

**Development of a Normative Framework for the management of an Integrated Public Service System and Public Value generation with regard to municipalities in the Western Cape province**

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## DECLARATION

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## ABSTRACT

An Integrated Public Service System (IPSS) generating public value (PV) was designed to demonstrate the feasibility and implementability of a complementary system of governance, to counter the hierarchical systemic characteristics in municipalities at present. Despite the awareness of constraining factors such as political volatility, intransigence, fragmentation, silo structuring, power enclaves and organisational weaknesses in municipal government, communities have experienced long-term instability, service delivery failures and disruption of their social and economic wellbeing, owing to the housing delivery and community services departments' lack of responsiveness and lack of reciprocity in general.

The study utilises information regarding patterns and trends in housing delivery and community services in Namibia, South Africa and the United Kingdom to substantiate the need for an IPSS and PV generation, with community engagement as the fulcrum determining the success or failure of the IPSS and PV generation. A comprehensive mixed study, with a focus on the analysis of nine IPSS and PV themes, was concluded to support the study objectives outlined in Chapter 1. In addition, a critical analysis of South African local government legislation revealed support for the provision of an IPSS and the legitimacy of generating PV.

An IPSS generating PV applies the principles and elements of nonlinearity synergistically in network theory, open systems theory, complexity science, complex adaptive systems (CAS), actor-network theory (ANT), PV theory and collaborative governance. A model for integration thus emerges as a result of these applications; hence 'open government' systems apply the 'systemic' elements of openness, flexibility, dynamism, holistic development, accountability, transparency, intractability, autopoiesis (self-regulatory and self-organising operations) and relationships of trust. An integrative stakeholder management team assumes responsibility for collaboration, the co-creation of tangible and nontangible PV, equity, efficiency, effectiveness, efficacy, bottom-up participation and innovation; the stakeholder team drives community programmes and projects through effective public engagement, maximising resources, information and capacity to achieve common objectives aligned to broad social and economic goals. Discursive and deliberative dialogue are therefore crucial tools in IPSS operativity. An IPSS generating PV is driven strategically by common stakeholder objectives and broad social and economic demands, i.e. envisaged PV outputs and outcomes necessary for achieving

stability, adaptability, sustainability and productivity; hence the demand for integrated housing delivery and community services encompasses citizens' needs, demands and expectations. Municipalities would benefit significantly from the adoption of an IPSS (or IPSS clusters), in the execution of community-based programmes, regeneration programmes and projects.

The recommendations made to municipalities in this dissertation should have a positive impact on (i) the effective application of municipal legislation, (ii) the participatory role of communities in the obligations of a municipality to community development, (iii) open dialogue with communities, (iv) working with communities as an equal partner (stakeholder), and (v) the adoption of community stability (balance and equilibrium) as an end goal. In response to the initiation and implementation of an IPSS cluster generating PV, a crucial recommendation remains the formulation of a *modus operandi* for IPSS clusters to effect the holistic (interdisciplinary and inter-departmental) integration of the housing delivery and community services departments, as the objectives of these departments cannot be disparate or at variance with those of the communities.

## OPSOMMING

'n Geïntegreerde Openbare Dienststelsel (IPSS), wat openbare waarde (PV) genereer, is ontwerp om die uitvoerbaarheid en implementeerbaarheid van 'n komplementêre bestuurstelsel tot die hiërargiestelsel, wat tans in munisipaliteite aanwesig is, te demonstreer. Hoewel bewus van beperkende faktore soos politiese onbestendigheid, onverdraagsaamheid, fragmentering, silo-strukture, magsenklawes en organisatoriese swakhede, binne munisipale bestuur, het gemeenskappe langtermyn onstabiliteit, diensleweringstaking en aftakeling van hulle sosiale en ekonomiese welsyn ervaar – veral van die kant van die afdelings verantwoordelik vir lewering van behuising en gemeenskapsdienste, en dit as gevolg van munisipale traagheid, gebrek aan antwoordende optrede en gebrek aan wederdiens oor die algemeen.

Dié studie gebruik inligting oor patrone en tendense rakende behuisingsewering en gemeenskapsdienste in Nambië, Suid-Afrika en die Verenigde Koninkryk om die behoefte aan 'n IPSS- en PV-generasie te staaf, met gemeenskapsbetrokkenheid as die toppunt van sukses en mislukking van die IPSS- en PV-generasie. 'n Omvattende allesoortige studie, met die fokus op die ontleding van nege IPSS- en PV-temas is afgesluit om die studiedoelwitte, wat in hoofstuk 1 uiteengesit is, te onderskraag. Daarbenewens het 'n kritiese blik op wetgewing ten opsigte van Suid-Afrikaanse plaaslike regering steun ontdek vir die voorsiening van 'n IPSS- en PV-generasie legitimiteit.

'n IPSS-genererende PV pas die beginsels en elemente van nie-liniêariteit sinergisties toe in netwerkteorie, ope stelselsteorie, kompleksiteitskunde, komplekse aanpasbare stelsels (CAS), akteurnetteorie (ANT), PV-teorie en samewerkende bestuur. 'n Model vir integrasie bestaan dus as gevolg van hierdie toepassings. Openbare 'regerings'-stelsels is derhalwe van toepassing op die sistemiese elemente van openheid, buigsaamheid, dinamika, holistiese ontwikkeling, aanspreeklikheid, deursigtigheid, weerbarstigheid, outopoiëse (selfregulerende en selforganiserende operasies) en vertrouensverhoudinge. 'n Integreerende bestuurspan van belanghebbendes aanvaar verantwoordelikheid vir samewerking, mede-skepping van tasbare en onontbeerlike PV, billikheid, effektiwiteit, doeltreffendheid, komplekse deelname en innovasie; die bestuurspan van belanghebbendes dryf gemeenskapsprogramme en -projekte deur doeltreffende openbare betrokkenheid, die maksimalisering van hulpbronne, inligting en kapasiteit om gemeenskaplike doelwitte te behaal wat in lyn is met breë sosiale en ekonomiese

doelwitte. Beredeneerde en doelbewuste dialoog is derhalwe belangrike instrumente in IPSS-operasies. 'n IPSS-genererende PV word strategies gedryf deur gemeenskaplike belanghebbende doelwitte en breë sosiale en ekonomiese eise; dit wil sê PV-uitsette en uitkomste wat nodig is vir die bereiking van stabiliteit, aanpasbaarheid, volhoubaarheid en produktiwiteit; die vraag na geïntegreerde behuisingslewering en gemeenskapsdienste sluit hierdie behoeftes, eise en verwagtings van die burgers in. Munisipaliteite sal aansienlike voordeel trek uit die diens van 'n IPSS (of IPSS-groepe) wat betref die uitvoering van gemeenskap-gebaseerde programme, herlewingsprogramme en projekte.

Die aanbevelings aan munisipaliteite in dié proefskrif behoort 'n positiewe impak hê op (i) die doeltreffende toepassing van munisipale wetgewing, (ii) die deelnemende rol van munisipaliteite in die verpligtinge van 'n munisipaliteit in sy strewe na gemeenskapsontwikkeling, (iii) oop dialoog met gemeenskappe (iv) werk met gemeenskappe as gelyke vennote (belanghebbendes) en (v) die aanvaarding van gemeenskapstabiliteit (balans en ewewigtigheid) as 'n einddoel. In reaksie op die inisiëring en implementering van 'n IPSS-groeperende PV, bly 'n belangrike aanbeveling die formulering van *modus operandi* vir IPSS-groepe vir die holistiese (interdissiplinêre en interdepartementele) integrasie van die departement(e) vir behuisingslewering en gemeenskapsdienste aangesien die doelwitte van hierdie departement(e) nie uiteenlopend of afwykend kan wees met dié van gemeenskappe.

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## LIST OF ACRONYMS

ABE	Adult Basic Education
AGSA	Auditor General of South Africa
ANT	Actor Network Theory
BNG	Breaking New Ground
BTP	Build Together Programme
CAS	Complex Adaptive System
CBO	Community-Based Organisation
CCT	City of Cape Town
CfPS	Centre for Public Scrutiny
CGR	Collaborative governance regime
CLV-M	Customer Lifetime Value - Management
COGTA	Cooperative Governance and Traditional Affairs
DAG	Development Action Group
DHS	Department of Human Settlements (South Africa)
DSD	Department of Social Development (South Africa)
EPESTO	Economic, Political, Ecological, Social, Technical and Organisational factors
EPWP	Expanded Public Works Programme
GAAP	Generally Accepted Accounting Principles
GLA	Greater London Authority
HDA	Housing Development Agency
HPP	Harambee Prosperity Plan (Namibia) 2016-2020
IDP	Integrated Development Plan
IGR	Intergovernmental relations
IOS	Institutions of State (also known as ‘organs of state’).
IPSS	Integrated Public Service System
IRDP	Integrated Residential Development Programme
ISN (CORC and FEDUP)	Informal Settlement Network
ISO	International Standards Organisation
ITC	Information Technology and Communication

KPIs	Key Performance Indicators
MCA	Multi Criteria Analysis: A Manual
MDGs	Millennium Development Goals
MRLGHRD	The Ministry of Regional and Local Government, Housing and Rural Development
MSDF	Metropolitan Spatial Development Framework
NCOP	National Council of Provinces
NDP	National Development Plan
NGO	Non-Governmental Organisation
NHE	Namibian National Housing Enterprise
NHFC	National Housing Finance Corporation
NPM	New Public Management
NURCHA	National Urban and Reconstruction Agency
NVA	Network Value Analysis
ODTP	Organisational Development Transformation Plan
PPP	Public-Private Partnership
PSN	Public Service Network
PV	Public Value
PVF	Public Value Failure
PVM	Public Value Management
PVM	Public Value Mapping
PVSC	Public Value Scorecard
PVT	Public Value Test
QUANGOS	Quasi-Non-Governmental Organisation
RDP	Reconstruction and Development Programme
RHLF	Rural Housing Loan Fund
RSA	Republic of South Africa
SAHPF	South African Homeless People's Federation
SALGA	South African Local Government Association
SAPS	South African Police Services
SDBIP	Service Delivery Budget Improvement Plan

SDFN	Shack Dwellers Federation of Namibia
SDGs	Sustainable Development Goals
SHRA	Social Housing Regulatory Authority
SOC	State-Owned Company
SOE	State-Owned Enterprise
SWOT	Strengths, Weaknesses, Opportunities and Threats
TDA	Transport and Urban Development Authority
TOD	Transit-Oriented Development
TQM	Total Quality Management
UK	United Kingdom
UNESCO	United Nations Educational, Scientific and Cultural Organisation
VNA	Value Network Analysis
VPUU	Violence Prevention through Urban Upgrading
WCED	Western Cape Education Department
WCP	Western Cape province

## CHAPTER 1

### AN OVERVIEW OF MANAGING AN INTEGRATED PUBLIC SERVICE SYSTEM (IPSS) GENERATING PUBLIC VALUE (PV) WITH REGARD TO MUNICIPALITIES IN THE WESTERN CAPE PROVINCE

“... systems thinking - from objects to relationships, from quantity to quality, from substance to pattern ... a new level of order underlying the seeming chaos” (Capra 1997:113).

#### 1.1 Introduction

South African municipalities are experiencing a challenging metamorphosis which is identified and characterised by the variable quantity and quality of the services and products delivered to their beneficiaries. In a complex material, political and social environment, influenced by a variety of challenges, problems and issues, municipalities are obliged to account to their stakeholders and beneficiaries on how public value (PV) is defined, expounded, produced and measured. Evidence from experience of municipal ‘public management’ theory and practice and the prevailing material conditions of South African citizenry point to a need to explore the dynamics of PV delivery to citizens.

Municipalities and their associate Institutions of State (IOS) are compelled to engage the critical factors relating to the conservation of scarce resources and the promotion of strategic capability, building capacity and sustainable development. There is an implicit expectation from citizens that PV generation and measurement and transparency in this regard, is the ‘core’ business of municipalities. An assumption is made that a high correlation would be found between the generation and measurement of PV and the nature of the prevailing Weberian-bureaucratic system of government. An argument thus arises on the prevailing nature of the *governing system* that produces services and products to citizens, an understanding without which players (stakeholders and civil society) cannot be decisive in their decisions and actions. Since the Weberian-bureaucratic system of government has come under severe criticism since the mid 20<sup>th</sup> century, complex systems theory and network dynamics begin to address critical problems; hence the integrated public service system (IPSS) and collaborative governance is advanced for research and development. The study thus sets out to define PV (attributes and elements) as a product generated by IOS (the municipality) and stakeholders, which includes the public (communities), as actors and nodes in a complex IOS network.

## 1.2 Background

Municipal management in present South Africa is characterised by more turmoil and setbacks than stability and growth. An examination of reports issued by the IOS, Parliament and the Office of the Auditor-General reveal low productivity, poor or non-existent evaluation of products and services, poor collaboration with communities in respect of planning for sustainable futures. The following features are common to the service delivery protests across the nine provinces, namely, poor (i) service delivery, (ii) land allocation for housing, (iii) water and sanitation provision, (iv) electricity infrastructure, (v) political party responsiveness, (vi) waste removal, and (vii) accountability (De Visser, Powell, Staples and Gilliland 2012:6). The question of community safety and many other socio-economic issues may be added to the list.

Research develops the understanding of underlying *systemic* dynamics, their nature and characteristics as they pertain to the IOS. The IOS, responsible for the generation and measurement of PV, is compelled to examine how they (i) grow and build productive relationships between their organs, (ii) control and sanction agenda matters, and (iii) shape their public image, factors which often remain largely neglected.

A study of the existing system reveals that the public service system is fragmented, with municipalities rooted as IOS, dependent on how well the system works with the broader network of public institutions, i.e. in producing positive outputs for municipalities and communities. Aspects of the system's *modus operandi* would indicate *what* and *how* PV is produced, thus steering public managers to focus on the 'efficiencies' of the current system. Public participation is therefore integrally linked to the production of added public value, as the demand for openness, accountability and transparency remains implicit (from the citizenry).

Holden and Van Vuuren (2011:4) describe the conditions prevailing within an IOS as a "culture of uncertainty", in particular where it "requires the active engagement of individuals in political life". The statement is particular to the present nature of IOS, their determination of the quality and quantity of PV generation, measurement and the extent to which the citizenry is engaged. With particular reference to the importance of access to information, the authors state that "with incorrect, sketchy or incomplete information it is impossible for choices to be made". Plaatjies (2013:467-468) confirms that maladministration, Auditor General outcomes and non-compliance raise several points on the non-functioning of "basic systems, processes and



controls”. Since citizens have expectations and demands concerning universal standards and measures for ‘quality of life’, a study of IPSS, network dynamics and PV generation, within the context of a nonlinear *systems* rationale, is essential and relevant to municipalities.

Salamon (2002:600) argues for a “new paradigm” and renewed thinking on “new governance”. He makes two critical observations: (i) that “actor-network” implies the incorporation of an “extensive network of social actors” such as the NGOs and organised citizenry, and (ii) there is a need for a new management approach for government organs, based on the “complex systems of public action” in addressing the “management of organisational challenges”.

PV as outputs and outcomes for municipalities and as products of a complex IOS operating network is feasible. PV is in itself a product of a complex IPSS, viewed in terms of its distinct topology. High levels of widespread dissatisfaction among citizens on the matter of poor service delivery is directed at municipalities, rarely at other IOS. Poor results from national ‘turnaround strategies’, high turnover within ministries, increasing social and economic disparity and financial resources wastage fall outside the direct control of the municipality and therefore receive little comment from citizens. The government acknowledges the imperative for greater integration of structures (along with collaborative governance and cooperation between IOS) but seems to fail in its implementation. Global factors such as technological advancement, changing demographics, climate change, as well as cultural, social and political changes place additional pressure on IOS and hence an IPSS to deliver PV (Adejuwon 2012; Chon-Kyun 2008; Sezen 2002; Rogerson 2009).

PV understood as a ‘product’ of an IPSS, offers a rationale for an investigation of the current local government system in its network setting, contextualised in complex systems theory. The knowledge emanating from this research will be utilised in the transformation of municipalities, in respect of efficiency, delivery of quality services and sustainable development.

Systemic and empirical thinking offers a rationale for the claim that PV generation can be measured in relation to what top managers achieve. Logically, non-productivity (idleness) may be measured as sunk costs, when work is done does not equate to tangible achievement of value. Maladministration has a direct relationship with “wasteful expenditure, resulting in non-generation of PV. “Privatization and contracting out have often resulted in corruption, fraud,

low quality of service, inefficiency and mismanagement” (Chon-Kyun 2008:52). In the private sector, value production is simple to identify and quantify in terms of sales, stock and market expansion. An important purpose of systems analysis is to measure production, which in the public sector would be constituted by PV produced. A complexity approach to PV generation and measurement in the IOS network places the focus on ‘systemic’ change, complex dynamic systems and network analysis, thereby ensuring measurement of progress. Robbins and Barnwell (2007:450-460) aptly describe the managerial dynamics of the bureaucratic system as characterised by “failure of vision, identity crises, high debt, failure to stay close to the customer”, as well as involving an ageing managerial culture, lack of growth, stagnating strategy formulation, lack of direction and inability to reorganise.

### **1.3 Motivation for the study**

In South Africa, the bureaucratic and New Public Management schools of public management have not been successful in the transformation of IOS with regard to the adoption of the managerial principles of openness, transparency and accountability. Integrated development and collaborative governance are lagging behind, as managers and politicians are locked into a ‘top-down’ modus vivendi, fragmentation and silo structures; hence innovation and systemic growth suffer as a result. The following are the prevailing characteristics of the trend in the management of IOS at present, which are directly linked to the research problem.

The current operating system of the IOS is Weberian, characterised by linear lines of communication, i.e. silo administrations, autocracy, patriarchy, hierarchy and bureaucratic-mechanistic power structures (Johnston 1993:12-13). Management in municipalities is particularly characterised by:

- Shortcomings regarding quality service delivery, community participation, good governance and accountability (De Visser 2011: 2, 8);
- Non-efficient utilisation of resources, capacity and use of instruments for measuring organisational performance (Uys and Jessa 2013:102-122);
- Leadership, power and control are administered in a ‘top-down’ and ‘closed’ manner (De Visser 2011:16). Power distances in the workplace inhibit innovation, creative work styles and free-spirited initiatives between ailing communities and the municipality;
- The quality of housing for working-class communities, an inability to mitigate social deficits and interaction with the formal economy, lack of adequate health, cultural and

educational amenities, shortfalls in sanitation, electrification and basic infrastructure requires attention. Municipal management is strained by (i) ‘inadequacies’ in the education of ‘leaders’, (ii) bully-ism from ‘leaders’ and top officials, (iii) skewed and unclear performance reporting from departments (Shicheka 2009; Uys and Jessa 2013);

- Democratic impediments and practices for citizenry are neglected, such as ward committee dysfunctionality (De Visser 2011:17; De Visser and May 2011:11); and
- Poor quality of financial statements, performance monitoring and leadership; poor spending practices and compliance (Plaatjies 2013:467 – 468; De Visser 2011:2).

Municipal systems are characterised by stringent hierarchical structure and practices in a global environment which demands greater citizen engagement and collaborative governance. It is, therefore, appropriate to propose an alternative to the hierarchical system of government and governance, which is an IPSS generating PV.

#### **1.4 Literature review**

The literature review provides a broad understanding of the various components of the research problem while outlining the elements of an IPSS generating PV. The generation and measurement of PV by an IPSS will be regarded as the central theme of the literature review; this occurs in an environment where the IOS are compelled to face growing scrutiny of their behaviour in dynamic and complex business and managerial environments.

The nature of the present municipal system (hierarchical, linear and bureaucratic) is to a large degree a ‘closed’ (inwardly focused) entity. This results in the bypassing of the socially oriented approaches of ‘Masekhane’ and ‘Batho Pele’ in South Africa as they relate to participation by citizenry; in addition, empirical evaluation of programmes, preference for teamwork, participatory scenario planning, openness on cost-benefit and cost-efficiency analysis do not feature prominently as systemic imperatives. Hence the quantification of output, outcomes and quality in lieu of reporting to beneficiaries is lacking.

##### **1.4.1 Factors influencing PV generation in a complex environment**

Compelled to address the ‘ossification’ and inertia in the realm of municipal delivery with regard to sustainable development, social progress and the quality of life of the citizenry, one has to study the dominant managerial system. Benington (2012:slide 1a) holds that the

economic, political, ecological, social, technical and organisational (EPESTO) factors impact on operating systems and therefore require recognition in terms of their importance to new approaches to public management systems theory. Within the realm of the EPESTO factors, one has to define and acknowledge the importance of measuring PV produced. The principles and criteria formulated in respect of PV generation are impacted on by EPESTO factors which influences the quality and standards of life of citizens directly.

As the EPESTO factors are external to systems (such as the IPSS), the ‘internal’ factors influencing PV generation are (i) how the IOS operating in a network produces and measures PV; (ii) the dynamics and operations within a complex system; (iii) the emergence of an IPSS; and (iv) IPSS in relation to complex adaptive systems (CASs). Hills and Sullivan (2006:31-34) propose PV criteria such as trust, accountability, equity, efficiency and legitimacy; however, the factors influencing these criteria are (i) appropriateness, (ii) holism versus fragmentation, (iii) democracy versus hierarchy, and (iv) ability to absorb organisational transformation (Hills and Sullivan 2006:31-34). Osborne and Gaebler (in Hills and Sullivan 2006:52) argued that measurability of outputs is an essential factor for efficient management. The interpretation of what the tangibles and nontangibles are can be challenging in defining and measuring PV. In defining concepts such as the principle of uncertainty, entropy, dynamical systems and General Systems Theory (GST); factors influencing these need to be stated for the sake of its practicalities for implementation. The factors influencing PV generation, its definition, measurability and criteria will be addressed in Chapter 2.

#### **1.4.2 An overview of chaos and complexity theory relative to PV generation**

The theoretical-conceptual framework of the study will be presented in Chapter 2; it will integrate the theory of (i) PV, (ii) the complexity of the IOS network environment, (iii) the emergence of an IPSS as compared with the elements of the CAS, and (iv) explore IPSS significance for the particular metasystem in which public management resides. The concepts of collaboration, integration and governance are addressed as elements of an IPSS. Uys (2002:23), in elaborating on chaos and complexity, holds that chaos theory is an “approach for better understanding of the contemporary complexity of organisations and the environment”; it is a tool in bringing about “new ways of thinking and acting that can radically change the future managerial practices in organisations”, heralding a new management paradigm. He employs chaos theory and complexity science as a means to an end, i.e. a means to unlock

criteria and principles for the measurement of PV. Uys (2002:16) raises the critical issue of adaptation to new ways of “learning” in times of uncertainty and an “unstable environment”.

A complex system is defined by Brown and Lerch (2007:81) as having “component elements or subsystems that are all related to each other in some way”, and which has “a structure, or metasystem, that determines how these elements relate to each other”. Systems make it possible for “feedback loops” to occur, which may be “positive (reinforcing) or negative (balancing)” (Brown and Lerch 2007:81). Complexity and complex systems enquiry may be applied to social and scientific fields where a phenomenon is best understood in its state of effervescence, such as in “adaptive systems, neural nets, nonlinear dynamics and far-from-equilibrium conditions ... interrelated parts and subtle relationships” (Praught 2002:2-3). In complexity states, a change in one (catalytic) criterion sparks off a change in another, i.e. the “butterfly effect” (Praught 2002:3). These criteria, or “parts of the system’s structure ... which influences the system’s behaviour”, are referred to as “leverage points” (Brown and Lerch 2007:82), i.e. the point at which a system initiates a change in another entity. The study of ‘leverage points’ is applicable to the operability of IPSSs, IOS structures and networks in general.

Complexity science allows an entity such as a network to be understood in terms of its elements, two of which are unpredictability and uncertainty. Handy (1991:7) deems that within the theoretical world of systems, resistance to change is short-lived, given that “as discontinuity is not a catastrophe”, change has huge implications and potential for “new ways of looking at things”. Complexity is about “upside-down thinking ... re-framing ... ability to see things in other ways” (Handy 1991:19, 52). The concept of complexity has reference to the theory and constructs of complex states, insofar as a type of phenomenon or behaviour is revealed; the principles of complexity allow for the cursory examination of systems, while it is not to be confused with systems as catalysts. “The theories of complexity provide a conceptual framework, a way of thinking, and a way of seeing the world” (Mitleton-Kelly 2003:4).

Prigogine and Stengers (1984:188-189; 208-209) deem that in the modern world one relies on “complexity, irreversibility and thresholds of stability” along with simplicity and the belief that complex systems such as ecosystems have a long lifespan. For the benefit of the study the researcher will approach the IOS network as a complex body, (i) listing and analysing the elements and criteria by which it is known and by which it behaves, and (ii) rely on feedback

from a methodological and empirical (data-collection) process to sketch an outlook for its future as an engine in PV generation. Chaos theory assists in the understanding of complex dynamic systems and may offer the *means* to an *end*, i.e. order and high productivity may be achieved when the complexity and ‘chaos’ of networks are sufficiently understood.

Weberian (legal-rational) approaches to systems analysis and thinking have been superseded by principles of the nonlinear, network, complexity and chaos theory. Complexity (and chaos) theory argues that in order to understand a system, it is necessary to unpack it into smaller subsystems, entities or parts that assemble the ‘whole’. It is argued that the whole could be better understood based on its smaller parts (Van der Waldt 2012:95). PV produced intangible and nontangible forms in complex networks must be measurable (quantifiable), thus able to identify products and knowledge employable in municipalities (Talbot 2008:3; Moore and Khagram 2004:9; Agranoff 2003:2-7). Since value (PV) and knowledge are therefore co-dependent (in a symbiotic relationship) and self-regulating, one may argue that little value will be produced without knowledge catalysts, hence the importance of the epistemological paradigm in the study of complexity. Handy (1991:4) states that “Change ... is only another word for growth, another synonym for learning”.

### **1.4.3 Complexity in the context of South African Institutions of State (IOS)**

Prigogine and Stengers (1984:188) postulate that “the more complex the system is, the more numerous are the types of fluctuations that threaten its stability”. The delivery of services and goods to citizens (in the context of the IOS, Western Cape) requires examination in terms of current systemic complexity, stability and the factors which influences ‘systemic’ ability to maintain cohesion and sustain productivity. Relationships between the IOS network actors (actors) are characterised by little-understood internal and external factors, political persuasions, managerial focus, power bases, leadership competitiveness, competencies, affirmative action constraints, corruption and a desperate clinging to anachronistic systemic controls. Complexity is increased by ‘red tape’ (legislation, regulation and policy) and therefore influences the ability of municipalities to be strategic, visionary and ultimately expedient in the way they operate. Municipalities, therefore, have a crucial role as policymakers, thinkers, innovators, and institutions of local democracy. Brown and Lerch (2007:82) state that “sensitive actors” can initiate change that is likely to affect a change in all the other elements within a metasystem. Government policy documents do not define, set parameters, exploit or

utilise “leverage points” in the interest of citizenry and they also overlook municipalities as conduits for this purpose (Brown and Lerch 2007:82); hence there is a spiralling discrepancy between government action and expectations from the citizenry.

Research on ‘integrated’ municipal performance (and collaborative governance) in South Africa show that municipalities (and IOS) are not functioning at desirable levels of output, given the lack of effective structured communication with its stakeholders. Organisational performance measurement, strategic planning, monitoring, evaluation, effective ‘integrated’ core policy and public engagement are operational challenges currently (Uys and Jessa 2017).

Much time, effort and financial resources are expended on activities within the IOS network, which results in wastage of valuable (scarce) resources. Skyttner (2005:v) states that “what we need to understand is not the behaviour of the individual parts but rather their orchestration”, i.e. their relevance for the study of networks and network analysis.

#### **1.4.4 A network approach to the IOS**

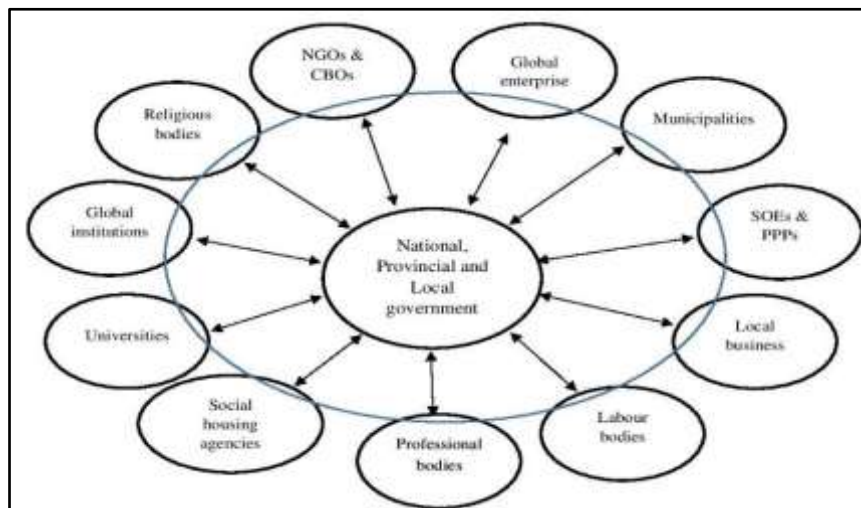
The assumption about the IOS network particular to the Western Cape (discussed fully in Chapter 3) is that on the strength of the relationships between its actors, it must produce PV. Given the attributes of such a network (entropy, complexity, uncertainty, a high number of structural holes, and internal and external influences), there remains the fact that tangible and nontangible values must emerge from the system that is determined by the actors themselves. Such a system ideally should be dynamic, resilient, open and flexible. An IPSS is built upon the strength of collaboration, democracy, integration and collaborative governance. Signs of duplication, stagnation and lethargy in measuring benefits against cost as a result of “fruitless and wasteful” expenditure are characteristics of a network that points to its need for growth, development, directional change and systemic alteration. The nature of the network is thus determined by the strength of the actors, given that the weaker actors tend to be followers.

Capra (1997:11) explains complexity as the continuous search for “deep ecological ethics” based on a search for “ecocentricity and earth-centred” meanings for modern life. The IPSS is built upon networks that (i) collaborate on the production and measurement of PV, (ii) build internal efficiencies and economies, (iii) grow and become resilient as well as open, adaptive, innovative, and (iv) reduce entropy.

### 1.4.5 The national ‘citizenry’ network in relation to the IOS

A national ‘citizenry’ IOS network is depicted in Figures 1.1 and 1.2 below. Parliament and national government institutions assume a central (nodal) position since all other actors are subjected to its laws and decisions. In simple terms, the peripheral actors require a strong relationship with the central governing actor for their efficient functioning, including the implementation of positive and negative feedback loops. There are a wide variety of relationships among the peripheral actors (not indicated in the diagram). Theoretically, the organisational arrangement of the IOS should be producing PV outputs and outcomes, given the potential for utilising capacity, information and resources within the network.

The IOS network constitutes a rudimentary IPSS. Municipalities within the IOS are conduits for the supply of PV to the citizenry. Theoretically, citizenry should report on evaluated impacts, outcomes and levels of satisfaction derived from PV generation, i.e. the quantifiable, integrative elements of network outputs, examples being (i) agenda formulation and agenda implementation, (ii) resources utilisation, (iii) projects initiation and closure, (iv) policy evaluation implementation, (v) programme progress, and (vi) measuring citizens’ satisfaction on services delivery.

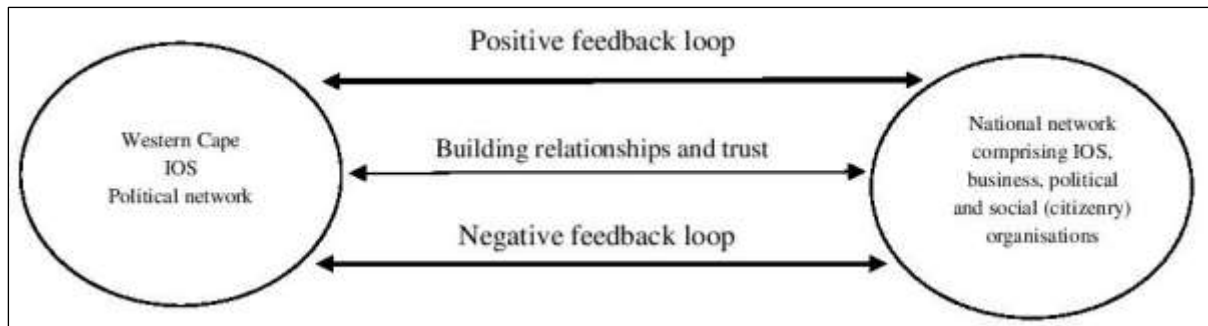


**Figure 1.1: National network for political, business and citizenry organs in the RSA**

Source: The author

Figure 1.2 illustrates the administrative and political interface between the Western Cape IOS network and the network for political, business and citizenry organs in the RSA. The positive “reinforcing” feedback loop improves performance, while the negative feedback loops work to inject “balance” between nodes (Brown and Lerch 2007:8; Tan, Wen and Awad 2005:43).





**Figure 1.2: IOS network in relationship with political, business and citizenry networks in the RSA**

Source: The author

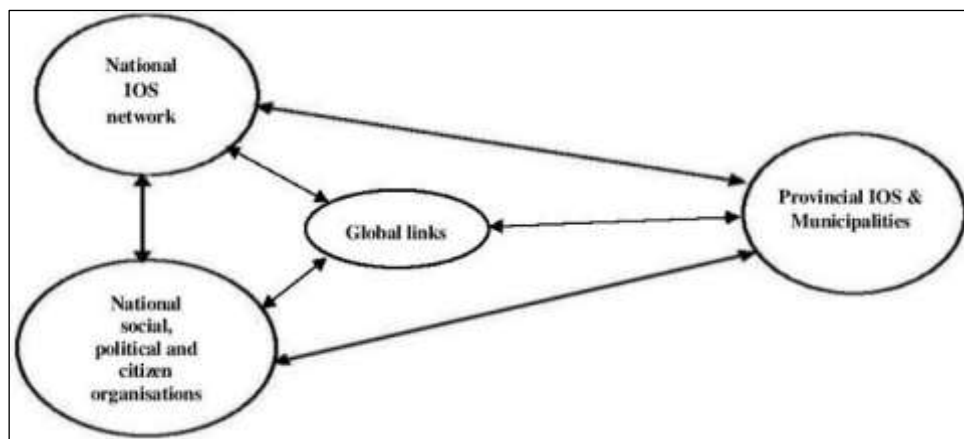
#### **1.4.6 Networks: Establishing relation between complex adaptive systems (CASs) and IPSSs**

Darwin’s theory of evolution is based on the premise that organic systems adapt to their environments no matter how adverse the conditions, and in doing so are able to multiply the species in order to sustain their existence. The analogy holds parallels with complex adaptive systems. Tomasino (2011:1350) employs the theoretical position that networks “operate” as CASs, “because they consist of multiple agencies, acting on condition and in parallel with member agencies resulting in continuous adaptation and evolution”. CASs develop and advance in the same way, similarly to a developing IPSS. CASs are “complex and intractable evolving systems ... they grow, adapt and teach new things” (Nikolic 2010). CASs are self-generating and self-organising, ever-evolving, an “autopoiesis” changing and developing in size, resilience, complexity, purpose and utility, in line with the qualities of complex systems (Capra 1997:90-95; Tan *et al.* 2005:39). CASs are shaped by a varied number of agencies or ‘actors’; the CAS is able to withstand change, setbacks and recovery in much the same way as in the ‘evolutionary’ performance of species (Praught 2002:1-3; Nikolic 2010). These are the qualities that define and describe an IPSS, sharing similar systemic attributes. The following section elaborates on the commonalities and characteristics of CASs and the IPSS.

##### **1.4.6.1 Commonalities between CASs and IPSSs**

Network states (cognitive and/or strategic intention) can change over short periods, hence the need to assess their strengths and weaknesses concerning their goals in a given system. Networks must have the capacity for sustainability through a wide range of challenges. Examples of CAS systems are ‘complex’ living entities, individual persons, networks, teams and organisations (Praught 2002:4). Tan *et al.* (2005: 44) argue that CASs “can apply to the

future of evolving health care and services delivery systems in several ways” (Tan *et al.* 2005:44). In Figure 1.3 a relationship between three networks is shown, i.e. a rudimentary CAS information. This research requires that one demonstrate that CAS elements may be applied in the case of a developing IPSS. Networks are able to grow or shrink, depending on the strength of the relationships and the degree to which ties are made with actors internal and external to the networks shown. The development of CAS implies the development of a larger evolving network (CAS and IPSS) of which the defined IOS network is a part of. Such a network may be referred to as an ‘ever-developing’ CAS, expanding and generating ever-increasing sophistication and dynamism. The lines of relationship between networks depicted in Figure 1.3 are defined, while an infinite number of lines might be drawn between the interacting actors. Fryer (2013:1) states that the characteristics of a CAS are “emergence”, explained as the opposite of linear evolution, favouring “randomness”, interactions and patterns of relationships. An IPSS cannot subscribe to the rules of linearity since it would then not be an integrative system.



**Figure 1.3: Complex adaptive systems (CAS) and integrated public service systems (IPSS) share organisational and functional similarities**

Source: The author

#### 1.4.6.2 Characteristics of CASs and IPSSs

The qualities (elements and principles) of the CAS and the IPSS hold similarities in terms of universal growth, influence on networks and influences from networks. Open systems are a feature of complex systems. IPSSs are not free of global influences since all countries are internationally connected through one or many relationships. Fryer (2013:1-4) holds that CASs are characterised by “co-evolution, efficiency, effectiveness, simple rules, connectivity, iteration, chaos”. Fryer (2013) suggests that a CAS is common to daily life and that one lives unaware of it. CASs and IPSSs may, therefore, be accorded the qualities of coordination,

relationship, nonlinearity, collaboration, integration and effective communication, which are the building blocks of connectivity, adaptation and achievement. Zimmerman, Lindberg and Plsek (in Praught 2002:4) state that a CAS is “a system of individual agents”, each acting “unpredictably and in hegemonic fashion”, displaying dependencies on other network agents (actors) in the creation of their products.

According to Nikolic (2010), all “socio-technical systems” (such as CAS and IPSS) grow and expand without any control by any agency or actor, from which one may “learn and adapt”. The literature (Chapter 2) points to the contention that CAS and IPSS share elementary qualities. Morse (2010:231) points out that integrative public leadership “is a process of developing partnerships across organisational, sectoral and/or jurisdictional boundaries that create public value”. Follet (in Morse 2010:232) concurs that “integration is the uniting of differences (points of view, interests, or ways of knowing) into something new that satisfies all interests without compromise or capitulation”. IOS in networks (having the potential to become an IPSS) will (be compelled to) adopt the qualities required by an IPSS, namely integration, collaboration and productivity for social progress.

#### **1.4.6.3 Contributions from CASs to the study of IPSSs**

By establishing commonalities between CAS and IPSS, the enquiry into IPSS can be assisted by advances made in the study of CASs. In this manner, the application of CAS elements has contributed much to the network organisation in the medical arena (Praught 2002:1).

Integration of systems implies “holism, cooperation (collaboration between entities), syntheses and inclusion” (*Roget’s Thesaurus* 1962:50-54). In the study of integration, Georgantzas and Ritchie-Dunham (in Martin, Wiebe, Hermansen, Beveridge, Carroll and McDonald 2012:15-16) hold that synthesis is an instrument (a way of) for integrating goals and purposes of “multiple actors”, “interrelated feedback loops” and “systems thinking tools” graph to a point, a product, a value, a result, so that “managers capture, understand, analyze, design, and communicate the complexity inherent to the dynamic systems in which we all live and work”. Barnet-Page and Thomas (in Carmel and Sturmberg 2010:29) hold that in “critical realism ... realist synthesis” implies “knowledge of reality (that) is mediated by our perceptions and beliefs”, while “scientific realism” refers to the case when knowledge “approximate[s] closely an external reality”. Barnet-Page and Thomas (in Carmel and Sturmberg 2010:40) argue that formulating a theoretical basis for ‘synthesis theory’ implies the application of assumptions

such as the influences of simple and linear facts embedded in complexity, “meta-analysis” of systemic reviews and mixed-method “meta-evaluation”. Integration, therefore, implies a synthesis of systemic ‘values’ (political-administrative and social) that have worth and merit for citizens. Also, complexity science teaches that worthless processes and activities are discarded by actors as it adds or produces no value to society.

Benington (2012:slide 1f) holds that “*whole systems* thinking and action requires new patterns of governance and leadership across boundaries and beyond authority, in networks with other organisations and actors in the public, private, voluntary and informal civil society sectors”. A synthesis of key theoretical elements contributes to the formation of a conceptual framework for the study, by building a platform for bringing theory and practice to a point of applicability for municipal relationships with its communities (praxis). Byrne (1998:70) contends that “the basis of a different (new) way of understanding our major quantitative investigatory procedure ... [is] to understand the changing social world” in all its complexity. Linking CAS and IPSS elements contributes to the understanding of complexity and presents a challenge to IOS network actors for its adoption; government IOS can no longer ignore the full participation of its citizenry in shaping outcomes and an integrated (cohesive and inclusive) social system.

#### **1.4.7 CASs, IPSSs and networks: Developing a basis for measuring PV**

Network theory and network analysis offer a vehicle and entry point for measuring PV generation as networks are composed of systems. Since the current (operating) system of the IOS incorporates integration measures (collaboration, integration and cooperation), an IPSS can accommodate and facilitate the need to pave the way for PV measurement and productivity.

##### **1.4.7.1 Exploring measures for PV based on network analysis**

Kastelle (2010:1) draws on the network analysis theories of Burt (1992), which describe the closure of “structural holes” as having untapped value, i.e. “economic” opportunity, in terms the growth, innovation and sustainability in relation to actors bound in relationships. The closing of “structural holes” implies a strengthening of network relationships, as actors draw on the experience, capacity and resources of other actors excluded by the dominating actors in the network (Kastelle 2010:1; Burt 1992:48-55). Burt (1992:34) argues that “structural holes” may be quantified as measures of social capital. PV generated can be measured utilising productivity rating scales and audits.

Actor-network theory (ANT) is a theoretical approach by which network behaviour is understood in terms of “critical sociology”, that human as well as non-human actors shape networks (Latour 2005:9). The value of ANT as a basis for developing measuring instruments for PV lies in its approach to the nature of groups, actions, objects, and the status quo which compels the re-examination of empiricism (Latour 2005:22). ANT is neither Machiavellian nor positivist; rather it is “relativist”, ascribing a variation of importance to the parts of which whole entities (and objects) are composed (Latour 2005:22). The theoretical value of ANT is an advantage in designing an instrument to measure PV as it relates to the interconnectedness between “the social” and the dominant views shaping the “literary, scientific, moral, political and empirical” theoretical values expounded (Latour 2005:109).

Novak, Rennaker and Turner (2011:32-37) accord five areas of relevance or bases for PV generation to networks: they are (i) collaboration, (ii) trust, (iii) teamwork, (iv) acculturation elements, and (v) potential for effectiveness. These authors hold that it is within a network relationship where “strategic relationships, critical interdependencies, economic value, contingency and succession plans” may be closely observed. Network activities are linked to network properties and network dynamics, as they define network lines for the transfer of value, relationships and feedback ‘loops’. The quality and style of leadership present in networks and the levels of “effectiveness” achieved are directly related to the nature of the network, its intricacies and its political dynamics (Novak *et al.* 2011:37). PV generation and measurement are directly dependent upon these (quantifiable and measurable) attributes.

Watts (2003:27-28) regards the “science of networks” as mathematical, and is notable for its ability to identify ‘synchrony’ out of perceived chaos. In searching for a basis for PV generation and measurement, Watts (2003:232-235) holds that innovation introduced by “early adopters” (actors) may be suppressed by the more “stable” (actors) leading to the demise of innovation. Network dynamics “must be interpreted in light of what the organisation is trying to achieve” (Watts 2003:51). He explains that “insignificant” actors are dominated by significant “mediator” actors, particularly where networks are characterised by “hierarchical principles” and “span of controls”, which leads to inefficiencies in the generation of value (Watts 2003: 275-276). Kadushin (2004:4-13) lists the following attributes of networks; (i) network ‘actors’ should produce value for it to remain in the network as a prominent ‘actor’ or hub; (ii) “mutuality and reciprocity” are fundamental for value (PV) generation; (iii) value is difficult to assess in an “open system”, but this not an insurmountable problem; and (iv) the dynamics

of relationships between ‘actors’ may be analysed, in respect of the strength of each ‘actor’, their interconnectivity, and (v) their ability to enhance social capital.

Burt (1992:32) contends that “social capital is the contextual complement to human capital” and therefore people are structurally bound by it in networks to perform well or to perform poorly. In either case one may use measures to quantify the products that emanate from these network relationships; network instability and networks in states (situations) of instability affect the performance of the quantity and quality of outputs negatively.

Allee (2009:1-3) describes networks as “value producing entities” in terms of their innovative and productive abilities, where both tangible and nontangible assets such as “reputation, social capital and competency”, as well as knowledge, may be transformed and converted into tangible, socially useful goods. Allee (2009:1-3) considers the existence of organisational and social networks as “value” producing agencies. There remains the challenge to translate these to quantifiable measures for PV. Allee (2009:3) notes that one is attracted to this feature when organisational performance indicators are examined in relation to network “value” attributes. Weak linkages between actors (gaps) are indicators of opportunities for stimulating the production of value, tangible or nontangible, through “improved collaboration and communication across organizational boundaries” (Allee 2009:13). Peppard and Rylander (2006:1) hold that top managers and administrators should consider “value network(s)”, as an extension of the value chain concept, compatible with the concept of value network and network value analysis (NVA), as expounded by Allee (2009).

Hylton (2002) advances the concept of the ‘knowledge’ audit, i.e. the K-audit, in measuring the knowledge bases (body of knowledge) within organisations, considered an important ‘tool’ for organisational network development. A “corporate knowledge network” contains degrees of connectedness between contributing actors operating in a network and is used to measure “the health and strength of knowledge management” (Hylton 2002:5-6). She proposes the “K-audit”, namely, a “survey audit, inventory audit and a map audit”, which seek to deliver a complete audit of the organisation’s (network’s) knowledge, “known and owned”. The principle can be applied to PV generation and measurement as both are dependent upon the knowledge bases of networks in respect of resources utilisation and optimisation.

Pertinent to intergovernmental networks, Agranoff (2003:2) states that “loss in efficiency due to political, institutional and technical pressures diminishes public value”; managers therefore underestimate the importance of estimating the value “of what they are producing”. Dundon (in Agranoff 2003:2-4) emphasises “collaborative innovation” as a measure to increase network value generation. Agranoff (2003:5-7) offers five types of intergovernmental networks, viz. informational, developmental, outreach, action and strategic, each necessary for the effective generation of PV. Greenhill and Lupu (2017:182) has identified the following elements associated with fragmentation between intergovernmental organisations; these are (i) “uneven “institutionalization of international cooperation, regime complexity and institutional density”, (ii) fragmentation in regulations, (iii) richer (partners) democratic countries dominate, and (iv) inequality in the level of engagement.

#### 1.4.7.2 Exploring measures for PV in complex systems

The premises which apply to complex systems relate to the tendency of the system to attain self-regulation and self-organisation (co-regulation). Theoretically unstable systems will tend towards stability and equilibrium over time or dissipate, which is unattainable in an absolute sense (Prigogine and Stengers 1984:189; Capra 1997:172, 187). Measures (indicators) may be constructed from complexity premises which hold elements known to network actors. Hills and Sullivan (2006:32) presents the Public Value Measurement Framework, shown in Table 1.1. The instrument can be adapted to measure PV generation in network organisations.

