality?..Yes/No. If no, what is the solution? .....
- .....
15. Has your Dept supplied the Municipality with guidelines for your sector plan? Yes/No..If no, why not.....
- .....
16. What would you suggest to be done by your Department to improve its support to Municipalities? .....
- .....
17. Is there any linkage between Planning and Budgeting at the municipality? Yes/No. Support your answer.....
- .....
18. Establishment of Ward Committees is a legal requirement. Is this being done, and if not why?.....
- .....
19. Municipalities are succeeding in implementing IDP projects. If this is incorrect, explain.....
- .....



- .....
20. There is alignment in development Programs between the 3 spheres of government. Is this true and if not explain why?.....
- .....
- .....
21. What is the reason for the delay in the production of sector plans by municipalities and how can this be solved?
- .....
- .....
22. Do municipalities have any input in prioritisation of projects by sector departments Yes/No. If no, what is the solution?.....
- .....
23. The process of integrated development planning involves the following stages; Analysis, strategies, projects, integration and approval. Which of these do you think are not being complied with. Suggest solutions?.....
- .....
- .....
24. Are there any shortcomings with the way IDP assessments are being done by your Department and suggest improvements?.....
- .....
20. Any comments you might have to assist Municipalities achieve improved service delivery?.....
- .....
- .....
- .....

**SECTION B: CAPACITY BUILDING.**

1. Has the Department managed to achieve municipal buy-in in this programme? Yes/No. If no, why?.....

2. How much grant funding has the Department provided to individual municipalities in support to the above?.....
3. Is this funding assumed to be adequate? If not what are municipalities expected to do?.....
4. Have municipalities been able to account for the funding, how?.....
5. Are the objectives of the programme being achieved? Yes/No. if no, why and Make suggestions?.....
6. Has the municipality been adequately educated on this programme? If not, why?.....
7. Any problems or shortcomings with the Capacity Building Model? Suggest Solutions. ....

**SECTION C: PERFORMANCE MANAGEMENT SYSTEM**

1. Has the Department managed to achieve municipal buy-in in this programme? Yes/No. If no, why?.....
2. How much grant funding has the Department provided to individual municipalities in support to the above?.....
3. Is this funding assumed to be adequate? If not what are municipalities expected to do?.....
4. Have municipalities been able to account for the funding, how?.....
5. Are the objectives of the programme being achieved? Yes/No. if no, why and make suggestions?.....

6. Has the municipality been adequately educated on this programme? If not, why?.....  
.....
7. Any problems or shortcomings with the Performance Management System? Suggest solutions.....  
.....  
.....

**SECTION D: ISRDP**

1. Has the Department managed to achieve municipal buy-in in this programme? Yes/No. If no, why?.....
2. How much grant funding has the Department provided to individual municipalities in support to the above?.....
3. Is this funding assumed to be adequate? If not what are municipalities expected to do?.....
4. Have municipalities been able to account for the funding, how?.....  
.....
5. Are the objectives of the programme being achieved? Yes/No. if no, why and make suggestions?.....  
.....
6. Has the municipality been adequately educated on this programme? If not, why?.....  
.....
7. Any problems or shortcomings with the Integrated Sustainable Rural Development Programme? Suggest a solution.....  
.....  
.....

**SECTION E: PROJECT CONSOLIDATE**

1. Has the Department managed to achieve municipal buy-in in this programme?  
Yes/No. If no, why?.....
2. How much grant funding has the Department provided to individual municipalities in support to the above?.....
3. Is this funding assumed to be adequate? If not what are municipalities expected to do?.....
4. Have municipalities been able to account for the funding, how?.....  
.....
5. Are the objectives of the programme being achieved? Yes/No. if no, why and make suggestions?.....  
.....
6. Has the municipality been adequately educated on this programme? If not, why?.....  
.....
7. Any problems or shortcomings with Project Consolidate? Suggest a solution.....  
.....  
.....

**SECTION F: PROJECT IMPLEMENTATION MANAGEMENT CENTRE.**

1. Has the Department managed to achieve municipal buy-in in this programme?  
Yes/No. If no, why?.....
2. Are PIMS centres effectively serving municipalities? Explain .....
3. Are the centres managing to serve all weak municipalities in their districts?  
Yes/No. If no, suggest solution. ....
4. Any recommendations to improve PIMS services.....

- .....
5. Are the objectives of the programme being achieved? Yes/No. if no, why and make suggestions?.....  
.....
  6. Has the municipality been adequately educated on this programme? If not, why?.....  
.....
  7. Any problems or shortcomings with the PIMS Programme? Suggest a solution.....  
.....  
.....