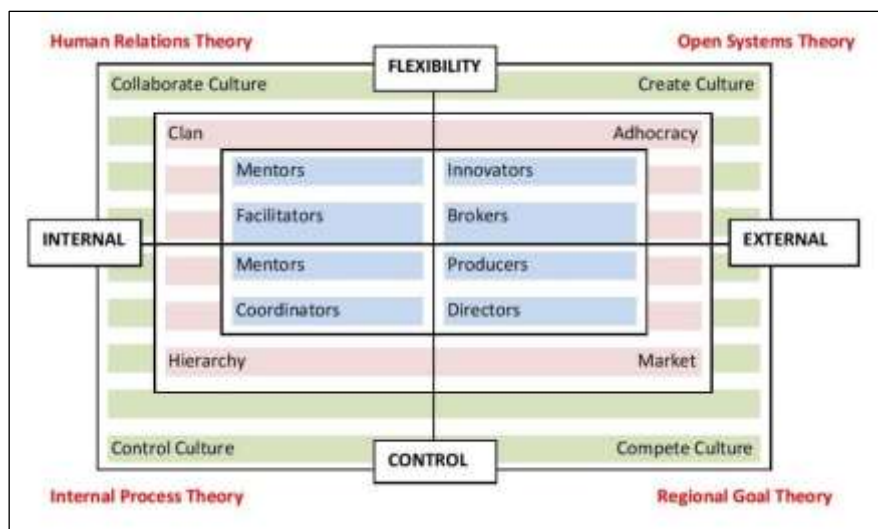
**Table 1.1: The PV Measurement Framework (an example)**

Type of measurement		Stages in a productivity cycle				
		Agenda presented	Task definition	Implementation and delivery	Outcomes	Impact
Methods	Appropriate					
	Holistic					
	Democratic					
	Trustworthy					
	Generating PV					

Source: Adapted from Hills and Sullivan (2006)

The applicability of the instrument for measuring PV in the IOS network (and IPSS) is feasible while a problem arises for measuring nontangible PV attributes. An “authorising and legitimising” requirement is central in the formulation of structuring an instrument (and indicators) for the measurement of PV (Benington 2012: slide 2). Talbot (2008:10) presents a competing values framework (CVF) to measure PV, while recognising that “no singular PV”

exists. He argues that there are “multiple” and conflicting” forms of PV that exist and that these are difficult to measure objectively (Talbot 2008:3). Given the “highly integrative nature” of the CVF, Talbot (2008:13) maintains that the “desire for flexibility and autonomy” is in conflict with “the need for control and stability”, in the same way that an organisation’s “internal concerns and needs” conflict with the need for its “responsiveness to the external environment”. The top right quadrant of the instrument (Figure 1.4) expresses the most desired state of PV generation, although currently PV is not measured in terms of the degrees of collaboration, innovation, type of organisational structure and freedom to shape culture, but rather in terms of internally focused bureaucratic organisational success.



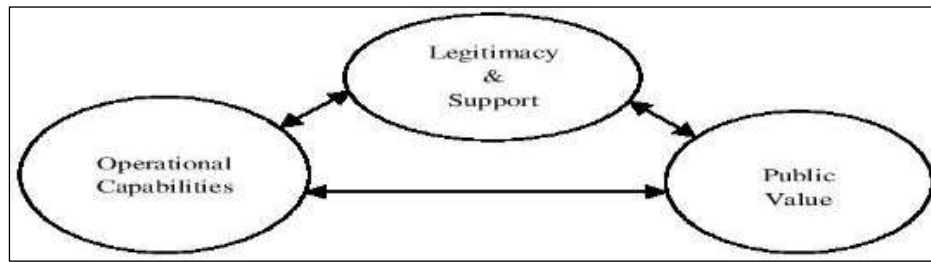
**Figure 1.4: Competing Values Framework**

Source: Talbot (2008:10)

Moore and Khagram (2004:2-3) and Benington (2012:slide 2) believe that the “strategic triangle”, based on the rationale presented by Moore (2003b), offers a tool for the conceptualisation of PV generation and measurement, the three crucial elements being (i) operational capabilities, (ii) legitimacy and support and (iii) the generation of PV. Governments are compelled to recognize these three complex issues as representing the interests of citizens. According to Moore and Khagram (2004:3), these three core values are measurable (Figure 1.5a). Benington (2012:slide 2) argues that operational capacity, an authorising environment and PV strategic goals may be more accurate as PV measures (Figure 1.5b). The theoretical foundations of PV lie in *what* PV is and how it is generated. Talbot (2008:4) endorses the work of Moore (2003b) with regard to the utilisation of the Public Value Scorecard (PVSC), similar in intention to the Balanced Scorecard, in measuring PV in relation to the availability and utilisation of financial resources, internal business operations and performance processes, the

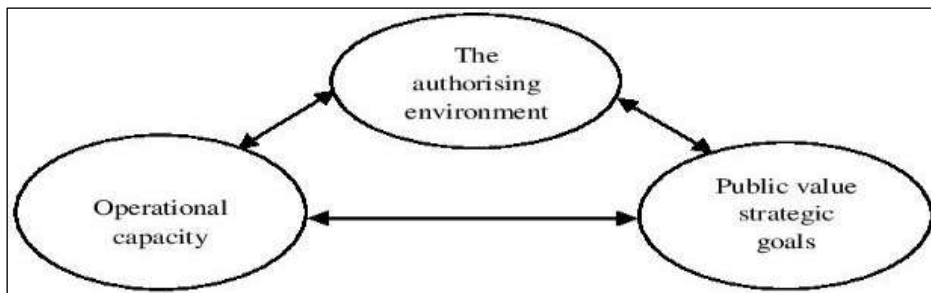


value in new learning as evinced in innovation, and community engagement. The PVSC is fully explained in the next chapter.



**Figure 1.5a: Strategic Triangle**

Source: Moore and Khagram (2004:3)



**Figure 1.5b: Strategic Triangle**

Source: Benington (2012: slide 2)

Blaug, Horner and Lekhi (in Hills and Sullivan 2006:22, 44) present a list of PV elements for the measurement of PV. These nontangible PV elements require sculpting into measurable indicators, examples which include:

- Accountability to the public;
- Collaboration with network actors (stakeholders);
- Legitimacy of public intervention by network actors;
- Strategic goals of PV generation relating to ‘regeneration’ and ‘integration’ programmes;
- Expert advice, knowledge and support to citizenry (empowerment drivers); and
- Political expediency, policy formulation and red-tape reduction/eradication.

Bryson, Sancino, Benington, and Sørensen (2017:3) initiates the debate on tailoring and adapting the strategic triangle the accommodate institutional “complexity” and “public value governance”, holding that the strategic triangle should be more employable at the local level.

## 1.5 Background and orientation to the research problem and research questions

Financial and human resources are expended by IOS excessively without adequate controls and the evaluation of wastage, in all spheres of government. Administrative activities involving

a variety of national, provincial and local meetings, air and road travelling and paying for hired cars, stopovers at hotels, malfeasance and gala dinners are the norm. The cost to the fiscus and ultimately to citizens amount to millions of rands each day. Hierarchies produce duplicated reports, engage in non-productive activities, perfunctory behaviour and duty bound (non-value producing) 'attendance' at meetings. Video and telephone conferencing, a cost-effective measure, is rarely used. Continuous 'silo' agenda setting and planning with few productivity controls such as quality assurance, monitoring and programme evaluation of outputs and outcomes fail to advance communities. Programme implementation and malfeasance are critical challenge for IOS. Municipalities are important state organs as they are recipients of the combined efforts and resources from macro and meso IOS, acting in direct contact with communities. In order to institute effectiveness, efficiency, equilibrium, efficacy and equity in the delivery of services, public managers at municipalities can no longer disregard the rapidly changing municipal role in society, i.e. as primary players in the democratic space. Systemic change is unavoidable as globalisation and the current technological revolution demonstrate. Municipalities are increasingly obligated to adapt to working with stakeholders as equals in a network organisation, to welcome network dynamism, and to find solutions to complex problems in order to raise the quality and standards of life of the citizenry.

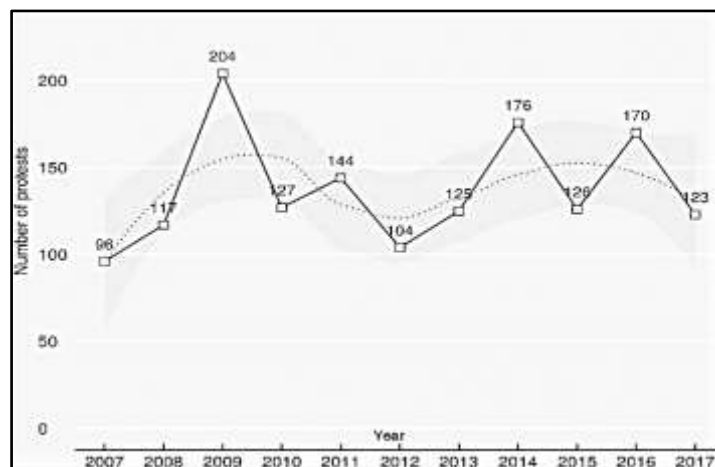
### **1.5.1 Research problem**

The research problem is that while municipalities purport to be productive, developmental and pro-poor, reality shapes a different picture, given findings by the Auditor General and instruments such as the civic protest barometer. Municipalities are not acting as social catalysts to produce safe, stable and productive communities, where citizens can enjoy sustainable healthy standards of living and wellbeing; nor have municipalities found solutions for fragmentation, silo administrations, inadequate knowledge sharing, lack integration, lack of a unifying governance policy, and ineffectual collaboration with critical stakeholders such as the community the perfunctory behaviour of officials. The problems are systemic and cannot be changed through restructuring while fully retaining the hierarchical system. The current municipal system will not be facilitatory of (i) improving staff morale, (ii) effective performance appraisal, (iii) effective community engagement, (iv) introducing civic education, (v) organisational performance in respect of meeting community demands and expectations.

These observations are evidenced by Brand (2018) who refers to the Auditor General report of 2017-18 and the stagnant development in the townships and some suburbs over

the years. Since only 13% of the municipalities in South Africa have produced clean audits (RSA AGSA 2018), the author concludes that political interference, lack of financial management skills, lack of political will and infighting creates adverse conditions for social progress in already economically depressed areas in South Africa.

The Dullah Omar Institute (2019) and Kekana (2019) reports that transparency in municipalities is lacking and falls short of required accountability; findings illustrate poor municipal financial transparency across South Africa. By implication, this may be regarded as evidence for ‘exclusionary’ practices by municipalities. With reference to the IDP as a municipal strategic planning document, Bright (2019:60) found that public participation requires a more vigorous treatment in satisfying effective public engagement. It is worth noting that the Dullah Omar Institute’s Applied Constitutional Studies Laboratory (2019) reports that the Civic Protest Barometer 2018 indicates a drop in civic protest in South Africa in 2017 noting that “civic protest is a symptom of social exclusion and the fragility of state institutions” (Figure 1.9 refers). However the trend of annual civic protest have not abated since the inception of the new government in 1994.



**Figure 1.6: Civic protest barometer fact sheet 2018.**

Source: Dullah Omar Institute’s Applied Constitutional Studies Laboratory

### 1.5.2 Problem statement

The background and research problem outlined in Section 1.3 and 1.5.1, with regard to effective, efficient, economic and sustainable municipal service delivery, is a direct result of municipal volatility, fragmentation and polarity, inherent in an aged, sterile bureaucratic and hierarchical modus operandi. The existing municipal ‘system’ cannot fulfil community needs, demands and expectations. Municipalities in the Western Cape province are therefore *currently*

not capable of embracing (i) effective systemic transformation for the generation of public value, (ii) an external focus that would engender effective community engagement, and (iii) an inclusive IDP aligned to the objectives of community stakeholders.

### **1.5.3 Research questions**

The current system of municipal management can no longer produce outputs and outcomes which are satisfactory to the citizenship:

- Will municipalities in the Western Cape province retain the current system of municipal management, or will municipalities be open to considering genuine transformation that will satisfy the needs and expectations of the provincial citizenship?
- Will municipalities in the Western Cape province participate in systemic change (transformation) by adopting the IPSS generating PV principles of openness, nonlinearity, public purpose, flexibility, dynamism and procedural accountability?
- Will municipalities in the Western Cape province participate in systemic change (transformation) by adopting an IPSS generating PV in order to achieve sustainability, socio-economic wellbeing and raising the quality of life for their respective communities?

## **1.6 Research premises and objectives**

The study sets out to pursue the viability of an IPSS generating PV in municipalities. The premises and objectives set out below, provide the theoretical underpinnings for this research. While PV defines the benefits, needs, wants, desires and expectations of the citizenry, an IPSS offers opportunities for a public system that is able to deliver PV in an efficient, qualitatively acceptable and participatory manner, encompassing the social, economic, educational, health, cultural, religious and psychological (cognitive) dimensions of human development. From a systems perspective, it can be argued that PV cannot be generated in a bureaucratic and fragmented system; as such, an IPSS is vested in nonlinearity, openness, distributed networks, flexibility, and dynamic systems of organisation and governance. The fundamental operational aspects of an IPSS are collaboration, collaborative governance, integration and functioning network stakeholder teams and operating networks, generating PV.

### **1.6.1 Research premises**

#### **• Premise 1**

PV outputs, outcomes, adaptation and sustainability must be empirically linked to the quality and quantity of service delivery and nontangible PV in sustaining quality of life,

acceptable and high standards for maintaining livelihood and socio-economic wellbeing.

- **Premise 2**

Municipalities must assume the position of hub in stakeholder networks, as a catalytic agent for the transformation and regeneration of ailing communities in a nonlinear, dynamic, integrated public service system (IPSS) generating and sustaining public value (PV).

- **Premise 3**

PV generation and IPSS operability was developed from open systems theory, network theory, complexity science, complex adaptive systems and public value theory.

- **Premise 4**

Feedback from and measurement of IPSS network activity and PV generation are crucial.

- **Premise 5**

An IPSS utilises resources, information and capacity optimally.

## **1.6.2 Research objectives**

- **Objective 1**

To present theoretical and legislative bases (in the form of elements, principles and criteria) for an integrated public service system (IPSS) and the generation of public value (PV) as an alternative system of municipal government and governance to the current system. (See Chapters 2 and 3).

- **Objective 2**

To generate knowledge through observation, semi-structured interviews and secondary data sources relating to housing and community services delivery in three countries, namely the United Kingdom, Namibia and South Africa, in order to enrich IPSS interpretation and PV generation. (See Chapters 4 and 5).

- **Objective 3**

To demonstrate empirically, utilising a mixed study, that an IPSS generating PV is feasible and implementable in municipalities. (See Chapter 6).

- **Objective 4**

To evaluate IPSS and PV generation challenges and problems impacting on the process of IPSS implementation, i.e. IPSS operability, performance and governance. (See Chapter 7).

- **Objective 5**

To offer solutions and strategic direction, i.e. a normative account for the implementation of an IPSS and PV generation, relative to operability, performance and governance. (See Chapter 8).

### **1.7 Significance of the study**

The significance of the study may be stated from three perspectives upon the assumption that an IPSS is viable and accepted for implementation, and that bureaucratic resistance to change is addressed from a systems point of view.

- **For municipalities**

By engaging the theoretical soundness of IPSSs, senior managers and professional officers become equipped with new work methods, new partners, new sources of inspiration regarding community regeneration and the mitigation of social and housing problems. Municipal actors are able to engage the community voice, the community as a resource and the community as a partner in their work, which brings about a general satisfaction in respect of evaluating their projects and programmes and developing trust and improved relationships with the community.

- **For communities**

Communities are afforded the opportunity to work with the municipality and a host of other stakeholders in regeneration programmes and infrastructural projects as equal partners in the building of communities, quality of life and social wellbeing. Communities have the opportunity to be educated (through civic education programmes) and empowered to engage with IOS on an equal platform.

- **For economic development**

An IPSS generating PV is in line with the demands of the economy to promote a rise in employment, a reduction in social disparity, and develop stable communities, as well as sound education and quality health systems. A strong assumption may be made that stakeholders will be willing to work with IOS and communities to achieve a common vision and common objectives in this regard.

### **1.8 Research design and methodology**

The research undertaken was intended to establish empirical bases for the viability of

implementing an IPSS generating PV in municipalities in the Western Cape province. In doing so, the rationale for initiating and measuring PV will be made empirically sound in the context of Western Cape province municipalities. The concepts of integration, complexity, stakeholder networks, stakeholder network teams, PV generation, ‘open system’ collaboration and collaborative governance measures, will acquire a more realistic grounding. A full account of the research design and methodology is found in Section 6.6, page 204.

### **1.8.1 The population and sampling procedure**

The purposive sampling method will be utilised on the basis of the assumption that senior managers, executives and municipal managers deal with issues relating to systemic change, transformation, adoption and adaptation to new methodologies and work modes. The population will be the 30 municipalities in the Western Cape province.

### **1.8.2 The unit of analysis**

The unit of analysis will be the senior managers at the Western Cape province municipalities. The senior managers are the directors and their immediate managers in the departments of housing delivery and maintenance, and the community development departments. Each municipality will have at least two such senior managers.

### **1.8.3 Data collection**

As the study will be primarily qualitative in nature, the primary sources of data will be collected as follows: (i) a literature review; (ii) an exploratory study conducted in an African country and a European country; (iii) a questionnaire comprising nine themes as well as open-ended questions, to be issued to and completed by senior managers; (iv) semi-structured interviews with senior managers to gain knowledge regarding current integration; (v) appointments with City of Cape Town (CCT) senior managers to conduct ‘free discussion’ on current integration trends in the CCT; and (vi) observations made during the data-collection period.

### **1.8.4 Reliability and validity**

As ordinal data (Likert, ranking and rating scales) will be collected and as the questionnaire items will be analysed per ‘individual item’, reliability measures will not be necessary. The content validity has been established during the pilot phase and found to be acceptable for the purpose of the study. The entire study assesses the opinions, views and judgements of senior

managers in Western Cape province municipalities with regard to the introduction and viability of initiating an IPSS generating PV (not prevalent in municipalities currently).

### **1.8.5 Data analysis and interpretation**

The data collected from the questionnaire will be entered into a data sheet and be processed into statistical information using the SPSS statistical analysis software. This task will be performed by the Department of Statistics and Actuarial Science, Stellenbosch University. The additional qualitative data collected will be analysed and interpreted by the researcher.

### **1.9 Limitations of the study**

The study had limiting conditions, emanating from current municipal organisational and institutional platforms. Limitations are temporary in nature and can be overcome. The following limitations are noted in terms of the study:

- The thrust of the study is not to replace the hierarchical system in any disruptive way, but to induce a genuine collaborative governance regime (CGR) that would offer dynamic work approaches to municipalities through the adoption of an IPSS generating PV;
- The study of PV generation through the utilisation of an IPSS is constrained by the steadfastly maintained hierarchical system of municipal government and governance processes and practices. The introduction of new and alternative systems is generally met with resistance, scepticism and criticism, which are limiting factors. The introduction of change in this regard is met with resistance from municipal stewards;
- The reliability and validity of the study were dependent upon the openness, genuineness and honesty of the respondents and interviewees;
- The study was confined to municipalities operating in the Western Cape province; and
- PV and IPSS elements were tested only among senior managers in the community development and housing delivery departments in municipalities.

### **1.10 Research ethics**

The researcher upheld the ethical considerations and stipulations set down by the University's ethics body. The University will have the right to exercise its ethical standards in relation to the research undertaken. *For the participants:* their right to participate was upheld. Participants were open, honest, non-judgmental and unafraid to address issues pertaining to large bureaucracies with expected restraint on occasions. The researcher respected the shortcomings,



attitudes, political affiliations, managerial position, intellectual bases, views, understandings and perceptions of the participants in an unbiased manner, cognisant of the objectives to (i) to remain focused on empirical data, and to (ii) uphold data integrity. The researcher is aware of his own shortcomings, political outlook and social philosophy and had no intention to foist these upon the respondents.

## **1.11 Chapter outline**

### **Chapter 1**

Chapter 1 introduces an alternative ‘systemic’ mode of operations to the current hierarchical organisational apparatus found in municipalities, i.e. an overview of the study being embarked upon. The alternative mode of operativity is composed of stakeholder networks, integrated public service delivery, and the generation of public value (PV), which are explained in this study. The research problem, premises and objectives are outlined as well as the proposed research methodology. The chapter outline indicates the empirical path for demonstrating an argument for an integrated public service system (IPSS) and the generation of PV.

### **Chapter 2**

This chapter will produce a conceptual framework to address the problem and objectives stated in Chapter 1. Chapter 2 offers a literature review of PV theory, and PV generation and measurement in the light of an emerging IPSS. In doing so, theories related complexity, chaos, complex adaptive systems (CAS) and network dynamics must be explored as they provide the bases and alternatives for the understanding of PV and IPSS in the current context of public management. CASs, collaborative governance, integration and cooperation will be expounded in order to support the argument that actors operating in a complex system (in this case the IOS network) produce PV. The conceptual understanding of PV generation and measurement will support arguments for an IPSS as a vehicle for addressing the research problem. This chapter will serve the purpose of clarifying the concepts employed in the body of research.

### **Chapter 3**

Chapter 3 provides insight into the IOS network operating in the Western Cape, a review of the national legislation, policies and regulations as it pertains to the emergence of an IPSS and PV relevancy. Only the key legislation relevant to the developmental role of municipalities, public engagement (as superior to public participation), collaboration with stakeholders and

the enablement of communities towards inclusivity, are addressed. Chapter 3 provides the basis for ‘legitimacy and authority’ in respect of the PV strategic triangle expounded in Chapter 2. The normative elements highlighted in the legislation are facilitatory to IPSS stakeholder demands and expectations.

#### **Chapter 4**

This chapter presents a comparative (situational) study of tenant and affordable housing delivery and the related function of community development in an African city, Windhoek, Namibia and a European city, London, United Kingdom. The purpose of this task is to assess the potential, viability and workability of an integrated public service system (IPSS) generating public value (PV) in South African municipalities. The chapter will examine legal aspects, municipal tasks undertaken and in general gain an overall view of the actual products of municipal delivery as it currently prevails outside South Africa. The concept of housing delivery and community services ‘integrated’ IPSS cluster is introduced.

#### **Chapter 5**

An outline of housing delivery and community services outputs (and outcomes) in Western Cape province municipalities is explained. This chapter deals with a situation analysis for housing delivery and its associated function, community services, which is also referred to as an IPSS cluster. Prior arguments relative to the hindrances created by hierarchical divisions in the local government arena, contribute to organisational and institutional ‘performance distancing’, predominate in municipalities regarding housing delivery and community services.

#### **Chapter 6**

This chapter provides the statistical analysis of data collected, interpretation and findings of the research undertaken in respect of IPSS initiation and PV generation in Western Cape municipalities. The objective of the research is to indicate the viability of a system that could improve the current municipal system of service delivery. The information is presented as findings in this chapter and in Chapters 7 and 8.

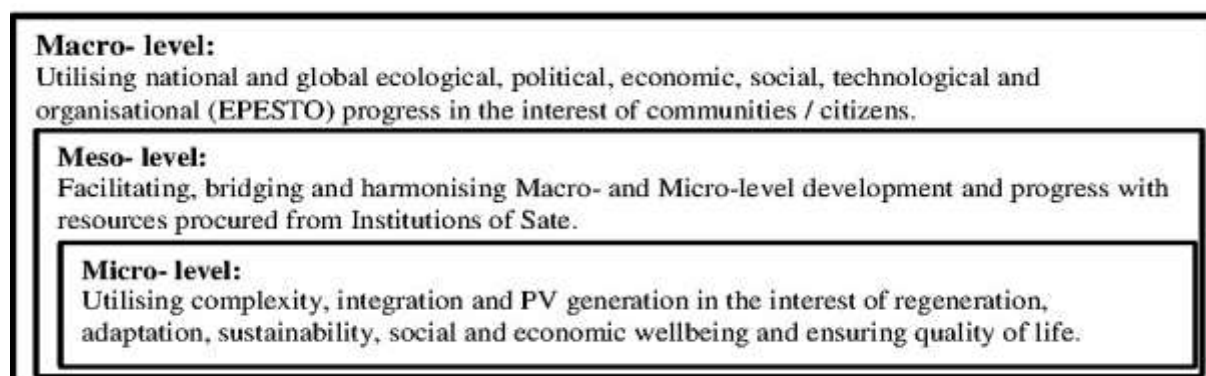
#### **Chapter 7**

Chapter 7 provides an evaluation of the study with the focus on constraints, problems and challenges confronting the initiation of an IPSS and PV generation. By implication, the previous chapters are evaluated in order to establish what may be refuted and what may be

confirmed, as an alternative to the current municipal status quo. The rationale of the chapter is to ‘deconstruct the old, prior to building the ‘new’. Chapter 7 identifies normative suppositions for the formulation of recommendations in Chapter 8.

## Chapter 8

A set of normative strategic positions (recommendations) and normative frameworks for the actual implementation and performance evaluation of an IPSS generating PV will be presented. The bases for these constructs will stem from Chapter 6 and Chapter 7. The normative framework and grounding for an emerging IPSS generating PV will be particular to the study population and unit of analysis, i.e. the Western Cape municipalities, with the potential for extrapolation and generalisability to other municipalities in South Africa. The normative framework will address and take account of the macro-, meso- and micro-levels (illustrated in Figure 1.6) for the phenomenon of PV generation and measurement, and the phenomenon of the IPSS and its related attributes in a context of complex conditions. The normative framework will incorporate the simplicity of operation, understanding, epistemological and transformational elements of an IPSS generating PV.



**Figure 1.7: Three ‘systemic’ levels for normative modelling of public value (PV) in an integrated public service system (IPSS)**

Source: The author

### 1.12 Summary

An IPSS is theoretically and practically viable since it is conceptualised on the basis of the premises, properties and qualities of complexity science, CASs, ANT, network theory (which incidentally embodies the foundational principles for integration science) and, lastly, PV theory. In assimilating the elements of these modern sciences, one may construct an IPSS generating PV that will have the potential to replace or enhance (or exist parallel to) the current hierarchical system of management prevalent in municipalities in South Africa in particular.

## CHAPTER 2

### **A LITERATURE REVIEW OF AN INTEGRATED PUBLIC SERVICE SYSTEM (IPSS) AND THE GENERATION AND MEASUREMENT OF PUBLIC VALUE (PV)**

#### **2.1 Introduction**

This chapter presents the theoretical basis and framework for the position that a networked, nonlinear integrated public service system (IPSS) has the qualities to generate and measure public value (PV) more effectively, efficiently and economically than the current linear systems of government utilised by the Institutions of State (IOS), for example, municipalities. The rapidly advancing digital era demands systemic change, i.e. the transformation of systems to accommodate new modes of organisational and managerial functioning. The interconnectedness of the fundamental dynamics of complexity, integration and networks is vital for the emergence of an IPSS, which will provide a more advanced modus operandi for the delivery of services and products in the public sector. Bird and Strachan (2018:1-4) holds that complexity is “an attribute of a system that renders it dynamic, unpredictable, and greater than the sum of its parts”, whereas complicated matters may understood in terms of its ‘parts’. The authors emphasise the importance of “context” as it presents a foundation for the “interrelatedness of knowledge and the principle of emergence”.

An IPSS offers a systemic solution for a multidimensional feedback mechanism, embedding interconnectivity between the micro, meso and macro spheres of public engagement, thereby effecting and facilitating innovative integrated public management theory and practice. This chapter presents an exploratory view of integrated systems, incorporating the epistemological and axiological concerns that prevail in a complex environment. It is argued that an IPSS emerges out of (i) expediency and the need for PV generation and measurement; (ii) democratic stakeholder (inclusive) engagement to operate, manage and control PV generation and measurement in a networked environment; and (iii) the citizens’ crucial role in an IPSS, as they generate social and human capital through active participation in the economy.

As network theory forms the bedrock of IPSSs, the following areas of research will be expounded, namely, (i) the nature and character of networks; (ii) principles of ANT and CAS; (iii) network structure and strength; (iv) elements of integration; (v) network alliances and

partnerships; (vi) network efficiency and effectiveness; and (vii) network challenges. Networks evolve into integrated systems; hence the IPSS offers organisational and managerial efficiency that is qualitatively different from what is currently the practice. The *raison d'être* of an IPSS is to produce PV in a manner that is efficient, effective and economical. The primary features of PV will be discussed in order to (i) give meaning and value to the study of an IPSS, (ii) announce stakeholders, including citizens as the primary drivers of an IPSS, (iii) point out the 'intractability' (resistance to effectively engage change) of IPSS growth and development, and (iv) reveal the importance of relationships and interconnectedness between network actors. Fonseca, Fernandes and Fonseca (2017:38) holds that networks allow organisation to collaborate, conduct co-inventorship and innovation, thereby stimulating research and development and the transfer of knowledge to a broader stakeholder community. Aydin, Ozkaynak, Rodríguez-Labajos, and Yenilmez (2017:16) hold that networks can achieve positive gains, dynamism, heterogeneous relationships and encourage informal short or long term "mechanisms" between partners.

In this chapter, the fundamental elements of complexity, integration and networks will be explained; also, the dynamics influencing the emergence of an IPSS, PV generation and measurement will be explored as the direct outcome of an IPSS.

## **2.2 Background**

The study of networks brings new insights to public management, particularising collaboration, integrated systems, namely the IPSS, and the objectives related to stakeholder satisfaction. Networks embrace crucial actors (stakeholders) and do not exclude citizenry, i.e. the primary beneficiaries of properly functioning integrated systems. Networks are the instruments through which systems' outputs and outcomes are achieved; among these are the production of tangible goods and services and nontangible public values. Public networks are, by definition, designed to be integrated, open, nonlinear systems as alternatives to hierarchy and bureaucracy.

## **2.3 Fundamental elements of an IPSS**

IPSS outcomes refer to an overarching concept that embodies a PV-generation process in the promotion of public goods and services, public interest and public participation. Society has entrusted the government to facilitate, coordinate and authorise these outputs in a democratic, fair and equitable way. PV encompasses the generation of tangible and non-tangible services

and products, produced, managed and measured by stakeholders, sharing a common vision regarding community needs, benefits and demands, as well as envisaged outcomes. Government bodies (IOS) form part of an accountable, inclusive and open stakeholder body, bound by networked governance practices and relationships.

A coherent overview of the interconnectedness between the fundamental elements constituting an IPSS is necessary, namely, complexity, as it shapes the developmental path of an IPSS, integration, the systemic attempts to generate PV and network elements such as paths, linkages and conduits of relationships as a driving force of the IPSS. These elements utilise resources, capacity and information to accomplish the IPSS common objectives formulated by stakeholders for the generation of PV.

### **2.3.1 The concept of complexity**

Complexity theory and principles are the bases of the concept of integrated systems and network theory, lending feasibility to the modus operandi of open public governance and new interpretations of cooperativity. Byrne (1998:5, 63) holds that complexity is the precursor of order, not its antithesis. He states that nonlinearity compels the onset of *attraction* between the constituent elements. The rationale employed in expounding CASs (explained in 2.3.3.4.2), which employs network principles and analysis, underpins the rationale for integrated systems, i.e. IPSSs. Open, integrated systems are required to possess and utilise qualities that are adaptable to present-day socio-economic, technological and environmental complexities. An IPSS utilises the organic elements of self-governing and self-organising (autopoietic) networks (systems), holism, interconnectivity and commonality of objectives between networks and sub-networks, i.e. sub-systems. Mitleton-Kelly (2003:3) offers ten principles of complexity for enabling infrastructures, i.e. self-organisation, emergence, connectivity, interdependence, feedback, far from equilibrium, space of possibilities, co-evolution, historicity, time and path-dependence; these dynamical factors are enablers of systemic integration. The evolution of new systems may be regarded as a natural process, as people and their material conditions are constantly changing. Mitleton-Kelly (2003:5) holds that complexity theory “offers a way of seeing the world”, with the recognition of uncertainty, unpredictability and confidence in nonlinear-open systems. The interconnectivity between the micro, meso and macro spheres of networked relationships is subject to challenges arising in complex environments.

Kiel (1995:1-7) explains that complex systems “avoid mode lock-in”, as they simultaneously allow for the exploration of a wide range of behaviours in dynamic and disproportionate systemic states. He states that nonlinearity occurs in the relationships between variables, where uncertainty and unpredictability are initiated by small stimuli. In line with what is expected from an IPSS, Nonaka (in Kiel 1995:2) adds that complexity widens the spectrum of options and forces the organisation to seek new points of view. Plsek and Greenhalgh (2001:4) maintain that nonlinear (integrated) systems support the variability of social and related factors, which may lead to larger variations in outcomes. The relationship between elements became known as the *butterfly effect*, arising from Lorenz’s explanations of the interconnectedness of matter (Capra 1997:132). Nonlinear systems’ behaviour, which proves difficult to interpret rationally, is influenced by strange attractor phenomena (unpredictable mathematical parameters) since systemic motion is erratic and uncertain in states of non-equilibrium (Capra 1997:131; Prigogine and Stengers 1984:121; Byrne 1998:5-6). An integrated system (IPSS) continually tends toward the attainment of equilibrium, stability, knowledge acquisition and enrichment; static systems (hierarchies) do not perform in this way.

Citizens are aware of complexity in their daily lives but fail to regard the established norms of hierarchy as incompatible with sustainable solutions in respect to social progress. Heidegger (1953:27-30) argues from an ontological perspective that humans engage each other in both simple and complex relationships, in both primitive and advanced societies and in differentiated ways of being. The understanding of knowing and being is inextricably linked to both insight and conduct (Heidegger 1953:31). Open systems require both discursive and deliberative methods of dialogue for greater understanding of the complexity context.

### **2.3.2 The concept of integration**

The concept of integration in IPSS formulation is integrally bound with organisation network theory. Compounding the elements of network integration, Estrada, Fox, Higham and Oppo (2010:7) holds that (i) clusters of well-connected communities, (ii) formation of common sub-patterns, (iii) certain nodes (hubs), which have a central role that display special centrality or betweenness, and (iv) two groups (nodes) that may have weak inter-group but strong cross-group connectivity, are essential for network resilience and the technical basis for understanding integration. These elements are not absolute in composition, as they are governed by uncertainty, the emergence of opportunity, innovation and feedback loops.

Juarrero (2010:1-3) holds that the dynamics of “cause and effect”, is a necessary factor of interactivity (engagement) between actors. Bond, Curran, Francis, Kirkpatrick and Lee (2000:5-6) maintain that systemic integration requires (i) procedural and organisational arrangements, (ii) methodological guidelines, and (iii) the development of cross-disciplinary insights (with the involvement of stakeholders). One may deduce that the expedient use of information, capacity and resources within the IPSS, by stakeholders, are subject to “cause and effect”, relative to civilian demands and expectation for social progress and wellbeing. Outhwaite (in Byrne 1998:38) postulates that a realist analysis of causality can account for the interaction of various causal tendencies within the complex and open systems among “which we live and which we ourselves are”.

According to Kim, Oh and Swaminathan (2006:704), network alliances (partnerships) acquire inter-organisational flexibility and openness for change. Kim *et al.* (2006:711) hold that organisational history, age, size and duration in the alliances are factors that may lead to network inertia, thus affecting integration negatively. Where the need to explore new relationships has been neglected in multiplex (complex) settings, alliance formations need to create synergy across various functional areas to retain robustness (Kim *et al.* 2006:711).

Follet (in Morse 2010:232) and Taylor and Doerfel (2005:122) hold that integration is the uniting of differences (points of view, interests, or ways of knowing) leading to new perception and understanding that satisfies all interests without compromise or capitulation; integration is thus a managerial process, which synthesises the value potential of the parts of the system (or network) into a synergy-rich situation, resulting in accord, harmony, democracy and consensus among actors, i.e. network participants. Integration neutralises fragmentation, managerial authoritarianism and hierarchical (bureaucratic) dominance legitimised in policies and procedures which disallow large sections of society from meaningful engagement with government sectors and in particular, municipalities.

### **2.3.3 The concept of networks**

The *Online Etymology Dictionary* (2015) defines a network as an “interlocking system”. The bases of networks are founded upon the principles of organic systems theory, which offers an explanation for adaptation and growth, complexity, nonlinearity, transformability and open systems (Whitehead, Kohler and Lotka in Bertalanffy 1968:11-12). Haythornthwaite (in Ghosh



and Githens 2009:25) distinguish between the egocentric and the whole network approach. Provan and Milward (1995:3) and Klijn (2008:299) supports the contention that public networks offer benefits of reduced fragmentation and greater coordination of services.

### **2.3.3.1 Networks and governance**

Bang and Esmark (2009:7) argue that network approaches to governance and governmentality are fundamental to effective integration, based on the participation of all stakeholders in facilitating decision making and policy implementation in an IPSS. The management, accrual, dissemination and subsequent advancement of information is an essential aspect of successful integrating networks. Eglene, Dawes and Schneider (2007:104-110) found that knowledge and information networks require appropriate authority and leadership styles for their success, i.e. charismatic and people-centred leaders who incorporate network management philosophy, a focus on ethical values, consultation and legality, political authority and relationships among the participating organisations.

### **2.3.3.2 The value of networks**

Sveiby, Edvinsson and Malone, Wallman and Blair, Lev, Eccles *et al.* (in Allee 2008:2) hold that networks are the most suitable means for the conversion of nontangible values into tangible assets. Network actors may manage nontangible values such as various forms of intellectual capital, trust and experience (financial, human and physical resources). Allee (2008:10) holds that value network analysis (VNA) describes the network as being a value, a purposeful and activity-focused entity. She holds that networks encouraging relationship exchanges are capable of producing economic or social goods.

Watts (2003:23-29) states that networks are continuously evolving and self-constituting systems having transformational properties that are able to yield 'products' of value through a process utilising the full potential of the network. He describes value-creating networks as having both synchronous and asynchronous states, serving a multiplicity of purposes and able to bear the internal conflict (tension) experienced in most societies and organisations.

### **2.3.3.3 Strength of networks**

Network strength rests upon the quality of its structure (strength of ties, network diameter, centrality, density or modularity) and the presence of elements such as nonlinearity,

convergence and balance while taking cognisance of complexity states in self-organising networks assuming autocatalytic feedback (Meyer, Gaba and Colwell 2005:456). Discontinuous changes are jolts (systemic aberrations) which compel transformation (regarding traditional authority, power structures and existing status quo), heralding new network forms and norms, balanced positions, temporary, qualitatively positive and beneficial to network strength, opportunities and insights (Meyer *et al.* 2005:456-458). Grewal (2008:3-9) posits that networks offer shared forms of social coordination, i.e. social productivity, directly and indirectly, influenced by the strength to encourage others to behave collaboratively in relation to a variety of exogenous social, financial and political influencing factors. Grewal (2008:13) contends that network power is derived from network strength and dependent upon network availability, compatibility and malleability.

Frickle and Moore (2006:302) hold that networks are able to employ emancipatory knowledge and emancipatory potential for strengthening ties and relations between network actors and hubs. Network strength is relative to (i) inequalities arising from the manipulation of authority, (ii) institutional rules, (iii) organisational dynamics, and (iv) research churning (Frickle and Moore 2006:10-14).

#### **2.3.3.4 Networks have common axes with actor-network theory (ANT) and complex adaptive systems (CASs)**

The epistemological bases for the structure and operation of integrated systems are enriched by the contributions from ANT and CAS. ANT emphasises a complete focus on the interactions (inseparability) between all endogenous and exogenous factors impinging on a system (thus referring to systemic emergence within the holistic socio-technical-material paradigm). CAS emphasises co-evolution (the steady growth of all organisations and agents simultaneously), continuous expansion and intractability, i.e. the inability to inhibit or reverse spontaneous ‘systemic’ development (Casella, Van Tongeren, and Nikolic 2015:5)

##### **2.3.3.4.1 Actor-network theory (ANT)**

Latour (1996:369 – 372) holds that the links between nature and society and the material and non-material worlds permeate daily activities and relationships, and are therefore inseparable; accordingly, a complex network may assume form and symbolism, embracing the totality of human and non-human capacities in an attempt made to represent it. He argues that ANT builds its axes on the philosophy of order emerging out of disorder or chaos, a co-existence between

predictability and unpredictability, as found in nature. Pickering (in Mulcahy 2011:98-99) holds that ANT allows one to regard science and society as a field of the human and non-human (material) agency; she states that ANT is a considered way of viewing materiality and ontological aspects of knowledge and tangibility. Law (in Mulcahy 2011:98-99) holds that the mobilisation of resources entails the inclusion of people, devices, texts, decisions, organisations and inter-organisational relations. Thompson (2012:251-253) regards ANT as conducive to research as it uncovers complexities, uncertainties and specificities of work-learning practices, which proves advantageous to the conceptualisation of abstract socio-educational phenomena. Latour (in Thompson 2012:253) argues that human and non-human actors create new sources of power and legitimacy as they renegotiate who is acting in the world, who matters and who wants what. Fenwick (2011:130-132) states that ANT challenges may be found in tracing how ideas, practices and new technologies eventually manifest as new norms, emerging from promising new possibilities for organisational network effectiveness.

#### **2.3.3.4.2 Complex adaptive systems (CASs)**

CASs are constantly evolving integrated systems of operations, relations and interrelations, highly dependent upon each other for successful outputs and outcomes. Tomasino (2011:1355-1358) and Zambonelli (2011:slides 29 and 30) hold that CASs are difficult to analyse in absolute terms since their dynamism cannot simply be generalised to their individual components; these systemic states of existence or operations are said to be on the edge of chaos, open, autopoietic, self-enlarging and intractable. Deneubourg (in Zambonelli 2011:slide 35) holds that self-organisation is a process in which patterns at the global level of a system emerge solely from numerous interactions among the lower-level components of the system, giving rise to nonlinear, dynamic, multiplex, developed and underdeveloped nested systems (a system contained by another larger system) having many attributes of the larger system. Kloos (2019:741, 748) submits that complexity and complex adaptive elements, ‘cohesion’, ‘variability’ and ‘stability’, provides a successful learning context in terms of its relevancy.

Rihani and Geyer (2001:239-240) note that CASs are resilient and adaptive to (i) interconnectivity (ii) complex environmental conditions, (iii) modifications, (iv) nonlinearity, and (v) points of optimal output, i.e. states of equilibrium. Best, Greenhalgh, Lewis, Saul, Carroll and Bitz (2012:423) state the following advantages of CASs; they (i) utilise flexibility, an important operating principle for adaptation and transformation; (ii) allow for constant

improvement, productivity, relationship and capacity building; (iii) support relinquishing control of change processes; and (iv) employ epistemological elements of change.

Plsek and Wilson (2001:746-468) argue that whole system performance brings about advantages for a more productive style of management and meaningful relationships, shifting the emphasis of organisational functioning from the parts to the whole. Nair, Narasimhan and Choi (2009:786-787) argue that CASs support productivity and systemic growth.

#### **2.4 Structural elements: Networks develop into IPSSs**

The purpose of examining network structural elements is to argue that these structures have theoretical underpinnings and commonalities for IPSS formation. Just as networks are dependent upon their expandability, intractability and dynamism for creating value, so too are IPSSs for their continuity and PV generation. It is upon the examination of the preceding network attributes and characteristics that an IPSS operating 'framework' may be outlined. IPSSs are highly integrated structures (common in networks) which can be quantified, while their behavioural patterns suggest dynamism and complex functioning (Capra 1997:81). Marsden (in Carrington, Scott and Wasserman 2005:14) hold that as with networks, IPSSs are characterised by their size, modularity, density, number of nodes, hubs and individual actors. IPSS governance can be aligned to government authorising structures for the procurement of resources and expertise (Niemi-Iilahti 2003:59). IPSS elements of control, management and authority are therefore linked to the principles of holism, relationship ties between nodes, autopoiesis and nonlinearity, as complexity science offers the rudiments for a distinct alternative to hierarchy and a better understanding of harmonious organisational behaviour (Niemi-Iilahti 2003:59; Zimmerman, Lindberg and Plsek in Praught 2002:1, 9, 11).

IPSS structures (composed of networks) are applicable to vulnerable communities residing in modern society. Based on the studies of networks by Brass *et al.*, Faems *et al.*, Grandori, Kogut and Powell (in Ceci and Iubatti 2012:565), one may deduce that IPSS structures are hybrid coordinated mechanisms of economic activity which incorporate government and private sector actors. Gilchrist (2000:264) holds that integrated structures (IPSS) imply that cohesive communities occur when people feel part of a web of diverse and interlocking relationships. Laszlo (2006:98-99) states that whole systems (utilising the holistic approach) need both a cultural (axiological) as well as empirical foundations, a basis for utilising purpose, knowledge, capacity and resources to create PV. Dynamical complex systems are resilient and are able to

withstand conditions “far from equilibrium”, between states of stability and instability (Prigogine and Stengers 1984:189).

Applying a “critical-realist perspective” to complex structures, Kilduff and Tsai (2003:112) argue that network actors have little control over powerful social forces, holding that structuralism has an important place in IPSS formation. Levi-Strauss (in Kilduff and Tsai 2003:113-114) held that social structures determine the nature of social relations; hence both structuralists and post-structuralists elements determine IPSS dynamics (given in Table 2.1). Current network research suggests that elements from both structuralist and post-structuralist approaches are required for the efficient operation and transformation of government systems. A balance is required in the adoption of structuralist and post-structuralist elements to ensure a smooth transition or transformation from one system to another.

**Table 2.1: Qualities of a structuralist and post-structuralist governance system**

Qualities of a structuralist governance system	Qualities of post-structuralist governance (IPSS)
Economic individualism (Bozeman 2007).	Democratic; team-based, professional, flat structure.
Authoritarianism.	Holistic.
Control.	Stakeholder focused.
Hierarchy.	Ability to manage complexity.
Bureaucracy.	Ability to manage networks.
Duplication and triplication of activities (duty).	Ability to manage positive and negative feedback.
Physical and mental fragmentation.	Integrative.
Managerial fragmentation.	Open and dynamic system.
Pockets of non-productive (idle) behaviour leading to poor efficiency.	Organic and autopoietic.
Silo institutional arrangements.	Task and productivity-driven.
	Developmental, expanding, value-driven.

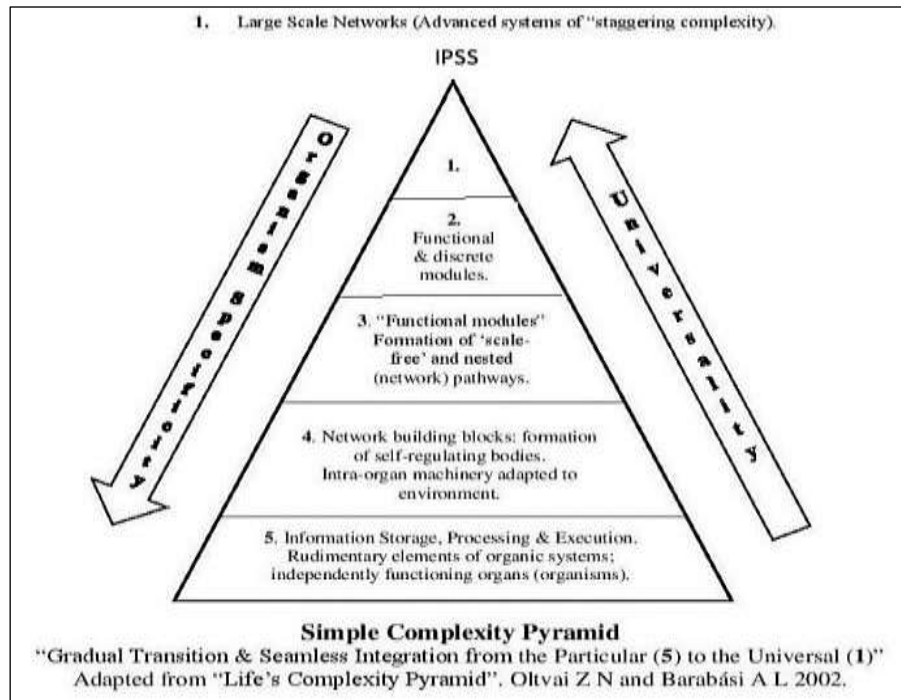
Source: Adapted from Kilduff and Tsai (2003:114)

#### 2.4.1 IPSSs evolve from simple to complex structures

IPSS emergence, expansion and stability occur in environments where it is conducive for the structures adaptivity and sustainability. Oltvai and Barabási (2002:763-764) argue that structures undergo a gradual transition from basic, rudimentary structures and purpose to advanced complex structures. In their model (Figure 2.1), transition progresses from stage 5 to 1, from rudimentary specificity to advanced organ universality over time, i.e. possessing purposive modularity, i.e. ability to separate and combine (Oltvai and Barabási 2002:763-764).

##### 2.4.1.1 Structural holes and IPSS ties

Burt (1992) adopts the theory of structural holes to explain nodal behaviour, which may block



**Figure 2.1: The “Complexity Pyramid” showing a progression from simple to complex network structures**

Source: Oltvai and Barabási (2002:764)

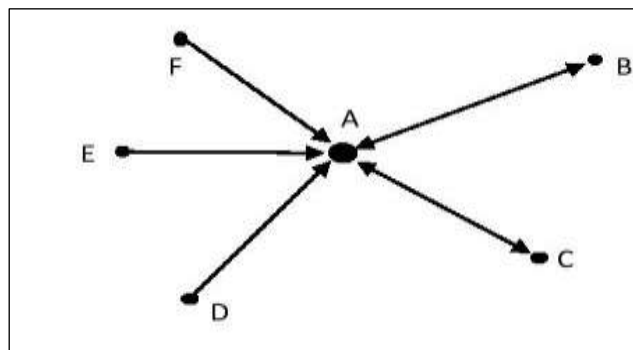
the flow and utilisation of resources and knowledge; a structural hole may be closed by a third party, who manipulates the closure and who gains a competitive advantage in new relationships. IPSS relationships tend to strengthen with structural bridges. Structural bridges result in efficient and effective relationships among stakeholders in order to attain common goals (Taylor and Doerfel 2005:123; Ghosh and Githens 2009:26; Ceci and Iubatti 2012:567).

Haythornthwaite (in Ghosh and Githens 2009:25-26) identifies three structural qualities when dealing with structural holes, i.e. securing (i) the relationships through the sharing of resources and strengthening communication, (ii) the direction of relationships between nodes, and (iii) the strength and quality of relationships between nodes. Karapetrovic and Willborn (in Wilkinson and Dale 1999:97) note that IPSSs are regarded as integrated when the interdependence (connectivity) of one or both (structural holes) dissipates.

#### **2.4.1.2 Relationships between nodes**

IPSS nodes, hubs and actors are dependent upon the strength of the relationships between them, built upon common purpose, strategic interests, innovation and objectives for success. Nodal clusters and hubs are capable of influencing the strategic paths of other nodes (Scott 2000:10-

14). Relationships in IPSSs are purpose-driven. Attractors (points of value to which actors are attracted) are forces that create or enlarge IPSS relationships or ties (Capra 1997:136). In Figure 2.2, nodes B and C are in reciprocal relationship with A, but between B and C there is a structural hole, the closure of which may be facilitated by A. Nodes F, E and D are in a non-reciprocal relationship with hub A and simply dependent on A; A is not compelled to reciprocate with nodes F, E and D unless a purpose is established to do so.



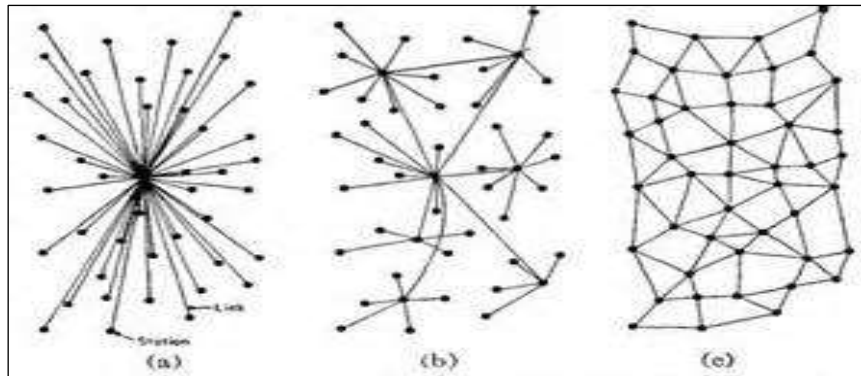
**Figure 2.2: Hub formation: Nodes B, C, D, E, F in relationship with developing hub A**  
Source: Scott (2000:10)

An example illustrates the relationships drawn in Figure 2.2, holding that an IPSS creates PV where relationships between actors, nodes and hubs are strong. F (community health committee), E (community arts and culture group) and D (community clinic) obtain *grants in aid* from municipality A, but they enjoy no other relationship with A. B represents The Department of Cooperative Governance and Traditional Affairs (COGTA) and the Expanded Public Works Programme (EPWP) programme and enjoys a good relationship with the municipality A. C represents Denel SOC Ltd, which enjoys a good relationship with the municipality, based on the employment of local resources. In this example, there is no relationship between Denel SOC Ltd and the COGTA-EPWP programme.

Baran (in Barabási and Frangos 2002:114-143) explains progression of IPSS development in Figure 2.3, indicating that (a) a centralised network (hub) unsupported is at risk of annihilation, (b) a decentralised scale-free IPSS may emerge, (c) a large complex distributed IPSS is possible, securing the system with many hubs, displaying high degrees of resilience, i.e. topological robustness, as in CASs.

### 2.4.1.3 Strong and weak relationship ties

IPSS nodal connectors, i.e. relationship ties, are complex patterns of connection, representing



**Figure 2.3: Baran's adapted network diagrams: (a) centralised, (b) decentralised, (c) distributed IPSSs**

Source: Adapted from Barabási and Frangos (2002:88)

value, the intensity of stakeholder relationships, reciprocity and readiness for collaboration and negotiation (Scott 2000:65). Digitalisation impacts on social relations, social expectations and politics, hence IPSS operativity. Smângs (2010:611-614) holds that micro-level assumptions may be made in respect of macro-level structural patterns since the nature of relationships and strength of social ties between nodes determines IPSS resilience and the ability for adaptivity. Granovetter (in Krippner, Granovetter, Block, Biggart, Beamish, Hart, Arrighi, Mendall, Hall, Burawoy, Vogel, and O'Riain 2004:116) argues that social relations are embedded in a broader institutional framework, a culture, a set of rules and situations, influencing IPSS ties positively or negatively. According to Granovetter (1983:201-229), weak ties define low-density networks, where relationship ties are few, opening avenues for relationship building, social harmony, interconnecting, IPSS strengthening and collaboration to form stable IPSSs. Friedkin (in Granovetter 1983:220) supports the theory of weak ties, holding that weak ties are macro-level integration stimuli, representing opportunities for connecting previously differentiated groups, thus contributing to IPSS equilibrium and stability.

#### **2.4.2 Equilibrium vs. disequilibrium**

IPSSs may be in equilibrium, disequilibrium or they may migrate between the two extremes. Prigogine and Stengers (1984:13) explain that systems in far from equilibrium entropic conditions will eventually seek out patterns that would return them to near equilibrium. Reed and Harvey (in Byrne 1998:63) hold that in social systems, perturbations (disturbances) of far-from-equilibrium conditions can originate in the values and actions of humans themselves. Integrated systems (e.g. an IPSS) display qualities and principles of nonlinearity, disequilibrium, abilities for self-preservation and self-organisation, entropy, varying levels of



complexity and states of organised complexity (Checkland in Capra 1997:28).

IPSSs experience natural state(s) of entropy concerning their purpose, influencing the need for productivity and profitability; actors will strive to achieve strategic ends through the adoption of means to restore order through fluctuations, i.e. striving to attain equilibrium when conditions are entropic, in chaos (Prigogine and Stengers 1984:120, 159). Gulati, Nohria and Zaheer (2000:203-204) contend that agencies and organs are not autonomous when bound in relationships characterised by performance, resource availability and capabilities since endogenous and exogenous factors determine the environment.

Stability and resilience increase with collaboration, well-directed decisions regarding strategy and tactics for implementation, feedback loops, timeously made corrections and a focus on the future of the IPSS. These considerations require a consciousness among players that accommodates closer working relationships and common objectives.

- **Feedback**

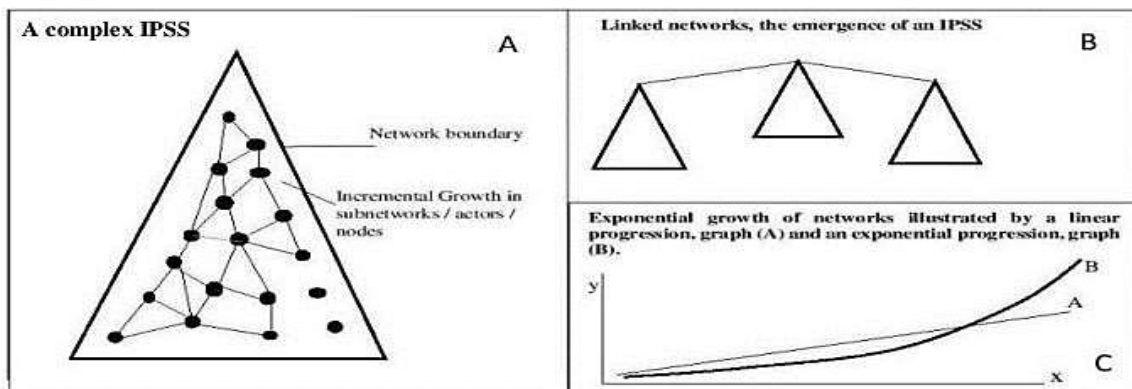
The concept of positive and negative feedback contributes positively to systemic expansion and intractability as natural processes of systemic self-regulation. Feedback in IPSSs are regarded as entailing reciprocal relations (Prigogine and Stengers 1984:137); positive feedback reinforces systemic activities, the means for ultimately achieving a measure of breakthrough or enhancement, while negative feedback balances and stabilises system dynamics, i.e. this is a matter of self-adjusting in order to maintain direction and purpose (Capra 1997:56-59; Ormand n.d.:2-3; Brown and Lerch 2007:3). Integrated systems employing the principles of feedback theory achieve a collaborative advantage, challenging conventional leadership and the manner of attaining network objectives (O'Leary and Vij 2012:510; Morse 2010:231).

Also, innovation, collaborative, dialogical and sharing practices, and research and renewed approaches to learning and feedback are possible to attain (Appleby and Hillier 2012:33-34). Krueger, Walker and Bernick (2011:686) hold that resources utilisation is subject to local and global economic conditions, laws, regulations, policies of government and political persuasions. The elements of globalisation (challenging exogenous factors) demand a re-examination of public systems in order to bring about the management of change and complexity (Adejuwon 2012:135; Barnes, Raynor and Bacchus 2012:97).

### 2.4.3 IPSS growth

IPSSs grow in relation to their diameter, density, complexity and centrality, the latter implying that certain nodes become prominent hubs with time. IPSSs have the ability to grow (expand) exponentially and in accordance with a multiplier effect, thereby establishing a vehicle for networked governance and stakeholder engagement. An IPSS grows through the process of homophily (matching similar and new actors), through strengthening weak ties, relationship building and increasing the density of weak ties between actors, nodes and hubs (Granovetter 1983; Breiger, Carley and Pattison 2003:33; Newbert and Tornikoski 2012:142; 146).

In Figure 2.4 A, two nodes in the defined network are unlinked, illustrating structural breaks. Freeman (in Breiger *et al.* 2003:33-36) holds that growth in networks may be studied in terms of (i) structural linkages between nodes (Figure 2.4 B and C), (ii) graphic data collected and (iii) mathematical models. Figure 2.4 B illustrates the formation of integrated interdependent IPSSs. Figure 2.4 C shows the growth of networks exponentially (indicated by line B).

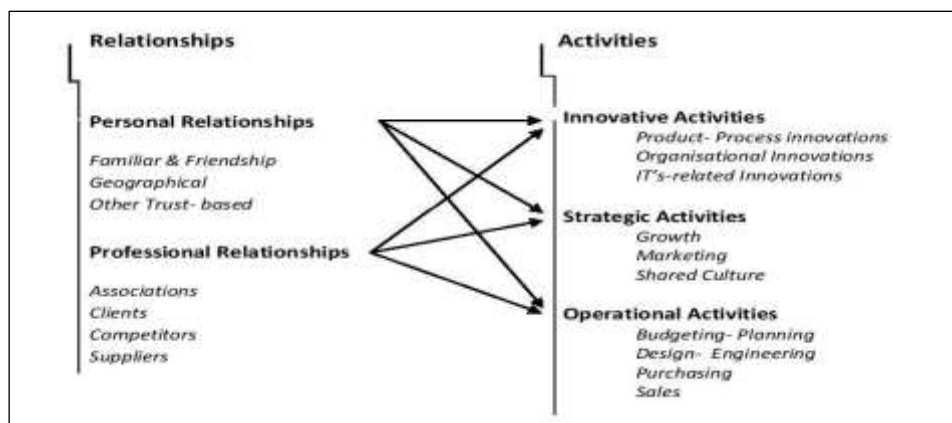


**Figure 2.4: Growth and emergence of integrated networks (IPSSs)**

Source: The author

An IPSS (Figure 2.4 C, line B) grows in terms of structure; (i) when patterns of social ties between actors become more dense (ii) through governance techniques, exercising wider authority and legitimacy, and (iii) in relation to acquiring content, i.e. seeking benefits, sharing information, capacity and resources (Hoang and Antoncic (2003); Burt (1992); Ostgaard and Birley n.d. in Newbert and Tornikoski 2012:142-143). IPSS growth does not necessarily imply a reduction of network effectiveness, nor does it imply an increase in uncertainty (Newbert and Tornikoski 2012:145). Newbert and Tornikoski (2012:142) argue that IPSS growth, and hence integration, may also be stimulated by supporter networks (outsider networks), supplying resources to nascent entrepreneurs, without necessarily becoming part of those networks.

Public organisations integrate based on pioneering innovations to produce more PV. Ceci and Iubatti (2012:566-573), borrowing from Putnam (1993), and Rogers (2003), employs the concept of diffusion of innovation to illustrate that IPSS growth and the stimulation of innovation among role players are highly correlated with innovation, interfirm competition (between network nodes), strategy and implementation. Figure 2.5 (representing line B in Figure 2.4 C) illustrates that innovation is positively stimulated through the increase in personal and professional relationship ties between actors, nodes and hubs, leading to the strengthening of structures, trust, relationship ties and growth in the network systems, e.g. an IPSS.



**Figure 2.5: Enabling diffusion of innovation to enhance integration and growth**  
Source: Ceci and Iubatti (2012:570) “Analytical Model”

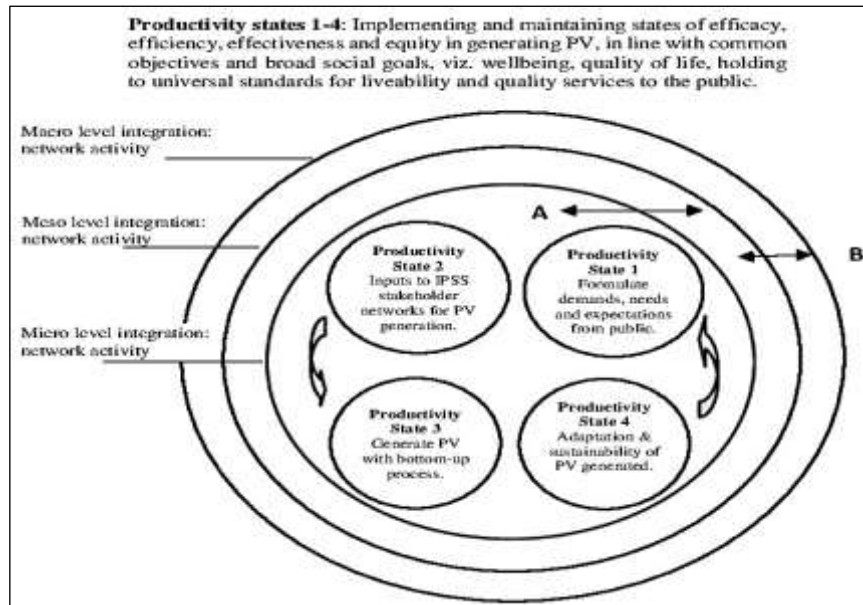
## 2.5 Towards a framework for an IPSS

IPSSs operating across the micro, meso and macro spheres are interconnected, producing efficiencies, among them PV. Radin (in Uys 2014:6-7) outlines “macro-level instruments” for the integration of stakeholders over a broad spectrum as being structural, programmatic, research, capacity building and behavioural instruments. In the meso sphere the approach embodies the integration and utilisation of policies and guidelines, governmental and regulatory governance principles and the generation of PV (Uys 2014:6-7). The micro-level approach utilises generic practical strategies seen in terms of ethical behaviour, accountability, trust-building and motivation with respect to integrated public management (Uys 2014:7). A framework for an IPSS is likely to emerge, theoretically grounded in complex operating IPSSs, solidifying relationships in the three spheres to produce PV.

### 2.5.1 Presenting a nonlinear IPSS model

A circular diagram (Figure 2.6) is chosen to represent the integrated IPSS model whereby, (i) linear and hierarchical stages are replaced by integrative productivity states; (ii) lines which

signify linearity are replaced by nonlinear notation; (iii) the outer circle represents a permeable IPSS boundary; (iv) interconnectivity and dependency between the nodes are presumed to be non-prescriptive. Four IPSS ‘productivity states’ are outlined in terms of an IPSS management process, as opposed to the employment of linear ‘stages’ of productivity.



**Figure 2.6: An operational model for an IPSS generating PV: Integration between the Macro-, Meso- and Micro-level spheres and four PV process states**

Source: The author

Explanatory notes for Figure 2.6:

- Scott (2000:146) employs circle diagrams to represent multidimensional spaces, centrality and arbitrary visual (graphic) framework for organisational data;
- Kafiriri, Norheim and Martin (2007:78) hold that “decision-making” and “priority-setting” authority is vested in each of the three (macro, meso and micro-level) spheres;
- Arrows A and B illustrate interconnectivity between the micro, meso and macro domains of operability, influenced by a multiplicity of networks and a multitude of exogenous and endogenous factors which impact upon IPSS outputs and outcomes; and
- McGaughey and De Cieri (1999:241-22) caution that at the macro, meso and micro spheres analysis tends to show that an over-simplification of complex causal dynamics operating in and between the spheres may lead to erroneous interpretations of convergence, divergence or maintenance of position.

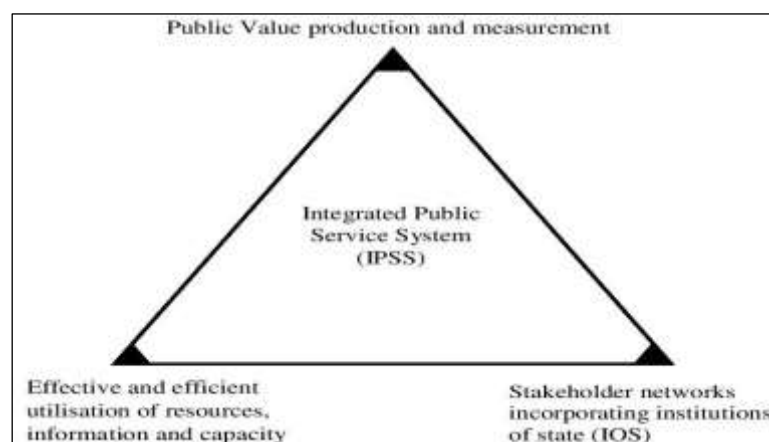
The four ‘productivity states’ essential to the IPSS framework are illustrated in the model (Figure 2.6). In the micro sphere, the proposed IPSS framework involves the integration of four

‘productivity states’ that employ collaborative governance principles in the generation of measurable public and social values:

- Productivity State 1 involves the assimilation of needs and demands from the public for PV goods and services, interest, social values and the need for community engagement;
- Productivity State 2 involves the assimilation (procurement) of resources, capacity and information by stakeholders and quantified (audited) by IPSS actors. Bacon (1998:468) proposes the utilisation of “middleware” for integrating stakeholder needs and information in the accomplishment of IPSS enablement and citizens’ access to services; Gephi software is employed in network analysis to map network actors, nodes and hubs;
- Productivity State 3 involves the operations for PV generation, i.e. material and non-material products and services to citizen groups relevant to the quality of life, innovation, social harmony and the advancement of inter- and intra-organisational development;
- Productivity State 4 implements PV measures, evaluation of outcomes, adaptation, sustainability by utilising positive (enhancing) and negative (corrective) feedback.

### 2.5.2 IPSS operability

An IPSS will, by virtue of its ‘organic’ autopoietic (self-regulating and self-organising) characteristics, continually search for equilibrium, balance and convergence in relation to its systemic purpose. Figure 2.7 illustrates IPSS operability by using the concept of ‘equilibril’ relationship to illustrate that IPSS operability implies equal treatment of measurement, inputs and efforts of stakeholder networks, and the effective and efficient employment of resources, information and capacity. The premise is vital for the generation and measurement of PV, which is the primary reason for the existence of the IPSS.



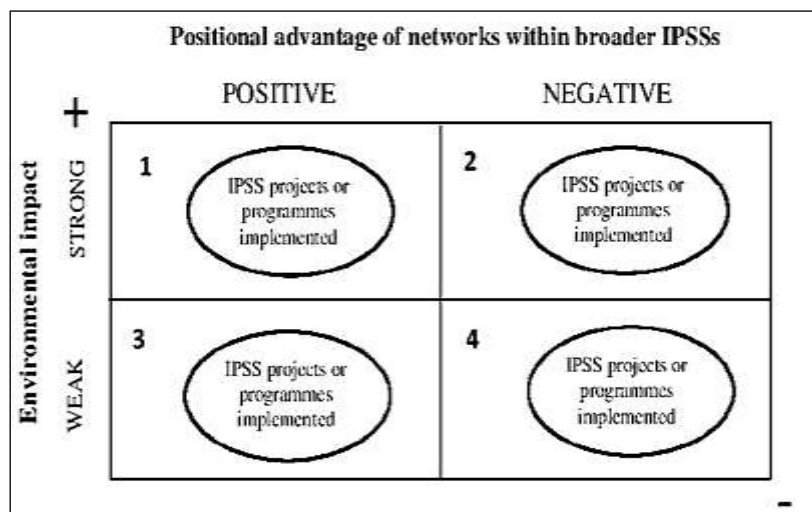
**Figure 2.7: Three fundamental IPSS elements for effective operability (systemic purpose)**

Source: Adapted from Moore’s strategic triangle (Moore and Khagram 2004:3)

Koka, Madhavan and Prescott (2006:722) assert that there is a strong correlation between patterns of network change (resulting from inter-organisational evolution, innovation, resources 'abundance', governance appropriateness and network stability) and environmental change, which occurs in four ways, namely through (i) network expansion, (ii) rapid turnaround, (iii) network strengthening, and (iv) network shrinkage. Koka *et al.* (2006:723-724) explain that the factors identified may be used for developing a typology to understand how the interrelatedness between these factors advances the study of IPSS operations.

Hagedoorn (2006:674-677) emphasises the importance of negotiating levels of embeddedness in IPSS operability, given as environmental, inter-organisational and dyadic embeddedness, and the complex multidimensional nature of inter-organisational relationships. The history, knowledge of IPSS properties, experience and age of the integrated system, cross-level embeddedness of partnership formation are factors influencing IPSS operability.

Rangan, Samii and Wassenhove (2006:739) hold that positive externalities (when communities derive positive benefits) arise when the government, business and public groups adopt integrated forms of operability. Similarly, negative externalities arise when IPSSs are formed at a cost to society. Rangan *et al.* (2006:744) indicate that IPSS formations enable creative strategies when (i) government and private sector entities lack resources or financial leverage; (ii) there is "high uncertainty" in the market; and (iii) when private actors do not possess the expertise to manage contracting, coordination and enforcement of operational processes.



**Figure 2.8: Visual tool for the qualitative assessment of network positional advantage vis-à-vis environmental changes influencing IPSS**

Source: Adapted from Blomström and Kokko (in Sanchez-Martin, Escibano and De Arce 2014:15)

Figure 2.8 presents a visual tool for the successful positioning of networks in an IPSS relative to its adaptability to environmental change in order to strengthen network formation and operability. Quadrant 1 indicates positive network positioning measured against a strong ability to adapt to environmental changes, conditions ideal for IPSS formation and strengthening ties. Through utilising the instrument, integrated systems can allow the formation of bridges with weaker networks. Quadrant 4 shows a negatively affected network (in an IPSS) and limited scope for growth and development (Sanchez-Martin, Escribano and De Arce 2014:15).

Deseve (in Goldsmith and Kettl 2009:121,127) and Allison, Gilliland, Mayhew and Wilson (2007:69-71) argue that in network environments (a framework for full human and technical connectivity and interoperability), i.e. the formal and informal integration and cross-agency collaboration of public functions is regarded as highly necessary to achieve efficiency in services delivery (quadrant 1 in Figure 2.8). Krippner *et al.* (2004:116) and Deseve (in Goldsmith and Kettl 2009:135-141) hold that all IPSSs should share operating features such as management, structure, technology, objectives (purpose), trust, authority, leadership, accountability, responsibility, knowledge and resources operating under the umbrella of transformational governance and value-centred leadership, as a means to achieve PV generation. Wheatley (in Clinton 2000:7) argues that integration among multi-agency partners should encourage co-learning through discovery, given certain complexities and negative associations. Overbeek, Janssen and Van Bommel (2012:185-6) hold that integrated service delivery (ISD) in the governance of IPSSs is dependent on a concentration of organisational intelligence and critical performance factors. Morgan and Trist (in Clinton 2000:8) highlight the importance of (i) learning, (ii) the establishment of common values and norms, and (iii) the promotion of a shared appreciation of problems and concerns. These criteria are considered integral in achieving flexibility, efficiency and operational appropriateness in meeting customer demands. Network actors have the task of sustaining integration methodologies, innovation, negotiation, integration of knowledge-bases and the utilisation of information technology in IPSS operability (Overbeek *et al.* 2012:185).

Wilkinson and Dale (1999:95-102) contend that methodologies suited to nonlinear nodal operability entail the implementing, (i) vertical and horizontal deployment of staff, (ii) coordination across departments, (iii) avoiding duplication, (iv) a total quality management (TQM) approach to integration, (v) innovation, and (vi) feedback interfaces.

### 2.5.3 IPSS evaluation criteria expressed as efficiencies

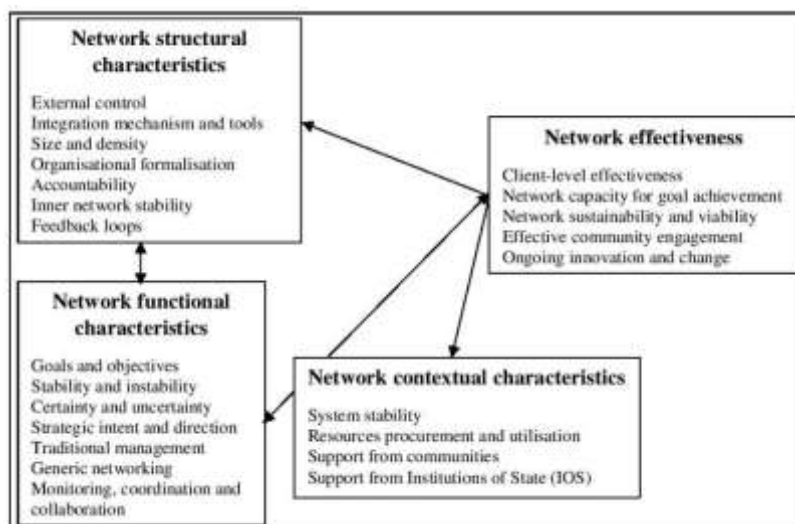
Evaluation criteria for IPSS efficiency and effectiveness require clear and specific evaluation objectives (expressed as efficiencies). Andrews and Entwistle (2013:246) provide four types of efficiencies for IPSSs, namely, productive, allocative, distributive and dynamic efficiency. Moore (in Andrews and Entwistle 2013:261) adds legal and moral authority of the state, i.e. procedural efficiency, as IPSS evaluation criteria.

Provan, Milward and Bardach (in McGuire and Agranoff 2011:271-272), Provan and Milward (1995:23-27) and Provan and Milward (in Turrini, Cristofoli, Frosini and Nasi 2010:530-538) hold that high levels of efficiency are required in order to achieve citizen satisfaction and preserve relationships between networks; the evaluation criteria include, among others: (i) measured network modularity, (ii) resources monitoring, (iii) network stability and sustainability measures, (iv) audit of benefits accruing to citizens (v) management, (vi) innovation, (vii) accountability, and (viii) goal achievement. McGuire and Agranoff (2011:274) add that cognisance of exogenous factors are critical in the application of evaluation criteria. Whelan (2011:275) contends that five levels of evaluative analysis are possible in the domains of structure, culture, policy, technology and relationships. For each of the domains, the following evaluation criteria apply: (i) noting endogenous and exogenous variables, (ii) network design, and (iii) efficiency of information and communication systems.

Gaster (1996:80-86) suggests a holistic framework for an evaluation mechanism and adds that quality services include the evaluation of policy quality, managerial initiatives, the involvement of citizens and the success of the democratic process. Gaster (1996:87-89) holds that quality consciousness among citizens is entrenched when the infrastructure for quality exists alongside public participation, a quality service chain and support for democratic deliberation between key groups. An integrated holistic framework for network effectiveness evaluation is illustrated by Turrini *et al.* (2010:546) in Figure 2.9.

Network and IPSS effectiveness (Figure 2.9) are measured in terms of five distinct categories, each one having its own determinants and contextual parameters, namely, (i) client-level effectiveness, (ii) network capacity, (iii) sustainability, (iv) relevance to communities, and (v) ability to sustain innovation and change. These categories are supported by network structural-functional and contextual characteristics, as indicated in Figure 2.9 below. Network and IPSS effectiveness may be measured in order to assess progress made on stakeholder objectives.





**Figure 2.9: Integrated framework for network effectiveness**

Source: Adapted from Turrini *et al.* (2010:546)

## 2.6 Management issues relating to an IPSS

The management concepts, functions and principles for the generation and measurement of PV in an IPSS setting are obliged to absorb the principles of nonlinearity, holism, accountability of stakeholders, IPSS governance and principles for operating in complex environments. IPSS management principles are derived from and based on the stated elements of integration.

### 2.6.1 Management of governing objectives in an IPSS

The objectives which drive an IPSS management function necessitate awareness by public and private managers of the nature and character of integrated systems. These objectives are influenced by the following factors:

- Gilchrist (2000:273) maintains that the purpose of an integrated system is to shape citizens' networks to be facilitatory of emerging flexible, effective and empowering forms of collective action;
- Guba and Lincoln; Creswell; Creswell, Hanson, Clark Plano and Morales; Patton; and Savage (in Vasilachis de Gialdino 2009:1) hold that ontological, epistemological, axiological and methodological elements must reside in integrated systems;
- Randolph, Blasinsky, Leginski, Parker and Goldman (1997:370) believe that an effective integrated system should eradicate duplication, improve services, restore accountability and reduce inefficiency;
- Kagan (in Randolph *et al.* 1997:370) identifies four levels on which an integrated system operates, namely the organisational, policy, programme and the direct service delivery level; and

- Uys (2014:1) and Konrad (in Randolph *et al.* 1997:370) suggest three criteria for the management of an integrated system, namely, collaboration (incorporating coordination and cooperation), consolidation and information sharing.

Hickey and Siegel (2008:168-177) and Allison, Gilliland, Mayhew, and Wilson (2007:72-73) identified parallel managerial phenomena pertaining to integrated quality initiatives: (i) knowledge auditing, (ii) alignment of outcomes to the quality expectations of the citizens and clients, (iii) financial controls, (iv) performance and frameworks for optimising PV, and (v) relationship building.

## **2.6.2 IPSSs collaborative governance elements**

Collaborative governance regulation and control elements relevant to managers are to be applied in a flexible, holistic and integrative manner in IPSS networks. The factors that promote and constrain collaborative governance, as outlined below, are steps in the achievement of good performance, high productivity, stakeholder satisfaction and sound managerial practices.

### **2.6.2.1 Factors that promote sound collaborative governance in an IPSS**

Allee (2008:3) holds that four key governance elements apply to integrated systems: (i) negotiability, (ii) manageability as a deliverable, (iii) a conversion process, and (iv) social value and perceived value. Cegarra-Navarro and Arcas-Lario (2011:609) found in their study on collaboration between network actors that network ties are strengthened through (i) mutual knowledge, interests and information that arise out of need, (ii) unlearning old modes and perceptions, (iii) freedom to act and make decisions, and (iv) trust in the existing knowledge between actors. The authors contend that an accumulation of organisational intelligence and co-operative knowledge plays a significant role in the delivery of superior products and services. The need for cooperation supersedes the clinging to stereotypes in networks; network demands take prominence over individual demands and excessive control. Emerson, Nabatchi and Balogh (2011:10-15) and Ansell and Gash (2007:544-545) hold that an IPSS framework for collaborative governance entails outcomes of actions, impacts and adaptation, principled engagement, the capacity of joint action and shared motivation.

Effective collaborative governance design mechanisms for an IPSS, which relate to integration and alliance building, balance delicately on the linkages between risk mitigation, control and

trust. Since the human factor is paramount in relationship building, it follows that trust and control among actors assume a high level of importance. A framework for the management of balancing control and trust, therefore, becomes desirable. De Man and Roijackers (2009:78) demonstrates (in Figure 2.10) that high relational and high-performance risk is understood to induce a dynamic to strive for win-win situations, based on trust and control. Low relational and low-performance risk enjoy situations of trust and control in an undemanding environment; in this case, the rewards or benefits reaped may be low as well.

<b>RELATIONAL RISK</b>	<b>HIGH</b>	CONTROL COPE WITH UNCERTAINTY IN A STABLE ENVIRONMENT	TRUST AND CONTROL AS COMPLEMENTS "APPLIED SIMULTANEOUSLY"
	<b>LOW</b>	TRUST AND CONTROL ARE SUBSTITUTES IN "UNDEMANDING ENVIRONMENT"	TRUST "NEEDED TO COPE WITH AN UNPREDICTABLE ENVIRONMENT"
		<b>LOW</b>	<b>HIGH</b>
		<b>PERFORMANCE RISK</b>	

**Figure 2.10: Management framework for control and trust in different risk scenarios**

Source: De Man and Roijackers (2009:78)

### 2.6.2.2 Factors that constrain collaborative governance in an IPSS

Vigoda-Gadot (2003:19-20) held that the integration of different political views and policy objectives were constraining factors. Stoker (2006:50) focused on the challenges regarding efficiency, i.e. tasking relative to purpose, accountability, oversight, equity and the development of efficacy in individuals. IPSS challenges may signify new opportunities, innovation and stronger network ties. Ananda and Proctor (2012:105) note the following constraining factors to collaborative governance: (i) personal, financial, organisational, capacity building, technical expertise and time, (ii) building alliances, (iii) initiating institutional configurations, (iv) the process of integration, (v) the attainment of objectives, (vi) economic utilisation of capacity and resources, and (vii) conflicting stakeholder interests.

Hamel, Doz and Prahalad (in Khanna, Gulati and Nohria 1998:193-5), O’Leary and Vrij (2012:507) and Mitleton-Kelly (2003:5-25) note that an IPSS will experience a tension between cooperation and competition that will affect (i) public versus private benefits, (ii) the nature of incentives, (iii) mutuality of opportunity and scope within alliances, (iv) synthesis of knowledge as value to actors, (v) the degree to which common purposes exist, (vi) uncertainty regarding the utilisation of resources, (vii) creation of levels of trust, and (viii) levels of transparency among actors. These factors influence relative autonomy among actors,

organisational stability and flexibility, holistic and homogeneous perceptions of the IPSS. Reeves (2006:37) and Eggers (in Goldsmith and Kettl 2009:32) believe that the networked governance approach can support the transformation of the status quo, thereby enhancing (i) the diversity of actors entering the network, (ii) client satisfaction, (iii) relevance of strategic alignment, (iv) connectivity, (v) stakeholders' agreements, (vi) reduction in power distancing, (vii) effective network dynamics, and (viii) agreement on norms and standards for collaborative governance to the benefit of the IPSS. Reeves (2006:32-33) argues that the least understood is the slow pace of inter-organisational change. Kotter and Barabási (in Reeves 2006:32) found that more than two-thirds of reform initiatives are never fully implemented. Anderson, Geringer, Herbert and Kogut (in Zollo, Reuer and Singh 2002:702), states that challenges exist upon entering strategic alliances as (i) a lack of consensus around collaborative agreements, (ii) performance outcomes, and (iii) inter-firm strategic differences inhibit change.

Nealer and Naude (2011:112-113) address constraints on collaborative governance as (i) definitions that require greater specificity, (ii) neglect of integrated approaches, (iii) neglect of a focus on citizens, (iv) neglect of support for sustainable development, (v) abuse of resources, and (vi) non-implementation of monitoring and evaluation processes. Parks, Joireman and Van Lange (2013:138-140) hold that IPSSs may be subjected to in-group and out-group bias, gatekeeping and other inhibiting organisational internal tensions.

McGuire and Agranoff (2011:265) and Eggers (in Goldsmith and Kettl 2009:26) list core IPSS challenges as rules, regulations, quality of analysis and the re-packaging of accountability and flexibility. Fundamental managerial competencies such as partnering, persuading, negotiating, interpersonal skills, innovation, entrepreneurship, problem-solving and conflict management may constitute challenges under certain conditions. Meyer *et al.* (2005:460) and Sine and David (2003:185-207) argue that systemic jolts in networks (i) expose actor norms and ideologies, and open opportunities for new modus operandi, (ii) disrupt organisational programmes, create panic and energise actors for change, and (iii) stimulate the co-creation of new knowledge.

Battistella and Chester (1973:523) and Koskinen (2012:285-299) argue that challenges relating to norms and standards, operational planning, monitoring and evaluation, the achievement of efficiency and economies of scale, has an impact on effective collaborative governance. Battistella and Chester (1973:495, 498, 512) lists barriers to integrated delivery, in Table 2.2.

**Table 2.2: Summary of factors constraining and promoting integration**

Integration-constraining factors	Integration-promoting factors
<ul style="list-style-type: none"> <li>• Communication problems (collaboration as a process required more of an incubation process).</li> <li>• Cultural differences among staff.</li> <li>• Poor interpersonal relationships among staff.</li> <li>• Staff not comfortable in voicing opinions (fear of reprimand or sanction).</li> <li>• Outcomes were not what was expected.</li> <li>• Top and middle management must integrate actors at the lower levels of the organisation.</li> <li>• The principles of network integration have not been properly implemented.</li> </ul>	<ul style="list-style-type: none"> <li>• Shared vision and values.</li> <li>• Agreement on common goals.</li> <li>• Inspirational and energetic leadership.</li> <li>• Sound governance.</li> <li>• Recognition and valuing of diverse professional contributions.</li> <li>• Improving and building relationships between parties.</li> <li>• Improve communication and cooperation.</li> <li>• Facilitate and encourage liaison between parties, multidisciplinary teams, co-location of services and coordination at local level.</li> <li>• Deal with issues of conflict and power.</li> <li>• Capacity to address issues of power, to achieve a need for frequent and effective communication.</li> <li>• Time and resources availability.</li> <li>• Understand participants’ practice, philosophy, culture, ideas and beliefs.</li> </ul>

Source: Adapted from Schmied, Mills, Kruske, Kemp, Fowler, and Homer (2010:3521)

## 2.7 Integrative leadership

Integrative leadership is a leadership style that is the best fit for an IPSS. Winston and Patterson (2006:7) and Morse (2010:231, 244) contend that integrative leaders are those who select, train and influence one or more followers who have diverse gifts, abilities and skills, and focus the followers on the organization’s mission and objectives to procure outcomes efficiently. Caroselli, Taffinder, Conger and Kanungo, and Kouzes and Posner (in Winston and Patterson 2006:15) argue that integrative leaders challenge the status quo, both of the current state of the organisation and the processes by which the organisation achieves its objectives. The broader objectives of integrative leadership are the development of social capital, the satisfaction of public needs and demands, and the utilisation of resources in acquiring higher quality of life.

### 2.7.1 The tasks of integrative leaders

Silvia and McGuire (2010:264-266) emphasise people-orientated qualities such as holistic representation, relationship building, integrated structures, multiple linkages, formal and informal as well as cross-boundary collaboration as factors distinguishing the integration approach of leadership from the bureaucratic approach. Van Wart (in Silvia and McGuire 2010:269) outlines three categories of integrative leadership behaviour, people, task and organisation as presented in Table 2.3.

Uys (2014:1) holds that it is crucial to acknowledge the “what” and the “how” of integrating

**Table 2.3: Integrative leadership criteria**

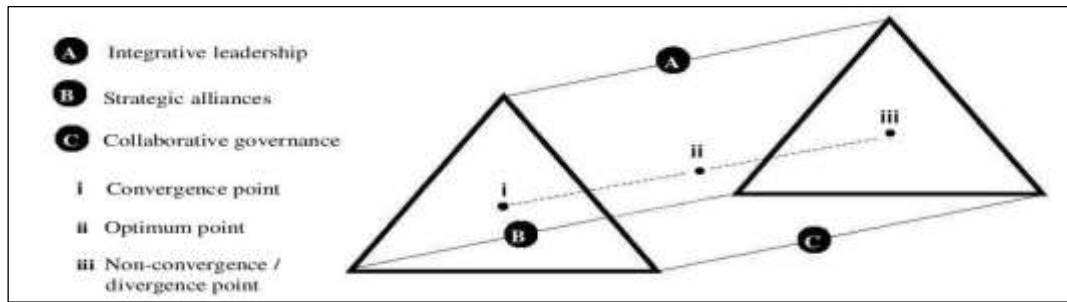
<b>People-oriented</b>	<b>Task-oriented</b>	<b>Organisation-oriented</b>
Network members are equal. Share information freely Caring. Trust. Brainstorming. Use own judgement in finding solutions. Teams share leadership roles. Motivation. Putting suggestions into practice. Conflict resolution. Incentives, developing staff. Consultation.	Select key performance measures. Taking charge in emergencies. Clarification and setting standards. Compelling role specification. Scheduling. Setting standards and regulations. Coordination. Agreement on the nature of tasks. Movement and flow of work. Assign members to tasks. Monitoring, delegating. Operations and planning.	Support from superiors. Identifying resources. Gaining stakeholder support. Identifying stakeholders. Environmental scanning. Establish a shared vision. Commitment to the mission. Publicise goals. Publicise achievements. Influence values and norms. Changing network structure. Relationship building, partnering.

Source: Van Wart in Silvia and McGuire (2010:269)

the functioning of government and governance, the effective implementation of the “3C’s” (collaboration, coordination and cooperation) and a holistic vision to guide a change in focus, as this consolidates the integrated approach regarding systemic harmony between players. Espousing the views of Emerson, Nabatchi and Balogh (in Uys 2014:10), Uys builds an argument for integrative leadership in terms of leadership qualities, balanced decisions, effective accountability, a reduction in loyalty to any specific political party, incorporation of greater degrees of technology, the ability to forge consensus amid diversity, and building effective relationships in the arena of inter-organisational dynamics.

Huxham and Vangen (in Morse 2010:231) hold that through effective collaboration and communication, leaders may attain an optimum point, i.e. network optimality, by carefully negotiating the impact of endogenous and exogenous systemic factors on the productivity of integrated systems. Carr and Wilinon (in Morse 2010:233) maintain that transformation to achieve optimum integration implies the utilisation of formal and informal means, resources and capacity to achieve (i) common agendas, (ii) multiple perspectives, and (iii) convergence of multiple knowledge systems. Novak *et al.* (2011:36-37) state that network leaders must model cross-silo thinking to build relationships across boundaries. With reference to Figure 2.11, the point of convergence by leaders points to the desired state of near equilibrium in an integrated system (Prigogine and Stengers 1984:13; Capra 1997:227), the tendency to perform tasks in line with similar objectives, and concurrence of ideology (of the stakeholders). An optimum point (ii) is found on the continuum between convergence (i) and divergence (disequilibrium) (iii) as illustrated. Integrative leaders seek to enhance the relationship between (B) strategic alliances, integrative leaders (A) and collaborative governance (C), in order to

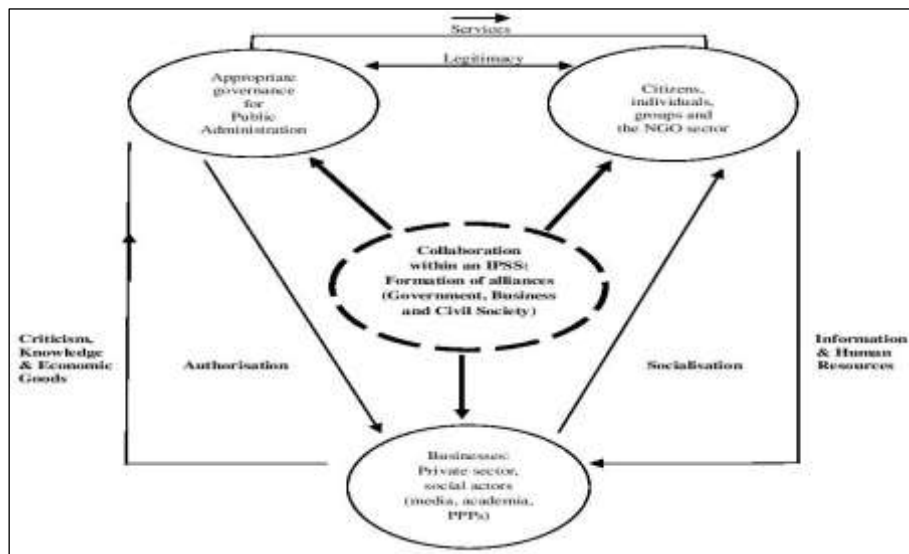
maximise operability and to create value (PV).



**Figure 2.11: Integrative leadership, strategic alliances and collaborative governance in equilibrational relationship**

Source: The author

Vigoda-Gadot (2003:37, 149) presents a future-oriented model (Figure 2.12) for integrative leaders, representing collaboration (as indicated in Figure 2.11 (ii) and the centre ellipse in Figure 2.12) between government, citizens and the business sector in the context of an IPSS. The model develops a future-oriented leadership style and model for collaboration.



**Figure 2.12: A future-oriented model for collaboration**

Source: Adapted from Vigoda-Gadot (2003:37)

The future is depicted by the emergence of systemic change that emphasises legitimacy, authorisation and socialisation, i.e. network attributes of collaborative governance; linearity is replaced with nonlinear collaboration (illustrated by the bold lines in Figure 2.12) and the establishment of strategic alliances to stimulate relationships between stakeholders.