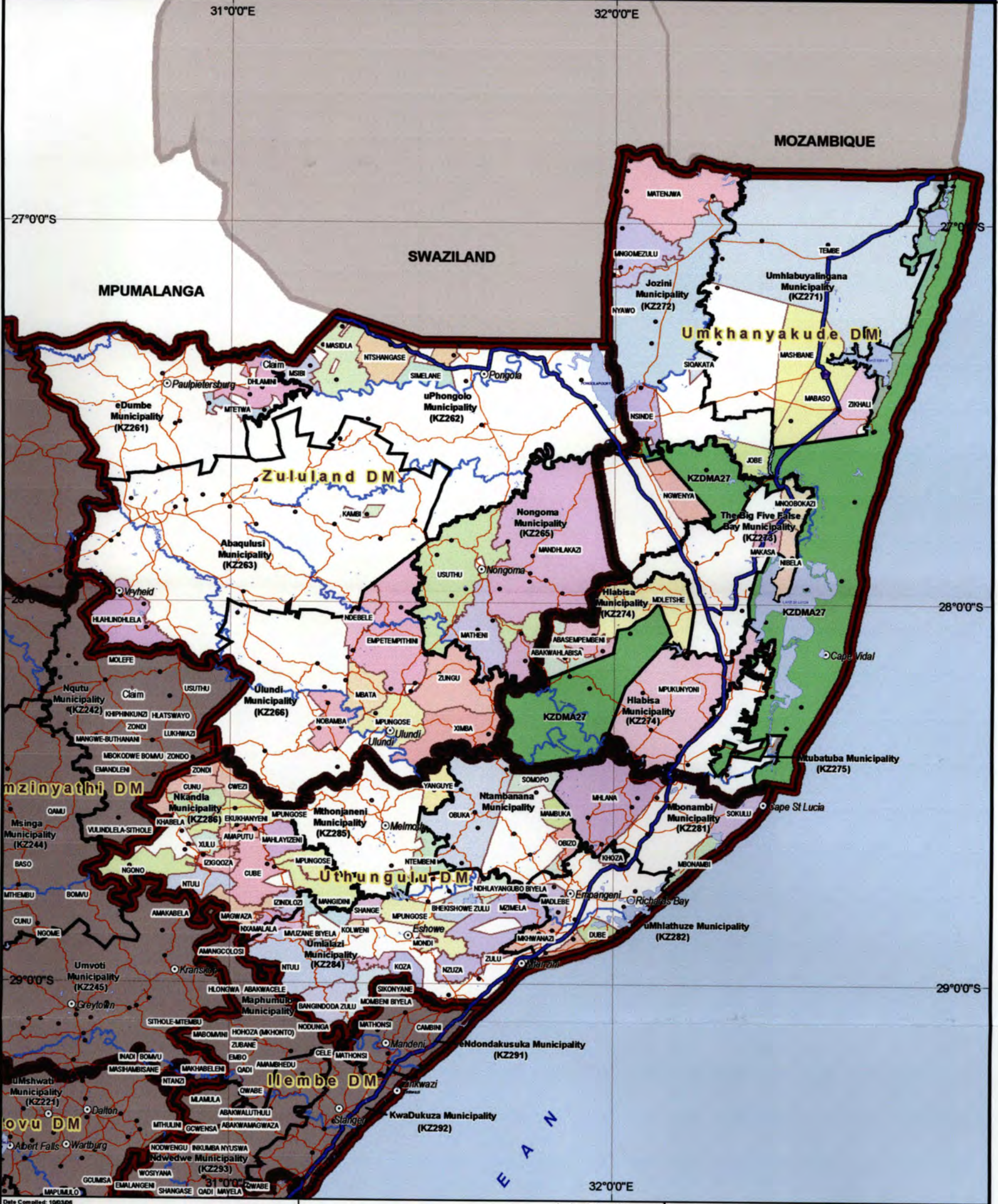
## **INTERVIEWEES DETAILS**

Mr A Els	Municipal Manager	Mthonjaneni
Mr B Zulu	Corp Services Manager	Mthonjaneni
Mr B Masango	Municipal Manager	Ulundi
Mr ME Ngonyama	Municipal Manager	Nkandla
Mr R Mnguni	Municipal Manager	Ntambanana
Mr A Mngadi	Municipal Manager	Big Five False Bay
Mr N Nkosi	Municipal Manager	Jozini
Mr JA Mngomezulu	Corp Services Manager	Jozini
Mr C Nel	Tech Services Manager	Zululand
Mr JH De Klerk	Municipal Manager	Zululand
Mr BV Thabethe	Municipal Manager	Umkhanyakude
Mr BB Mdletshe	Chief Financial Officer	Umkhanyakude
Mr J Coetsee	Tech Services Manager	Umkhanyakude
Mr T Chetty	Deputy Manager	Dept of Housing
Mr Gerald	Deputy Manager	Dept of Agriculture & Env.
Mr PF Gumede	Environ Officer	Dept of Agriculture & Env.
Mr SAB Nsele	Circuit Manager, Ulundi	Dept of Education
Mr BK Khanyile	Manager, EPWP	Dept of Works
Mr BM Gumede	Manager	Dept of Social Welfare
Miss D Singeni	Planner	Local Govt & Traditional Aff
Mrs M Zungu	Deputy Manager	Local Govt & Traditional Aff
Mr H Theron	Senior Deputy Manager	Local Govt & Traditional Aff



DEPARTMENT OF LOCAL GOVERNMENT AND TRADITIONAL AFFAIRS  
KwaZulu-Natal Provincial Government

Northern Region Municipalities



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Co-ordinate System: WGS84 Geographic  
1:600 000  
N  
0 10 20 30 40 50  
Kilometers

**Legend**

- Place Names
  - Main Place Names
  - Secondary Place Names
- National Road Labels
- National Roads
- Provincial Roads
- Major Rivers
- Local Municipal Boundary
- District Municipal Boundary
- Water Bodies
- District Management Areas
- Traditional Communities (Boundaries indicate where the community is generally located)

Data Sources:  
Place Names / Traditional Communities: Department of Local Government and Traditional Affairs  
Roads - Department of Transport  
Demarcation Boundaries: Municipal Demarcation Board (March 2003)  
Municipal Statistics - Statistics South Africa  
Water Bodies - Department of Water Affairs and Forestry

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