## 2.7.2 Integrative leaders encourage strategic alliances in an IPSS

Integrative leaders encourage strategic alliances (see ii in Figure 2.11) in an IPSS though

effecting synergies between actors, nodes and hubs, vertical and horizontal integration, alignment of objectives, regular and meaningful feedback and sharing information, resources and capacity (as indicated in Figures 2.11 and 2.12). Novak *et al.* (2011:36-37) state that strategic relationships and critical interdependencies are required in PV generation as outcomes of integrated systems. Recognition is given to public bodies as complex and core components in the alliance-making process, where learning in alliances and inter-organisational partnerships is inseparable from network (IPSS) operations (Gulati *et al.* 2000:204).

Kennedy and Lubell (in Ananda and Proctor 2012:97) argue that behavioural cooperation is not easy to achieve between actors, since the issues around scarce public resources tend to be problematic in respect of (i) virtual organisation, (ii) solidifying strategic alliances, and (iii) identifying beneficiaries. Zollo *et al.* (2002:702) hold that greater success is obtained from strategic alliances when stakeholders have accumulated mutual experience in teams.

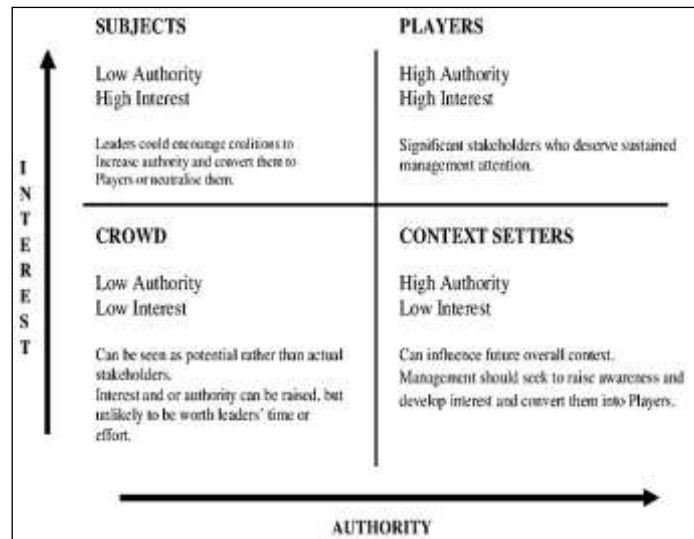
### **2.7.3 Leadership by stakeholder teams**

Fernandez, Cho and Perry (2010:308-309) assert that integrative leaders emphasise organisation and implementation by professional teams, in line with the principles of openness and conceptualising leadership as a shared, collective process. Morse (2010:234) contends that the qualitative and quantitative development of leading team actors in integrated systems, i.e. networks, are dependent upon collaborative efforts to develop (i) accountable behaviour, (ii) integration of knowledge, abilities and perspectives, (iii) efficiency, effectiveness, fairness, and (iv) value as defined by the different actors. In support of work done in collectives, Gulati *et al.* (2000:204) argue that team actors experiencing effective integration behave relationally and that their behaviour could be understood in terms of their external and internal environments, intended to conform to (i) the rationale, guidelines and principles of complex operating entities, and (ii) the particularisation of PV as the focal output.

### **2.7.4 The Stakeholder Power-Interest Grid**

Integrative leaders or public managers may utilise the ‘stakeholder power-interest grid’ in order to position stakeholders in terms of their strategic robustness in networks and relative importance to other stakeholders in a network. Ackermann and Eden’s (2011:181-188) ‘Stakeholder Power-Interest Grid’, illustrated in Figure 2.13, may be utilised strategically for the assessment, analysis and competitive positioning of stakeholders in an IPSS.





**Figure 2.13: Stakeholder Power-Interest Grid**

Source: Adapted from Ackermann and Eden (2011:183)

Some stakeholders have critical roles, while others have auxiliary roles in the IPSS. The authors hold that the “Players” quadrant determines which stakeholders should be allocated high status because of their leadership position. Stakeholders will be motivated to enter the “Players” quadrant, where both interests and authority are ranked high. “Players” would, therefore, aid and facilitate “Subjects”, “Context Setters” and “Crowd”, based on information utilisation, need, leverage, capacity and resources. The “Subjects”, because of their high level of interest in network activities, are able to spearhead innovation and the activation of new knowledge, while “Context Setters” are seen as IPSS drivers of growth. The ‘Stakeholder Power-Interest Grid’ may reveal subtle changes in IPSS composition over time. According to the authors, the following strategic elements influence strategic alliances and stakeholder positioning: (i) specificity and uniqueness, (ii) multifarious demands, (iii) salience, i.e. visibility, and (iv) integrative network behaviours, attitudes and coalitions.

### 2.7.5 Practical applications of IPSSs

Integrative leaders may regard public-private partnerships, (PPPs), as discrete productive entities (actors, nodes or hubs) within integrated systems (IPSSs), seeking IPSS objectives related to shared responsibilities, readiness for innovation and collaboration. A process of adjustment by PPPs to nonlinear structures and functioning is conceivable. Rangan *et al.* (2006:738) argue that PPPs have an added advantage in networks when external conditions are shrouded with high levels of uncertainty and when the need for specific competencies is required. Dyer (1997:552) found that inter-organisational collaboration increases the value of

outcomes, and contends that there are indispensable principles which apply to PPPs, organisations and representatives of citizens such as commitment, information sharing, goodwill, trust, reputation, negotiation and regard for the market as a place for effective collaboration. The PPP is part of a multidimensional approach of the PSN found in Britain.

- **The Public Services Network (PSN), United Kingdom**

The Public Services Network (PSN) is a UK government public services network aimed to promote working together, reducing duplication and sharing resources (Public Services Network n.d.). The PSN incorporates network criteria and is constituted by clusters (formations) of private and public bodies, in permanent and volunteer structures, i.e. network partnerships and alliances, government networks, public-private partnerships (PPPs) and ‘special-purpose’ or ‘specific’ alliances. The challenges are related to commonality of purpose, strategic direction, inter-organisational relationships and reciprocity in complex environments; PSNs seek (i) to base their productivity on demands and needs from community bases, and (ii) to implement network rationale into the enhancement of relationships with all stakeholders, extending their boundaries from micro to macro levels of network interaction.

Kettl (in Goldsmith and Kettl 2009:1-7) says that PSNs allow networks to (i) collaborate on the translation of ideas; (ii) realise that excessive power held by a partner (or leader) will not ensure satisfaction among clients; (iii) acknowledge that partnerships demand openness, accountability and transparency; (iv) assess inclusivity, and (v) acknowledge managerial cooperation in governance, which is often blurred by pragmatism, policy and politics.

### **2.7.6 Challenges to integrative leadership in developing countries**

Nordtveit (2008:405-417) found in a study on poverty that many government programmes in developing countries were running at huge costs, given a large population size, poor quality of delivery and poor planning. An integrated IPSS solution faced the following challenges: (i) planning for the achievement of economies of scale with limited resources, (ii) network actors lacked capacity and resources, (iii) poor levels of basic education, and (iv) overworked public workers. The urgent strategic challenges were identified as (i) integration on the political, geographical, technological and organisational levels, (ii) policy synchronisation, (iii) value and value-added planning, and (iv) achieving efficiency and client satisfaction. Coccozza, Steadman, Dennis, Blasinky, Randolph, Johnsen and Goldman (2000:396-402) found similarly

that the challenges were, among others, (i) addressing local service fragmentation, (ii) weak coordination between non-profit organisations, (iii) poor systems integration coordination, (iv) lack of training in network operations, (v) absence of inter-organisational agreements and consolidation, and (vi) the ineffective management of information.

## **2.8 Defining Public Value (PV)**

Many difficulties arise regarding an empirical definition of PV. Shaw (2013:481-483) argues that a precise definition of PV entails many variations since assumptions and frameworks are conceived differently. Moore (1995:52-57) holds that PV is rooted in the desires and perceptions of individuals, i.e. citizens, not necessarily as clients or beneficiaries whose desires change constantly, which to a large extent makes a precise definition of PV abstract. Moore (1995:65) holds that the conceptions of value must be grounded in the theory of value rather than in demonstrated performance. In the light of Capra's (1997:6) views on deep ecological embeddedness and Prigogine's (in Capra 1997:164) principles of open systems, which accommodate the nonlinear flow of energy and matter, one can assume that PV contains the qualities of adaptation (or adaptivity), transformation and (social) behavioural change. Meynhardt, Strathoff, Fröhlich, and Breiger (2019:146-150) explores PV and organisational reputation in terms of its difference, axiological implications, strategic value, and importance in generating value for society and individuals, given its holistic application.

Talbot (2008:12) and Talbot (in Meynhardt 2009:206) attach the values of adhocracy (flexible, adaptability, decentralisation, growth and innovation) to PV, as it is governed by empowerment, transaction and knowledge. According to Stoker (2006:42), PV is collectively built through deliberation involving government representatives and all stakeholders, including the business sector and the public, in an uncertain and complex environment. It is in this context that Stoker (2006:41) argues that networked governance, a particular framing of collective decision making, is a vehicle for the implementation of PV. Bozeman (2007:132) holds that PV and public interest are synonymous and that PV implies normative consensus, citizens' rights and benefits, and policy that satisfies the needs and demands of citizens.

PV is defined in terms of its tangible and non-tangible epistemological and axiological socio-economic determinants, sustained government and municipal services and products, public interest and public participation in building stable and sustainable societies. Moore and

Khagram (2004:3) state that a common view is that government bodies naturally assume responsibility for PV generation, which is perceived in terms of a framework of what civil society regards as value. Bozeman (2007:16) rejects this view and argues that PV should not be equated with government responsibility, and in fact proposes a separation of government's and stakeholder's responsibility for PV generation.

Blaug, Horner and Lekhi (2006:6-7) define PV as new public service theory, emphasising a reformed interest in the role of public managers and politicians, the public, efficiency of services delivery in advocating for rounded accountability and an opposition to static, top-down models that focus the attention of public managers on meeting centrally driven targets. The authors hold that PV prescription is intended to minimise the tension between bureaucracy and democracy, with participatory roles for public organisations in decision making. The authors further note that PV generation stands relative to leveraging task teams for increased involvement in the allocation of scarce resources and the generation of public value; from this arises the notion of an expectation by the public for PV benefits. Given current conditions of complexity and uncertainty, PV conceptualisation in terms of what the public values and what adds value to the public sphere becomes relevant (Benington in Benington and Moore 2007:7).

Hills and Sullivan (2006:13) hold that the core attributes of PV are contained in the elements of efficiency, effectiveness, democracy, transparency, equity, authorisation and trust as they relate to the production of goods and services. The authors emphasise that PV hold a strong bond between its elements and core PVs, which are quality of life, wellbeing and happiness, social capital, social cohesion and social inclusion.

Thompson and Rizova (2015:566) argue that PV requires an unambiguous definition and that to merely describe PV in terms of administrative values such as equity, efficiency, fairness, justice, prudence, transparency, social cohesion is inadequate. Moore (in Thompson and Rizova 2015: 566) states that PV may be understood in terms of realising collective aspirations for specific outcomes with the economical utilisation of resources and authority. Moore and Hartley (in Thompson and Rizova 2015:566) support the view that a definition of PV cannot exclude regard for social development and public welfare.

Benington (2009:232) holds that deliberative democracy is an essential operating principle for satisfying PV demands, the criteria of which are vested in qualitative and quantitative elements,

as it relates to PV operability and axiology (how value is given meaning, interpreted and applied). The deliberative nature of stakeholder engagement may lead to tension between civil groupings since difficulties arise in defining elements of PV in empirical terms. Benington and Hartley (2019:149) advocates for the generation of PV utilising action research in the context of complexity and dynamic transition in dispensing with aged practices.

Rutgers (2015:32-34) endorses the following definitions of PV: (i) PV is anything of interest to a human subject (Rescher 1982); (ii) that which is desired in a society (Sills 1968); (iii) everything has a value (Spano 2009); and (iv) PV has a normative basis relating to human rights, perception and value (Putnam 1993). The ‘social empiricism’ of Putnam, (1993 and 2002) adds strength to the concept of PV in a redefining and elucidating manner. Rutgers (2015:30) brings to light the element of uncertainty in defining PV. He juxtaposes Moore’s (1995) public value management (PVM) with Bozeman’s (2009) public value failure (PVF) model, thereby opening a debate on the axiological understanding of PV. Some of the key elements for PVM (Bozeman 2009) is found in Annexure E.

Meynhardt (2009:193) defines PV as a non-normative construct contextualised in a post-bureaucratic paradigm, taking account of psychological, financial, philosophical and pragmatic attributes that connect the “private and public spheres”. He places importance on the heterogeneous (mixed) social aspects of PV and continuous feedback in principle. Meynhardt (2009:205) holds that PV is “anything people put value to with regard to the public”. PV incorporates people’s interests, what people place a value on, their needs, desires, cognitive and psychological and social wellbeing (Rutgers 2015; Rescher 1969; LaPiere n.d.; Park and Burgess n.d. in Meynhardt 2009:197).

### **2.8.1 Approaches to PV theory**

PV is a universal concept which refers to the production and measurement of social benefits issuing from stakeholders, operating within an IPSS, aiming to enhance and maintain social standards and quality of life generally. *Public values* touch on pure ‘social’ ethics while *public value* (PV) refers to the value of infrastructural social elements (utilities) and their nontangible derivatives. De Bruijn and Dicke (in Hills and Sullivan 2006:71) contend that *public value* and *public values* are “empirically” and “normatively” different.

### **2.8.1.1 New Public Management (NPM) and PV Management approaches**

New Public Management (NPM) is characterised by privatisation, economic austerity, value for money, and gearing budgets to the receipt of tangible reward. Stoker (in Meynhardt 2009:195) describes NPM as entailing “out with large, multipurpose hierarchical bureaucracies and in with lean, flat, autonomous organizations drawn from the public and private sectors and steered by a tight central leadership corps”. Under NPM, PV generation has left public bodies alienated from public ownership as it has diminished interest in effective public participation. PV Management addresses public needs and demands, relative to public purpose and interest, ensuring subsistence and human dignity (Bozeman 2007:155, 186).

Turrell (2014:483) points out that NPM shows accountable interest not to public bodies directly, but more to the market. Many aspects of investment for long-term benefits in the social milieu (infrastructure, housing, libraries and community facilities) were excluded from NPM interests in building stable sustainable communities. Turrell (2014:483) argues that PV management employs co-production as a means of including public bodies in production, hence reducing fragmented social development. PV management theory embodies governance practices relating to outcomes, relationships, collectives and inclusive operations, expressed preferences, multiple objectives, service outputs, satisfaction, collective outcomes, trust, legitimacy and multiple accountability systems (Greve in Turrell 2014:483).

### **2.8.1.2 The public value perspective (PVP) approach**

Jørgensen and Rutgers (2015:4-5) believe that a PV perspective (PVP) arises from public value creation (or annihilation) processes and that a PVP establishes PV as an outcome of collective processes; the PV annihilating factors (“disvalues”) are described as, for example, corruption and lack of integrity. PVs stem from regime values, described as (i) universal PVs that are critical for the running of governments, and (ii) PVs which are based on norms, or the constitution (Jørgensen and Rutgers 2015:8). The authors hold that a PVP may be constructed from (i) a descriptive (theoretical-empirical) model, and (ii) an evaluative research agenda, which would in combination serve PV generation. In relation to the PVP approach, a framework may be constructed for a PV universe, which would contain empirically defined, deliberated PV (Jørgensen and Rutgers 2015:6-7; Bozeman and Johnson 2015).

### **2.8.1.3 The governance approach to PV**

The governance approach to PV generation and measurement, located in the network paradigm, argues that the principles of complexity, network theory, nonlinear integrated systems and a fully participating public in open exchange with the micro-, meso- and macro-level spheres of government, apply (Stout and Love 2015:13-14). PV generation (and PV governance) cannot thrive in hierarchical environments, particularly in an era of “social change” which embraces the benefits of digitalisation, i.e. advanced forms of communication, making the demands for information, data and participation a daily phenomenon (Lipnak and Stamps, Clegg and Kooiman in Agranoff 2003:1). Pattakos and Dundon (in Agranoff 2003:1) emphasise the importance of the interconnections between innovation, collaboration and performance, and suggest that PV governance should capitalise on insights and ideas across the functional silos.

O’Toole and Radin and Klijn (in Agranoff 2003:1-3) hold that PV generation is best achieved through collaboration among actors in order to achieve facilitation, rational decision making, cooperation and learning as indispensable aspects of governance in PV generation. Moore (in Agranoff 2003:2) and Casey (2015:110) explain that effective network governance facilitates knowledge sharing and knowledge transference, which stakeholders require to generate PV, PV policy and the capacity building of IPSS network stakeholders.

### **2.8.1.4 An economic approach to PV**

Thompson and Rizova (2015:567) put forward an economic approach to PV, based on market engagement. Moore and Hartley (in Thompson and Rizova 2015:567) argue that PV cannot be independently conceived and delivered by government. The authors explain that PV generation is driven by (i) non-hypothetical-deductive factors, (ii) learning from empirical market trends, (iii) a complex environment, (iv) legislation that is the binding force between government and business, and (v) value creation where benefits accrue, maximizing PV as a net benefit for the public. Meynhardt (2009:209-211) uses an underlying business-economic approach to PV generation, integrating the material, financial, psychological factors and the social heterogeneity of larger public groupings. The author holds that PV, given an economic basis, is measurable in terms of financial and social variables and parameters. All basic needs and hence public goods and services, which gives rise to aesthetic non-material benefits (nontangible PV), have a financial equivalent which has value (or added value) in terms of its transformational qualities (Meynhardt 2009:209).

Meynhardt (2009:209-214) argues that PV inputs to advance social welfare, therefore, equates to investment, which is subject to a trade-off at a given cost or affordability, depending on the availability of resources. The author supports the subjective utilisation of value regarding “one or more basic needs” in satisfying customer choice, demands and needs; he asserts that economic value is imbued in PV and enhances stabilising qualities such as sustainability, public interest, innovation and services quality, i.e. “instrumental” and “utilitarian” elements.

One may assume from Meynhardt’s (2009) economic theory of PV that the accumulated effort (organisation, labour and time) expended, as well as the sum total of resources required by the public, should equate to a quantified sum of PV produced. It may be assumed that material and nonmaterial values produced in an IPSS may be cost, through simple accounting, cost-benefit analysis and or cost-efficiency analysis. PV generated have material, infrastructural and transformative qualities, which are means to ends, in attaining social wellbeing, privacy, happiness and healthy sustenance that require daily renewal. Nontangible PV is gained from the tangible PV generated, in which the elements of public participation, public interest and customer satisfaction are invested.

#### **2.8.1.5 The Public Value Mapping (PVM) approach**

Bozeman (2009:4) explains Public Value Mapping (PVM) as a scientific approach to PV representation given the multiple determinants, i.e. “multiplexity” of social outcomes while integrating the vital role of the public, government and business sector networks in society. PVM embraces normative and explanatory theoretical positions to implement gains made by research and development in the utilisation of human, organisational, and financial resources for social benefit. PVM implies keen observation and identification of social and economic interconnections which are catalytic in producing PV. Bozeman (2009:25) holds that PV mapping must be relevant to tangible, nontangible, desirable or other criteria for gauging the impact of science on social life, i.e. identification of specific needs deficits, general happiness, transformational demands and social connectivity in communities.

#### **2.8.1.6 The PV-failure approach**

Bozeman (2009:5) argues that PV failure arises when vital scientific research is not utilised for social development and growth, i.e. when the results of scientific enquiry are not directly detected in the market nor by cost-benefit calculations. Bozeman and Sarewitz (2005:123)

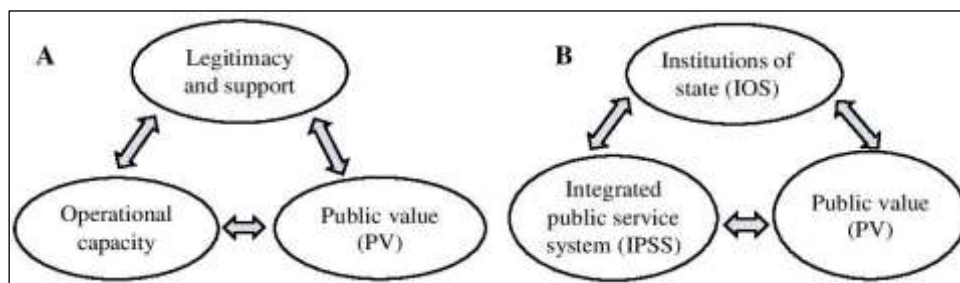


name six PV factors which lead to PV failure, namely, (i) poor PV identification, (ii) market forces, (iii) non-implementation owing to scarcity of providers, (iv) inadequate time for implementation, (v) planning concerning employment of resources, and (vi) benefit hoarding (only certain groups in society benefit from PV created).

Berlin and Spicer (in Van der Wal, De Graaf and Lawton 2011:332) argue that the multifaceted character of value conflict between public and government actors, when judgements and decisions are being made about policy and task implementation, can be disabling. The authors argue that, either explicitly or implicitly, a coercive tendency arises on the part of government, which affects public bodies as stakeholders negatively. This approach concludes that a pure consequentialist or utilitarian morality cannot exist within bureaucracies. Van der Wal *et al.* (2011:333) adopt Weber’s notion of ‘instrumental rationality’ to explain that governments believe that they own and produce PVs and therefore, where conflicts exist, they possess the authority (coercive power) to make decisions that may lead to PV failure.

### 2.8.1.7 The strategic triangle as a PV approach

The strategic triangle (Figure 2.14 A) utilises the key constructs of Moore’s theory of PV (Moore and Khagram 2004:3). ‘Legitimacy and Support’, ‘Operational Capacity’ and ‘PV’ are positioned in an equilibrational relationship as the three essential components that bring PV to fruition. Figure 2.14 B represents an adaptation of Moore’s ‘strategic triangle’ approach which illustrates the components of systems integration for an IPSS. In this model (i) the Institutions of State (IOS) are seats of authority, legitimacy and support; (ii) an integrated, nonlinear system is responsible for networked governance; and (iii) the generation of PV products and services (PV outcomes) benefits society generally. In Figure 2.14 B the IPSS is the strategic vehicle for PV generation, as it possesses operational capacity in conformity with Moore’s model below:

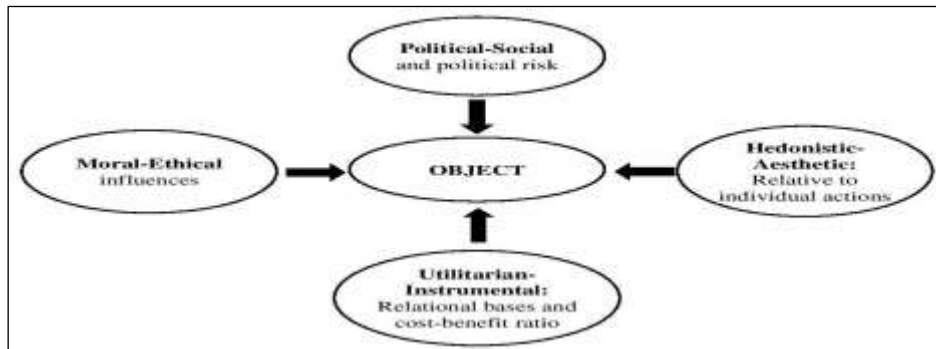


**Figure 2.14: The Strategic Triangles A and B**

Source: Adapted from Moore and Khagram (2004:3)

Meynhardt (2009:208) proposes four basic dimensions of PV generation, i.e. indispensable

socio-economic criteria (illustrated in Figure 2.15), to complement Moore’s ‘strategic triangle’ model (Figure 2.14 A) and to highlight a qualitative perspective of PV. The challenge of measuring nontangible moral material values persists in terms of quantifying elements perceived as nontangible PVs. Meynhardt (2009:208) presents PV as embodying hedonistic, socio-political, moral-ethical and utilitarian (object-related) elements.



**Figure 2.15: Four inductive evaluation perspectives (dimensions) of PV**

Source: Meynhardt (2009:208)

Williams and Shearer (2011:1371-1372) hold that the power and heterogeneity of the IPSS actors, i.e. government (IOS) interest groups and donors should be accounted for, as this has an influence on how PV is created and conceived. Blaug, Horner and Lehki (in Scott 2010:276) argue for a more direct public role in PV generation as Moore’s ‘strategic triangle’ contains predisposition towards government and business as primary actors.

## 2.9 PV generation

PV generation, the essential product of an IPSS, is directly related to the satisfaction of the needs, demands and desires of citizens and the business sector. Bozeman and Johnson (2015:62) hold that (i) public sphere and (ii) progressive opportunity determine ‘what’ PV is produced. The authors define the public sphere as a catalytic factor which stimulates social change. Beierle and Konisky, Stiglitz, Mistzal and Kydd (in Bozeman and Johnson 2015:70) argue that cooperation, trust and fairness lend themselves to effective PV generation. Kelly *et al.*, Borgonovi, Moore (in Spano 2009:330) and Benington and Moore (2007:13-18) agree that value created by citizens, the market, community, government and civil society constitutes PV; the higher the need satisfied, the higher the PV manifested. Spano (2009:332) supports co-operation and collaboration as networked tasks between stakeholders to generate PV. PV is generated through the careful mix of “the institutionalisation of collaborative efforts, integration of skill, willingness and capacity”, in a sustainable network structure, with the

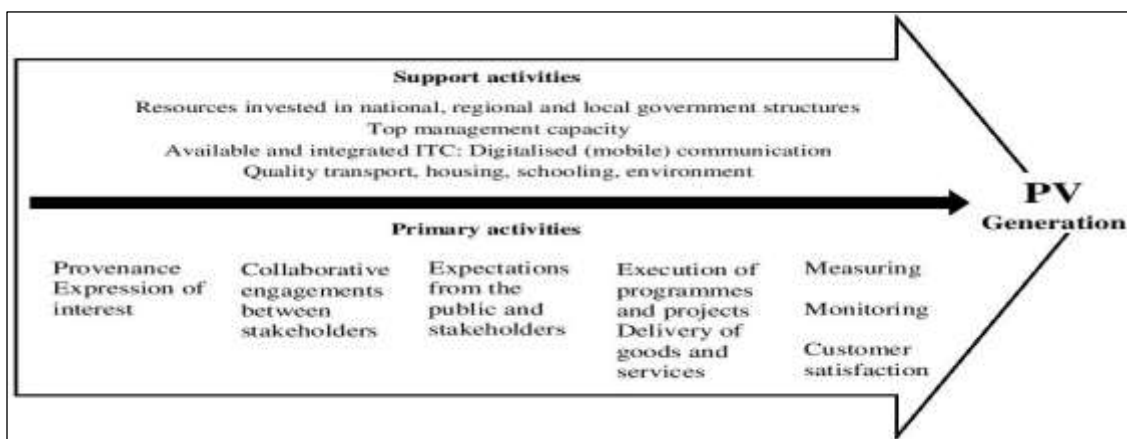
“holistic envisioning” from a broad stakeholder group (Jessa and Uys 2018:301).

### 2.9.1 The normative-consensus model of PV generation

Bozeman (2007:10-12) argues that the ideal mix of political and economic authority (an optimum point) exercised by institutions (public and government) relates to what the public regard as ‘normative publicness’, i.e. public interest that best serves the long-run survival and wellbeing of civil society. Bozeman (2007:14) and McInnes (2001:500) note that not all PVs are positive; negative PVs serve to inhibit the rights of others, invariably minority groups. The normative characteristics of PV may be understood in terms of (i) public ideals, rights, demands and services, (ii) what is good for whole entities, (iii) deliberative decisions made by communities, (iv) general consensus, and (v) basic needs to survive (Bozeman 2007:132-134). Dunleavy, Margetts, Bastow and Tinkler (2005:467) maintain that PV generation characterised by disaggregation, competition and incentivisation is gradually being replaced with PV management characterised by reintegration, needs-based holism, co-productivity and digital-era governance (DEG). The authors believe that a power-sharing government will produce a shift from agency-centred to citizen-centred government, thereby establishing a normative-consensus model for PV generation.

### 2.9.2 Employing the PV ‘chain’ in PV generation in an IPSS

PV generation may comfortably utilise a value-chain instrument to identify, manage and measure the elements of PV in its phases of producing value (value accumulation), i.e. utilities matching the needs and demands from the citizenry in an IPSS and the sub-systems of the IPSS. Moore (2012:28) adapted Porter’s Value Chain model (1985) to demonstrate the primary activities in the PV ‘chain’ (Figure 2.16).



**Figure 2.16: PV Chain**

Source: Adapted from Porter in Johnson and Scholes (2002:161) and Moore (2012:28)

Each of the primary activities stated in Figure 2.16 creates value which may be quantified, increasing PV in both tangible and nontangible forms. The cost of the PV generated should exceed its monetary value as the nontangible components may be difficult to cost (for example, surveillance cameras, or brighter street lights may have cost, but it may be more difficult to cost personal safety and general wellbeing).

### 2.9.3 A humanist approach to PV generation

Meynhardt (2009:193) holds that PV generation, from a psychological-business perspective, relates to the important civil society places on PV requirements. Stoker (in Meynhardt 2009:194) contends that PV management demands deeper awareness of public managers to go beyond the tasks of attaining their targets and procedures, and ask if their actions are bringing a net benefit to society.

In Table 2.4 Meynhardt (2009:202) presents a framework of human elements, i.e. four value dimensions of a needs- and values-based non-prescriptive paradigm; these dimensions are moral-ethical, political-social, utilitarian-instrumental and hedonistic-aesthetical values, in line with his view of the strategic triangle posited in Figure 2.15. Table 2.4 shows the interrelationships between the various humanist PV elements which may be employed as indicators for the measurement of PV generated (Meynhardt 2009:200).

**Table 2.4: Relation between basic needs and four basic value dimensions of PV**

Basic needs	Translation	4 Basic value dimensions & PV elements
<b>Positive self-evaluation</b>	<ul style="list-style-type: none"> <li>•Positive self-concept and self-worth</li> <li>•Consistent relationship between self and environment</li> <li>•Feeling of high self-esteem (in social comparison)</li> </ul>	<b>Moral-ethical:</b> <ul style="list-style-type: none"> <li>• <i>Human dignity</i></li> <li>• <i>Diversity</i></li> <li>• <i>Integrity</i></li> <li>• <i>Secrecy</i></li> </ul>
<b>Maximizing pleasure and avoiding pain</b>	<ul style="list-style-type: none"> <li>•Positive emotions and avoidance of negative feelings</li> <li>•Flow-experience</li> <li>•Experience of self-efficacy due to action</li> </ul>	<b>Hedonistic-aesthetical</b> <ul style="list-style-type: none"> <li>• <i>Cultural heritage</i></li> <li>• <i>Reliability</i></li> <li>• <i>Beauty of public spaces</i></li> <li>• <i>Services quality</i></li> </ul>
<b>Gaining control and coherence over one's conceptual system</b>	<ul style="list-style-type: none"> <li>•Understanding and controlling environment</li> <li>•Predictability of cause and effect relationships</li> <li>•Ability to control expectations to cause desired outcomes</li> </ul>	<b>Utilitarian-instrumental</b> <ul style="list-style-type: none"> <li>• <i>Self-initiative</i></li> <li>• <i>Openness</i></li> <li>• <i>Robustness</i></li> <li>• <i>Sustainability</i></li> </ul>
<b>Positive relationships</b>	<ul style="list-style-type: none"> <li>•Relatedness and belongingness</li> <li>•Attachment, group identity</li> <li>•Optimal balance between intimacy and distance</li> </ul>	<b>Political-social</b> <ul style="list-style-type: none"> <li>• <i>Citizen involvement</i></li> <li>• <i>Equal opportunities</i></li> <li>• <i>Compromise</i></li> <li>• <i>Social innovation</i></li> </ul>

Source: Meynhardt (2009:203)

Meynhardt (2009) therefore holds that PV is constituted of a composite of moral, individual, utilitarian and socio-political attributes that may be measured; as these values are generated

from ‘the bottom-up’ (Table 2.4), they may also be understood in terms of a common hierarchy of needs, as basic PV is primarily required by citizens before higher-order needs are pursued, particularly in developing societies.

Nabatchi (2012:29) formulated the four frames framework (illustrated in Table 2.5) for the recognition of the humanistic PV elements in each one, i.e. in relation to content value, rationality and methodology. She states that the political, legal, organisational and market PV drivers should be aligned to the humanistic element in each of the criteria in the matrix. Nabatchi (2012:22) holds that the instrument is a flexible and adaptable guiding framework for the interpretation, communication and negotiation of PV elements. Nabatchi (2018:68-69) makes the point that in the absence of governance frames (political, legal, organisational and market) PV cannot be established and the misinterpretation or inappropriate use of the frames will lead to a failure in PV generation.

**Table 2.5: Four PV frames for administration and governance in PV generation**

VALUES FRAME	Political	Legal	Organisational	Market
<b>Content values</b>	Participation Representation Political responsiveness Liberty Equality	Individual substantive rights Procedural due process Equity	Administrative efficiency Specialisation Expertise Authority of positions Merit Formalisation Organisational loyalty Political neutrality	Cost savings Cost efficiency Productivity Flexibility Innovation Customer service
<b>Prevailing mode of rationality</b>	Substantive rationality (using deductive, dialectical and deontological reasoning grounded in history)	Legal rationality (using inductive and deductive reasoning in light of issues, facts and rules)	Technocratic and functional rationality (using teleology, utilitarianism and instrumental reasoning)	Instrumental rationality (reinforced by economic liberalism and economic individualism)
<b>Predominant methods</b>	Popular participation (both direct and indirect) Institutions that ensure democratic liberties and equality Civic education Interest aggregation	Adversary procedure (including processes such as rulemaking, investigating, prosecuting and negotiating)	Hierarchy Empiricism Scientific methods (rationally established procedures to assess content values against goals and objectives)	Market-oriented reforms such as privatisation, downsizing, streamlining, competition, contracting out, franchises, voucher programmes

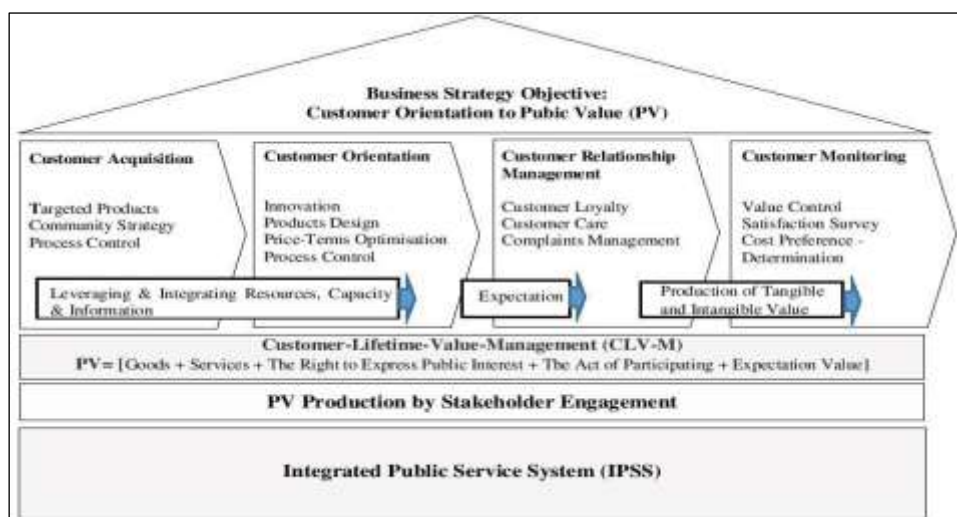
Source: Nabatchi (2012:29)

Van der Wal *et al.* (2011:336-338) present a stakeholder approach which acknowledges current hierarchical-institutional arrangements as a dominant phenomenon and hence maintains the need for planned public intervention in the realisation of PV and outcomes; the authors hold that a value rational orientation (government’s intentions) and purpose rational orientation (guided by extrinsic push factors) are at the crux of the tension relating to PV generation, which supports the humanistic views of Meynhardt (2009:193). Quinn and Rohrbaugh (in Van der Wal *et al.* 2011:334) caution that the effectiveness of PV delivery is mainly dependent on

public inclusion as stakeholders. Furthermore, PV generation is influenced by (i) organisational dynamics, and (ii) the conflict between stability and control on the one hand, and flexibility and change, on the other, i.e. conflicting values (Van der Wal *et al.* 2011:334).

#### 2.9.4 A model for PV generation and measurement in an IPSS

Hofmann and Mertiens (2000:10) developed the Customer-Lifetime-Value-Management (CLV-M) model, which incorporates producer-customer relations and value additions in order to guarantee client satisfaction in a consistent customer-focused manner. The model, (Figure 2.17) was adapted to IPSS requirements incorporating an important people-centred dimension, namely, integration and a flow diagram for PV generation, consisting of (i) leveraging and integrating resources, capacity and information; and (ii) customer expectation and PV generation. CLV-M focuses on the totality of all customer relations acknowledging that customers have unique needs and demands and therefore a multidimensional approach to value products and services is required.



**Figure 2.17: Key components of a multidimensional approach to the generation of public value (PV)**

Source: Adapted from Hofmann and Mertiens (2000:199)

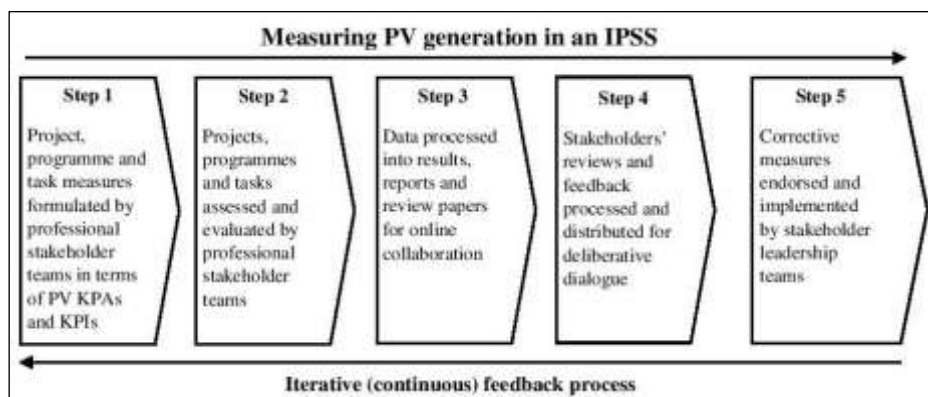
The model resides in an IPSS, indicated as the foundation of the PV generating process (Figure 2.17). The three inner levels of the model illustrate governance criteria and productivity levels, driven by the exercise of strategic and common stakeholder objectives. The ‘one size fits all’ approach cannot, therefore, apply in the CLV-M model as stakeholders apply an integrative network apparatus.

## 2.10 Measuring PV

Measuring PV generation in an IPSS is necessary in order to (i) evaluate PV criteria, definitions and appropriateness, (ii) identify structural holes and weak network ties, (iii) measure productivity in hubs, nodes and actors, (iv) gain insight and clarity into the tangible and nontangible PVs, (v) match PV produced with the needs, demands and expectations formulated by actors, and (vi) evaluate the effective and efficient use of resources, capacity and information against actual value produced.

### 2.10.1 Utilising a survey methodology

Stejskal and Hájek (2015:145) state that the survey method of evaluating the effectiveness of PV produced (or perceived products and services) is effective when the population is large. The authors hold that results from a measured service are comparable to other public services and important for the allocation of public resources. The survey method is used to measure (i) market-related behaviour, (ii) return on investment (iii) product worth and (iv) cost-benefit analysis of nontangible PV generated (Stejskal and Hájek 2015:145).



**Figure 2.18: Measuring PV generation as an integrated evaluation process in an IPSS**

Source: Adapted from Flamholtz (in Spano 2009:343)

Figure 2.18 illustrates the integrated steps in measuring PV and the prominent role played by stakeholders in the process, i.e. in (i) formulating the PV evaluation measures, (ii) adopting and following an evaluation process, (iii) reporting on results, (iv) maintaining a feedback process, and finally (v) implementing the corrective measures. The process is best operated as an online integration tool for easy access by stakeholder teams familiar with operating networks in the IPSS, given that feedback is a necessary condition of PV measurement.

### 2.10.2 Utilising a criteria-driven framework

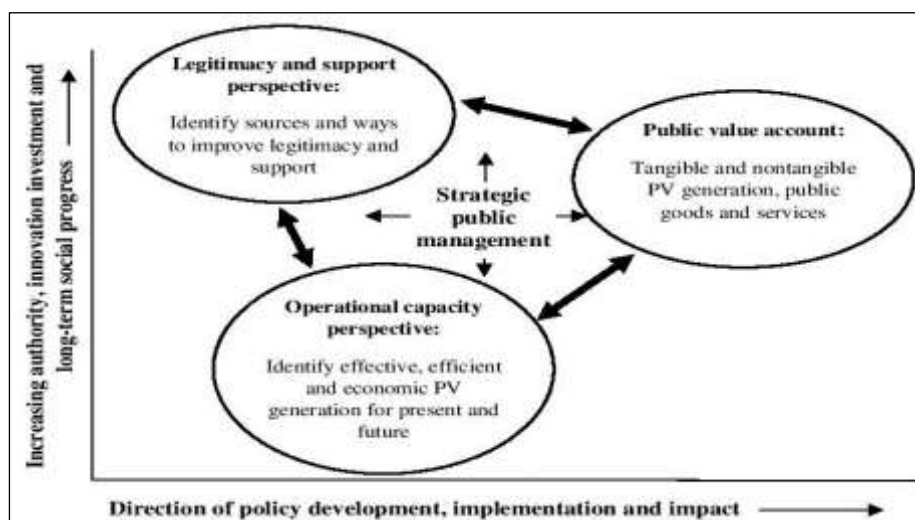
Hills and Sullivan (2006:13) employ PV clusters (categories of PV criteria) in their framework

to identify PV measures (indicators). Each cluster or domain of public life would have PV criteria pertinent to it; for example, a service delivery process would have the criteria of efficiency, effectiveness, cost-effectiveness, democracy, transparency, equity, authorisation and trust (Hills and Sullivan 2006:13). A criteria-driven framework for measuring PV utilises measures for (i) appropriateness, (ii) holism, (iii) democracy, (iv) trustworthiness, and (v) outcomes of PV generation; these core criteria are measured against (i) agenda setting, (ii) task definition, (iii) implementation and delivery, (iv) outcomes, and (v) impact (Hills and Sullivan 2006:13). According to the authors, clusters relate broadly to PV outcomes such as quality of life, wellbeing, happiness, social cohesion, social inclusion, safety and civic engagement.

Horner, Fauth and Mahdon (2006:71) hold that PV criteria are guided by a rationale which clarifies (i) motivation to measure, (ii) what to measure, (iii) what creates and what destroys PV, and (iv) public accountability. According to Moore (2012:26), PV measures should drive (i) effective public oversight, (ii) political and managerial accountability, and (iii) a simple user-friendly PV scorecard (PVSC).

### 2.10.3 Utilising a Public Value Scorecard (PVSC)

Moore (2003b:10) incorporated the principles of the Balanced Scorecard (Kaplan and Norton 1996) and the Strategic Triangle (Moore and Khagram 2004:3) to create the PVSC, an instrument designed to measure the successful implementation of PV, its subsequent evaluation and ultimate benefit accrued to citizens. Figure 2.19 illustrates that the PV is banked in a Public Value Account (PVA), which indicates long term social progress.



**Figure 2.19: The Public Value Scorecard (PVSC)**

Source: Moore (2012:30)

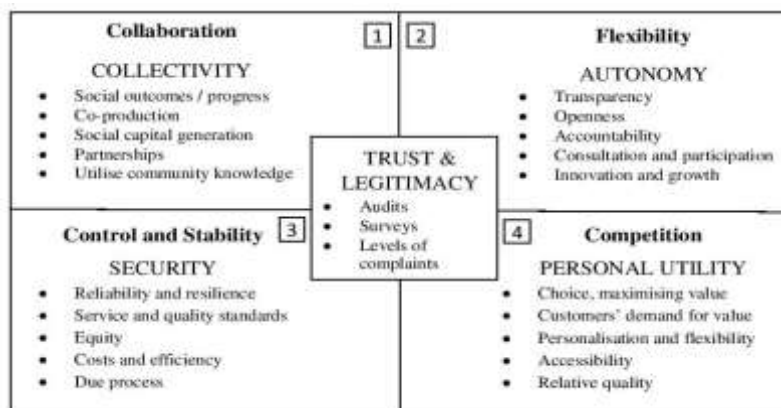


The PVSC measures collective assets against collective values achieved. In a practical sense, stakeholders' interests and IPSS strategic generation of PV should primarily aim to develop (enhance) (i) operational capacity, (ii) legitimacy and authority structures, and (iii) the contents of the PVA. These would constitute the measures against which the PVSC measures actual performance and citizens' satisfaction outcomes.

Meynhardt, Gomez and Schweizer (2014:6) present a PVSC distinctly different from Moore's model; five dimensions (measures) of PV are stated, namely, (i) utility, (ii) decency, (iii) profit or benefits accruing, (iv) political acceptability, and (v) the quality of the experience obtained from the PV implemented. The authors hold that the PVSC facilitates public capacitation through increasing PVs in their immediate communities.

#### 2.10.4 The Competing Values Framework (CVF)

In Figure 2.20 below, there are five dimensions to be fulfilled in the assessment (measurement) of PV (Talbot 2008:18). In each quadrant, PV is defined and characterised. In the Collectivity dimension (quadrant 1) the bulleted PV come to fruition through the practice of collaboration, giving rise to the prospect of measuring the stated PV, in relation to the improvement of community wellbeing, stability, rise in spending and employment levels. The Autonomy dimension (quadrant 2), given by the PV defined and characterised, may be realised through a culture of creativity and flexibility, giving rise to the prospect of measuring these PV (elements), such as the readiness to engage and participate with stakeholders. The elements in the Security dimension (quadrant 3) may be achieved through a culture of controls (policy and regulation), giving rise to the prospects of measuring the PV, thus measuring the readiness to engage with stakeholders in discursive and deliberative ways to ensure fairness and order.



**Figure 2.20: Competing Values Framework for measuring PV generation**

Source: Talbot (2008:18)

In the Personal Utility dimension (quadrant 4), PV is achieved through a culture of competition, giving rise to the prospects of measuring PV created in relation to social engagement, motivation, social competitiveness and personal achievement. The PV given in the Trust and Legitimacy dimension are relevant to each one of the competing sets of PV domains, which in combination provide a holistic evaluation of PV generation, with public engagement.

## 2.11 Case studies: PV assessments

The following cases suggest the potential of instituting IPSS principles and PV generation. The common dynamics in these cases are the need for community engagement, effective utilisation of resources, open dialogue and flexible, nonlinear approaches from municipalities.

### 2.11.1 The Twin Cities ‘experiment’ in PV generation (for a developed country)

Bryson (2012:4) collated a set of PV criteria from a study in PV evaluation, holding focus groups with metro managers, business persons, non-profit organisations (NPOs) and policymakers from Twin Cities, Minnesota, USA. Twin Cities is a modern metropolis characterised by historical social, educational and housing segregationist policies. Bryson (2012:38) holds that the biggest challenge relating to PV and social life faced by the inhabitants of Twin Cities was to bridge the historical and economic divides. Table 2.6 lists the PV identified by the respondents in a needs-based assessment; the study may be thoroughly examined to ascertain why the City could not accomplish the demands and expectations of the communities involved.

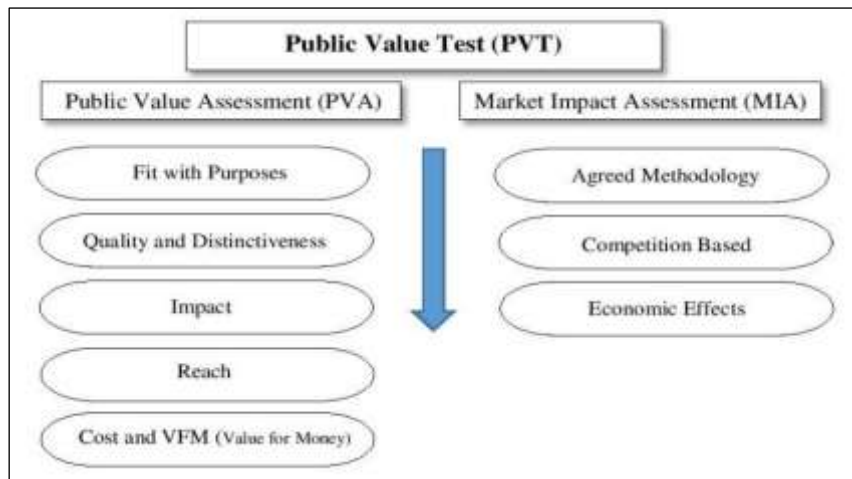
**Table 2.6: PV criteria employed by a focus group in Twin Cities, Minnesota**

Tangible PV criteria (Public goods and services)	Nontangible PV criteria (Community wellbeing)
<ul style="list-style-type: none"> <li>• Public safety.</li> <li>• Producing a stronger local economy.</li> <li>• Preserving life and safety.</li> <li>• Provision of and maintenance of infrastructure.</li> <li>• Disaster transitioning to recovery.</li> </ul>	<ul style="list-style-type: none"> <li>• Encouraging public and non-profit services.</li> <li>• Building community capacity.</li> <li>• Improving the quality of life.</li> <li>• Providing reliable service at a reasonable cost.</li> <li>• Providing effective, efficient, quality services.</li> <li>• Ensuring better decision making for public and private benefit.</li> </ul>

Source: Adapted from Bryson (2012:4)

### 2.11.2 The BBC’s “Two-Step” PV test referred to as the PVT

The British Broadcasting Corporation (BBC), Britain, utilises a “Two-Step” PV test, known as the PVT, to measure the success of PV generation in the public response to the broadcasting of new programmes, as illustrated in Figure 2.21 (Grant, Tan, Ryan and Nesbitt 2014:13).



**Figure 2.21: The BBC’s “Two-Step” Public Value Test (PVT)**

Source: Grant, Tan, Ryan and Nesbitt (2014:13)

The first application (step) of the test, the Public Value Assessment (PVA), comprises a survey of the criteria, i.e. categories listed on the left of Figure 2.21, the BBC PV drivers, indicated in the BBC Charter. The second application, the Market Impact Assessment (MIA), is a follow-up survey, which evaluates post-process market criteria, the categories which are indicated on the right of the Figure 2.21 (Grant *et al.* 2014:13).

### **2.11.3 PV criteria emerging from studies in underdeveloped communities**

Dinda (2014:890) found that community development projects raise the confidence levels and feeling of wellbeing of the vast majority of the participants; they created employment opportunities and improved social relations, which stimulated the local economy. The author states that PV criteria in poor communities relate to the quality of nutrition, harnessing and utilisation of social resources, capacity building, school attendance and improved quality of education. Alkire (2009:3) places importance on the multidimensional nature of poverty in terms of (i) quality of education, (ii) governance, (iii) child poverty, (iv) fair trade, (v) gender discrimination, and (vi) happiness, utilising the gross national happiness (GNH) index. Harris (2007:436) employed the following criteria to monitor optimism in South Africa: (i) general happiness, (ii) trust, (iii) satisfaction, (iv) economic wellbeing, (v) optimism about prosperity, and (vi) comfort with relationships between population (racial) groups. Dekkers (2008:506) employed three dimensions of poverty in the Belgian context, namely, material and social deprivation and psychological health, reflected in Table 2.7.

**Table 2.7: PV concerns applicable to poor communities (Belgium)**

PV concerns relative to the multidimensional nature of poverty in Belgium	
1. Unpaid bills.	14. Rotteness.
2. Poverty, joblessness, poverty, immigrant status.	15. Pollution.
3. Difficulties making ends meet.	16. Criminality.
4. Poor health or a disability.	17. Subsidence (cracks).
5. Necessary income, being divorced or widowed.	18. Internal noise.
6. Consumption.	19. Internal privacy.
7. Housing costs.	20. External privacy.
8. Dwelling living in housing camps.	21. Debts.
9. Rooms.	22. Memberships.
10. External noise.	23. Enhancement in educational status.
11. Darkness in the dwelling.	24. Entertainment and recreation facilities and opportunities.
12. Heating.	25. Psychological health; a number of cumulative deprivations.
13. Damp.	

Source: Dekkers (2008:506)

## 2.12 Summary

Complexity science, actor-network theory (ANT), complex adaptive systems (CASs), network theory and public value theory, were utilised to formulate a perspective for an IPSS, a system suited to the generation and measurement of PV. The concept of an IPSS thus emerges from the empirical utilisation of nonlinear systems' principles, which were adopted to encourage a paradigm shift away from the linear-hierarchical public managerial models currently found in government. IPSSs were treated as dynamic, complex, open and flexible systems, with the ability for self-regulation and self-organisation (autopoiesis) and capable of operating effectively and efficiently in conditions of organisational and environmental entropy.

Networks were described as organisations of stakeholders (teams with common objectives) in relationships to generate PV. An IPSS is composed of operating network structures involving the public, IOS and private organisations (businesses), utilising the networked governance principles of deliberative democracy, openness, flexibility, and accountability to stabilise and sustain itself. The IPSS is a system which draws its functioning from empirical criteria such as effective collaboration, coordination, cooperation, integration, the formation of PPPs and strategic alliances between engaged networks. Collectively, the utilisation of these criteria ensures nonlinear network functioning, integration and PV generation.

Networked governance draws governance and management practices away from linear organisational arrangements and makes a case for governance in a context of nonlinearity, openness, collaboration, holism and deliberative democracy. In this way, IOS such as

municipalities are envisaged to operate within an IPSS network constituted by network agents, agencies and stakeholders driven by a common purpose. In essence, an IPSS is a productive public system befitting the global technological era, foreseen to be effective, efficient, accountable and citizen-driven, able to eliminate waste relating to inappropriate managerial structures, functions and practices.

One may assume that public management practice is embedded in the system that it is governed by; it is rational to conclude, then, that an IPSS will produce or deliver (i) PV, added PV and social values, (ii) intellectual, social and human capital development, (iii) frameworks for the preservation and careful utilisation of scarce resources, (iv) inclusive and participatory stakeholder networks, and (v) standards for measuring quality of life and sustainable futures.

PV was defined in terms of its tangible and non-tangible qualities, as products and outcomes from an IPSS, as the efforts of stakeholders in network relationships and in terms of the needs and demands expressed by the citizens as stakeholders. PV was discussed in relation to (i) its embeddedness in relationships, social interaction, trust between stakeholders and trustworthiness, and (ii) in relation to networked governance. PV management acknowledges systemic complexity, the heterogeneity of public groups and the institutional and organisational flexibility required for the generation and measurement of PV. An IPSS is, therefore, a value-producing system, utilising resources, capacity, information and social capital, as a viable alternative to the current inwardly focused bureaucratic system of government and governance.

The direct participation of citizens assists government bodies (IOS) and stakeholders from all avenues of civil society to deliberate on the implementation of their needs and demands for their desired way of living. Social stability and sustainability are therefore considered PVs. Nontangible PV is defined as social goods from which all citizens derive 'mutual' benefit, as they enhance states of wellbeing, social engagement, personal safety and social progress.

## CHAPTER 3

### **SOUTH AFRICAN LOCAL GOVERNMENT LEGISLATION AS A PLATFORM FOR THE IMPLEMENTATION OF AN INTEGRATED PUBLIC SERVICE SYSTEM (IPSS) AND THE GENERATION OF PUBLIC VALUE (PV)**

#### **3.1 Introduction**

This study on aspects of South African legislation is primarily concerned with the emergence of an integrated public service system (IPSS), how it generates public value (PV) and how it is supported by the local government Institutions of State (IOS). The preceding chapter explained and described the theory of nonlinearity and open network governance systems; it provided definitions of PV and explained the operability of an IPSS. The municipalities in the Western Cape province are the focus of the study.

The principle of periodic change in management disciplines is generally accepted; municipal management is compelled and to a large extent pressured by exogenous factors and demands from citizens to be dynamic, transparent, adaptable and resilient, i.e. to transform or change in line with the changing political, material and economic conditions, so that smooth service delivery is effected. Municipal operationality and cooperative governance in South Africa is theoretically geared to attain efficient and effective service delivery, in line with legislative and policy guidelines. However, there is a real disjuncture between theory and practice, between what is legislated and how legislation and policy unfold institutionally and in communities. The results of the legislative implementation are observable when public management is strong, i.e. when organisational dynamics and design, productivity, performance measurement, the efficiency of service delivery, efficiency of resources utilisation and high levels of satisfaction among local citizens are attained. Non-compliance with the requirements of the Auditor General of South Africa (AGSA) and the spirit of the Constitution (RSA 1996) are indicators of poor political and public management and strong resistance to change. In an epoch of complexity, advanced digital technology, growing joblessness and poverty, municipal managers are unlikely to develop an external focus by increasing their willingness to collaborate with stakeholders and by embracing public engagement effectively.

This chapter sets out key points regarding the municipal legislative environment in the current South African context. Firstly, the highly bureaucratic structural attributes of IOS in South

Africa must be acknowledged, primarily as the legislative capstone which determines the nature of the relationships between departments, which are hierarchical, authoritarian and largely inflexible. Secondly, a situational outline of municipal operationality in the context of the current municipal 'Weberian' system of government and governance influence and regulate interpretations of democratic governance, democratic constitutionalism and the concept of integration with regard to service delivery. The elements of a post-structuralist democratic environment, befitting the advanced technological period, can, therefore, occur in the constitutional and South African democratic dispensation if there is political commitment. A post-structuralist environment is defined in terms of an open, flexible, holistic, nonlinear, team-based, integrative dynamic network environment, given the presence of positive aspects of organic self-organising and self-directing governance systems in the context of complex and integrated systems theory. Thirdly, a review and examination of the merits of the existing legislative framework about its normative and pragmatic values will be explored. Fourthly, a nonlinear systems approach, i.e. an IPSS as a vehicle for PV generation, is being proposed, while acknowledging nontangible systemic and structural constraints held firmly in place in the bureaucratic domain.

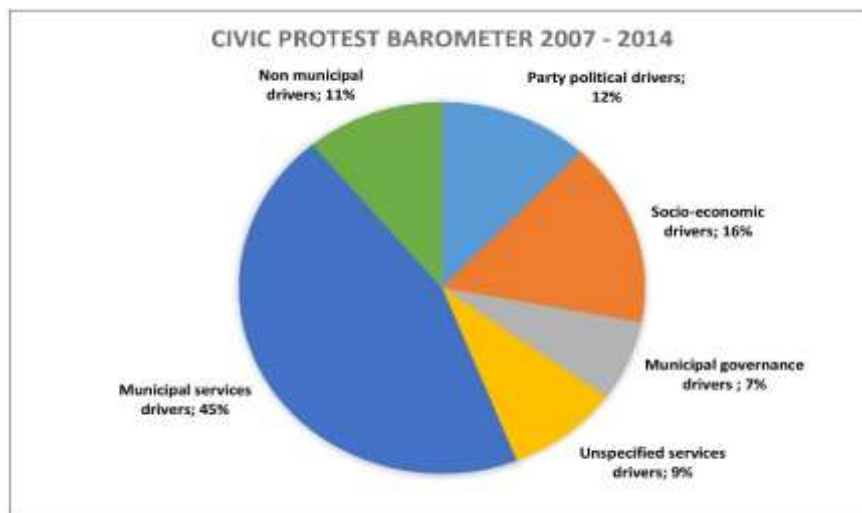
### **3.2 The topology of IOS in the South African bureaucratic institutional context**

The material (infrastructural) and environmental conditions affecting municipal service delivery is generally regarded as under-developed but characterised by small pockets of development regarding service delivery, housing schemes and to a lesser extent industrial infrastructure, local economic development and upliftment through sound (civic) educational programmes. The Parliamentary Monitoring Group (2012) reported that in 2011 the AGSA identified many areas of poor performance that affected at least 95% of municipalities in South Africa, such as (i) poor leadership, (ii) no consequences for non-performance, and (iii) lack of the required skills and capacity required to implement transformation innovation. The IOS in South Africa manage service delivery outputs in an unbalanced, fragmented and inefficient manner, with related deficits in the measurement of outputs and outcomes; Figures 3.1 and 3.2 underline the topology of a service delivery system which is not functioning optimally to produce the standards and quality of life desired by citizens.

The 2011-2015 local government AGSA report (Evans 2014) shows inefficiencies in financial reporting, lack of skills, lack of will, lack of accountability, as well as overspending on budgets without proper budget adjustments. The AGSA held that systemic problems in municipalities

were endemic. While IOS such as Provincial Treasury and Provincial Government (Western Cape Government) provide assistance to poorly performing municipalities, systemic problems will prevail unless interventions to transform the current system are undertaken. It is apparent that resources, capacity and information were not efficiently and effectively applied, which resulted in waste, exclusion of public groups and potential stakeholders, as well as a lack of transparency, accountability and feedback. Pillay (2004:586) believes that South Africa's complex political arrangement contributes to the rise of maladministration, which in turn leads to the decline in democratic values and unstable IOS.

The Civic Protests Barometer, 2007-2014 (Powell, O'Donovan, and De Visser 2015:9), shown in Figure 3.1, is one indicator among many pointing to the phenomena of inward focus, bureaucratic (systemic) collapse, non-delivery and non-accountability of municipalities to citizens. De Visser (in Powell, O'Donovan, and De Visser 2015:9) remarks that “not enough was being done to address corruption and maladministration in municipalities”.



**Figure 3.1: Civic Protest Barometer 2007-2014**

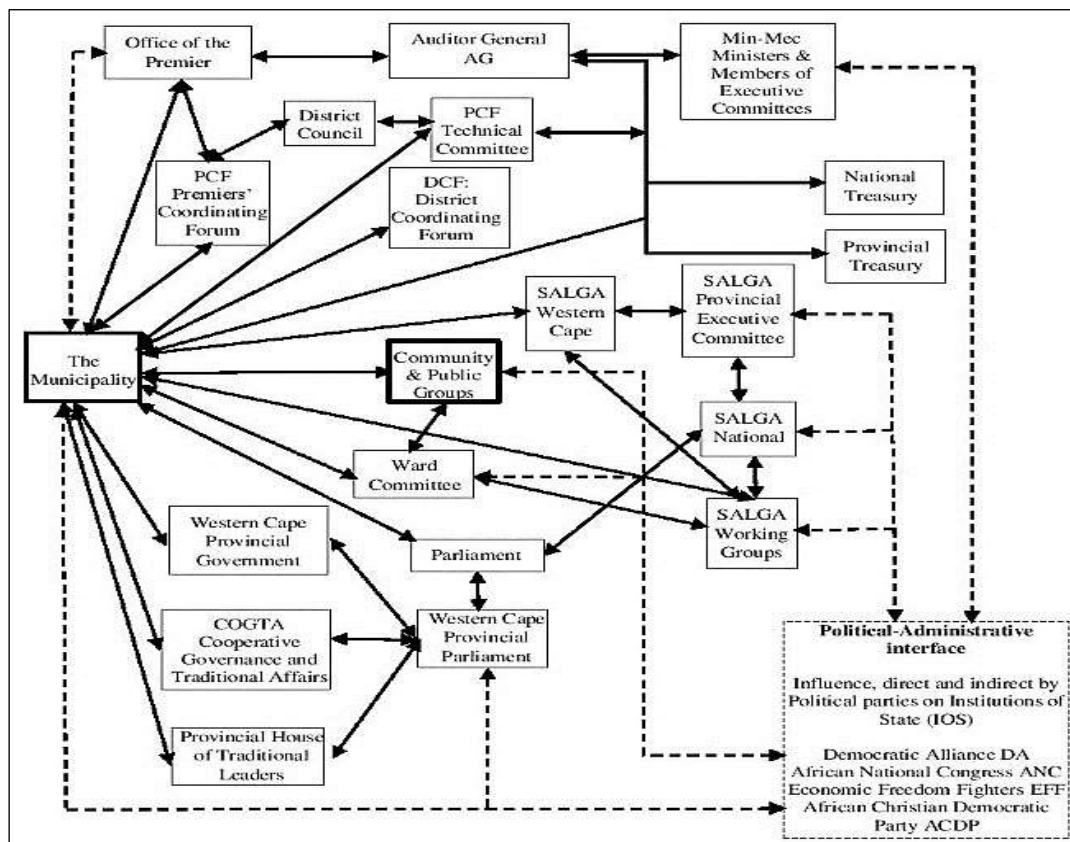
Source: Powell, O'Donovan, and De Visser (2015:9)

According to South African police records, the “violent demonstrations by communities demanding better housing, education and other services” increased from 1,907 to 2,289 violent demonstrations in the period March 2014 to March 2015 (Wild 2015). The results of current municipal topology, i.e. its structure and functioning, relates directly to the state of the bureaucratic system. Figure 3.1 (and Figure 1.6) represents a picture of poor service delivery, a result of a complicated municipal topology. The IPSS vision and principles place emphasis on the importance of effective collaboration, public engagement and accountability.



A further assumption may be made from an interpretation of the factors indicated in Figure 3.1, namely, that municipalities execute local government legislation with structural (clinical) rigidity, thus adding to their inability to deal effectively with a wide range of complex factors, among them, effective community engagement. The community ultimately experience these systemic inefficiencies and incapacities in relation to their socio-economic demands and needs, which then find expression in violent protests, low morale and diminished trust of the officials.

The concept of Institutions of State (IOS) requires definition. The Constitution (RSA 1996) refers to government institutions as “organs of state” and in chapter 9, organs of “constitutional democracy”; Section 181(2) and (3) show that the terms ‘institutions’ and ‘organs of state’ are used interchangeably. ‘Institutions’, as used in IOS, is the preferred terminology, owing to the institutional authority granted to it by an Act of Parliament to institute government laws, regulations and policies. Parliament is, therefore, by definition an Institution of State, i.e. a body which is responsible for initiating public action (*Collins English Dictionary* 2012). Stoker (1998:1) holds that IOS and government are used interchangeably as they imply legitimate coercive power through the exercise of hierarchical processes.



**Figure 3.2: Current network topology of Institution of State (IOS) for the Western Cape province**

Source: The author

Figure 3.2 illustrates IOS local government (network) links in the Western Cape province, as well as interconnectivity and interactivity. But it does not indicate an efficient system for the support of municipal outputs, for the following reasons: (i) a large degree of chaotic connectivity is displayed, (ii) a large degree of duplication is displayed, (iii) effective communication links have not been attained, (iv) there is an implied waste of resources such as time and finance, (v) fragmentation is reflected, and (vi) the present institutional and organisational arrangements are not cost-effective. It was shown in the preceding chapters that an IPSS overcomes the challenges of effective communication with the desired amount of efficiency. Table 3.1 explains the ‘nodes and hubs’ that are likely to be contained in an IPSS network structure.

**Table 3.1: Explanation to Figure 3.2 regarding Institutions of State (IOS) in the Western Cape province, potential IPSS network actors**

Name of IOS	Year formed	Jurisdiction	Advocacy and Role	Competencies	Audit Institute
WCPG	1996 1997	The Constitution, 1996 (RSA 1996), Sections 40, 41, 104, and the Constitution of the WCPG 1998.	Advisory and prescriptive on policy, management and implementation.	Coordination; policy, programmes, projects; annual reporting to Provincial Treasury.	Provincial and National Treasury and the AGSA.
DCF, PCF and PCF TECH	2009	Section 16 of the Intergovernmental Relations Framework Act, (RSA 2005). The Constitution of the WCPG 1998 Sections 23(2)(3), and (4).	Principal body for consultation on ‘service delivery’ and IGR matters.	Support, consultation, IGR, facilitation and Technical assistance by the PCF TECH.	Provincial and National Treasury and the AGSA.
AGSA	1996	The Constitution, (RSA 1996) Chapter 9. All IOS are stewards of constitutional democracy. The functions of the AGSA (RSA 1996), Section 188 and the Public Audit Act, (RSA 2004a).	Advisory and prescriptive on policy, management and implementation of fiduciary matters.	Perform constitutional and other functions as per Constitution (RSA 1996) Section 4. Also distinguishes between mandatory and discretionary audits.	Office of the AGSA and Parliament of South Africa.
MIN-MEC	2005	Sections 9 (1)(2) of the Intergovernmental Relations Framework Act, (RSA 2005).	Consult, coordinate in functional areas with regard to effective service delivery, national priorities and monitoring policy and legislation.	Consult and coordinate. Effective service delivery, national priorities; monitoring policy and legislation.	National Treasury and the AGSA.

COGTA	1996	Chapters 3 and 7 of the Constitution, 1996 (RSA 1996).	Policy, legislation, provincial and local government control and monitoring with regard to constitutional matters. Operating, effectiveness, clean governance and unqualified reports to the AGSA.	Oversight, policy, legislation, provincial local government oversight, governance, monitoring and evaluation, regarding constitutional matters.	National Treasury and the AGSA.
Parliament	1994 to 1996	The Constitution, (RSA 1996), Sections 42 - 82.	Debate; sanction; legislative ratification and reporting on national matters.	Legislation, oversight, intervention, good governance and public participation.	National Treasury and the AGSA.
SALGA	1997	Section 2(1) of the Organised Local Government Act (RSA 1997a).	Represent, enhance, protect and advocate for municipalities as employer body.	Represent, enhance, protect and advocate for municipalities as employer body	National Treasury, Parliament of South Africa and the AGSA.
SALGA PEC	1997	SALGA Constitution (2012).	Represent, enhance, protect and advocate for municipalities.	Represent, enhance, protect and advocate for municipalities.	Internal Auditing Committee and AGSA.
SALGA Working Groups	1997	SALGA Constitution (2012).	Policy direction, knowledge management	Policy direction, knowledge management.	Internal Auditing Committee.
Municipalities	1994	The Constitution (RSA 1996), the 'Structures' Act (RSA 1998b), the 'Systems' Act, (RSA 2000a), the PFMA (RSA 1999a) and the MFMA (RSA 2003).	Provision of services and public products.	To provide equitable services and products.	Internal Auditing Committee and AGSA.
Communities.	Representative and democratic community organisations, PCCG (Provincial Communications Core Group), municipalities and connections to the urban socio-economic network, e.g. ISN.				

Source: Adapted from Sezen (2002:19)

Naidoo (2009:261) holds that in South Africa (after 1994) there was a steady rise of centralisation of government power despite its intentions to establish a constitutional form of government. Naidoo (2009:265) reports that while recognising the discretion and flexibility of South Africa's intergovernmental policies and laws, IOS has become implementers of national government's bureaucratic decision-making policies. The generation and measurement of PV requires public groups (key stakeholders) for its identification, formulation and sustainability. The antithesis of this is the centrality of authority, hierarchy and the exclusion of public groups. Through the integration of departmental resources, financial, material and informational, one may begin to refer to IPSS formation, dependent upon the attainment of national strategic objectives, IOS expediency in PV generation, and focusing on IOS inefficiencies.

Positing these concepts calls for an awareness of and recognition by public managers in municipalities that change is regarded as a natural and necessary process for the sustained existence of organisations. Cundill and Fabricius (in Müller 2014:14-18) support the idea of “adaptive co-management”, which is empirically coherent with decentralised collaborative (multi-stakeholder) approaches. Bennis (in Müller 2014:11) argues that rapid changes are a natural threat to bureaucratic IOS, given that a decline in bureaucratic practices is imminent, compelling organisations to re-examine their future modus operandi and purpose for being. While bureaucratic institutional practices in South Africa are inwardly focused, collaborative and networked approaches to government and governance regard the public (communities) as legitimate stakeholders and therefore aim to advance relationships building with them.

South African literature dealing with the failure of government and governance at municipal level is copious, describing long-term service delivery deficits, poor organisational and unethical political leadership and poor management practice. When efficiencies and customer satisfaction are not achieved for large sections of the public, performance ratings cannot be counted as good. The introduction of (systemic) change at municipalities is expected to be met with resistance and resultant organisational performance failure (Uys and Jessa 2013:107-108).

Systemic transformation for the existing IOS arrangement in South Africa (as illustrated in Figure 3.2) can be argued as necessary for the following reasons: (i) the system is not effective, (ii) unplanned lines of communication exclude citizenry, (iii) citizens are followers, not shapers, and (iv) an absence of identifiable feedback lines.

### **3.2.1 The Weberian context of municipal operationality in South Africa**

The organisational and institutional context regarding municipal operations in South Africa is located in the Weberian system. Seibel (2010:719) holds that “Weber's notion of bureaucracy conceives public administration as the apolitical tool of government”. He argues that the “bureaucratic-monocratic, document-based administration” offers a linear methodology for rationality, authority and clinical performance of tasks. Under the Weberian system, public authorities, i.e. municipalities, are viewed as political power centres exercising control over citizens and not the opposite way around. In the South African municipal context, the operational dynamics about the IDP, SDBIP and organisational performance measurement (located in its objectives) possess strong inwardly focused bureaucratic qualities.

Osborne and Gaebler (1992:21-23), proponents of the New Public Management (NPM) approach to government and governance, suggest business methodologies such as outsourcing, privatisation of government work and cost-cutting measures to achieve efficiencies. Budd (2007:531) holds that the current situation in South African municipalities demands greater attention to projects and programmes to accommodate (i) effective engagement with public groups, (ii) empirical and effective engagement with a wide variety of stakeholders, and (iii) a focus on quality, norms and standards; in other words, these are proposals for new governance models with flexible forms of bureaucracy, a shade away from the NPM philosophy.

### **3.2.2 Deliberative democracy in the South African context**

Deliberative democracy, defined extensively in the previous chapter, embraces the tenets of openness, participation, trust, accountability, inclusivity and discourse. Worley (2009:431), Fishkin and Laslett (2003), Mansbridge, Bohman, Chambers, Fung, Parkinson, Thompson and Warren (2012), and Tebaldi and Calaresu (2015:11-12) hold that deliberative democracy necessitates public deliberation by free and equal citizens as the basis for legitimate political decision making and self-government; deliberative democracy expresses the need for open engagement by all parties, culminating in collective decision making by communities, which involves face-to-face discussions, improving decision making, and legitimising outcomes and feedback. Deliberative democracy differs widely from the present form of South African democracy. Kersting (2012:7) argues that the brand of democracy in government structures inhibits open dialogue. Pretorius (2014:408) suggests that in South Africa, democratic practice departs from constitutional democratic ideals, as set down in the Constitution (RSA 1996). Parliamentary chaos and disorder, bureaucratic control of intergovernmental relations, lekgotlas and imbizos have been shown to represent small groupings of politicians and not the general public. Concerning participatory decision making with communities and individual actors, there remains a chasm between how the leadership perceive their duties.

South African citizens have the franchise and so are entitled to vote, signifying the right to democratic participation in the affairs of the country; however, the majority do not have the mechanisms granting access to deliberation, control, evaluation and recall of corrupt government officials. Presently in South Africa, anti-democratic practices, autocratic control, autocracy, patronage, corruption and disregard for the Chapter 9 institutions as embodied in the Constitution (RSA 1996), have crystallised. The absence of deliberative democratic

practices prevents citizens from achieving the appropriate levels of satisfaction and quality regarding their development and social progress locally.

A significant number of South African citizens aspire to clannism, chieftainship and other forms of patrimonialism, hence the existence of tribal institutions such as chiefs, (kings) and traditional leadership (RSA 1996), Sections 212 (1)(2)(a)(b). Meer and Campbell (2007:17) hold that chiefs and traditional leaders influence “the rise of elected governments, bureaucracies, and other apparatus of the modern state” and “this makes them uniquely powerful in their ability to express the will of their people and also, at times, to suppress that will”. Gutmann and Thompson (in Burt 2008:101) argue that the application of reciprocity, publicness and accountability becomes vital in the understanding of social values as they relate to the wellbeing of citizens. As South Africa has a widely diverse population, the morality, nature and characteristics of deliberative democracy must be tailored to embrace these differences, while protecting the rights of all citizens, particularly minorities, to fairness under a democratic regime. Daniel and De Vos (in Kotzé and Steenekamp 2009:64) argue that citizens should develop a genuine sense of support for the new democratic regime and its institutions, primarily because trust has broken down between IOS and communities.

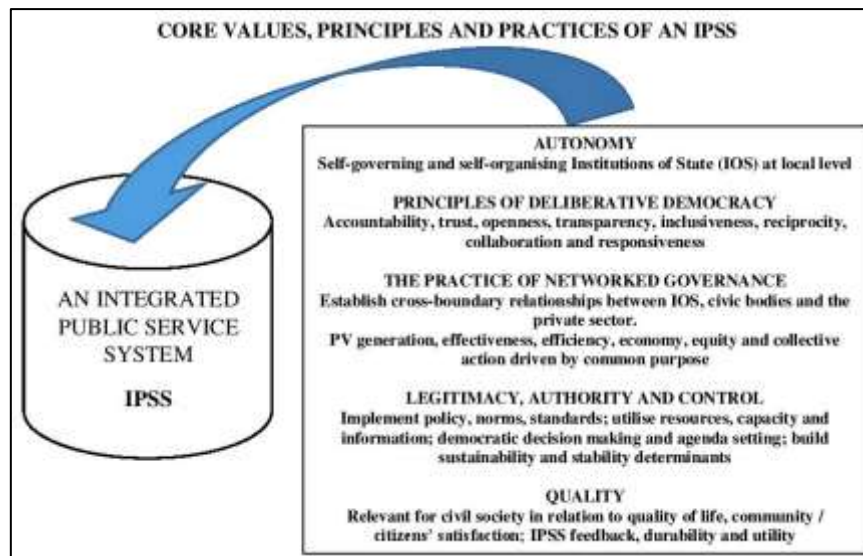
### **3.3 A context for IPSS operability with regard to municipalities in South Africa**

The change from a static inwardly focused bureaucratic municipal operational system to one that is committed to inclusivity, collaboration and transparency, i.e. an open system, is usually met with reluctance and resistance by gatekeepers of the prevailing system. It is in the interests of municipalities to explore change and new approaches to maintain the dynamism that would sustain stability over the long term, as old systems dissipate rapidly in a digital age.

#### **3.3.1 A networked system of governance**

According to Stoker (2000:1), any alternative or supplementary form of government to bureaucracy requires “a shift in the pattern of thinking”; he supports networked governance as the alternative to bureaucratic authoritarian governance, incorporating citizens’ engagement in municipal affairs. Based on the observation and experience of several commentators, South African municipalities have not considered nonlinear forms of governance, nor the merits of a functioning IPSS, within the scope of a solid municipal legislative framework. Figure 3.3 details five core governance elements necessary for IPSS operability (Stoker 2000:1-14). While

the Constitution (RSA 1996), Section 151 (3), holds that a “municipality has the right to govern on its own initiative”, it does not specify any endorsement of a specific governance model.



**Figure 3.3: The core operational values, principles and practices which comprise networked governance**

Source: Adapted from Stoker (2000:1-14)

### 3.3.2 Pragmatic legislative-authoritative elements of an IPSS

Halal (2005:11-13) holds that integrated systems utilise (i) e-organisational planning, (ii) self-organising and self-managed teams, and (iii) collaboration mechanisms to channel diverse interests into effective network governance. While there are many assumptions about South Africa’s democratic dispensation, IOS are in fact locked into a tightly-knit bureaucratic, traditional-cultural and structurally fragmented and ineffective reality. These attributes shape the legislative and authoritative control measures and subsequent outcomes governing IPSSs and integration efforts in South Africa in general. While the principles of intergovernmental relations (IGR) and national development planning have legitimacy in South Africa’s democracy, the actual process of integration and implementation of programmes such as those recommended by the National Development Plan (RSA 2011a) as well as evaluation with regard to government programmes, is still deficient in terms of achieving sustainability and stability for the majority of the country’s communities. Systemic intervention in the integration of government structures and governance policies in South Africa, therefore, requires greater focus. Table 3.2 compares bureaucratic and ‘post-bureaucratic’ forms of networked governance in the generation and measurement of PV; IPSSs requires open, accountable and transparent networked governance practices (Kernaghan in Budd 2007:539). For integration (and integrated systems) to attain full and pragmatic legislative-authoritative status in South

Africa, post-bureaucratic systemic elements present non-negotiable criteria in the revision of service delivery operations to South African citizens. The IPSS ensures viable integration, incorporating democratic stakeholder collaboration in PV generation, as the alternative to bureaucratic service delivery (as it is applied in South Africa).

**Table 3.2: A comparison of bureaucratic and post-bureaucratic systemic elements**

<b>Bureaucratic organisation</b>	<b>Post-bureaucratic organisation</b>
Organisation control. Position power. Rule centred. Independent action. Status quo orientated. Process orientated. Centralisation. Departmental form. Budget driven. Monopolistic public administration. Managerially inert.	Citizenship. Leadership (with impartiality and legitimacy). People-centred (with integrity, ethical, fair and democratic). Collaboration. Change orientated. Results orientated. Decentralised. Non-departmental form. Revenue driven. Competitive. Restructured public governance.

Source: Kernaghan in Budd (2007:539)

An increasing understanding of PV by public managers in municipalities will have a direct bearing on the effectiveness and efficiency with which services can be produced; the known constraints are: (i) large organisations are assumed to be superior, (ii) excessive importance is placed on the management function, (iii) seeking lessons from private sector experience is important (Rhodes and Wanna 2009:161). In the South African context, a coherent and comprehensive conception of PV is required by stakeholders; municipal legislation requires review in respect of ‘openness’ to ‘systemic’ transformation, i.e. integration, utilising the post-bureaucratic values and citizen-centred modes of planning, utilising IPSS principles.

### **3.3.3 Networked governance offers advantages for small municipalities in South Africa**

Zanette (2002:1) and Randma-Liiv (2002:374-376) found that in dynamic small municipalities, such as category B (local) municipalities, establishing network bonds means opportunities for high connectivity between local stakeholders and also that cooperation and collaboration becomes more effective and therefore highly relevant to local municipal development in South Africa. One could argue that non-bureaucratic styles of government and governance can flourish in terms of PV generation and measurement if driven by decentralised and largely independent network teams, appropriate to local (B) municipalities. Given the criteria for deliberative democracy, as listed in Table 3.1, in post-bureaucratic organisations, there is a vast



potential to (i) reduce red tape, (ii) particularise public engagement, and (iii) deliver quality services at a faster pace and with greater effectiveness and efficiency, all of which highly relevant in the South African context. It is reasonable to assume that metro (A) and district (C) municipalities would encourage (B) municipalities to achieve more in terms of network operability, as they have greater cumulative stakeholder capacity and reason to insist upon e-government (digitalisation) opportunities. One would expect the category A and C municipalities to lead in the pursuance of a networked governance mode of operability.

With the preceding argument for more open systems of governance in South Africa, Lidström (1998:109-112) holds that there are “four ideal-typical autonomy positions” for municipalities. At the local level municipalities can be either regulated or autonomous dominant, whereas at a national level, local government departments are either regulated or marginally autonomous. This view supports open and autonomous approaches to small municipality management in South Africa, with a tendency towards the adoption of more flexible, self-organising, nonlinear, holistic, accountable, open, robust and transparent systems of municipal operability, maximising community stability and productive engagement with citizens and external stakeholders particularly in economically depressed areas.

### **3.4. A review of local government legislation concerning IPSS feasibility and PV generation in municipalities**

A review of local government legislation is necessary to gain a perspective on how it may accommodate an IPSS and PV generation in municipalities in the future. It is for this reason that a critical look at local government legislation may reveal strengths and weaknesses, gaps and in some cases, empirical shortcomings. The feasibility for IPSS implementation necessitates a closer examination of local government legislation, regulation and policy. The controversy in municipalities between constitutionality and daily practice needs to be examined in respect of legislative interpretation and application, public interest and public purpose.

#### **3.4.1 The Constitution of the Republic of South Africa, 1996**

The Constitution (RSA 1996) is the foundation and guide for the particularisation, assessment and review of the current local government legislative system of government in South Africa. The ‘system’ in which the Constitution is accorded its legitimacy is bureaucratic and inflexible in terms of attaining effectiveness, efficiencies, economy and equity with regard to the delivery

of quality services for all citizens. Given its legitimacy in the bureaucratic context, it is limited in embracing an open, accountable and participatory system of government, i.e. in relation to any possibilities for integration in the future. The Constitution (RSA 1996), with reference to the purpose and spirit of Chapters 1, 2 and 7, project limited scope for embracing dynamism, innovation, creativity, developmental and transformational qualities, with particular reference to the needs of municipalities and communities jointly.

One could argue for a pragmatic government-governance continuum in all spheres of government, particularly at local level where it is possible to include communities. Such a continuum will entail a bridge between the object of legislative authority and the moral ends to which such legislative authority will be applied, i.e. to achieve social wellbeing. One may assume that the Constitution (RSA 1996) supports (i) supports transformational governance, (ii) collaboration between stakeholders and (iii) deliberative democracy at local level.

#### **3.4.1.1 The Constitution (RSA 1996) and the promotion of PV generation**

PV, as the end product of an IPSS, is commensurate with the intention of the South African Constitution, (RSA 1996), expressed in Chapter 2, the Bill of Rights, which grants an interpretation of an “open and democratic society based on human dignity, equality and freedom”, in the achievement of social wellbeing. According to Woolman and Botha (2008:152), these nontangible PVs are vital for the daily wellbeing of civil society and provide a basis for the generation of tangible PV, as well as the controls required for their sustainability. In South Africa, the underpinning of PV generation is built upon constitutional principles. Woolman and Bishop (2008:7) believe in “a government of law, not men”, and hold that all IPSS actors are bound by the same set of rules. Woolman and Bishop (2008:8-13) hold that the Constitution remains the genesis of all laws and policy. Roux (in Woolman and Bishop 2008:10) holds that “rights are necessary conditions for meaningful, representative, participatory and direct democracy”. The authors hold that democratic and legislative limitations are applied subject to normative interpretations that (i) constitutional rights are not absolute, (ii) limitation and restrictions in governance practice must assume the purpose of strengthening (reinforcing) core values, (iii) constitutional democracy must be respected by all who engage civil society, and (iv) challenging legislation relating to public goods and values must revert back to the obligations set out in the Constitution (RSA 1996), Section 39.

O'Regan (in Woolman and Bishop 2008:64-65) states that judicial decision making must take account of socio-economic-political factors. The author holds that the five values (openness, democracy, human dignity, freedom and accountability) are non-negotiable “founding” values for a democratic society. The norms which are implied in the Constitution (RSA 1996) are paramount over other norms and exercise influence over other norms and are the legal basis for all other norms. Woolman (in Woolman and Bishop 2008:200) argues that the following are social values: (i) equal concern and respect, (ii) self-actualisation, (iii) self-governance, (iv) collective responsibility, and (v) dignity as a public (collective), a moral and social good.

Ackermann (in Woolman and Bishop 2008:226) “extrapolate[s] the idea of collective dignity” from individuals to society. With the foregoing, one may note that South Africans experience ‘division’ materially, economically, socially and politically. The unequal employment of and access to resources, capacity and information, are entrenched by the current system of government, which results in socio-economic marginalisation, social exclusion, violence and discrimination; hence an environment is sustained in which PV cannot be generated and similarly, integration efforts and collaborative governance are bound to fail.

The Constitution (RSA 1996), Sections 23, 26 and 27, do not allow citizens of South Africa an automatic right to work, food and shelter; citizens only have *access* to these basic human needs. Negative socio-structural conditions arise out of these constitutional clauses for many people. Botha (2010:58) holds that citizens may contest legislation, i.e. law and “injustices legitimated in its name”, in relation to the five nontangible PVs in relation to an IPSS that aims to utilise resources productively in the pursuit of quality life for all citizens. Constitutional weaknesses may be addressed jointly by the stakeholders in an IPSS.

#### **3.4.1.2 Municipal management issues in terms of the Constitution**

In South Africa, the constitutional constraints placed before IPSS realisation are both tangible and nontangible in nature. Much discretion is left to municipalities to act not only independently, but also according to democratic principles of citizens’ inclusivity, integration and collaborative governance. Klare (in Van Marle 2003:556) holds a similar view and notes that the Constitution (RSA 1996) is a “post-liberal document”, while the legislative practice is embedded in a bureaucratic conservatism and strict formalism.

The perspective on municipal operationality and performance held by citizens and stakeholders are rarely based on adequate empirical analysis, evidence or established research findings. General opinions held by citizens and stakeholders commonly arise from their involvement with political, social, economic and cultural entities, contextualised in the material conditions governing those experiences and outcomes. The factors influencing such general opinions are complex, global and in most cases, understood in terms of individual or group socio-political-cultural leanings. Municipalities can accommodate these influences through the adoption of collaborative and distributive (with stakeholders) management styles to bring about integration and a focus on PV particularisation (Spillane in Dambe and Moorad 2008:584).

The context of municipal constitutionalism in South Africa is bureaucratic governance and management practices; hence municipal governance currently contains both overt and obscure conceptual and methodological dynamics. Transformation thus entails mental and physical shifts from bureaucratic formalism to open, flexible and nonlinear forms of governance and management, which appear to be critical bridges to cross towards the realisation of an IPSS. Wolman (2008:87) holds that “it is difficult to generalise” municipal dynamics and even more difficult to “create a common framework” for collaborative and open engagement.

### **3.4.1.3 Municipal regulations in terms of the Constitution**

South African municipalities are focused on delivering basic services and so tend to overlook systemic matters in the improvement of administration. A closer examination of municipal legislation and regulation, therefore, becomes necessary. Concepts such as integration, integrative planning, public participation, collaboration, coordination with stakeholders and feedback are stymied by red tape and the clinical interpretation of municipal legislation. Bronstein (2015:640) makes a distinction between what may be a legislative matter of control and one that is a purely executive/administrative decision. She argues that there is a contested arena of municipal control which stems from the composition (and the embeddedness) of the statutes. Botha (2010:39) argues that the “subjective interpretations of constitutional provisions” are common and that this is evident in a wide array of views, actions and ultimately results (outcomes) that may not be in the interests of the vast majority of citizens, but that serve a small number of politicians in positions of power, politicians in this sense referring to ministers, MECs and local councillors.

According to Botha (2010:39), the “politics of interpretation” manifests in two ways: (i) the preservation of constitutional matters as they appear in the Constitution (RSA 1996) as law, and (ii) the interpretation of constitutional matters as objectively as possible with “constitutional text, structure, history or purpose” and “constitutional value choices”. Consistent reports in the media of gross corruption in South Africa point to the violation of the Constitution by a small elite group of individuals at the helm of state control. Oligarchs interpret constitutional law to their benefit by pushing aside basic demands of citizens arising from the socio-economic and political-cultural paradigms. Regulation and legislation may, therefore, be severely manipulated in a bureaucratic system, since communities are rarely allowed to be bona fide stakeholders representing civil society who would benefit directly from the democratic rights embodied in the Constitution (RSA 1996).

#### **3.4.1.4 Municipal organisational dynamics in terms of the Constitution**

Winston and Patterson (2006:28) point out that elements of Vroom’s expectancy theory (Lunenburg 2011:1-3) and Ajzen and Fishbein’s (1980) theory of reasoned action (TRA) provide plausible explanations for challenging employee expectancy and path-dependent behaviour in hierarchies which leads to the exclusion of effective community participation; these are (i) path dependency, (ii) desire for rewards from public managers, (iii) desire to satisfy public managers, and (iv) reinforcement of institutional norms. Effective community outcomes and social wellbeing may be remotely linked to employee objectives in IOS.

While the Constitution (RSA 1996) alludes to IPSS dynamics in a positive way, the interpreters of the Constitution (RSA 1996) show a reluctance to incorporate stakeholders (and the public as a network actor) in the projects, programmes and policy formulation undertaken in the three spheres of government. The motivation for an open organisational framework and a fully operational IPSS is addressed in chapter 7 of the Constitution (RSA 1996), as it opens the doors for developmental local government, including civil society stakeholders.

When councillors, i.e. local political leaders appointed by political parties, fail to acknowledge stakeholders’ demands and concerns, it causes citizens “to willingly and enthusiastically expend spiritual, emotional, and physical energy” to realise their “organisational mission and objectives” (Winston and Patterson 2006:13). Municipal organisational processes are expected to be tailored to meet the needs of stakeholders and therefore, they ought to make councillors

responsive to them. Based on the protest barometer (Figure 3.1), political persuasion as exercised by political leaders does not embrace open, discursive and deliberative dialogue, and does not act in the direct interest of communities and their right to wellbeing and security. In South Africa, the basic level of education among the lower rung of society does not allow for critical engagement on normative and constitutional matters without some intervention (civic education) and capacity building. Municipalities have policy and constitutional responsibilities and it is these that must be directed at the attainment of a fully integrated municipal system.

Hamann and Ruiz Fabri (2008:481) highlight global technological advancement as a major factor influencing municipal governance patterns and consequently organisational dynamics, with respect to (i) stakeholders' involvement, (ii) the weaknesses in the bureaucratic system in relation to networks and governance systems recognition, as expounded in the Fourth King Report (2016) on corporate governance, and (iii) the increasing pressures for decentralised decision making. The authors acknowledge that since "transnational (and local) networks are rapidly becoming decision-makers, the notion of national and 'local' constitutionalism is bound to impact on the regard for citizens as the most critical (network) stakeholder. Municipalities, in terms of developing an expedient and befitting set of criteria for interaction with stakeholders, will be able to shift organisational dynamics in favour of community expectations for greater accountability, openness and incorporation of their (community) structures. In this regard, the use of Middleware has offered invaluable digital interconnectivity between stakeholders operating in the three spheres of government (Bacon 1999:78).

### **3.4.2 The Organised Local Government Act, 1997 (52 of 1997)**

One of four key objectives of the Organised Local Government Act, 1997 (RSA 1997a), hereafter referred to as the 'Act', is to "provide" advisory support, to municipalities in South Africa. The South African Local Government Association (SALGA) was established by this Act and assumes a representative and advocacy function to municipalities in South Africa. SALGA administers member municipalities' attendance at National Council of Provinces (NCOP) meetings (6 members per province) and Financial and Fiscal Commission meetings (1 member per province) for the purposes of performing an intergovernmental relations function. SALGA acts in the interest of the municipal establishment and its policies, and not communities as crucial entities, being accountable to Parliament, the Minister of COGTA, the NCOP, Provincial Government, provincial and national Treasury.

Municipalities are at the coalface in dealing with communities. SALGA functions at a massive cost to the fiscus and as an advocacy body for municipalities only. Municipalities are not bound to act on their recommendations and membership of SALGA is at the discretion of the councils and dependent on the payment of an annual membership fee. SALGA, as an IOS, assumes a political and governance role with other IOS such as the National Assembly, the National and Provincial Executive Committees (NECs and PECs) and the NCOP.

Citizens protest to compel municipalities to engage with them on their demands and expectations. However, direct links between SALGA and communities exist in so far as SALGA is represented on parliamentary, provincial and local municipal forums such as disaster management, food security, social and economic development, HIV-AIDS and human trafficking. One could argue that COGTA and provincial government and local government departments can strategically perform the tasks currently executed by SALGA, in order to (i) diminish administrative costs (ii) increase effectiveness and efficiency by diminishing duplication of functions, and (iii) streamline functions in the public interest. An operating IPSS requires efficient IOS as network partners, for effective feedback to stakeholders.

### **3.4.3 The White Paper on Local Government (1998)**

Top managers at municipalities have a 'developmental, supportive' and autonomous role to play in IOS. The White Paper on Local Government (RSA 1998a), Sections 6 and 28, asserts that local government stands in its own right and is not a function of the national or provincial government. Local government has a distinct role in building democracy, promoting socio-economic development and enhancing social relations among citizens. With reference to the White Paper (RSA 1998a), Table 3.3 summarises issues regarding equity in service delivery. Municipalities are compelled to apply these legislated provisions to facilitate (i) developmental local government, (ii) genuine citizen engagement with municipalities, and (iii) cooperation with stakeholders in productive networks (RSA 1998a).

In South Africa, steps taken by municipalities to reduce the number of protests for basic services have not declined (Municipal IQ 2018). Communities with few amenities, minimal infrastructure and high levels of risk regarding personal safety, consistently convey their demands and needs to municipal authorities. Several reasons for the protests have arisen and there are indications that despite abounding legislation and discourses to address these matters,

municipalities, even with intergovernmental support, have failed to bring about equity, improved standards and quality of life for communities in cities and on the periphery of the cities and towns.

**Table 3.3: Municipal concerns regarding equity in service delivery**

Municipal issues regarding equity in service delivery	Solutions for consideration
<ul style="list-style-type: none"> <li>• Backlogs in delivery of basic services delivery, i.e. health, water, sanitation, housing, schools exist in varying degrees.</li> <li>• Inability to find solutions to community demands on a sustainable basis.</li> <li>• Inability by municipalities to fulfil their developmental role.</li> <li>• Inconsistencies in IDP implementation.</li> <li>• High levels of political interference in municipal administration.</li> <li>• Inconsistencies in intergovernmental relations.</li> <li>• Persistence of silo-style operations and lack of horizontal cooperation.</li> <li>• A large amount of red tape and overregulation, implying a ‘strangulation’ of creative initiative, experimentation and innovation.</li> <li>• Realistic and thorough public engagement is not being pursued.</li> <li>• Legislation is not being addressed integratively.</li> </ul>	<ul style="list-style-type: none"> <li>• To employ an inclusive, deliberative, developmental approach to achieve equity.</li> <li>• Increase levels of responsiveness to citizen demands.</li> <li>• Increase accountability of municipal officials to communities.</li> <li>• Implement continuous feedback.</li> <li>• Reduce red tape.</li> <li>• Empower communities through the introduction of civic education.</li> </ul>

Source: Adapted from Good Governance Learning Network (2007) and Stytler (2008:518-535)

In line with the Constitution (RSA 1996), the White Paper (RSA 1998a) “establishes a basis for the new developmental local government system, which is committed to working with citizens, groups and communities to create sustainable human settlements which provide for a decent quality of life and meet the social, economic and material needs of communities in a holistic way”. One important aspect of the White Paper (RSA 1998a), is its pronouncements on a developmental municipal model, captured in the extract above. The White Paper (RSA 1998a), is emphatic about the “integrating and coordinating” role of municipalities, one in which citizens and the business sector feature prominently as equal partners in developing communities to increasing their “social capital”. The White Paper (RSA 1998a), lays down the basis for the Integrated Development Plan (IDP) and cooperative governance, among other features that are contained in local government legislation, such as infrastructure, demarcation, municipal types and municipal finance, intergovernmental relations and budgeting. Section B of the White Paper (RSA 1998a), promotes aspects of a developmental model envisaged in line with IPSS properties: the political education of leaders, constructing coalitions and networks, responsiveness, open partnerships with the private sector, continuous learning, awareness of environmental issues, recognising scarce resources and implementing democratic public engagement with public and with the private sector.



In the White Paper (RSA 1998a), Section B, the challenges facing municipalities are listed as financial, infrastructural backlogs, special separation, capacity “variations”, decision-making methodologies, and the relationships between community, the private sector and the municipalities. Section 2(1) points out that the delivery of services should be governed by accessibility and affordability of services, quality of products and services, accountability, integrated services delivery, and sustainable value-for-money services to paying citizens. In order to realise these objectives, public-public partnerships with citizens’ organisations are suggested. The essence of the White Paper (RSA 1998a) is its emphasis on the transformational governance in municipalities which is by implication an open, integrated and engaging system of municipal (co-regulation) order.

The ideals and objectives of the White Paper (RSA 1998a) have become obscure in the application of local government legislation; a disjuncture arises between the ideals and objectives of the White Paper (RSA 1998a) and municipal practices. Table 3.2 highlights areas of this disconnectedness, particularly since the government has invested heavily in the expansion of the middle class at the expense of parallel investment in areas where life presents more obstacles than solutions. The strategic basis for a developmental state lies in the balanced distribution of investment in civil society, promulgated by the White Paper (RSA 1998a).

#### **3.4.4 Local Government: The Municipal Structures Act, 1998 (117 of 1998)**

The Municipal Structures Act, 1998, (RSA 1998b), hereafter referred to as the ‘Act’, is contextualised in a bureaucratic paradigm, thus promoting hierarchical departments performing silo functions, much like the “machine” organisational structure, with limited flexibility and high inefficiencies, as described by Mintzberg (1983:159). The phenomena of (i) the dispersal of information, tasking and responsibility between departments, (ii) the cumbersome nature of navigating various departments and personnel to locate project, programme and policy updates or hold-ups, (iii) the dependence of lower and middle managers and officials upon decisions that must be finalised by top managers, (iv) the actual display of legitimate, expert and referent power among officials and managers towards staff and communities, and (v) the length of time taken for decisions to be made, are particular examples of a machine bureaucracy. IPSS structures demand municipal functioning with citizen engagement, openness, digital access to information and participatory planning. Inwardly focused management practices by municipal executive leaders erode the pragmatic implementation of the Act, which remain dominated by

an inability to behave with flexibility and spontaneity. Opportunity and innovation, therefore, become neglected legislative tasks (RSA 1998b). Bodrožić and Adler (2018:102) describe the transition from the machine model to the network model of management as a dominant and perpetuating “organizational paradigm” for the fourth industrial epoch, influencing qualitative transformation, technological, organisational, institutional and social innovation.

The opportunity for transformation, i.e. holistic and integrated development, is implicit in the Act but requires to be driven by political intention. The objects of the Act (RSA 1998b) are (i) to provide for the establishment of municipalities, (ii) to implement specific types of municipal and the related criteria, (iii) to provide for the division of functions and powers between categories of municipality, (iv) to regulate the internal systems, structures and office-bearers of municipalities, and (v) to provide for appropriate electoral systems. The Act (RSA 1998b) also provides for (i) the independence of municipalities, (ii) intergovernmental relations, (iii) democratic relations with stakeholders, and (iv) efficient and effective delivery of services as stated in Sections 43(1), 60(2) and 79(1)(a) of the Act. The Act (RSA 1998b), Section 88, prescribes co-operation between municipalities but refrains from extending the concept to effective ‘inclusivity’ i.e. collaboration between stakeholders.

Section 8 of the Act (RSA 1998b) refers to the participatory system of sub-councils and wards, which are controlled by the municipal councils’ oversight and regulations. Section 56 of the Act (RSA 1998b) stipulates that executive mayors (or mayors) are compelled to promote (i) integrated development planning (IDP), (ii) partnerships, (iii) the involvement of the community and community organisations, and (iv) consultation regarding public opinions. Section 72 of the Act (RSA 1998b) states that the objective of ward committees is to enhance participatory democracy and hence to engage on matters pertaining to the quality of life of citizens, excluding any form of discrimination. Time, capacity, political and financial constraints are imposed upon ward committee activities by municipalities. Party political differences, divergent intentions and control mechanisms prevent citizens’ involvement in bringing about genuine, open and accountable public-participatory processes. In a fully operating IPSS, stakeholder networks would be expected to assume responsibility for integration, holistic development and feedback mechanisms to communities. While aspects of the Act (RSA 1998b) aim to enhance participatory democracy, municipalities in South Africa are still viewed adversely by citizens rather than as IOS of benefit and advantage.

A major shortcoming in the Act (RSA 1998b) is the lack of legislated relationships between the MEC, the municipalities and the Minister for Local Government in the fulfilment of the Constitution (RSA 1996), Sections 152 and 123, and Section 19 of the Act, (RSA 1998b), i.e. in respect of particularising ‘municipal objectives’. The Act, (RSA 1998b), Sections 12, 14, and 16, regarding the establishment of municipalities, make no rulings on public engagement; this point is further substantiated by the continuous protests regarding municipal demarcation, for example, protests in Khutsong, Limpopo (2007), Matatiele, Eastern Cape (2011), Zamdela, Free State (2015) and in Vuwani-Makhado, Limpopo and Denver, Gauteng (2016). Numerous factors initiate these incidents, but the lack of engagement with authorities is a concern. The Act (RSA 1998b), Section 17(2)(b), is not clear on consultation processes with stakeholders, which leaves room for debate between communities and municipalities. The Act (RSA 1998b) does not compel democratic engagement with the stakeholders and therefore municipalities are obliged to make this decision.

Ward committees, in enhancing participatory democracy, need to consider the question of capacity building before successful community engagement can occur with respect to achieving the goals stated in the Constitution (RSA 1996), Section 152, namely to empower the community as well as the municipality. This task has not been achieved. Part 4, Sections 72 – 75 of the Act, (RSA 1998b), regarding ward committees, is far too bureaucratically structured and compels poorly educated communities to engage legislative matters such as the restriction to 10 members, the gender composition and the very short term of office without the opportunity to make changes to the organisational arrangements.

Smith (2008) holds that ward committees are favourably placed for the enhancement of participatory democracy as (a) advisory bodies, (b) representative structures, and (c) independent structures, i.e. such a committee is an impartial body that must perform its functions without fear, favour or prejudice. May and De Visser (2011:17) argue that while “99%” of municipalities in South Africa have established ward committees, these committees remain the focus of fierce criticism from the communities they represent. May and De Visser (2011:17) provide a critique on ward committees, holding that:

- Public engagement in real terms does not take place and communities are angered; as a result, leading to protests or the withholding of rates and other payments due;
- Councillors have been unable to pursue a developmental role, to act impartially in the

- interest of community affairs, and as the chairperson of the ward committees;
- Councillors have been unable to pursue a developmental role, to act impartially in the interest of community affairs, as the chairperson of the ward committees;
  - The number of representatives (10) has proven to be too rigidly decided;
  - Ward committees have not gained the trust of communities;
  - Ward committees have failed to formulate and implement precise mandates;
  - The ward committee is not required by legislation to be part of the IDP and the SDBIP; and
  - The ward committee lacks administrative and financial resources.

### **3.4.5 Local Government: The Municipal Systems Act, 2000 (32 of 2000)**

The Municipal Systems Act, 2000 (32 of 2000), hereafter referred to as the ‘Act’ (RSA 2000a), provides a broad overview of how a municipality proceeds with its operational functions, i.e. the Integrated Development Plan (IDP), public participation, performance management, service delivery, the role of officials and councillors, codes of conduct and general human resources guidelines. The Act (RSA 2000a) is a guide for citizens to understand the operationality of a municipality. In a ‘machine’ bureaucracy municipalities generate ‘communication gaps’ between themselves and the stakeholders they serve on critical issues such as local economic development, housing, health matters, facilities for sport and recreation, social cohesion and socio-economic upliftment. The provision of basic services, the development of human and social capital, crime and lack of safety and security are matters that remain open for deliberative dialogue with stakeholders. The Act (RSA 2000a) does not suggest immediate solutions. However, capacity building is required regarding the effective interpretation of the Act (RSA 2000a) by senior managers. Similarly, quality service delivery, budget implementation planning, communication and civic education are in principle not curtailed by legislation and should be implemented.

The implementation of the principles governing the delivery of PVs, as well as the principles guiding the municipality’s operationality, requires debate among stakeholders. Demands for an IPSS, sound governance and public engagement should guide such debates. A major challenge for municipalities and related IOS is to move from linear systems thinking to non-linear systems thinking, as this would impact on existing norms and the status quo, modes of control and destructive political manoeuvring. The common ‘systemic’ tensions prevalent at municipalities are characterised by (i) an inward municipal management focus, (ii) silo

operability, (iii) hierarchy, (iv) exclusion of resources, capacity and information held by the citizenry, and (v) resources wastage and inappropriate applications resulting in wasteful expenditure. The Act (RSA 2000a) is a means to an end, i.e. interpretable and dependent on the will of the municipal managers to enact in the interest of citizens to addressing backlogs in service delivery as this pertains to section 152 of the Constitution (RSA 1996).

While the Act (RSA 2000a) does not separate the legislative and executive tasks of the council (Section 11), the Act (RSA 2000a), specifies at length the nature of (i) community participation (Sections 16-22), (ii) the IDP (Sections 23-37), which utilises mechanisms of collaboration and integration, and (iii) performance of the municipality (Sections 38-49), which involves the exercise of monitoring and evaluation, empowerment and capacitation of citizens to effect these tasks. Schedules 1 and 2 of the Act (RSA 2000a) support the ethic of serving both the municipality and the citizenry in a non-biased, democratic, open and honest manner. A normative reassessment and reflective process by municipalities on the current mode of municipal operability are necessary steps in the direction of an IPSS, which would establish open, holistic and integrative operability. Chapter 4 of the Act (RSA 2000a) details mechanisms and principles for public participation in relation to (i) developing a culture of public participation, (ii) procedures, (iii) communication, and (iv) regulations regarding implementation. Municipalities argue that existing constraints (resources, capacity, organisational-political issues) on the full participation of citizens pose threats and will be time-consuming, since capacity must be 'built' prior to the participation by citizens.

An IPSS requires the full participation of citizens in order to establish key imperatives for engagement; these are equity and equality, non-discrimination, deliberative democracy, policy-making, resources planning and utilisation, information sources and potential for capacitation to safeguard sustainable initiatives and sustainability in general. As a key stakeholder within an IPSS, citizens participate (in teams) as 'evaluators' with IOS, business and citizens' organisations, making the network feedback process a reality.

### **3.4.6 The Public Finance Management Act, 1999 (1 of 1999)**

The goal of the Public Finance Management Act, 1999 (RSA 1999a), hereafter referred to as the 'Act', is to impose financial responsibility on all IOS. Financial responsibility is a governance imperative since the country's resources, vitality and stability are dependent upon it. The management of South Africa's financial resources is entrusted to all IOS, from which

citizens demand a high degree of ethically and morally accountable behaviour and trust. Confidence is instilled in citizens when a good financial position is announced by the AGSA. There should be an understanding that public financial resources are lodged not only in revenue and liquid funds but also in investment in social and human capital, infrastructure, opportunities provided through the education of citizens and sound relationships with foreigners, i.e. the global community. It is the task of the Act (RSA 1999a) to ensure the efficient, effective and economical employment of financial resources; thus “fruitless and wasteful expenditure” means wilful wastage, reckless and irresponsible expenditure, or corrupt practices. There is no discord between the Act (RSA 1999a) and the financial requirements for the implementation of an IPSS; civil society, as a key stakeholder within an IPSS, would assume the responsibility of financial oversight regarding all aspects of municipal budgeting and spending (RSA 1999a).

There is a strong link between the responsibilities of accounting officers and the implementation of Section 152 of the Constitution (RSA 1996). Erasmus (2008:57) points out that the following measures collectively represent sound financial planning in what may be considered to be an environment persistently affected by unhealthy financial behaviour:

- Expenditure control, costing, accountable operational planning, spending efficiency with regard to investment and sustainability factors and efficient revenue collection;
- Effective and aligned strategic, business and risk analysis planning;
- Measurable objectives and targets, optimising value-for-money rewards and the implementation of efficiency, effectiveness and economic measures;
- Alignment of spending to socio-economic priorities; and
- Sustained avoidance of unauthorised and wasteful spending.

Concerning the IPSS and PV generation, stakeholders demand (i) chastisement of officials for wasting or abusing public funds, (ii) accountability with regard to spending and financial planning, (iii) opportunities for generating income, (iv) an evaluation of financial management, and (v) the ongoing capacity building of newcomers to public projects and programmes.

In present-day South Africa political partisanship, coercion, patronage and corruption are endorsed by a few individuals at the helm of government power, thus rendering any attempt at democratic accountability and financial integrity impossible. The key elements required for IPSS emergence is administrative accountability, proper oversight, effective collaboration and communication. Adverse political control by individuals in government impacts negatively on

attempts at integration. In reality, an IPSS could hardly emerge in an environment of entrenched corruption, bureaucracy and authoritarianism.

### **3.4.7 Local Government: The Municipal Finance Management Act, 2003 (56 of 2003)**

The Municipal Finance Management Act, 2003, (RSA 2003), hereafter referred to as the 'Act', is a particular instrument for the efficient financial administration of a municipality. The Act sets out responsibilities and tasks, guidelines and essential requirements for municipal managers, also referred to as accounting officers. The Act (RSA 2003) makes provision for an internal auditing team to review financial matters internally, ultimately being accountable to the citizens, municipal officials, politicians, provincial treasury, national treasury and the AGSA office. The central thrust of the Act (RSA 2003), is to prevent fruitless and wasteful expenditure. The Act (RSA 2003) must ensure financial responsibility, accountability, efficient, effective and economical utilisation of financial resources locally, sustainable investment and interventions to ensure financial stability. Accounting officers have a responsibility to the provincial and national treasury to implement their norms and standards. There is no discord between the Act (RSA 2003), and the implementation of an IPSS, since the measures in the Act (RSA 2003), can apply to a nonlinear system of governance. The problem of the mismanagement of public funds is the concern of the accounting officer and the communities who seek feedback from the municipality. The AGSA reports over the long term have revealed incapacity, wastage and unplanned expenditure. Financial discipline at municipalities has been impaired through tender fraud, corruption, political interference, lack of consultation (with beneficiaries), unauthorised spending, poor financial managerial skills and inadequate training (RSA 2003).

Kroukamp (2014:8) states that risk assessments and fraud prevention plans should be municipal tools aligned with the Act (RSA 2003), to prevent corrupt practices at municipalities. The blacklisting of individuals, businesses and disreputable organisations, utilising anti-corruption hotlines and disciplinary action against corrupt persons, could be methods of dealing with unethical practices. Magubane (2015) reported that while a general improvement in municipal financial management was reported by the AGSA for the year ending 2014, with irregular expenditure falling from 100 to 74 percent, wasteful expenditure of R11.4 billion remained exceedingly high. Magubane (2015) states that the AGSA reported that only 40 municipalities (14%) and 18 municipal entities (32%) achieved clean audits for the financial year ending 2014.

Factors influencing deficient municipal financial audits included non-compliance with the AGSA's recommendations, poor councillor attitudes towards fiscal prudence and legislation, and continued corruption in supply-chain management. The AGSA reported that 25% of municipalities were unable to adequately and accurately account for all the financial effects of the transactions and activities they conducted. Referring to the 2013-2014 financial year, the Municipal IQ (2015) reported that "the AGSA's findings suggest that the commitment made by senior national, provincial and local leadership to improved financial governance is finally bearing fruit". The AGSA report of June 2015, (RSA AGSA 2015c), highlighted concerns relating to the Act (RSA 2003), for the 2014-2015 local government financial year, given for 272 municipalities as:

- The total number of clean audits is 72 out of 272 for the 2014-2015 financial year;
- 92 municipalities recorded the same outcomes as in 2010-11, indicating no substantial change from their previous financial shortcomings;
- Key positions were filled with competent people which stabilised the administration. The long term outcomes are of concern to the AGSA;
- Operation Clean Audit has been successful in only a few cases. The majority of municipalities in South Africa require rigorous interventions;
- Municipal managers and senior managers improved financial and managerial performance by implementing audit action plans to strengthen internal audit committees;
- Western Cape (73%) province had the highest proportion of clean audit opinions;
- Irregular expenditure for the 2014-2015 financial year stood at R14,75 billion;
- Fruitless and wasteful expenditure in 2014 - 15 stood at R1,34 billion; and
- Unauthorised expenditure for the 2014 - 2015 financial year, amounted to R15.32 –billion.

A senior Member of Parliament claimed that the AGSA must have greater powers in holding IOS liable for their non-implementation of the AGSA recommendations (E-News Channel Africa:2106). The following facts regarding national and provincial IOS were revealed in the AGSA report, dated 16 November 2016:

- Irregular expenditure stood at R46.3-billion for the 2015-2016 financial year, an increase of 80% from the 2012 - 2013 financial year owing to non-compliance of supply-chain management laws and processes set out in the Acts; and
- Fruitless and wasteful expenditure was 14 percent higher than in 2013/14, totalling R1.37-billion.



The AGSA held that there is (i) an institutional culture within IOS which reflects poor leadership, (ii) poor supervision, (iii) a lack of policy implementation, (iv) “deliberate intent”, and (v) administrative inefficiencies, pointing to a disregard for accountability. A similar set of conditions is said to be prevalent at municipal level. Table 3.4 refers. The Public Audit Amendment Act, 2018 (RSA 2018) compels municipal finance officers to enforce the AGSAs regulations as stipulated in the Act, the most important being, (i) filling of key vacancies, (ii) implementing effective and timeous monitoring and reporting, and (iii) holding officials accountable for deviations, misappropriation and malpractices (Enwereji and Uwizeyimana 2019:143-165).

While the AGSA has reported a slight improvement in financial management at municipalities for the 2015 - 2016 period, the patterns and trends have remained constant over two decades. With the systemic change from linear systems to nonlinear municipal systems, the deliberative democratic principle will change the ‘closed’ financial management styles, heralding the vital focus on financial accountability to all stakeholders as a priority.

Middleton (2019) reports on the public lecture given at UCT on 30 July 2019 by Jan van Schalkwyk (AGSA Executive). The following root causes were established regarding the decline in financial responsibility at a majority of South African municipalities, viz. breach of fiduciary duty by officials, disregard for legislation, lack of accountability, lack of capacity and capability and unethical behaviour. These factors prevail in the context of ‘exclusionary’ regard for community engagement and hence impact negatively on social progress (Table 3.4 refers).

**Table 3.4: AGSA reports 2015 -2019**

There are 278 municipalities in South Africa	Western Cape province unqualified reports	RSA municipalities unqualified reports (with no findings)	RSA municipalities qualified reports (with findings)	RSA municipalities fruitless and wasteful expenditure
2015 - 2016	80%	18%	48%	R1.141 billion
2016 - 2017	70%	7%	23%	R1.100 billion
2017 -2018	89%	8%	93%	R1.332 billion

Source: The author

### **3.4.8 The Intergovernmental Relations Framework Act, 2005 (13 of 2005)**

The Intergovernmental Relations Framework Act, 2005 (13 of 2005), hereafter referred to as the ‘Act’, (RSA 2005), in essence, communicate implications for integration, coordination,

cooperation and collaboration between the local, provincial and national governance spheres of government as measures to entrench good governance. An eradication of duplication, waste of resources, settlement of interdepartmental disputes and benefits to stakeholders is required by the Act (RSA 2005). The alignment of policy and legislation between the three spheres of government should be regarded as developmental if one is to take into account the diversity of factors pertaining to poverty levels, political, economic, cultural differences, and material and infrastructural differences across South Africa. The Act (RSA 2005) requires government to actively seek integrative and holistic ways of addressing service delivery, drawing on the knowledge and physical resources of citizens and government departments across the three spheres of government. Implementing the spirit of the Act (RSA 2005) is hampered by political intervention, as political parties insist on political control in administrative affairs. Also, (i) red tape, (ii) bureaucratic management, (iii) a bloated administration, and (iv) intergovernmental constraints imposed by traditional leaders (tribal chiefs) and their political party support interfere with intergovernmental collaboration (RSA 2005). Fotaki, Böhm and Hassard (2010:637) hold that “social processes, institutions, ideologies and identities are organized at the interface of political-agonistic and symbolic-imaginary dimensions”.

Section 40 of the Constitution (RSA 1996) clearly demands distinctive, interdependent and interrelated spheres of government; provincial and local government remains strictly under the control of national departments. Cooperative government means cooperation among distinct constitutional entities and not simply the domination of one over others (Malherbe 2006:812). The Constitution (RSA 1996) prescribes in its preamble (i) effective, efficient, transparent, accountable and coherent government, (ii) the wellbeing of the people, i.e. redress of poverty, underdevelopment and marginalisation of people, and (iii) a stable and effective system of governance. Malherbe (2006:817) holds that national IOS are overly concerned with the implementation of national policy and legislation insofar as they take precedence over the welfare of citizens at a local level. The elements of systemic integration, open systems, holistic and integrated development, the establishment of relationships and building networks with stakeholders to maintain and strengthen such networks, collaboration, coordination and cooperation are all necessary democratic tasks to meet the demands for interconnected government and governance. These elements are not being applied in the interest of inter-sector and inter-departmental relations. The inter-governmental fora (The President’s Coordinating Council, The Premiers’ Coordinating Council and District Coordinating Councils) exclude

representation from a vast number of stakeholders, for example, citizens, citizens' organisations, business organisations and professional bodies.

Furthermore, the Act (RSA 2005) opens opportunities for greater communication between the three spheres of government, examples being COGTA's municipal 'turnaround strategy' which was launched in 2010; other inter-governmental programmes are the National Development Plan (NDP), EPWP, Working for Water, Partnership Against HIV and AIDS and Batho Pele. Municipalities drive these programmes to vary degrees and not always with the consistency that they deserve. Deepening democracy and developmental local government should be a coordinated task of government. Heydenrych (2008:722-723) maintains that the actual implementation of an intergovernmental framework requires coherent government policies, aligned to citizens' demands and indicators with common objectives.

Malherbe (2006:818) contends that if provinces and local government are mere 'mouthpieces' of national government, i.e. actualising the dominance of central control, then the task of redressing poverty becomes worrying since nothing in the Act (RSA 2005) that could serve as any check on the national government to override the other spheres is emphatically stated. Woolman (in Malherbe 2006:818) holds that the most secure way to enact cooperative government and governance is to allow all IOS to do exactly what they are empowered to do.

### **3.4.9 The Public Administration Management Act, 2014 (11 of 2014)**

The Public Administration Management Act, 2014, hereafter referred to as the 'Act' (RSA 2014b), is heavily reliant on Section 195 of the Constitution (RSA 1996) in its appeal for ethical governance. The objective of the Act (RSA 2014b) is just administration, implementation of democratic values and principles in administration, holding management to high standards, and ensuring efficient, economic and effective delivery of services to citizens. Central to the Act (RSA 2014b) is the promotion and facilitation by managers of aims to implement minimum departmental norms and standards.

In its preamble and Section 10(1)(a), the Act (RSA 2014b) makes collaboration (across three spheres of government) and accountability legally binding with an implied obligation and responsibility to be adopted by officials; this appeal to officials is coupled with a clear stipulation for efficiency and quality services with specific regard to service delivery for the

upscaling of socio-economic development across social strata. The Act (RSA 2014b), Sections 15(4)(f) and 17(5), compels the establishment of a 'Public Administration Ethics, Integrity and Disciplinary Technical Assistance Unit' and an 'Office of Standards and Compliance' to cooperate with all IOS across the three spheres of government to implement the function of collaboration as well as accountability.

Montesh (2011:2) holds that in the 2007 State of the Nation Address, the President of South Africa initiated the idea of a single public service in order to improve service delivery; this objective was repeated at the ANC's 52nd Conference in 2007. The call for a 'single public service' was restated in the form of the Draft Public Administration Management Bill of 2008, also known as the Single Public Service Bill (Montesh 2011:2). The Bill was intended to legislate for the horizontal and vertical integration and collaboration between the three spheres of government and to ensure smooth and seamless service delivery in the public service. A single public service presented the opportunity for the national government to exercise control over municipalities and thus, by implication, required changes to the Constitution. In 2014 the Bill was promulgated as The Public Administration Management Act, 2014, (RSA 2014b).

The Act (RSA 2014b) in its present form is devoid of clauses arguing in favour of (i) a single public service, (ii) vertical and horizontal integration of tasks and management practices, (iii) structured collaboration, cooperation, coordination, and (iv) citizens' engagement regarding service delivery as stated in Section 195(1) and 195(1) (e) of the Constitution (RSA 1996). As a public administration management tool, the Act (RSA 2014b) does not focus intensively on good governance, innovative implementation, networked governance or meaningful public engagement (inclusivity) with the IOS. In conformity with integrated public systems, i.e. an IPSS, Vyas-Doorgapersad and Ababio (2010:423) list the following ethical principles as imperative for municipal officials in the execution of administrative duties:

- Attitude of local government managers towards human capital vested in communities;
- Increased dialogue between communities and the authorities;
- Attracting professionals to local government;
- Integrity within local government;
- Building trust between the authorities and local communities; and
- The code of conduct is a requisite to avoid maladministration and unethical behaviour.

### **3.5 Factors influencing legislation with regard to IPSS emergence in South Africa**

The following factors relate to the argument that the existing municipal legislation can adapt and accommodate PV generation through the implementation of an IPSS. The value basis, opportunities for stakeholder integration and perspectives on planning priorities (such as inclusivity) implicit in municipal legislation, suggest that IPSS implementation is feasible.

#### **3.5.1 The municipal political-administrative interface**

In South Africa, political parties appoint mayors, municipal managers and top municipal officials as these appointments are not part of a bottom-up process. In isolated cases, these appointments are challenged by communities. The political-administrative interface defines the influence exerted on the administration by politicians (councillors, MECs, ministers) in political manoeuvring to gain an advantage over other political parties, not always necessarily in the best interests of the citizens, as tension is created between stakeholders. A complete separation of the political apparatus from the administration is not possible in South African local government (Mintzberg 1996:80). Politicians must enable citizens' full and fair democratic participation, with stakeholders and the municipality in their constructive and contributory role. An IPSS demands that citizens participate in (i) negotiating the utilisation of resources, capacity and information, (ii) defining PV in relation to the demands and needs of citizens, and (iii) evaluation and feedback regarding outcomes of the generation of PV. In South Africa manipulation of local government legislation, regulations and policy occur at the political-administrative interface, resulting in a negative impact on citizens.

Ellmann (1993:455-458) holds that the 'separation of powers' should be seen as pragmatic; in some instances these structures guard against possible abuse by the government, and in other instances, positive results may emerge from interconnections between these powers. Judges too may be appointed by political parties and so bear influence in the judicial arena (Ellmann 1993:458). Accountability (and feedback) to citizens may be the fulcrum upon which political interference in the administration rests as political interference in the administration cannot be absolutely controlled.

De Visser (2009:18-20) argues that communities perceive municipal councillors as excessively prone to promote their own political agendas through placing undue pressure on the administration. The Constitution (RSA 1996), Section 151(2), gives municipal councils both legislative and executive powers. De Visser (2009:18-20) argues that municipal councils would

be better served by making their executive role a primary one and that councillors should exercise political oversight in a balanced manner. There is a distinction between the legislative and the executive arms of government in the national and provincial government, but despite this there remains a high level of interference from politicians in the administration.

De Visser (2009:18-20) notes that The Municipal Structures Act (RSA 1998b) makes provision for Sections 79 and 80 committee meetings, where political influence on matters can be curtailed through the code of conduct, terms of reference, delegation and rules of order as well as the clarification of roles for office bearers. He illustrates how efficient municipal operability can be impaired by highlighting the following aspects of political interference in the administration of municipalities:

- Political parties micro-manage their appointees to administrative positions;
- Politicians are prone to inappropriate behaviour such as authoritarianism;
- Political parties rarely advise on strategic and ethical matters or guidelines;
- Tender fraud, political appointments, credit-control and supply-chain decisions, unwarranted virements and councillor appointees result from political interference in municipal administration;
- Greater attention should be paid to oversight by municipal councils and committees; and
- Committee chairpersons should be empowered to deal with high-calibre technical issues.

It is worth noting the preamble to the Promotion of Administrative Justice Act, 2000, (RSA 2000b), which in brief states that administration must be exercised in a manner that is lawful, reasonable and procedurally fair, ultimately to the benefit of citizens. The Act (RSA 2000b) promotes efficient administration and good governance as well as a culture of accountability, openness and transparency in the public administration, which are directly applicable to (i) IOS operating in networks and (ii) the operation of an IPSS. In spite of its legislative strength, the Act (RSA 2000b) cannot curtail political dominance, which impacts on lines of authority.

In an IPSS it is the responsibility of stakeholders to implement checks and balances in order to effectively monitor the values expressed in legislation in order to prevent inappropriate and damaging practices by office-bearers. O'Regan (in Beukes 2003:292) holds that ethical practices are the "normative requirements that should guide the development of administrative law". Beukes (2003:292) notes that statutory texts must be treated in a constructive, systematic and purposeful manner so that benchmarks for accountability become entrenched in public law.

### **3.5.2 South African government's responsiveness to citizens**

Judge Dennis Davis (in Van Wyk 2004:428) notes that governments' responsiveness to citizens is integrally tied to the vision of open, accountable and responsive government; this statement is pertinent to South African municipal engagement with communities in upholding the "spirit, purport and objects of the Bill of Rights". Integration implies accountability and legal responsibility and would not be successful in any other way. The lack of provision of basic amenities to people in many South African towns signifies behaviour contrary to peoples' expectations and understanding of constitutionality in South Africa, i.e. there is a gross lack of responsiveness from local government to the demands of citizens. In proposing an IPSS, constitutionality would imply a responsive and responsible government, and the issue of responding to the demands emanating from citizens in an adaptable and flexible manner, with automatic network feedback to encourage additional deliberations.

The notion of procedural (and deliberative) democracy does not always cascade from the national sphere of government to the local level. The Constitution (RSA 1996), Sections 9(2) and (3), is specific about the application of equality and fairness, which is undermined by individualist interpretations of the political-administrative interface. Evidence of this abounds in the South African context and may be found in the research of organisations such as the South African Human Rights Commission, Multi-Level Government Initiative (MLGI), Corruption Watch and Municipal IQ. A responsive government and municipality will ensure that procedural democracy is enforced in order to uphold the essential elements contained in the Bill of Rights. Malan (2006:144-145) suggest four essential elements in securing a responsive government entity, i.e. procedural democratic rule, (i) public control over government decisions taken, (ii) equal and universal franchise, (iii) free and fair elections, and (iv), majority rule. Malan (2006:148) contends that a democratic government must retain equal responsiveness to minorities and smaller social groupings as it does to larger groups, for it (a government entity) to be called democratic.

Responsiveness implies (i) that each of the elements of law and authority stands in a "complementary relationship" to one another and (ii) that responsiveness is a "precondition for authority" and the successful application of the law (Van der Walt 1992:238). Woolman, Nussbaum and Braithwaite (in Hawthorne 2011:433-434) hold that "responsive governance" entails that the protection of "human dignity" goes beyond the mere right to vote and should

secure the attributes of responsiveness in terms of “self-determination, self-governance and collective responsibility for the material conditions”. Similarly, February (2015) holds that the antithesis of responsiveness is revealed in the undermining of democratic institutionalism, an economic crisis, unethical behaviour of public managers, weak and corrupt governance, nepotism, political appointments of unqualified persons, abuse of power, unaccountable behaviour and pursuance of fraud and corruption. Du Plessis (2002:367) contends that “constructive integration” is a viable process with many possibilities of success in a developing country such as South Africa. Responsiveness, according to Du Plessis (2002:381-382), is a component of “constructive integration”, such as judicial responsiveness, applied in cases where minority groups seek protection by legal means; where legislation is expected to favour the interests of citizens and minority groups in every municipality.

### **3.5.3 Stakeholders, partnerships and alliances**

An IPSS serves as a vehicle for the enhancement of relationships between stakeholders to facilitate collaboration on mutually beneficial projects and programmes within a municipal area. Currently, stakeholders and partnerships in South Africa do not operate within an integrated municipal system. With resources, information and capacity available in varying degrees and vested with government departments, an integrated systemic mechanism would be viable for bringing actors together in productive relationships, in stakeholder groups or in public-private partnerships (PPPs). Wondirad, Tolkach and King (2020:3) lists the factors influencing ‘effective’ stakeholder collaboration as comprised of joint decision making, trust, reconciling powers, inclusive participation, interdependency, shared responsibility for objectives, perceived benefits, organisational support, reciprocity, information awareness and long term relationships (partnerships).

Uys (2014:188) holds that PPPs are formed by “agreement between public-private organisations that share resources like finance, personnel and to overcome risks and accomplish rewards for the relevant service delivering parties by delivering public value services”. PPPs are regulated by law, contract, policy and legally binding agreements between the partners. In South Africa, the key stakeholder in an IPSS would be communities. Stakeholders have the capacity, ability and skill to work, to bring their interests, demands and desires to much-needed programmes and projects in order to stabilise their social and economic environments.



Moore (2003a:1213) cautions that stakeholders must (i) have the ability to analyse the benefits that PPPs bring to communities, (ii) insist on public accountability, and (iii) emphasise the use of measures and “standards” for “efficiency, effectiveness and fairness” with respect to PV generation. Municipalities in South Africa should employ PPPs in terms of the Constitution (RSA 1996), Sections 152 (1) and (2), the White Paper on Local Government (RSA 1998a), Section 2.2.6, and the Municipal Finance Management Act, (RSA 2003), Section 120. National Treasury Regulation 16 (RSA 2004c) defines PPPs in term of their unique purpose in respect of participating in municipal development schemes.

Kelly (in Budd 2007:53) supports networks and partnerships between civil society and IOS in order to effect the delivery of quality goods and services to citizens. According to Uys (2014:185-188), an integrated public management governance model appropriate to South African conditions, which subscribes to integration, holism and multidimensionalism, may be produced in order to secure a survival path for PPPs in an environment abundant with socio-economic complexities. Schmidt (2008:9) argues that contradictions in the statutes invariably exclude critical stakeholders such as impoverished communities, as community-based organisations (CBOs) are needed in building the fabric of civil society. He holds that the failure to deliver on efficient and effective involvement with PPPs can be attributed to political appointments to top management positions, creating unwarranted challenges in the delivery of benefits to citizens. Schmidt (2008:12) advises that (i) the current legislation regarding public engagement requires revision in order to facilitate broader representation from ‘below’, (ii) to move away from bureaucratic processes in municipal planning, and (iii) communities are deserving of a “differentiated approach” as they cannot be regarded as ‘homogeneous’.

#### **3.5.4 Monitoring and evaluation in municipalities**

The National Evaluation Policy Framework (RSA 2011b) of South Africa has the potential to spearhead monitoring and evaluation policy implementation countrywide. The National Evaluation Policy Framework (RSA 2011b) defines evaluation as the systematic collection and objective analysis of the evidence on public policies, programmes, projects, functions and organisations to assess issues such as relevance, performance (effectiveness and efficiency), value for money, impact and sustainability, and to recommend ways forward. Such a measure would support IPSS operability, relevant in a municipal context to evaluate and provide feedback to stakeholders on accountability, collaboration, fairness (equity), integration,

stability, PV outputs, value-added outputs and all-round inclusivity (holism). The practice of evaluation within the South African IOS is hardly visible and consistent. A monitoring and evaluation mechanism serves to provide substance relating to success and failure, risk, strategy formulation, efficiencies relating to standards, quality and customer satisfaction. Citizens, as direct beneficiaries of services and products delivered by the government, should engage in evaluation processes, in order to report on what is believed to be good or bad, acceptable or unacceptable. The evaluation of a system, a process, project or programme by stakeholders, coupled with the regularity of feedback, places an IPSS on a stable path to success.

The White Paper on Local Government (RSA 1998a), Sections B 3.3, F 2.2.1 and F 2.2.4, supports evaluation in relation to policy initiation, formulation, evaluation and capacity and skills development, respectively. One could argue that the Constitution (RSA 1996) should be emphatic on the implementation of evaluation processes in IOS, particularly in relation to expectations in regard to Sections 152, 195 and 196, Section 4(e), regarding the powers and functions of the Public Service Commission. The alignment between the Constitution (RSA 1996) and other Acts promoting evaluation in the IOS is weak, particularly concerning local government legislation. The Public Administration Management Act, (RSA 2014b), Section 17(4)(a), legislates for “the evaluation of the appropriateness of norms and standards” in isolation from many other unstated requirements for an effective monitoring and evaluation methodology. The Municipal Systems Act (32 of 2000) (RSA 2000a), Sections 57(4)(b) and 77(d), refers to individual performance appraisals and neglects (municipal) organisational performance evaluation. Chapter 6 of the Act (RSA 2000a), does not offer clear definitions for individual appraisal as distinctly different from the evaluation of organisational performance.

In a working paper Uys (2016) makes the following points, among others, regarding the process of evaluation particular to South Africa: (i) the evaluation process occurs in an unpredictable and complex environment; (ii) it is characterised by multiple government and stakeholder networks, governance criteria, political pressures, policy formulation, PV and added PV outcomes; (iii) collaboration and partnership formation set in motion opportunities for capacity building and setting norms and standards for IOS; and (iv) research indicates low or no compliance with evaluation processes, political oversight and public engagement.

Shah (2009:19), emphasises the “bottom-up” citizens’ role in the evaluation process. He

highlights the 'built-in' element of responsiveness of government officials to service delivery and citizens' needs and expectations, benchmarking good practice, trust, accountability, clear objectives, costs, efficiency of services delivered and related quality of services deliverable, as measures particular to a monitoring and evaluation process, jointly managed by communities and the municipal authority. In order to give effect to a monitoring and evaluation process, Shah (2009:23) holds that municipal officials should adopt "operational flexibility and freedom" by exercising "few rules and more discretion" in the monitoring and evaluation process. IPSS monitoring and evaluation incorporates these qualities as it deviates from the bureaucratic system in adopting an open, nonlinear system of operability.

- **Quality standard ISO 9001:2015 for local government**

Quality is measurable; it is what citizens regard as good or bad, favourable or unfavourable, acceptable or unacceptable as outputs and outcomes. Quality of life as an outcome from an IPSS is measurable in terms of the International Organization for Standardization, ISO 9001:2015 norms and standards. ISO 9001:2015 sets out the criteria for a quality management system for which certification may be obtained. ISO 9002:2016 is non-prescriptive and not mandatory as it provides guidance on the requirements and procedures for implementation by organisations for ISO 9001:2015. The guidelines contained in ISO 9004:2009 provide for government bodies to support the quality management approach not intended for certification.

The White Paper on Local Government (RSA 1998a) place a clear focus on the need for 'quality' of life, quality of water and environment in addressing the "social, economic and material needs of communities in a holistic way". The Constitution, Section 1(a), makes reference to human dignity, the achievement of equality and the advancement of human rights and freedoms (RSA 1996). The Municipal Systems Act, 2000 (32 of 2000) (RSA 2000a) defines basic municipal services in terms of an acceptable and reasonable quality of life for all citizens. The quality of life of a large proportion of the South African population remains in a poor state and is poorly addressed.

The adoption of ISO 9001:2015 by South African municipalities will make available a ready-made set of criteria for the production of qualitatively sound services for citizens; communities could participate in the monitoring and evaluation of the process. Drakenstein Municipality's Tourism Unit was awarded the ISO 9001:2008 certification for their achievements on 12 August 2011 (Fouldien 2012). The City of Cape Town received the SANS/ISO 18001

Occupational Health and Safety Management System award in July 2019, for its utilisation of SANS/ISO 9001 quality management system for the Department of Water and Sanitation (Pillay 2019). The benefits of ISO 9001:2015 are seen as (i) meeting the needs of citizens, (ii) the enhancement of customer satisfaction, (iii) isolating and identifying risk, and (iv) conforming to internationally accepted norms and standards. Instruments such as Total Quality Management (TQM) and the Servqual Rater model (reliability, assurance, tangibles, empathy and responsiveness) provide methodologies to support the measuring of quality standards. Establishing criteria for quality measures such as aesthetics, fiscal, human and material resources, outputs and outcomes are best derived from public engagement in terms of needs, demands and desires, and which are related to investment in scarce resources, capacity and particularly finances (Folz 2004:218). An evaluation framework for South African IOS for measuring tangible and nontangible public value (PV) may be constructed from indicators established in terms of IPSS criteria for effective and efficient IPSS operability.

### **3.5.5 Relative municipal autonomy**

Relative municipal autonomy as a proposition for municipalities in South Africa to effectively facilitate the implementation of a flexible, nonlinear, accountable stakeholder-driven IPSS is a critical success factor in the operability of an IPSS. One could assert that the notion of relative municipal autonomy requires legislative sanctioning and clarity. Colon (2006:62-68) believes that municipalities should be “schools of democracy” encouraging participation effectively legislated and by compelling efficiency by bringing government closer to the people.

Relative municipal autonomy implies independence and the assumed liberty of a municipality to interpret and apply local government legislation in the interests of stakeholder objectives. Relative municipal autonomy is a characteristic of municipal strength about its ability for independent decision making with stakeholders, strengthening of community engagement and capacity building, participatory planning and effective network functioning. It is understood that relative municipal autonomy is dependent on the required information, capacity and resources to produce tangible and nontangible goods and services effectively. Van Parys, Beuselinck and Brans (2009:47-50), Reddy (2010:83) and Tapscott (2004:205-209) agree that municipal autonomy is dependent on self-organisation, self-correction and feedback, decentralisation, capacity building, empowerment and discursive engagement. Local government legislation ascribes a degree of autonomy to municipalities in terms of the

Constitution (RSA 1996), Sections 151(3), (4) and 154(1), in relation to “the right to govern, on its own initiative”, with the least amount of interference from IOS in other spheres of government as well as the legal framework provided by the Municipal Structures Act, 1998 (RSA 1998b) and Municipal Systems Act, 2000 (RSA 2000a). However, one cannot assume that municipal autonomy could exist in an absolute form.

Relative municipal autonomy can be facilitatory of (i) genuine developmental municipalities, (ii) collaborative, networked and inclusive governance, (iii) PV generation (iv), public, (ii) collaborative, networked and inclusive governance, (iii) PV generation (iv), public engagement, deliberative democratic dialogue between stakeholders and (v) building trust relationships. Relative municipal autonomy and the advancement of an IPSS in South Africa are constrained by the issuing of unconditional transfers, municipal infrastructure grants, (MIGs) and allocations ‘in-kind’. Political hegemony, parliamentary decisions, political appointments and institutional considerations restrict municipal freedom to act autonomously.

Thornhill (2009:27) states that the “functions and powers” of municipalities are to a great extent centrally defined in South Africa as there are no clear policy guidelines or frameworks which define the parameters of ‘autonomy’ over tacit control. He states that the national government “unilaterally determines the general policy and the financial capacity of municipalities” by way of grants and political control. The emergence and subsequent establishment of an IPSS (or IPSS clusters) in future will, therefore, entail the loosening up of rigid bureaucratic practices, a paradigm shift among leaders, as well as recognition of the advantages of open systems for the management and measurement of municipal productivity.

### **3.5.6 Development criteria for IPSS success**

For stakeholders (particularly citizens) to operate successfully in an IPSS, a basic level of education and understanding of systemic operations and productivity, legislation, community dynamics, formulation of their needs, reading, mathematics and science are essential. Effective schooling, learning and training have been highlighted as a priority in South Africa, particularly among the rural and urban poor populations. Effective schooling has advantages for the economy at large and in terms of epistemological, ontological and axiological development, an essential requirement for citizens to understand democratic relations, as a means towards finding solutions to socio-economic and cultural problems, in a social development milieu.

In South Africa, there is no structured civic education on a mass scale. Whereas civic education includes elements of basic education and Adult Basic Education (ABE), programmes are not specific to purely civic matters and cannot prepare citizens for effective engagement with stakeholders. Additional subject matter for civic education curriculum are civic ethics, transparency, accountability, accessing information from the internet, monitoring, evaluation, feedback, resources utilisation and choice of community leaders responsive to citizens' needs. Empowered citizens in advanced countries such as Germany and the UK are schooled to a large extent in the matters stated and are able to participate in civic education programmes, thus raising the quality of citizens' lives. Large sections of the South African population experience educational and socio-economic deficits, which makes their involvement in civic matters quite challenging. The Constitution, (RSA 1996), Chapter 2, Section 7(1) and 29(1a)(2a)(3), secures general basic education and ABE and it is at this juncture where one may put forward a motivation for civic education, as a necessity for engagement with IPSS stakeholders in relation to decision making, feedback and evaluation.

The International Civic and Citizenship Education Study (ICCS) performed by the International Association for the Evaluation of Educational Achievement (IEA) based in the Netherlands compares the civic education programmes of 38 countries. Spreen and Valley (2012:95) state that with a Gini coefficient (a measure of inequality) for South Africa at 63-65% recorded by the World Bank in 2011 (where 0 means perfect equality and 1 means perfect inequality) as the highest in the world, indicating a real need in the arena of civic education, citizen empowerment, economic and social stability in order to develop a real sense of citizenship and a set of conditions advantageous to allow for systemic change in society.

Van der Waldt (2010:17) regards the "general knowledge of citizens regarding government affairs, policies and by-laws, normative and the attitude of public officials regarding citizen participation" as important in South Africa and presents analytical approaches for better understanding of the "endless list of variables" impacting on local democracy.

Pratchett, Durose, Lowndes, Smith, Stoker and Wales (in Masango and Mfene 2012:76) concur that IPSS adoption in South Africa needs "informed, literate and knowledgeable citizenry" in order to ensure "asset transfer, citizen governance, electronic participation, participatory budgeting, petitions and redress". To these matters, the authors add self-confidence, capacity

for self-organisation, self-reflection, goal-setting, planning skills and skills for participation in networks. Citizens' demands for involvement in municipal administration, compels the need for civic education that will build capacity for this level of engagement in municipalities.

### **3.5.7 Integrating elements of the National Development Plan (NDP) and Integrated Development Plans (IDPs) in an IPSS**

Integrated Development Plans (IDPs) should ideally be regarded as subsets of the National Development Plan (NDP) (RSA 2011a), Chapter 13, while remaining cognisant of the NDP (RSA 2011a) in its entirety, for the purpose of integration and holistic development. These IDPs link directly to the dire need for integrated management (coordination, cooperation and collaboration) and the implementation of an IPSS embracing the macro, meso and micro spheres of government in South Africa.

- **The National Development Plan (NDP, Chapter 13)**

Powell (2012:8-9) highlights the importance of properly assessing ways to improve municipal capability and effectiveness. By capability is meant the efficient, effective and economic use of information, capacity and resources held by stakeholders, including the municipality. The strategic intentions expressed in the NDP (RSA 2011a), Chapter 13, summarises the pertinent local government legislation, i.e. which states the dire need for transformation, development, accountability, elimination of poverty and the delivery of quality services, which are all feasible objectives for municipalities. The constraints to municipal progress in this regard are given as political interference in the administration, leadership and skills deficits, non-accountable behaviour among top managers, poor organisation and ineffective staff planning leading to low morale and poor collaboration between the local, provincial and national spheres of government. The NDP (RSA 2011a) only suggests strategic paths, such as skills development and career pathing, without any methodology for actual implementation, nor any strategic direction, nor does it provide for (i) a structure or topological adjustments for integration, (ii) analytical, practical and realistic strategic plans for bringing these ideals to fruition, (iii) suggestions for systemic alteration to municipal management practices, e.g. reduction of red tape, (iv) adequate definition of local government scope, (v) decentralisation, and (vi) systems and methodology to harness the energy and experience of citizens (Powell 2012:8-9).

The NDP (RSA 2011a) envisages increasing productivity within the existing bureaucratic system. An IPSS could encourage municipalities to be integrative, collaborative and more

dynamic. The NDP (RSA 2011a), Chapter 13 does not generate new knowledge regarding the political-administrative interface, the skills deficit and the slow pace of intergovernmental relations. The NDP, (RSA 2011a), as broad strategy, links directly with IDPs, insofar as IDPs could (i) formulate common objectives with stakeholders, (ii) provide strategic direction and public discourse, and (iii) insist on effective public engagement.

- **The Integrated Development Plan (IDP) and the Service Delivery Budget Implementation Plan (SDBIP)**

The IDP is legislated by Section 153 of the Constitution (RSA 1996), which states that a municipality “must structure and manage its administration, and budgeting and planning processes to give priority to the basic needs of the community”, and the Municipal Systems Act (RSA 2000a), Sections 23 – 37. The core components of IDP ideology is in line with the principles and objectives of an IPSS (and the NDP), (RSA 2011a), namely that communities must determine how they wish to benefit from service delivery, in both tangible and nontangible forms. If the IDP were to be administered in an IPSS and in line with IPSS criteria, the following features would apply: (i) common stakeholder objectives, (ii) collaboration, cooperation and coordination principles, (iii) citizens’ capacitation to engage government officials, (iv) reflective and feedback mechanisms. The objectives are the wellbeing of citizens, community stability and the sustainability of material and non-material outcomes. Communities living in the townships, outside the central business district, experience such endemic problems that the CCT cannot bridge. One may claim that this absorbs resources without sustaining any qualitative change.

The actual implementation of the IDP falls short on these criteria, particularly public engagement and the measurement of outputs and outcomes (Vatala 2005:232). May and De Visser (2011:17) argue that the relationship between the ward committee and the IDP is fraught with tension, which arises from the unwillingness of parties to drive a common agenda. Ward committees are compelled to be primarily accountable to IOS. Presently, there is no other vehicle for encouraging a transformational and open dialogue with the public. Vatala (2005:225) notes that the IDP has become the key focus of a municipality’s five-year strategic agenda and adds that IDP embraces the entire spectrum of a municipality’s developmental agenda. He acknowledges that consultation and participation by communities, councillors, officials, civil society, sector departments and parastatals require deepening.



The SDBIP, arising from Section 53 of the Municipal Finance Management Act, 2003 (RSA 2003), is employed as the annual budget for service delivery programmes and projects. Research may ascertain the extent to which public engagement (i) could influence IDP and SDBIP decisions, and (ii) IDP and SDBIP-related objectives for innovation, wellbeing and raised standards of life. The SDBIP key performance indicators (KPIs) are commonly utilised in individual performance appraisals of the top municipal officials (Section 57), linking them to their promotion and bonus payments, thereby misdirecting the focus of the SDBIP.

### **3.6 Summary**

This chapter engaged the premise of empirical and legislative soundness that an IPSS, driven by stakeholders of equal status (including the community and the municipality) and operating in a defined network, can generate and measure PV more effectively, efficiently and economically than the current bureaucratic government system can. South African legislative-authoritative factors and hierarchical governance practices at municipalities are explored in favour of an IPSS. IPSS operability embraces the principles and practices which comprise networked governance, shown in Figures 3.3 and 3.5. One could argue that it is possible to retain managerial practices that are sound within a hierarchy, while introducing wider participatory *modus operandi* for a workable implementation framework, thereby raising the quality and importance of accountability, engagement with a wider stakeholder group, integrative leadership, PV outputs and outcomes. Besides, an IPSS cannot dispense with the institutionalisation of monitoring, evaluation and continuous feedback to all stakeholders. Since an IPSS is composed of networks of stakeholders emerging from civil society and IOS, the generation and measurement of PV must satisfy the expectations of citizens.

An argument was advanced for a more integrated and flexible municipality that would (i) improve relationships with stakeholders, particularly communities, (ii) manage with directedness and expediency, (iii) avoid duplication and triplication of work, (iv) emphasise benefits to citizens, and (v) avoid the wastage of resources and widespread corruption. Local government legislation is to a large extent adaptable to IPSS demands; however, there is the requirement that the objectives of the legislation be implemented in favour of the beneficiaries (i.e. the citizens) and not the municipal institution itself. A paradigm shift towards open and accountable organisational behaviour would induce greater confidence in the credibility of municipalities. Given the statistics reported by the AGSA over the last 5 years (Table 3.4

refers), one obtains a quick overview and situational assessment of the general state of affairs in municipalities. Political interference and control in organisational matters, financial recklessness, deficient engagement, resistance to change and the slow pace of social progress have compelled the search for an alternative governance solution, such as a more integrated public service. For local government legislation to become fully operative and resilient in bringing about effective transformation in IOS, a shift to post-structuralist thinking is necessary. By utilising democratic deliberation and demand particularisation at local level, municipalities can begin to enact effective developmental progress in an inclusive, nonlinear and open manner.

## CHAPTER 4

### THE INTEGRATED PUBLIC SERVICE SYSTEM (IPSS) AND PUBLIC VALUE (PV) GENERATION IN WINDHOEK (NAMIBIA) AND LONDON (UNITED KINGDOM)

#### 4.1 Introduction

This chapter seeks to demonstrate and explain the merits of integrated public service systems (IPSS) and public value (PV) generation in housing delivery and community development in London, United Kingdom, a developed country, and in Windhoek, Namibia, a developing country. Communities are integral in a network of stakeholders involved in the delivery of vital social services, i.e. delivery to meet the demands made by communities for social wellbeing, safety, security, social progress and development. Housing delivery and community development are functions of social services, social development and/or community services. Considering an IPSS, demands for services give direction and substance to PV generation. Social housing delivery and community development represent both the tangible and non-tangible qualities of PV, which can best be generated by an IPSS. In establishing the characteristic differences between IPSS outputs, outcomes (PV) and the current hierarchical systems' mode of service delivery, results in improved understanding for stakeholders and beneficiaries operating in IPSS clusters. Performance analysis has shown that open system dynamic properties (collaboration, participation, discursive democratic practice and activities) yield greater potential for sustainable growth and development than Weberian systemic dynamics, which are characterised by excessive controls and red tape (Bititci 2015: 170-172).

The following social drivers will be taken into account in the juxtaposition of a developed country like the United Kingdom and a developing country like Namibia, which is likely to enhance understanding of IPSS viability and PV generation:

- Democratic legislation and policy are supportive of IPSS viability, i.e. working in network teams, collaboration, democratic relations between stakeholders, inclusiveness and integration, with networked governance and PV management practices such as positive and negative feedback. These characteristics also influence the type of evaluation model that is likely to be used in an IPSS;
- Focus on housing delivery, community services, poverty alleviation and sustainability;

- Public-private partnerships (PPPs) utilise public participation as an attribute of continuity and legitimacy;
- Application of digital software for the measurement of integration, efficiency, equity and effective communication with stakeholders and Institutions of State (IOS); and
- Effective, efficient and economic use of resources, capacity and information in IPSSs.

#### **4.2 The need to integrate public housing delivery and community development (services) for effective IPSS operativity and PV generation**

Community development may be defined as the holistic development of an individual or community. The World Bank's (2016) definition of community development is simply "putting people first". Community development relates to the developmental aspects of people in their habitat, i.e. in real-world socio-economic and technological contexts. The socio-economic, as well as psychological-educational and cultural aspects of human development, evolve when people feel stable, safe and free to be productive. A comprehensive integration model, i.e. an IPSS, is required for effective and efficient socio-economic advancement. Bureaucracies tend to fragment systems, while integration enhances co-evolving organisations, co-management and co-production. Swanepoel and De Beer (2011:3-10) suggest that a community context is framed by housing, employment, provision of basic services, health, food security, education and their inclusion in the economic mainstream of the country. Swanepoel and De Beer (2011:41-47) suggest an integrative approach, incorporating collective action by stakeholders, i.e. a needs and objectives-based democratic point of departure is required to address chronic community problems located among the poorest in society. The authors employ collaboration and integration elements as principles of integration and participatory methods, community empowerment, sustainability awareness and adaptation to change (Swanepoel and De Beer 2011:48-59). The authors place the community at the centre of development and wellbeing programmes. This position has not been encouraged by authorities in developing countries, while in developed countries, democratic and community empowerment is encouraged without any transformation to the hierarchical system.

The terms social development, community development, community services and social services, as used by government authorities, contain overlapping elements, criteria and objectives. Integration systems and processes conflict with bureaucratic systems and processes. In establishing open and dynamic IPSSs alongside hierarchical systems, hybrid systems are proposed for effecting community wellbeing and socio-economic progress. A logical approach

will require that common objectives are shared between the vast number of actors, organisations, institutions and the community, and that the priority for these bodies is the provision of quality rental and affordable homes as a starting point for effecting community wellbeing and socio-economic progress. In this way, a holistic approach to housing, community development and social progress can replace the prevailing fragmented approach.

It is essential that epistemological factors are taken into account as necessary for sustaining social and infrastructural development. In dealing with community problems such as youth development, teenage pregnancies, drug addiction, early childhood development facilities, gender, age and child abuse, poverty, unemployment and poor general education as examples, the essential provision of a home is important as a stabilising factor for the prevention and effective management of social problems. PV generation and IPSS formulation, therefore, rely upon the education, empowerment and engagement of the public in mitigating these problems.

- **The purpose for exploratory review of housing delivery and community services in Namibia and the United Kingdom?**

The UK and Namibia was chosen as entities for observing the extent to which the current bureaucratic government system have both advanced or stagnated housing development and its related component, community services, from which it was possible to construct Table 7.1. The choice for the UK was motivated by (i) its large metropolis with 32 local authorities, (ii) Homes England, (iii) a strong social service mechanism, (iv) the presence of Quangos, (v) the design of the two-up-two down housing model (vi) a modern and punctual rail / metro system, and NGOs such as CfCR and The Work foundation for their research on PV. UK was also chosen because of the presence of PV experts at various universities and the EMK Complexity Group at the London School of Economics (LSE). Namibia was chosen as an “African” country from which one may extrapolate housing and community services complexities. Namibia (Windhoek) was also chosen (i) in order to interview officials in government with regard to the Harambee programme of development, and (ii) its proximity to South Africa.

#### **4.3 Rental and affordable public housing delivery with community development in Windhoek, Namibia, with regard to PV generation**

The following section will utilise a systems approach to elucidate and build a context for understanding the way in which the inhabitants of Windhoek in Namibia are addressing the integrated, i.e. holistic, the conceptualisation of public housing delivery and community

development. Namibian legislation, policy and national development plans will be briefly explained. In relation to an IPSS generating PV, existing systemic, political and geographical influences will be explained as factors relating to housing delivery and community development in Namibia, a developing country.

#### **4.3.1 Background to public housing delivery and community development in Windhoek, Namibia**

The above explanation on the rationale for integrated public housing delivery, community development and the need to utilise IPSS and PV criteria applies to the Namibian context. The purpose for exploring the Namibian socio-economic context was to gain insight, knowledge and factual evidence upon which to make assumptions regarding opportunities for IPSS credibility and PV generation, in terms of utilising an efficient and effective system, compared to the hierarchical structures that prevail in government and municipal departments.

Namibia is a developing country with socio-economic challenges in the arena of public housing delivery, limited community development services, socio-economic exclusion of the poor, infrastructural deficits, such as an operating inner-city transport system in Windhoek, with limited public financial resources. Namibia shares these challenges with its geographic neighbours, e.g. South Africa, Mozambique and Zimbabwe. Namibia, with a population of 2.5 million people (Namibia National Census 2011:56), ranks 130<sup>th</sup> among world countries with regard to its Gross Domestic Product of 10.948 billion U.S. dollars in 2016, (World Bank Data 2016). Some of the geographic features of Namibia are (i) water-scarce landscape; according to the World Data Atlas 2015, less than 1% of Namibia's land is arable, (ii) long distances between town and cities, (iii) a rugged coast-line. Nakweenda (2014:17) holds that adverse living conditions in Namibia affect the mental and physical health and the dignity of individuals. Having a home is a fundamental requirement for PV generation, essential for the sustainability of citizens' need to participate in the economy of a country.

Communities value and affirm what is in the best interests of their development; thus their engagement in housing delivery is crucial for stating their social objectives, working with citizen-focused PPPs and the attainment of high standards for quality of life. Housing delivery is, therefore integrally tied to IPSS implementation and PV generation, given the need for stimulating economic growth in Namibia.

### **4.3.2 Legislative aspects for housing delivery in Namibia**

The Namibian legislation, regulations and policy are basic in respect to governing public housing delivery. However, greater specificity regarding stakeholder management, housing quality, an integrated approach, political will and citizen-centricity is required in policy formulation, as it pertains to public housing delivery in Namibia.

#### **4.3.2.1 The National Housing Development Act, 2000 (28 of 2000)**

The objects of the National Housing Development Act, 2000, (GRN 2000), provides for the establishment of (i) a National Housing Advisory Committee, (ii) housing revolving funds by local authority councils and regional councils, and (iii) decentralised build together committees (BTCs) for the implementation of housing delivery in the categories stated as public sector, private sector, regional, local and low-cost residential accommodation. The Act does not deal with aspects of integration, monitoring and evaluation, aesthetics, environmental considerations, nor the right of citizens to affordable inner-city dwellings. These matters are left to government committees and agencies. The Act (GRN 2000) encourages non-government organisations (NGOs) to implement national policies in assisting government committees in respect of housing delivery and sustainability processes.

#### **4.3.2.2 The National Housing Policy (2009)**

The National Housing Policy of Namibia (2009:4) is known as the White Paper on Housing (GRN 2009). The Policy (GRN 2009), touches on the significance of health and education services, environmental conservation, energy, water, sanitation, transport and financial services in “creating sustainable human settlements”. The Policy (GRN 2009), intends to achieve a sustainable balance between urban and rural infrastructural development. The elements for sustainable development of this nature would be affordable quality housing outputs utilising (i) alternative building materials and technologies, (ii) people-centred housing processes (peoples’ engagement) and people public-private partnerships (PPPs) agreements (GRN 2009). The provision of varying categories of housing for varying income groups is maintained as a policy principle. The migration to the City of Windhoek from rural areas has increased the number of inhabitants in informal areas in and around the Katatura residential area, escalating the cost of housing provision and the need for land tenure in the City to consistently higher levels. Niikondo (2010:4-5) suggests that there are four identifiable housing categories, based on demands made by the (i) upper social groups, (ii) the middle-income rural and urban population, primarily state employees, (iii) the rural professionals, and (iv) the rural-urban

migrants' demand. The Policy (GRN 2009:4), holds that about 70% of the population cannot access a conventional home loan.

The objectives of the National Housing Policy (GRN 2009:8, 20), are:

- A national policy and strategic framework for housing delivery in Namibia;
- Sustainable human settlements;
- Integrated housing with economic development and capital investment;
- Provision of four types of housing: (i) credit-linked housing, (ii) rental housing, (iii) social subsidy housing, (iv) houses built by the lower-income earners themselves;
- Promotion of the right to property ownership in both urban and rural areas;
- Implementation of Vision 2030 (Namibia); and
- Poverty eradication, economic growth, job creation and narrowing inequality in income and wealth distribution.

The National Housing Policy (GRN 2009:9), supports the integration of housing delivery with the building of schools, hospitals, clinics, commercial services and other public services. The National Housing Policy (GRN 2009:30), expects that the appropriate regulatory, policy, monitoring and evaluation measures are implemented in order to ensure the smooth facilitation of housing delivery. In reality, housing infrastructure and homes are dependent upon limited and scarce financial resources. In this regard, the scarcity of homes in the CBD of Windhoek for low-income earners' persists as do the stark differences between the urban and rural quality of homes, aesthetics and size.

#### **4.3.2.3 The Harambee Prosperity Plan (HPP) (Namibia) 2016-2020**

The Harambee Prosperity Plan, (HPP), Namibia 2016-2020, (GRN 2016a), referred to as the HPP, was initiated by the President of Namibia to give expression and commitment to an integrated national development perspective and incentive to all development programmes and projects in Namibia, in a strategic drive to achieve "prosperity for all" citizens of Namibia. The HPP (GRN 2016a), gives impetus to all Namibian housing and socio-economic programmes and projects such as its (Namibian) National Development Plan (numbers 4 to 7). The HPP (GRN 2016a), may be interpreted as echoing the (Namibian) National Vision 2030.

While the HPP (GRN 2016a) highlights people-driven capital and socio-economic programmes, it does not state detailed guidelines for the implementation (through the provision



of information, capacity and resources) of an empirical process for stakeholder management with citizens' engagement, the provision of tenders to organised community bodies and a citizens' stake in employment drives for poverty reduction. Monitoring and evaluation are touched on, but not given full attention in a strategic sense, while evidence points to a serious need for resources, capacity and information provision, dissemination and stakeholder engagement for the implementation of the HPP framework (GRN 2016a).

The democratic ideals for effective governance are expressed in the HPP (GRN 2016a); these are the desire for (i) accountability, transparency, trust, engagement by collectives, peace, security, sustainability, and (ii) stability, socio-economic wellbeing, poverty reduction, electrification, water and sanitation. The HPP (GRN 2016a), is reliant upon the responsible government committees to devise appropriate management and performance models (frameworks) for the implementation of the HPP. To curb corruption, nepotism and fraud, the HPP (GRN 2016a), proposes (i) a citizens' satisfaction feedback mechanism (opinion poll) on service delivery with feedback boxes at government offices, (ii) quarterly performance agreements and performance appraisals for government officials and ministers, and (iii) annual customer satisfaction surveys by the business community (GRN 2016a:20).

The mechanisms and processes described in the HPP support an empirical integration system with citizens' engagement in a monitoring and evaluation process. The HPP (GRN 2016a:5), encourages "a culture of high performance and citizen-centred service delivery". One is able to present an argument that the HPP (GRN 2016a:17-55) programmes indicated below could well support an IPSS or IPSS housing and social development clusters, namely:

- Youth enterprise development with vocational training; and
- ICT (with E-governance and access to public information) for community engagement with Institutions of State and other stakeholders.

Weylandt (2016) reports that it is of concern that the HPP (GRN 2016a), targets set for 2016 have not been met. He states that the agreements with citizens' interest groups were intended to herald a new era of accountability, effectiveness and sense of urgency regarding development initiatives. He contends that repeated queries to the relevant authorities yielded little response and implied that red tape added to the frustration of interest groups. The author held that the Secretary to Cabinet did not know when the agreements would be honoured.

Among the HPP targets to be met for lower-income groups in Windhoek and other towns, by June 2016, are:

- Adherence to the New Procurement Act by all Offices, Ministries and Agencies;
- Resumption of the Mass Housing Initiative;
- Ministerial performance agreements released via ministerial websites;
- Issue of the guidelines and regulations of the Public Procurement Act (GRN 2015);
- To operationalise the Central Procurement Body;
- To issue guidelines on the dissemination of information to the public;
- To operationalise a Policy Advisory Unit; and
- To open the Windhoek based Food Bank.

#### **4.3.2.4 The Mass Housing Development Blueprint (2013)**

The legislative authority for the Mass Housing Development Blueprint (GRN 2013a), referred to as the 'Blueprint' (GRN 2013a), is the Ministry of Regional and Local Government, Housing and Rural Development (MRLGHRD); the 'Blueprint' (GRN 2013a) emanates from the National Housing Development Act, 2000, Section 5(i)(a). Sabati, Ndisiro and Nghufeilimwe (2016:Interview), senior managers at MRLGHRD, held the 'Blueprint' (GRN 2013a) in high regard and contend that the MRLGHRD had formulated the 'Blueprint' (GRN 2013a) in response to the Fourth and Seventh National Development Plans (NDP4 and NDP7), (GRN 2017). These officials believe that the 'Blueprint' (GRN 2013a) will cement government's response to poverty reduction in terms of the Millennium Development Goals (MDGs). Keyter (2013:15) holds that the NDP4 is a strategic plan for development programmes which establishes a monitoring and evaluation government function. He states that the NDP4, (GRN 2017), is geared towards (i) reducing unemployment, (ii) increasing equity and (iii) achieving sustained economic growth, and (iv) encouraging public-private partnerships (PPPs) in all areas of economic development, including housing delivery. A common link exists between the national development plans (GRN 2017), Vision 2030 (adopted 2004) and the 'Blueprint' (GRN 2013a). Emphasis on monitoring, evaluation, effective delivery and the effective use of resources is not addressed in the 'Blueprint'. Integration methods and measures are excluded. Since the demand for housing across the population is expected to grow at 3 700 units per annum (GRN 2013a:3), it is vital that the various plans for the delivery of housing are aligned and that they are not vested with government departments in a fragmented way. The aims regarding housing development, as stated in the 'Blueprint' (GRN 2013a), are threefold:

- 185 000 affordable units by 2030;

- Economic growth; and
- Job creation and economic empowerment.

An IPSS should utilise the elements given by the ‘Blueprint’ (GRN 2013a), particularly on PPPs. Stakeholders such as municipalities, the Shack Dwellers Federation of Namibia and housing finance agencies, need to support the public interest, i.e. PV generation and an IPSS.

The ‘Blueprint’ (GRN 2013a) may be regarded as the implementing policy document for housing delivery, particularly to the lower-income earners in Namibia, while Vision 2030 is seen as a unifying and developmental framework that emphasises the concept of the partnerships between stakeholders and actors in a relationship with Namibian government agencies (Keyter 2013:14). In the first instance, it is not clear whether the operational principles are linked to specific integrated operational plans that were pilot tested prior to implementation, or whether this will be done in the future. Secondly, more clarity is required on the relationship arrangements and agreements between stakeholders; and thirdly, the integrated approach is left undefined and therefore will not be able to solidify multi-agency collaboration and co-production, effective management and measurement of projects and programmes. Among the listed operational principles in the Blueprint (GRN 2013a:14), are:

- Integrated development approach;
- Social and economic inclusion; and
- A comprehensive management, monitoring and evaluation component is required.

The ‘Blueprint’ (GRN 2013a) excludes sustainability premises for institutionalised (i) community engagement, (ii) community empowerment education programmes, such as civic education programme, (iii) multi-agency collaboration, and (iv) feedback instruments. It is worth noting that the government departments are bound to bureaucratic procedures, which hampers the openness, flexibility and innovation that community organisations wish to offer.

### **4.3.3 The role of the Institutions of State (IOSs) responsible for housing delivery**

The following IOS are directly responsible for the delivery of public housing in Namibia. One could describe the relationship between the IOS as horizontally decentralised and hierarchical in nature.

#### **4.3.3.1 The Ministry of Regional and Local Government, Housing and Rural Development (MRLGHRD)**

The MRLGHRD is responsible for the planning, commissioning and delivery of affordable and tenant housing to Namibian citizens. This department is legally bound to facilitate effective partnering with builders, the community and NGOs involved in the housing delivery process. However, there is a lack of clarity concerning which department or government agency is responsible for public participation regarding housing delivery. Niikondo (2016:Interview) maintains that public participation is underutilised, particularly regarding the influx of greater numbers of citizens from the rural areas to the towns. He maintains that public participation in Namibia need to address the lack of (i) government capability, (ii) motivation from government officials, (iii) political will, and (iv) drive from the people to have their demands heard. More coordination is required between the Institutions of State to give public participation the status it deserves (Niikondo 2016:Interview).

#### **4.3.3.2 Permanent Technical Team (PTT) on Land Reform (2005)**

The Permanent Technical Team on Land Reform (PTT) (GRN 2005:93) stipulated that all parties (stakeholders) should (i) coordinate and collaborate in terms of their resources and expertise, (ii) monitor and evaluate processes, (iii) institutionalise processes where they have worked well, (iv) work with realistic numbers for relocation, and (v) offer training for productive farming where members of a farming community have been relocated. In addition, the PTT (GRN 2005) stated that non-state actors (NGOs and CBOs) were welcome to bring additional resources and to participate in the productive economic development of land, loan schemes, tenure reforms and poverty reduction in Namibia. The PTT (GRN 2005:101-103) indicated that policy instruments, such as the Vision 2030 (GRN 2004), the National Development Plan (NDP) (GRN 2017) one and two, and the National Poverty Reduction Support Programme (NPRSP) were geared towards reducing poverty and strengthening the property rights of the poor.

#### **4.3.3.3 The City of Windhoek**

The City of Windhoek does not have a housing delivery function. The community development function at the City of Windhoek (the municipality) is known as the “Social Welfare Section”. The tasks performed in this department are (i) social intervention in community care centres, (ii) youth entrepreneurial development and training, (iii) soup kitchens, (iv) school programmes, and (v) HIV-AIDS education. Opportunities exist for IPSS clusters to generate

PV, in the public interest, satisfying community needs and expectations.

#### **4.3.3.4 The Namibian National Housing Enterprise**

The National Housing Enterprise (NHE) is the financial agency set up by the MRLGHRD to manage, execute and finance the construction of houses on serviced plots (Government Gazette of the Republic of Namibia (1993). Matali (2016:Interview) holds that the NHE focuses on potential homeowners who earn an income above N\$5 000 (R5 000) monthly, drawn mainly from lower-management government employees. Banks in Namibia have started to introduce home loans to income earners below N\$5 000 per month. There seems to be little opportunity for aspirant homeowners earning below N\$5 000 per month to obtain a home from the NHE (Matali 2016:Interview). The NHE has implemented a process of acquiring new land pockets from the municipalities and provided required services to expedite housing provision among low-income earners. These are dwellings earmarked for sale as affordable housing, with the involvement of Namibian banks. Rundu, on the northern border of Namibia, experiences housing delivery in much the same way as many rural towns in Namibia do. Parallels may be drawn between Keetmanshoop and Rundu, Namibia, in terms of the slow delivery of housing owing primarily to the non-affordability of homes by citizens; both towns are characterised by high unemployment and shantytowns outside the CBD. Matali (2016:Interview) holds that the NHE behaves like a bank and lists the following challenges faced by the NHE:

- A comprehensive integration model has not been introduced;
- Comprehensive plans to engage beneficiaries in the project have not been introduced. This particular factor raises the question of opportunity costs, integration and PV generation;
- Business interests assume priority over design, workmanship and quality;
- Plot sizes, water scarcity, poor sanitation and inefficient transport between cities and towns are considered constraints in housing delivery (Namibia Economist 2016); and
- A feedback mechanism to stakeholders and actors has not been initiated in the housing delivery industry. An IPSS would apply autonomous feedback to stakeholders as an indispensable criterion and collaborate with stakeholders in an open and direct manner.

#### **4.3.4 Programmes related to housing delivery and the consequences for community development**

The following government programmes and private agencies promote and assist housing delivery in Namibia. While an IPSS generating PV is urgently required for more effective and efficient housing delivery, the industry is currently highly bureaucratised and fragmented.

#### **4.3.4.1 The Build Together Programme (BTP)**

The Build Together Programme (BTP) (GRN 2007) is directed at low-income earners per household of below N\$1 250.00. Potential and aspiring homeowners in this category may be situated in rural or urban areas. Under normal circumstances, these citizens do not enjoy access to credit from banks. The project has reached an average of 1 300 families per year. A key operating principle of the BTP (GRN 2007) is to empower citizens to obtain housing finance. By 2014 the BTP (GRN 2007), had built more than 25 000 low-cost housing units in all 13 regions in Namibia (UNESCO: Management of Social Transformations (MOST) Programme, (1994). The principles of the BTP (GRN 2007), are supported in a booklet, *Housing the Poor of the Nation* (GRN 2010), issued by the MRLGHRD. The principles of the BTP (GRN 2007:3) include, among others:

- Facilitate government loans to families who cannot access loans from the NHE or banks; and
- Invite all stakeholders to participate, including CBOs, NGOs, decentralised BTP committees and municipalities.

The BTP committees are managing bodies facilitating quality control and liaison with municipalities and the MRLGHRD. These bodies have the opportunity to suggest innovative ways of conducting the construction of dwellings and the mobilisation of local resources. According to the United Nations Educational, Scientific and Cultural Organisation (UNESCO) (2016:3), the BTP consist of 10 sub-programmes, linked to the National Housing Programme of Namibia, which comprise:

- Single quarters upgrading;
- Urban housing loans;
- Rural housing loans;
- Informal settlements upgrading;
- Incremental development areas;
- Community-based organisations (CBOs);
- Social housing;
- Land servicing;
- Social infrastructure; and
- Communications and learning together.

Simion (2007:10-13), in an assessment of the BTP (GRN 2007), has highlighted the following as problems encountered concerning the implementation of BTP (GRN 2007) programmes and projects:

- Institutional, organisational and financial blockages;
- Inability to decentralise efficiently and effectively;
- Poor performance relating community engagement and quality of building;
- Organisational and capacity deficiency within regional and local councils; and
- Interference from factionalism, corruption, mismanagement, tribalism and nepotism.

From a study of documents, one gauges that IPSS operational criteria such as forward planning, public engagement, effective monitoring and evaluation, managerial efficiency and effective feedback apparatus to stakeholders need to be utilised by the BTP (GRN 2007). The resultant outputs would be stakeholder satisfaction and PV gains.

#### **4.3.4.2 The Targeted Intervention Programme on Employment and Economic Growth (TIPEEG)**

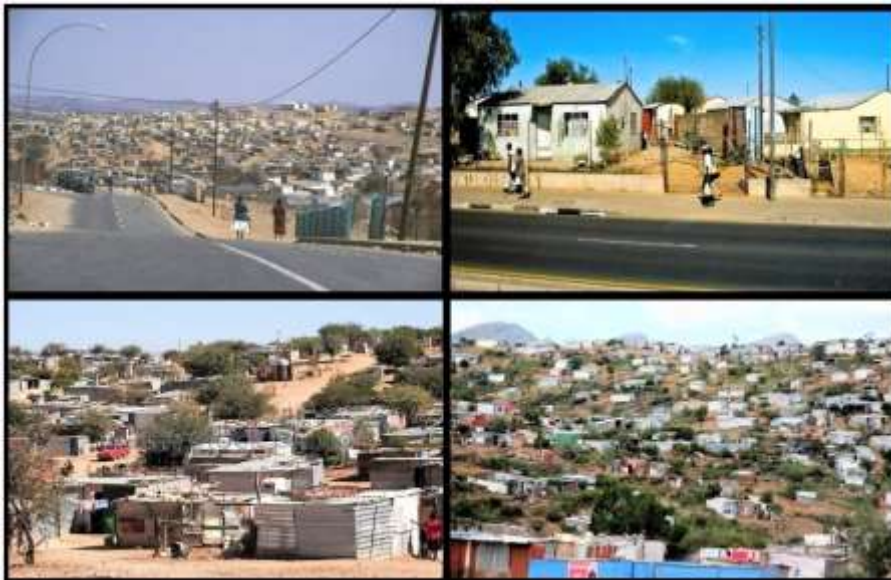
The Targeted Intervention Program on Employment and Economic Growth (TIPEEG) (GRN 2011) provides direction for the implementation of housing policy and encourages the use of PPPs, joint ventures between government, the private sector and communities with respect to land acquisition, land tenure and housing development. The purpose of TIPEEG (GRN 2011) is to reduce the numbers of unemployed through community involvement in government projects and programmes; the TIPEEG (GRN 2011) areas of focus are transport, tourism, agriculture, housing and sanitation (Keyter 2013:17). The TIPEEG (GRN 2011) creates synergies between government agencies, stakeholders and the private sector in addressing the influx of rural citizens into the city and towns.

Niikondo (2010:8) holds that owing to the rise in informal and illegal housing on municipal property through migration to the City of Windhoek from the towns, an escalation of social problems has been recorded. Migrants are accused of exploiting the city's resources without making any effective contribution to the growth and development of the city, as they do not invest in the purchase of fixed dwellings. Niikondo (2010:9) suggests that the following measures, in terms of the TIPEEG (GRN 2011), should be implemented by PPPs and joint ventures to alleviate the problems of land grabs and peri-urban shack dwelling: (i) improve understanding of costs and procedures involved in the process of purchasing land and

properties in urban areas, (ii) provide information related to property purchasing, (iii) examine discord between migrants' and citizens' expectations and the existing policies on housing and land tenure, and (iv) introduce government incentives for migrants, within the legal framework.

#### 4.3.4.3 The Shack Dwellers Federation of Namibia

The Shack Dwellers Federation of Namibia (SDFN) is an NGO established in October 1998 for “improving the lives of shack dwellers across Namibia” (GRN 2016b). The SDFN provides technical and material support to shack dwellers and organises saving schemes on their behalf. The SDFN is affiliated to the Shack Dwellers International (SDI). The SDFN receives support from the MRLGHRD and is regarded as their partner. By 2013 600 savings groups had been established by the SDFN, numbering at least 20 000 members (Shack Dwellers Federation of Namibia. Annual Report 2012:3).



**Figure 4.1: Katatura residential township, Windhoek, Namibia**

Source: Shutterstock images (2017)

Figure 4.1 shows conditions of life in Katatura Township, Windhoek. The activities of the SDFN include training civilians in bookkeeping, brick making, house construction, accessing land from IOS, and conducting surveys as part of the Community Land Information Programme (CLIP). Training is also received in the utilisation of GIS information and the use of MS access (a GIS database). The SDFN has shown increased success in building dwellings suited to the needs of their members.

Mwanyekange (2014:60-65) found that the role of the SDFN, relative to the housing conditions



depicted in Figure 4.1, assumes enormous importance for families who see the need to save for a home. Affordable quality housing in Namibia is vital for the growth and future of citizens. While the SDFN is an important stakeholder in housing delivery in Namibia, it needs to collaborate with other actors, such as universities, business and government, in an IPSS. The IPSS generates housing (a PV) in a network organisational system, which can act autonomously, in an inclusive, accountable and sustainable manner. Mwanyekange's (2014:60-65) findings suggest that the SDFN:

- Offers flexibility in implementing government policies as they work with small groups of beneficiaries who pay substantial proportions of their earnings (of over 25% of low incomes) to increase the chances of success in the construction of a house; an example is
- the Pandu Saving Scheme where, after 9 years of saving, 12 houses were constructed;
- Qualifies members to get their houses constructed sooner; some saving schemes had existed for 17 years without a single house being built;
- Is not the best vehicle to mitigate the housing backlog for the urban poor; and
- Addresses the lack of motivation and discord in groups owing to political and ethnic differences, resulting in decreased levels of saving among aspiring homeowners.

Nakweenda (2014:21) states that many housing initiatives undertaken by government agencies in Namibia are supported by banks, in the interests of the high- and middle-income earners. The SDFN face challenges such as the high cost of land servicing, building materials, lack of capacity at some regional and local authorities and budget constraints (Nakweenda 2014:31). He holds that the NHE should acknowledge that affordability is, in fact, a core constraint to many clients, impacting negatively on what the SDFN can achieve. Mwilima, Fillipus and Fleermuys (in Nakweenda 2014:33) found that the SDFN solicits funds from its savings schemes, the central government, local private companies as well as from international donors. Between 2007/8 and 2009/10, the Namibian government allocated N\$3.9 million to the SDFN, aiding the financing of 150 houses. In the IPSS context of operativity, resources from government departments, NGOs and the private sector would be integrated, i.e. collectively leveraged to maximise housing outputs with the least wastage.

Nakweenda (2014:37) holds that the public sector initiatives such as the NHE, BTP and SDFN have failed to improve housing delivery to low-income communities since the banking sector of Namibia has not been able to initiate a flexible formula for low-income earners as interest

rates escalate at a steady pace, as elsewhere in the world. Nakweenda (2014:85) refers to the Otjomuise example, where residents provided housing through the self-help scheme; in this case residents were motivated to utilise the services of IOS (the municipality and the MRLGHRD), banks, pension funds and NHE. The opportunity arose for utilising stakeholders and IPSS criteria such as network organisation and planning around a common agenda, ensuring that all stakeholders benefit from a stable social and economic environment, as common objectives. The concept of PV generation entails education and training; otherwise it cannot be concretised where it is most required.

#### **4.3.4.4 The housing programme of the Affirmative Relocation Movement in Namibia**

The Affirmative Relocation Movement (AR) in Namibia is a political pressure group led by Namibian academics and students for improving the quality of life of middle- and lower-income earners in Namibia. Their agenda extends to the agitation for state land for the growing number of middle-income earners and professional groups. The AR came into being in November 2014 in response to housing backlogs, slow release of land to the poor to build their own houses and the general state of the inadequate quality of life of the poor (Nauyoma, Amupanda and Kambala 2015:8).

Amupanda (2016:Interview) states that the AR has challenged the ruling party in a direct and open manner on their demands. In their quest for housing, amenities and dignified living conditions for all, the AR could benefit from an integrated model of community regeneration and PV awareness, as pertaining to the implementation of new or current programmes and projects. IPSS principles and mode of operativity utilise holistic approaches to complex problems and ignite transformation in small but continuous ways. Nauyoma *et al.* (2015:21) hold that 25% of Namibia's 2 million population live in informal settlements, where basic services (sanitation, water, electricity, housing and infrastructure) is in a poor state. While Namibia has reported economic growth of 5.6% per annum (2010-2014), poverty, inequality and unemployment prevail. In 2015, 42.9% of the population was recorded as living below the poverty datum line, with a Gini coefficient of 0.597 (World Bank Report 2016).

The AR mobilises communities to agitate for the immediate implementation of the Harambee presidential programme, which embraces all of the existing policies and programmes to better the lives of Namibian citizens. The AR draws its support from The Swapo Party Youth League (SPYL), school students, university students, the SDFN and the BTCs. The AR also calls on

the National Housing Enterprise (NHE), the City of Windhoek, private property developers, PPPs, consultants, tenderers, contractors and estate agents to support their objectives, which may be summarised as enhancing the quality of life of Namibians in order to realise economic prosperity and clean, accountable government in Namibia.

Given the criteria for an IPSS and PV generation, and given programmes and projects to implement, measure and give feedback upon, and IPSS cluster would regard the AR as an equal stakeholder; the AR would, therefore, be compelled to subscribe to the common objectives of all other stakeholders. Amupanda (2016:Interview) holds that the concepts of public value and integrated (government) systems, to which he was not opposed, have not been placed on the municipal and government agendas as yet.

The following points are stated by the AR as their demands and interests:

- Banks should reformulate bond costs to the poor;
- Tenants face eviction from rented housing units as an ongoing threat to livelihood;
- Namibia currently experiences increasing costs in the property industry;
- Corruption regarding land allocations and financial appropriations abounds among government officials, councillors, property developers and construction companies (Nauyoma *et al.* 2015:27-33); and
- Unemployed youths are deserving of skills training and jobs.

#### **4.3.4.5 Public-private partnership initiatives for housing delivery in Namibia**

Keyter (2013:1-3) holds that Namibian legislation and policies promote public-private partnerships (PPPs) between Institutions of State (IOS), municipalities, the MRLGHRD, NGOs and the private business sector in Namibia. The Namibian Constitution (GRN 1990), articles 98 (1) and 98 (2) endorse PPP formations. PPPs are ideal modes of partnering with other stakeholders in an IPSS, as efficiency, effectiveness and efficacy are enhanced by adopting common PV objectives. IOS are willing partners in a PPP formation. The Namibian Ministry of Trade and Industry is in charge of the Namibian PPP Policy (GRN 2013b). The objectives of Namibia's PPP Policy (GRN 2013b) are to encourage private sector investment and to focus on value for money, innovation, oversight, governance, sound principles, accountability, responsibility, poverty reduction, skills transfer, capacity development, gender equality and mitigation of inequalities (GRN 2013b:17). Keyter (2016:Interview) has much confidence in PPPs as important stakeholders in service delivery, i.e. to bring solutions to both community development issues as well as housing issues. He contends that, in his experience,

he has not considered integrated public service systems (IPSSs) and PV generation; however, the topic of IPSSs generating PV in relation to PPPs, held his interest.

Keyter (2013:3) holds that PPPs are a trusted way of engaging the public in meeting their demands and ensuring economy, effectiveness and efficiency in outputs and outcomes relating to service delivery and infrastructure development. Plummer, Gildman and Ngowi (in Keyter 2013:3) concur that the involvement of CBOs that are representatives of civil society constitute a key factor in the success of PPPs. According to Keyter (2013:6), PPPs are viewed as “hybrids ... or a combination of institutional options”, i.e. models incorporating civil society, private and IOS entities, appropriate for Namibian conditions as it places the community in a key position for leveraging strategic advantages to reduce unemployment and enhance economic growth. Nkya and Ngowi in (Keyter 2013:8) concur that (i) poor communities should benefit from PPPs, (ii) PPPs should be structured to be in line with community needs, and (iii) PPPs are likely to emphasise accountability, trust and transparency in defining roles and responsibilities to members. An ideal Namibian PPP model for housing delivery takes account of the need for skills training, knowledge transfer, community engagement, innovation, and good governance.

Weidlich (2016) reported that PPP policy was formalised by the Namibian Cabinet in 2012. The PPP is well-positioned to assist primarily the lower-income groups in the provision of housing and infrastructure development in Namibia. In this regard the MRLGHRD reported that a working group was formed between itself and the Ministry of Urban and Rural Development (MURD). A revised PPP concept emerged and was discussed among top management of the ministries for the roll-out of an affordable housing project. Weidlich (2016) also reported that a dedicated PPP unit will be added to the public service of Namibia. PPP policies facilitate the initiation of an IPSS or IPSS clusters generating PV. Thus, it is evident that no one particular state department assumes responsibility for the effective integration of agencies and departments with regard to housing delivery with the necessary community, social, educational, environmental and economic development components. In addition, Institutions of State are not involved with integrated systems for managing the linkages between new homeowners and tenants and their attempts to achieve socio-economic wellbeing. The operating system in Namibian local government and its related Institutions of State are highly fragmented in this regard. It may be noted that planning for the coherent development of the City of Windhoek was not forthcoming from the City’s planning department. Cultural differences seem to conflict with tribal, ethnic and political differences, impacting negatively

on the generation of PV; cultures absorb influences from various sources such as media and are thus pressured to change, while tribal values are preserved.

Integration demands that projects and programmes delivered should satisfy the collective needs of the various communities in Namibia. The generation of PV implies creating 'balance' in all aspects of socio-economic development: security, economic, educational, environmental-physical and psychological health. However, the potential to generate PV through integrated systems are a viable opportunity for Namibian government agencies. The negative factors in relation to integration in public systems remain fragmentation, silo-ism, insular and rigid departmental norms, and inflexible hierarchical arrangements; an example of this phenomenon would be strict and inflexible ties to compliance and job description in relation to their positions. Persons in authority in the administration create control mechanisms which inhibit innovation and curb initiatives from government and municipal staff; this operating mode in government results in (i) communication failure, (ii) over-emphasis on compliance, and (iii) adoption of autocratic attitudes, officious dialogue and body language. All of these techniques stymie innovation, flexibility and effectiveness, i.e. which are fundamental IPSS principles.

#### **4.4 An overview of tenancy, affordable housing delivery and community development services in the London metropolitan area, United Kingdom**

The public housing delivery industry in the United Kingdom (UK) has shown stability over the years. In the UK social services, which may also be referred to as community development, have an integral relationship with the issue of providing public housing to tenants; there are strict policies and regulations which guide this relationship. This section will examine the dynamics of legislation, regulation, community-oriented agencies and NGOs that are involved in the social domain. This section will also provide an insight into the future of public housing delivery in the UK. From an IPSS and PV perspective, it is possible to identify aspects relating to the integration of housing delivery with social services and PV generation.

##### **4.4.1 Background**

The purpose of an overview of housing delivery and community development in an established metropolis such as London is that it provides a basis for an objective examination of the rationale for integrated public service systems (IPSSs), integrated service delivery and public value (PV) generation. An IPSS demands an open, democratic, nonlinear approach to

discursive community engagement and public participation. The majority of the citizens in the UK enjoy a quality of life that is generally not comparable with that of developing countries like South Africa and Namibia. Living in conditions vastly different from those in Africa, the vast majority of British citizens have the opportunity to develop, learn and advance in the comfort and convenience of what first-world infrastructure provides.

It could be argued that countries like the UK (Netherlands, Scandinavia and New Zealand) have to a vast degree implemented democratic practices such as public participation in local councils using e-government platforms. Municipal councils of the Greater London Authority (GLA) have implemented the *e-Municipality* apparatus (E Municipality 2018), which allows citizens to interact with municipal administrators on every aspect of municipal business. In support of e-government, workshops at community level are not ruled out. Institutions and NGOs operate in a time-tested democratic environment, demanding more engagement with authorities at every opportunity. Organisations such as the Open Government Network (Open Government Network UK:2011), consisting of civil society organisations, are coalitions of individuals and organisations committed to entrenching dialogue and democratic relations between society and government. For such a mechanism to work effectively and efficiently in generating PV, citizens and councils must be committed to measures of building trust, transparency, participation and accountability (Open Government Network UK:2011).



**Figure 4.2: The modern (A, B) and the traditional (C, D): Affordable and rental housing in Willesden, London**

Source: Jessa (2017)

It may be argued that open municipal systems can be implemented in developing countries and that they may be necessary in the interests of growth, development, social progress and social

wellbeing. The reasons for the differences in the levels of the quality of interaction between authorities and the citizens in the UK will be addressed in the synopsis at the end of this chapter.

The main attributes of London's metropolitan housing delivery have developed over time. In maintaining the cities' housing heritage, the city exhibits tall buildings, advanced forms of transportation for commuters, cultural and recreation centres, parks and green lungs, schools, colleges and universities, health centres, security and a responsive policing system. London's housing development is managed in the context of an integrated city. As shown in Figure 4.2, C and D, London's boroughs (suburbs) currently retain the traditional two-storey style of tenement housing, known commonly as the 'two-up-two-down' design, while the construction of new modern high rises, 'affordable' and tenant housing, A and B in Figure 4.2, are integrated among the established dwellings where freed-up spaces allow for housing development.

The two-storey UK housing model, i.e. a modest house commonly comprising of two levels, two or three main rooms on the ground and two rooms on the upper floor, are occupied by the majority of people in the UK. This model for housing has sustained safety, security and social progress for generations of citizens. A largely cohesive society has thus contributed positively to the economy of the UK. Developing and underdeveloped countries can draw guidelines from the UK housing and community development models. While land is becoming an increasingly scarce resource in the metropolitan areas, Londoners are driven to seek cheaper, more affordable housing elsewhere. The adjoining suburbs of Willesden, Blackheath, north and south London are steadily growing, owing to their connectivity to the London CBD, airports and industrial centres. While many local authorities in developing countries cling to hierarchy and control as insular forms of governance, first world metros (such as London, Munich and Stockholm) have embraced elements of open systems of governance, and by those means have advanced to higher levels of social interconnectedness between governing authorities, citizens and NGOs. The element crucial to such formulation is the voice of the citizens, which articulates the PV required, a requirement that has become more prominent over time, particularly in London, as an example. The IPSS elements highlighted are sustainable and stable infrastructure, i.e. tangible PV, while the elements of nontangible PV are the comfort of the houses, transport system, access shopping, social cohesion, safety, security and well-maintained neighbourhoods.

The challenges of poverty, homelessness, crime, domestic abuse and general social problems

persist globally. This may be an indication that housing delivery in isolation of community development requires an integrated approach, as a way of mitigating socio-economic challenges, which is in line with IPSS criteria and principles. The observations made in respect of housing delivery and community development in the UK will take account of (i) policies governing housing delivery, (ii) outcomes for community development, i.e. IPSS and PV generation, (iii) the quality of citizens' engagement with stakeholders (agencies, public-private entities, Institutions of State and NGOs) to build relationships of trust, (iv) participation in integrated projects and programmes by citizens, and (v) open discourse and collaboration with citizens' organisations, i.e. IPSS stakeholders.

#### **4.4.2 London's poverty profile and a focus on homelessness**

London is the financial hub of the UK and has the highest poverty profile in the country. The price of accommodation per capita in London has increased dramatically. As Londoners stretch incomes to afford rentals, meeting other needs become less affordable, giving rise to an increase in poverty levels. Targets set by the London Plan (GLA 2016b) are constantly missed; overcrowding in the private rented sector, smaller dwellings per family, perpetual increases in rentals and joblessness make life more difficult each day. The Decent Homes standards (GLA 2015b) for new homes in the rental and affordable stock have witnessed the falling of basic minimum standards, thermal comfort, kitchen and bathroom sizes, bedroom sizes and built-in cupboards. The results, considered IPSS macro issues, have a negative impact on the physical, social, educational, recreational-cultural and psychological wellbeing of the occupants, if not effectively addressed (Aldridge, Born, Tinson, and MacInnes 2015:47).

The London Plan (GLA 2016b) seems to be skewed towards the demands of the UK IOS, which include the local councils in the Greater London Authority's jurisdiction. An IPSS would utilise a more flexible and more dynamic *modus operandi*, which makes public discourse and public engagement vital to its process. PV outputs and outcomes from the IPSS would deal with the housing issues described above in a more inclusive and open manner which is directed at arriving at decisions and solutions arrived at by the communities themselves.

The key findings in the London Poverty Profile (New Policy Institute 2013) may be summarised in the following points:

- Twenty-seven per cent (27%) of Londoners live in poverty after housing costs are taken into account, compared with 20% in the rest of England, owing directly to the high cost of



housing in London;

- Workers in the UK are faced with high unemployment levels, which have increased from 700,000 to 1.2 million over the last decade, an increase of 70%;
- The bottom end of the wealth barometer in London is £6,300 and the top end is £1.1 million: the ratio is 90:10, i.e. three times higher than the rest of the UK;
- The number of unemployed adults is at its lowest level since 2008, at just over 300,000. (In 2006-2008 the unemployed in London numbered 720,000, in 2009, 820, 000 and in 2012, 930,000);
- Almost 700,000 jobs in London (18%) pay below the London living wage;
- At 860,000 there are more people living in poverty in private rented housing than there are in 'social rented' or owner-occupied homes;
- The vast majority of children living in poverty are in rented housing (more than 530,000), half with a registered 'social landlord' and half with a 'private landlord'. The number of children in poverty in private rented housing has more than doubled in ten years;
- In the three years to 2013/14 there was a nett increase of 7,700 affordable homes a year compared with the target of 13,200;
- In 2015 10,500 families were affected by the overall benefit cap, including 2,400 losing more than £100 per week. If the cap is lowered as planned, they will lose another £58 a week and a further 20,000 families will be affected;
- Half of 0- to 19-year-olds in London (1.1. million) live in a family that receives tax credits; 640,000 children benefit from in-work tax credits; the situation becomes worse when these grants are stopped; and
- In London boroughs where pupils receive free school meals, they performed better on average at GCSE than their peers in the rest of England.

The number of 'rough sleepers' (people living on the street) reached 7,500 in 2014/15; temporary accommodation, at 48,000, was three times higher than the rest of England. The number of households living in placements outside of their home borough stands at 16,800 (2015 figures). Living in London is rapidly becoming unaffordable to the ordinary working person. However, a large measure of stability is being maintained as working families are not compelled by financial circumstances to leave the borough. In 2014 28,000 housing benefit claimants in London's private rented sector moved home, 3,000 fewer than in 2011. Families, in spite of the rising costs of housing, have managed to remain inside the borough. Homelessness acceptances (statutory homelessness as recorded and categorised by the local

authority) reached 17,500 in 2014/15 and 6,800 short-hold tenancies have been closed, whilst 48,000 households live in temporary accommodation in London, three times higher than the rest of England (New Policy Institute 2013). Table 4.1 indicates bad and chronic housing challenges in respect of homelessness for 15 boroughs, for the areas indicated as of 2015. Homelessness is defined as being without a home, the threat of being without a home, or having temporary accommodation in or outside the borough (New Policy Institute 2013).

**Table 4.1: London’s Poverty Profile (2013)**

<b>London Boroughs: A glimpse of the housing challenges for the period leading up to 2015</b>			
Worst Boroughs		Homeless	Social housing
Somewhat better Boroughs			
Outer East and Northeast	Barking and Dagenham		
	Bexley		
	Enfield		
	Greenwich		
	Havering		
	Redbridge		
	Waltham Forest		
Inner East and South	Hackney		
	Haringey		
	Islington		
	Lambeth		
	Lewisham		
	Newham		
	Southwark		
	Tower Hamlets		
Inner West	Camden		
	Hammersmith and Fulham		
	Kensington and Chelsea		
	Wandsworth		
	Westminster		
Outer West and Northwest	Barnet		
	Brent		
	Ealing		
	Harrow		
	Hillingdon		
	Hounslow		
	Richmond		
Outer South	Bromley		
	Croydon		
	Kingston		
	Merton		
	Sutton		

Source: Adapted from London’s Poverty Profile (New Policy Institute 2013)

Over the last two years an estimated 2,700 families have been placed in accommodation outside London. The Combined Homelessness and Information Network (CHAIN) is a multi-agency

database on rough sleepers. CHAIN documents statistics on rough sleeping in the UK and produces the Chain Annual Report, issued by the Centre for Public Scrutiny (2012), for Greater London. Reports on this topic are also issued by Trust for London.

#### **4.4.3 United Kingdom legislation governing housing delivery**

An IPSS demands the democratic space for the generation of PV, which must be sustainable over the long term, i.e. to eliminate all forms of waste. Legislation gives authority to IPSS stakeholders – i.e. government departments, municipalities, developers, NGOs, landlords and communities – to participate in the crafting of their living spaces and economic wellbeing.

##### **4.4.3.1 The United Kingdom Housing Act of 1996, Chapter 52**

The United Kingdom Housing Act of 1996, (GUK 1996), Chapter 52, maybe read in conjunction with Part 6 of the Greater London Authority Act 2007 (GLA 2007), discussed in Section 4.4.3.5. The following overview of the democratic ideals regarding housing delivery, as captured in the legislation referred to, is summarised below.

In Part I (GUK 1996), Chapter 52, statutes regarding the social housing sector make provision for a registry of landlords, their responsibilities towards the government, the tenant, the Corporation of Land Transactions and the Public Works Loans Commissioners. The disclosure of information between these bodies and the public facilitates accountability, transparency and sustainability of democratic practices. Loans, i.e. social housing grants to first-time home buyers and tenants, are given to the stated parties to engage each other fruitfully with the end of securing social stability in mind. The Act (GUK 1996), Chapter 52, spells out the rights of tenants, the government and the landlords. Part II (GUK 1996), Chapter 52, deals with the rules and regulations for the renting of dwellings to students, nurses and single people. Part III (GUK 1996), Chapter 52, deals with the rules and regulations governing the relationship between the tenant and the landlord in which both parties are accorded a high degree of reasonableness and fair opportunity. Both parties are accorded the right of dispute and resolution after all information has been disclosed. In Part V, (GUK 1996), Chapter 52, the conduct of tenants is dealt with in detail. Illegal behaviour, such as perpetual loud noise, domestic violence, abuse, sale of alcohol and drugs, and dealing in prostitution, leads to the reprimand and even eviction of the tenant. Rights to succession, security, upgrades and cooperation between landlord and tenants are stipulated.

In Part VII (GUK 1996), Chapter 52, the issue of homelessness receives special in terms of (i) people who have no accommodation, (ii) the reasonableness of the accommodation not being suitable, and (iii) if or when the individual or family is being threatened with homelessness within a period of 28 days. There is a duty on the local housing authority to provide assistance, advice and guidance in these cases, which are geared to house the vulnerable persons or families. In this regard, the right to accommodation remains the objective, even when temporary in nature. The Act (GUK 1996), Chapter 52, makes provision, in the interests of the citizen, to refer the party to another housing authority, an indication that the Act provides for cooperation between housing authorities in the UK. The Act (GUK 1996), Chapter 52 does not deal with public engagement and public consultation; however, these processes are not denied to citizens, as their democratic right to organise is preserved by law. The IPSS principles are satisfied by the directives in this Act (GUK 1996), Chapter 52. Dedicated IOS, such as the Department of Communities and Local Government (Homes England), make provision for public engagement. The battle to raise the quality of life by stakeholders, consider PV and added PV generation to be incremental is therefore ongoing.

#### **4.4.3.2 The United Kingdom Housing Act of 2004, Chapter 34**

The United Kingdom Housing Act of 2004, (GUK 2004), Chapter 34, emphasises housing standards, housing conditions and enforcement of them. Part I of the Act (GUK 2004), Chapter 34, sets down 29 *harms* and *hazards* as conditions which, if neglected, will erode the wellbeing of occupiers in rented dwellings and flats. Harms and hazards, such as deficiencies in building, health and safety issues arising from pipe leaks, gas leaks and noise pollution, are defined in specific terms in the policy document called the ‘Housing, Health and Safety Rating System’ (HHSRS). Harm is defined in the Act (GUK 2004), Chapter 34, as damaging physical or mental effects on the health of a person, while hazard is defined as “any risk of harm to the health or safety of an actual or potential occupier that arises from a deficiency”. These measures are applied intensively and results are captured in a rating system. The HHSRS was implemented in 2004 and is based on the principle that “residential premises should provide a safe and healthy environment for any potential occupier or visitor” (GUK 2004), Chapter 34.

Parts III and IV of the Act, (GUK 2004), Chapter 34, aim to prevent anti-social behaviour, dilapidated houses and overcrowding through strict measures from the non-renewal of licenses to the issue of fines of up to £20 000. Parts V and VI stipulate regulations for the sale of dwellings with regard to the condition of the premises, information provided to potential

owners and profit margins as this pertains to ‘the right to buy’ under the ‘affordable’ housing schemes. Health and safety are a PV, generated by an IPSS, which bring about solution-oriented activities in a holistic, integrative, flexible and dynamic way. In an IPSS relevant (the required) stakeholders would coordinate their efforts to implement a common agenda to address matters related to housing, health and safety, in the interest of the occupants. Similarly, regulations to protect the tenants, when they become homeowners, are regarded as value-additions in the process of securing stable communities. The regulation of housing in the UK is done by Homes England, the Housing Corporation (social landlords who manage the rental stock) and a Regulation Committee. These IOS measure progress and success and produce statistical reports for feedback and review to and from all stakeholders.

#### **4.4.3.3 The Public Services Act, 2012, Chapter 3**

The Public Services Act, 2012 (GUK 2012) Chapter 3, also known as the Social Value Act, may be interpreted as the states’ authority to emphasise to public authorities that they need to take into account the economic, social and environmental wellbeing of citizens, who expect benefits from the taxes they pay to the government. The public value of the Act (GUK 2012), Chapter 3, can only be realised when communities and their representative organisations' rally to enforce the Act (GUK 2012), Chapter 3, in demanding PV generation, integration, partnering and evaluation as these relate to their demands. The Greater London Authority (GLA) is compelled to take into consideration the wellbeing of citizens when procuring homes, fulfilling the core purpose of the Act (GUK 2012), Chapter 3.

There is, however, no compelling directive in the Act (GUK 2012), Chapter 3, for public authorities to meticulously honour the ‘social services’ required by tenants. The approach by the Chartered Institute of Housing, (2015:2-4) is that the NGOs representing citizens interests infuse the demand for value in their objectives and deliberations with citizens’ and government agencies. In doing so, the emphasis on public social value raises the awareness of citizens to demand better quality in housing delivery. The notion of citizens’ wellbeing is expressed in terms of improved community interconnectedness with government programmes and projects, through public participation and compliance with regulatory frameworks. The result is a more satisfied citizenry in terms of health, education and other social values, synonymous with PV generation. In this way, actual IPSS and PV generation are established. These criteria promote dialogue between stakeholders to achieve the best outcome with the available resources.

#### **4.4.3.4 Local Government Act, 2003, Chapter 26**

The Local Government Act, 2003 (GUK 2003b), Chapter 26, outlines the concept and application of best value, which is described generally as being synonymous with the concept of value-for-money and is, to a lesser degree, synonymous with public value. In 2011 the concept of best value was revised by the UK Procurement Board and became known as best-value-for-money. Best-value-for-money is defined as maximising the benefits stemming from cost, quality and sustainability expectations to meet customer demands. Best value cannot be equated with public or social value, as it is only a component of it.

#### **4.4.3.5 The Greater London Authority Act, 2007, Chapter 24**

The Greater London Authority Act, 2007 (GLA 2007), Chapter 24, deals with all matters related to the London metropolitan area. The Act, (GLA 2007), Chapter 24, informs the policies of the London boroughs or suburbs. In particular, housing and community development matters are contained in Part 6 (333 A, B, C and D) of the Act (GLA 2007), Chapter 24, which gives credibility to the “London housing strategy” (GLA 2018). The “London housing strategy” (GLA 2018), deals with (i) assessment of housing conditions with regard to improvement and (ii) additional stock in terms of the number, type and location of houses. The London Development Agency, Homes England and the Department for Communities and Local Government are IOS working with the GLA with regard to its wide-ranging large and small programmes and projects. The “London housing strategy” is ratified and overseen by the Secretary of State, the Tenant Services Authority, representatives of the “registered social landlords” and the Homes England, an oversight body (GLA 2007), Chapter 24.

Three propositions could be made about an operating IPSS generating PV in the London metropolitan area: (i) organising relevant stakeholders to work together to achieve common objectives related to housing and community services that would benefit citizens requiring homes, (ii) exploring land availability for new public housing, (iii) collaboration on rules which deal with building design, space, rental affordability, anti-social behaviour, accommodation for the aged, and overcrowding in the metropolitan area.

Local municipalities apply the “London housing strategy” (GLA 2018), to aid their local strategic planning for housing delivery. Housing provision in the London metropolitan area may thus be assessed in terms of the cost of rental stock and affordable housing. Lower-income groups are compelled to purchase or rent in the outlying areas of London and smaller towns;

however, Londoners prefer to remain and work in the London metropolitan area.

The GLA's policy document on affordable housing is titled *Homes for All Londoners - Draft Affordable Housing and Viability Supplementary Planning Guidance (SPG)* (Planning Briefing Note, 2016 (GLA 2016a)). The Planning Briefing Note (GLA 2016a) report expressed the objective of the GLA as achieving its target of 50% affordable homes across the boroughs of London. This objective formed part of the existing policy of the GLA's London Plan (GLA 2016b). In essence, the current objective of the GLA is to deliver 17,000 new affordable homes per annum, while the need is stated as 25,600 new homes per annum. A critical drawback is that the average Londoner cannot afford the homes earmarked for sale since their yearly income is below the targeted salary range of £60 000 or more per annum. Among other objectives in the *Homes for All Londoners* (GLA 2016a) draft, are:

- Attracting more investment to the GLA for private ownership;
- Accelerated delivery; and
- A stabilised, affordable housing sector or longer-term tenancies.

The actual rate of affordable housing delivery is on average 5,300 homes per annum (2015-2016) in the London metropolitan area, while the need is expressed as 25,600 affordable 'built to rent' per annum (GLA 2016a). The ideal solution to ease the housing dilemma would be to set up an IPSS generating PV, utilising deliberative democratic dialogue with stakeholders to negotiate points of equality, a common agenda, common objectives, and integrative means (opportunities) with government departments to draw on their resources. The principles of transformational governance could be applied by an IPSS.

#### **4.4.3.6 The GLA Framework Delivery Agreement (2015)**

The GLA Framework Delivery Agreement, 2015-2018, emerged from the GLA Act (GLA 2007) and has the purpose of issuing grants to private building entities (holding companies, contractors, professional teams and subcontractors) to develop affordable housing in the GLA metropolitan area. The GLA Framework Delivery Agreement, (GLA 2015a), is a framework within which housing delivery grants are legalised and formalised. This is done (i) in terms of the Localism Act 2011 (GUK 2011), which outlines the functions of the Homes England in Greater London, (ii) to make grants available for housing delivery and development, and (iii) to make grants (social housing assistance) available to grant recipients. Homes England (more detail at 4.4.4.1) is therefore responsible to execute the "Design and Quality Standards April

2007" policy. Definitions outlined in this regulatory document are those for 'affordable' dwellings, home ownership, housing, rent and affordable rent, among others. This agreement with the private sector, aims to balance finance as a scarce resource and the delivery of quality and affordable homes as part of the Mayor's 2020 Vision (GLA 2013), which essentially aims to deliver 42,000 new homes (15,000 should be affordable, and 5,000 for long-term private rent) per annum, for a ten-year cycle. Concerning the issuing of grants for new public housing construction, in the manner described above, the unemployed in poor communities look forward to job opportunities. An IPSS generating PV would insist that jobs creation, the opportunity to obtain a house and develop general wellbeing, should be common stakeholder PV objectives. This measure is viable when participatory processes are utilised as auxiliary to public engagement processes. The GLA Framework Delivery Agreement (GLA 2015a) is not citizen-centred; Bititci (2017:Interview) contends that performance principles generating "people value", should not be forced, as flexibility and humanitarian considerations are deciding factors. He holds that an education component will "open" management to the needs of people, through increased self-management work teams, and open systems thinking.

#### **4.4.4 Quasi-autonomous non-government organisations (QUANGOs) implementing social housing regulations and policies in the UK**

A QUANGO is a quasi-autonomous non-governmental organisation partially funded by the UK government (Lewis 2005). Government departments in the UK work closely with QUANGOs. QUANGOS are independent auxiliary agencies that are funded by government departments and exercise an important oversight and facilitation function in housing matters. QUANGOS would be valuable stakeholders in an IPSS generating PV as they possess knowledge of the intentions and difficulties experienced in the IOS. QUANGOS are of high value to the housing authorities and the public in dealing with complex matters of rights and obligations in housing delivery; however incidences of duplication often occurs (Lewis 2005).

##### **4.4.4.1 Department for Communities and Local Government (Homes England)**

The Department for Communities and Local Government (Ministry of Housing, Community and Local Government, renamed Homes England) is a primary government agency responsible for the implementation of legislation, regulation and policy (GUK 2018). This body works closely with citizens, councils, government and consultancy service providers and is an ideal stakeholder in new and regeneration community programmes and projects. The following are points of policy review, related to social housing, brought by Homes England (GUK 2018):



- Reduced organisational red tape to access social housing more efficiently and affordably and to create greater synergy between stakeholders;
- Set clear service standards for landlords;
- Suggested that tenants, Members of Parliament and councillors create discussion panels for more direct dialogue with each other in relation to housing delivery;
- Inspections of the landlord's properties should be transparent;
- The value-for-money principle should be applied in the delivery of homes to citizens;
- A constant supply of affordable housing supported by government departments; and
- Social housing tenants should be adequately empowered.

Enhancing policy is intended to benefit stakeholders as it increases efficiency and affordability of the tangible and nontangible PV (social or public goods) produced. Tenant protection is ensured by clear service standards and sound overall performance. Feedback to landlords, tenants and authorities, such as Homes England, serves to enhance communication. Homes England (GUK 2018) therefore ensures transparency, accountability and trust between parties. Landlords are compelled to comply with the appropriate legislation. Councillors are therefore encouraged by Homes England (GUK 2018) to be involved in dispute resolution.

#### **4.4.4.2 The Centre for Public Scrutiny (CfPS)**

The CfPS, (CfPS 2012), is an advocacy and research-based QUANGO which promotes accountability, transparency, inclusivity, quality and effective scrutiny of public service delivery. Public scrutiny of the public service essentially safeguards the interests of the public (particularly tenants) as well as the private sector producers of affordable and tenant housing.

The CfPS, (CfPS 2012), endorses the four principles for appraisal of public service listed by Crowe, Davies, Levin and Yates (2012:10-22), which are:

- Empowering independent commentary from citizens;
- The improvement of the public service as being needs-driven;
- Ensuring transparency and accountability in delivering the social housing objectives; and
- Ensuring that regulatory standards (such as the value-for-money principle) are met.

Andrews (2017:Interview) holds that the utilisation of multi-criteria analysis (MCA) can guide decision making with community groups with respect to regulations, policy and matters of dispute between stakeholders. The CfPS generates information for government and the public in respect of problematic (complex) matters concerning tenants and residents' wellbeing. The

CfPS emphasises the maintenance (securing) of accountability and transparency in practice. Crowe *et al.* (2012:7) state that elections define representative democracy, while participatory democracy is defined by the practice of transparency, involvement and accountability. While the action of scrutiny and review is described as a critical part of the co-regulation process, accredited training of residents is critical too, particularly in respect of identifying customer excellence and understanding accounting practices. Residents are thus afforded the opportunity to be “fully informed and have independent, unbiased information and support on which to base their recommendations” (Crowe *et al.* 2012:21). Public ideas and innovations are promoted by the CfPS, which is in line with IPSS and PV generating principles.

#### 4.4.4.3 Private housing agencies and associations in the UK housing provision sector

Homeowners’ associations in the UK housing delivery sector are companies or agencies semi-privately owned for the effective co-production and provision of affordable and tenant housing, i.e. rental stock. A few examples are given in Table 4.2 (Centre for Public Scrutiny 2012).

**Table 4.2: Private housing agencies and associations in the UK housing provision sector**

AmicusHorizon	Manage 28 000 homes in London, Surrey, Kent and Sussex.
Bromford Housing Group	Manage 26 000 homes in central UK. The Group has employed digital feedback in communications with residents and tenants.
Community Gateway Association (CGA)	Manage 6000 homes. Non-profit community and membership owned business, set up in 2005. Based in Preston and surrounding areas.
The Family Housing Association Birmingham Ltd.	Manage 2500 homes to working-class families, ethnic minorities and single occupiers.
Helena Partnerships	Manage 13 000 homes across St Helens.
New Charter Housing Trust Group	Manage 1 500 homes in nine towns in the Borough of Tameside, based in Ashton-under-Lyne, Greater Manchester.
Riverside Housing Group	Manage 50 000 homes from Carlisle to Kent.
Salix Homes	Manage 10 500 homes in Salford.
Soha Housing (community-based housing association)	Manage 5 500 homes in Oxfordshire, promoting accountability, training capabilities and service improvement.
Wherry Housing Association, part of the Circle HousingGroup	Manage more than 6 700 homes from the District Council of East Anglia.
Wirral Partnership Homes (WPH)	Manage 12 400 homes. The WPH is committed to engagement and participatory work, promoting sustainable communities.

Source: Centre for Public Scrutiny (CfPS 2012)

Given the emergence of an IPSS, these private entities are able to engage with stakeholders in the interest of beneficiaries. Invariably, one must consider PV outputs and envisaged outcomes.

#### **4.4.5 Complexities of housing provision for the Greater London Area**

London's shrinking social housing sector (rental and affordable housing stocks) means that families are compelled to seek accommodation from the private housing sector, at greater cost to themselves. Inevitably this leads to over-occupancy, which brings about greater insecurity to potential occupants. An option for the City of London was to expand private sector housing provision, where quality standards would bring investment returns in the long term (GLA Housing Standards Review 2015:32). The following concerns are expressed, given a complex environment in which all players seem to have similar objectives and given the economic realities of demand for quality homes amidst high prices and land scarcity.

Certainty is increased when community groups team with professional stakeholders in public engagement exercises, i.e. in IPSS clusters. It is in this context where vulnerable communities feel secure in knowing that their demands, i.e. the PV they are concerned about, are being considered. A housing crisis has the qualities to impact upon citizens' wellbeing, social progress and general happiness. These are the goals of an IPSS generating PV, as it incorporates dynamic discourses, equality among stakeholders, transparency, flexibility and open relationships. IPSSs are better equipped to deal with crises when there are common objectives.

##### **4.4.5.1 London's housing crisis**

Humphry (2016:495-506) provides an overview of the housing crisis facing London's home seekers. Essentially, houses in London and other major cities in the UK are sold to global corporate landlords (GCLs) as investment goods. The GCLs then sell the dwellings at higher prices or refurbished them to rent at higher prices, concurrently excluding the greater proportion of Londoners from the affordable social housing market, as Figure 4.3 illustrates.

Housing inequalities in London are influenced by factors such as (i) the Housing and Planning Act of 2016, (GUK 2016), which encourages housing stock to be bought by private investors, which has, in turn, encouraged citizens and organisations to lobby for its repeal, (ii) citizens have added their concerns about the housing crisis at workshops, public meetings, and in courts, and (iii) uncertainty of whether the demolition of aged housing estates is done in the interests of the middle or the working class.



**Figure 4.3: Demolitions for luxury apartments in London**

Source: Humphry (2016:500)

The racial or ethnic factor also undermines effective housing in London. Carlsson and Eriksson (2015:1291-1292) found in a study of 5,000 room advertisers that racial discrimination was a determining factor in the social rental housing market in the Greater London area. The following findings emerged: (i) Arabic and/or Muslim applicants were the most affected, followed by African and Indian, while the least affected were Eastern Europeans; (ii) most studies on ethnic discrimination in the housing market show significant discrimination patterns; and (iii) highly skilled work seekers were affected adversely, while the opposite was true for ethnic minorities with low-skilled jobs. An IPSS will focus on formulating commonalities, building relationships between ethnic groups and restoring social harmony; the PV generated must be a common, sustainable and unifying catalyst to the entire community. In poor communities, employment is a critical PV demanded by citizens.

Thompson, Lewis, Greenhalgh, Smith, Fahy, and Cummins (2017:27-34) point out that East London faces a critical shortage of rental and affordable housing stocks and that a correlation has been found between substandard housing and public health issues. The authors point out that in Newham there is a severe shortage of housing; social infrastructure is characterised by dampness, mould, cold and overcrowding. Health issues that arise from these conditions are stress (owing to unemployment), socio-psychological problems, infectious diseases, injuries in the home, anti-social behaviour and ill health (particularly tuberculosis). The authors hold that many households are in temporary accommodation and in receipt of homelessness assistance from the state. Community regeneration programmes in the UK utilise IPSS principles, which have a direct link to PV outputs and outcomes, such as the C2-Connecting Communities Programme, discussed in Section 4.4.6 (Durie, Wyatt and Stuteley 2004).

#### **4.4.5.2 The need for greater public involvement in housing delivery in London**

Harrison, Munton and Collins (2004:903-917) hold that the GLA Act, (GLA 2007), is not specific on participatory engagement with public bodies, nor with regard to organised stakeholder groups. The issues raised in their article address the inability of the public to gain access and effective engagement. The authors raise the point that engaging the Mayor on a TV or radio programme does not meet the same effectiveness standards as a situation where the GLA takes collective responsibility and exercises its commitment with regard to public engagement in policy-making processes. According to the authors, the theories of discursive democracy and collaborative approaches remain unutilised. The advent of PPPs and partnership building is not fully manifested in the domain of the GLA with regard to affordable and rental and housing stock. Public-private partnerships have the drawback of (i) lack of transparency, (ii) inflexibility, and (iii) wastage of resources, in particular, public money. Public-private partnerships are expected to contribute to the creation of job opportunities, infrastructure and sustainability within urban and rural areas (Rivera 2010).

In the light of the decline of social housing in the UK, Gulliver (2013) holds that the system of “assured tenancy and assured short-term tenancy”, as regulated by the Housing Act of 1988, changed drastically during the Thatcher neoliberal period; prices increased and rental stock, being a government asset, was sold to private buyers, increasing the number of landlords in the UK. The controversy between affordable housing and rental stock, therefore continues. Since rental stock is sold at discounted prices, it is not adequately replaced, resulting in a crisis for those who are seeking accommodation at affordable prices, causing the rapid rise of inequality between the lower and upper strata of the middle class in the UK.

Lucas (2016), a Member of Parliament for Brighton, and Manoochehri (2009:60-69) provide the following facts regarding the social housing crisis in the GLA area. The authors hold that house prices increased by 11% outside London and by about 20% in the GLA; a shortage of rental stock has arisen with more than 20,000 potential families waiting for a house, which increases the risk of a looming homelessness crisis, given a 26% rise since 2009/10. The authors are of the opinion that (i) rental stock in the greater London area has become too expensive and they suggest a capping of rental by the Living Rent Commission, and (ii) the quality of the rental stock has declined in terms of quality and use of eco-sustainable methods that would reduce costs in the long term. While the reality of greedy landlords have been

ameliorated by the Act (GLA 2007), many tenants have to contend with issues of dampness (leaks), lack of heating and reduced maintenance. The authors suggest that a contradiction arises between building rental stock at affordable prices and then selling it as affordable housing, which is regarded as a policy flaw. Besides, according to the authors, room sizes have been diminishing over time, and more people prefer to live alone, which creates a shortage in both affordable housing as well as rental stock. Manoochehri (2009:60-69) cautions that the right to buy has its equivalent right to rent and holds that house space and quality standards (such the use of paraffin for cooking and heating) have a direct correlation with sustainability and quality of health. Problems of this nature would not arise if an IPSS is adopted by the IOS. Community involvement is critical for solutions to socio-economic problems, i.e. PV generation. In an IPSS communities are equal stakeholders to all other stakeholders, thereby making common objectives and strategic direction credible and satisfying to all stakeholders.

Rivera (2010:1-5) holds that stakeholders such as the registered social landlords (RSLs) and global corporate landlords (GCLs) should have a closer working relationship to promote consensus and innovation with regard to addressing housing problems. PPPs, according to the author, imply (i) the ability to apply common objectives, (ii) upholding the flexibility of stakeholders' working relationships, (iii) maintaining sustainable partnerships, and (iv) conducting public engagement constructively. The author advises that the various RSLs and GCLs should develop their relationships with citizens so that regeneration objectives can be achieved. The author believes that PPPs can secure affordability, best value and high standards. The author notes that stakeholders need to collaborate in order to (i) relocate families, (ii) dispose of dilapidated properties, and (iii) explore and exploit the notion of cooperative housing models. The author holds that IPSS principles, which are flexible and dynamic in approach, coupled with a common set of stakeholder objectives, can generate PV, i.e. stakeholder satisfaction and citizens' wellbeing as IPSS (cluster) outcomes.

#### **4.4.5.3 A review of housing standards for London boroughs**

The Housing Standards Review, (GLA 2015b), was commissioned by the GLA and compiled by David Lock Associates urban town planning consultants, Hoare Lea public health consultant engineers, and Gardener and Theobald, property construction consultants.

The objectives of the 2015 report were the following:

- To devise new and revised housing standards for the national government and the GLA;
- To determine the impact of the adoption of these standards for the London Plan (2016b);

- To point out the need for new standards as they relate to efficiencies and sustainability; and
- To assess space, size, quality of new homes and the demands of an ageing population in a high-density city (GLA 2015:2).

The GLA should consider IPSSs or IPSS clusters as modes of operativity where boroughs require integrative, flexible and thoroughly inclusive (representative) structures comprised of interested stakeholders. Community organisations are natural stakeholders in IPSSs and a key actor in the formulation of common objectives. IPSSs allow the communities' voices to be heard, which ensures stability, reduces uncertainty and provides confidence to all stakeholders in the attainment of success.

The Housing Standards report (GLA 2015:78-81) suggested the implementation of:

- Minimum standards for quality benchmarking and sustainability, enabling innovation;
- A review of water, energy, security specifications, waste and storage requirements, and wheelchair accessibility;
- A review of local requirements based on the evidence held by local authorities, which focused on space and privacy standards, neighbourhood outdoor requirements and design guides for utilisation by the local authority;
- A reversion to national 'default' safety, space, sound, daylight, air quality and privacy standards bearing in mind that built-in cupboards is facilitatory of creating room space; and
- Timely review of high-density development planning in relation to finance, rising costs, land availability and consideration for scholastic wellbeing, reduced family tension, space to study and recreation, in the quest to directly improve health and standards of living.

#### **4.4.5.4 Report from global HATC Ltd consultant to the GLA 2006**

The Housing Association Training and Consultancy (HATC) Ltd, a prominent global property developer commissioned by the Greater London Authority (GLA 2006:8-12) to assess the quality and urgency for the delivery of affordable social housing to the London metropolitan area, was challenged by the reduction of the size of dwellings, shifting focus to open plan, forfeited privacy and reduced recreational, storage space and study areas. These deficiencies greatly reduced the PV expectations of families. From the report, one can observe that a solution was not easily forthcoming as costs of buildings and land had increased rapidly. Research conducted on people living in small spaces was conducted by the Parker Morris Report (1961), the Calhoun (1966) studies and the University of Glasgow SHARP project

(2009), is commonly referred to in the UK. This body of research found that people living in overcrowded conditions have a high incidence of personal stress and social dysfunctioning. Common findings pointed to (i) the rise in domestic tension, arguments, anti-social behaviour and violence, (ii) poor 'liveability', and (iii) the lack of internal recreational space was linked to the lack of external recreational space.

Recommendations made in the HATC Ltd report (GLA 2006) were:

- That the GLA adopt baseline standards for housing affordable and rental housing development;
- That the GLA commission conduct further research to assess value generation against cost;
- That design and floor space per person occupying the dwelling be reformulated; and
- That an insistence on built-in cupboards will extend floor sizes.

However, the problems related to the cost of property development and land acquisition persists. The report also suggests that the proportion of dwellings owned privately by landlords residing outside of the UK posed a problem to Londoners with regard to the access to affordable homes. It appears from the HATC Ltd report that public engagement was limited, since the innovative element, which would have arisen in an IPSS context, was not highlighted. An IPSS generating PV can only be operative with public engagement and with support from stakeholders who share public interest and public purpose.

#### **4.4.6 A case study: Integration and PV generation in Beacon Estate, Penwerris, Cornwall, UK**

Beacon Estate, Cornwall, Penwerris, is historically one of the UK's poorest working-class communities. The community was in a dire need of external assistance for the mitigation of its socio-economic problems. A social impact evaluation by the Beacon Project (1995-2001) was concluded in 2016. In 1995 the Penwerris Tenants and Residents Association was formed and a community regeneration programme was initiated, with funds granted by the national government in 1997. The C2-Connecting Communities case study is crucial as it puts the integration of IOS and communities into practice and demonstrates PV generation methodology employed to find solutions to social and economic problems (Durie, Wyatt and Stuteley 2004).



#### **4.4.6.1 Conditions in the Beacon Estate, Penwerris, prior to 1995**

Nicknamed ‘Beirut’, the town was steeped in abuse of all kinds and living conditions were poor. Poverty levels were high and morale low. Ill-health, a high drop-out rate, high unemployment, rampant crime and anti-social behaviour, high mistrust in general and high incidences of asthma were prevalent. Social relations between the neighbours were at their lowest point. According to the 1996 Bristol University survey (Cemly, Fahmy and Gordon 2002:3), ‘Poverty and Neighbourhood Renewal in West Cornwall’, it was the most deprived ward in Cornwall. According to the Breadline Britain Index (Joseph Rowntree Foundation 2000), it had the highest proportion of poor households of the UK’s 133 wards. The Beacon Estate community exhibited the following characteristics:

- More than 30% of households were living in poverty;
- According to the report on Poverty and Deprivation in West Cornwall in the 1990s, Beacon Estate had the largest percentage of children in households with no adult wage earners, and the second-highest number of children living with a single parent;
- Children could not learn or in many cases could not attend school;
- High rates of teenage pregnancy were prevalent;
- Physical and sexual abuse and escalating violent crime were rife;
- More than 50% of the 1,500 homes were without central heating;
- Its illness rate was 18% above the national average; and
- The Carrick District Council had no direction for initiating change (Fujiwara, Hotopp and Lawton 2016:3).

#### **4.4.6.2 The transformation of the Beacon Estate community**

The transformation that occurred in the Cornwall community was a result of the commitment, steadfastness and dedication of the stakeholders. Organisations, experts from universities, individuals, small community groups and the local authority worked together around meeting common objectives. In the beginning, success seemed a remote possibility. According to Hazel Stuteley, the project coordinator, it was first necessary to enable community members “to build self-esteem by leading from behind” (Fujiwara *et al.* 2016:11).

After much effort, conflict and debate among all the actors, it was a question of channelling that anger into positive energy. The following positive outcomes emerged over five years (Fujiwara *et al.* 2016:22-24):

- A series of meetings involved the local police, housing authorities, probation officers, social services, local teachers, the probation service, home help and the National Society for the Prevention of Cruelty to Children (NSPCC) led to the formation of crucial partnerships;
- Tenants and residents were recruited to form a vanguard to safeguard the process of change;
- A newsletter was published by residents calling for public meetings and for giving feedback on progress made;
- A regeneration partnership was formed with the Tenants and Residents Association, which was granted £1.2m by the local council for energy-efficiency upgrades to homes;
- Social cohesion and social relations improved;
- Playgroups, computer classes and socialising at the pub began to manifest. The Cornwall Action Team (CAT) was formed to address local problems;
- A National Health Care centre was opened;
- Formation of mothers' groups to discuss parenting; mothers began to socialise in parks;
- The untidy appearance of the homes was upgraded with new cladding in bright colours;
- Housing officers teamed up with the police to tackle neighbourhood nuisance;
- Lighting and CCTV cameras were installed to illuminate a well-trodden footpath and for the first time a Neighbourhood Watch was initiated;
- Using the threat of eviction, parents were warned that they could be homeless if their children remained a nuisance or were convicted of drug dealing;
- A model for regeneration, The Beacon Estate projects received acclaim in 1999 when it was awarded a Nye Bevan Award for its contribution to health improvement;
- Health statistics and schooling results improved; and
- Unemployment and crime rates dropped.

#### **4.4.6.3 C2-Connecting Communities Learning Programme**

It was necessary to adopt an IPSS and PV approach for the regeneration of the Beacon Estate community, as trust in the local councils' hierarchy had broken down. After much hard work, stakeholders gained the trust of community members. The purpose of an IPSS approach is to bring resources to where they are most needed and in the most cost-effective manner.

C2-Connecting Communities (Fujiwara *et al.* 2016) was the name given to the learning programme for the regeneration of the Beacon Estate. C2-Connecting Communities, an NGO, was spearheaded by Hazel Stuteley, the Director of the C2-Learning Programme. This learning

programme was supported by the E Mitleton-Kelly Complexity Group at the London School of Economics, London. The following stakeholders formed the core group for the Beacon Estate regeneration programme (Fujiwara *et al.* 2016):

- The Business School at the University of Warwick, Coventry;
- The Sovereign Housing Association;
- Social Services;
- The local primary school;
- The local housing authority;
- Michael Owen, former senior housing officer, Carrick District Council;
- The Beacon Community Regeneration Partnership (residents and tenants);
- Various community members from Falmouth; and
- Daniel Fujiwara and Ulrike Hotopp from the London School of Economics, London, were advisors and administrators.

#### **4.4.6.4 Public value generated for the Beacon Estate community**

Residents and tenants (as primary stakeholders) collectively added value and delivered long-term change needed for an enhanced quality of life in the community. Services were integrated and collaboration among stakeholders became common practice. The restoration of active involvement from the local council was achieved. The following non-tangible public values emerged (Fujiwara *et al.* 2016:22-24):

- Power-sharing (by being equal partners) between the actors was commonplace (the persons assuming responsibility for tasks were visible and vocal);
- Residents were happier and speaking to one another became an easier task;
- Unemployment rates decreased, university enrolment increased, crime and anti-social behaviour dropped, self-employment increased, the environment improved, community morale improved and sense of dignity returned. Political involvement increased as individuals took up positions as local politicians and council officials; and
- The values of openness and knowledge sharing increased autonomously.

Talbot (2017:Interview) holds that the public value domain needs to partner with the private sector as it is the main player in creating wealth. He adds that it is not healthy to foist a completely devised system onto community groups, as this will reduce community satisfaction and chances of co-management. Innovation cannot be implanted as it must evolve from citizens (since it is needs-based).

The C2 learning programme taught citizens to unleash their capacity to achieve change; “residents are the architects of solutions not the presenters of problems”, according to Scott Jacobs-Lange, Communities Officer with Sovereign Global (in Fujiwara *et al.* 2016:5). Tony Blair, then Prime Minister, remarked at the Nye Bevan Awards, July 1999: “This project has turned around a small estate in Cornwall which was in the grips of strife and fear” (Fujiwara *et al.* 2016:6). Safety and security, learning, happier children and healthier infants were indicators of success. The utilisation of resources, capacity and information were effectively achieved to lock the community into the regeneration programme, which has become a living ‘success’ programme across the UK.

#### 4.4.6.5 The C2-Connecting Communities 7-Step framework for community regeneration

The C2-Connecting Communities 7-Step Framework, shown in Table 4.3 for community regeneration, has become a tested means through which PV can be generated. The method relies on collaboration between parties, building trust, a responsive local authority, a clear set of common goals and genuine interaction between actors.

**Table 4.3: The C2-Connecting Communities 7-Step Framework**

<b>Step 1</b>	Set forth an enabling environment, build relationships with stakeholders. List and invite comments on common objectives targeting community demands. From the community, gain the buy-in of prominent and active residents to participate and steer baseline connectivity within the community.
<b>Step 2</b>	Organise actors into a partnership steering group (PSG) of front-line service providers with key residents from which will emerge a strategic steering group (SSG). A common set of objectives becomes the key focus for the PSG’s performance. The PSG will organise workshops and identify teams of 6-8 members to attend the first wave of an <i>Introductory Learning Programme</i> .
<b>Step 3</b>	The PSG plans and hosts events to identify and prioritise neighbourhood health and wellbeing issues and produces reports on identified issues, with feedback to residents and SSG a week later. Commitment is established at feedback events to form and train ‘People and Services Partnerships’ to jointly address community issues.
<b>Step 4</b>	The PSG sets up an office in the community, opening clear communication channels to the wider community through a newsletter and ‘walkabouts’. The PSG organise meetings with local community groups and strategic organisations. A ‘2nd wave’ of 6-8 new learners will participate in an <i>Experiential Learning Programme</i> .
<b>Step 5</b>	Monthly partnership meetings are held, providing continuous positive feedback to residents and SSG. Visible ‘wins’ are celebrated. Partnership training is undertaken to consolidate resident skills.
<b>Step 6</b>	Community strength grows. Self-organisation and self-perpetuation are observed; setting up new groups for all ages and developing innovative social enterprises, based on increased community trust, co-operation, co-production and local problem-solving.
<b>Step 7</b>	Partnerships may become permanent and may assume a role for sustained development, advisory needs and provide all forms of community support, which may be directly linked to the local council and other social agencies. Measurable outcomes and transformational change may be associated with an adaptation process, i.e. the experience of change and new ways to live in a community tending towards stability and equilibrium.

Source: Adapted from the C2 7-Step Framework (Fujiwara *et al.* 2016:29)

The framework outlined in Table 4.3 also provides measures for affective social wellbeing, linked directly to community stability and growth as outlined below by Lawton and Fujiwara (2015:105).

- *Evaluative subjective wellbeing* measures refer to people's overall assessments of their levels of satisfaction with life in a community.
- *Affective subjective wellbeing* which measures happiness, anxiety, sense of worth, sense of value or self-pride, and sense of personal development.
- *Eudemonic subjective wellbeing* measures psychological needs, such as meaning, personal sense of autonomy, control and sense of belonging.

Thus, the average citizen in the UK enjoys a higher quality of life than their counterparts in most developing countries, given the high quality of infrastructural support in housing, schooling, transport, health facilities and parks. The average citizen in the UK also enjoys the advantages stemming from a democratic society. However, poverty, homelessness, joblessness and poor schooling are socio-economic factors which impact negatively on the lives of people globally, and parallels may be drawn between developed and developing countries. The observations made in this section describes fully how the municipalities, government committees, quangos and communities deal with housing and community services matters. As a metropolis, London has to find remedies through an IPSS to address these critical problems, which impact negatively on the economy. Observations made also show that experts have denounced small dwellings (reduced sizes of living spaces) as these exacerbate critical social and economic problems.

The implementation of PV theory becomes important as a focal point for expending resources carefully, economically and with value for money with regard to finding solutions to firstly housing needs, and then sociological needs. Progress in the generation of PV seems to occur when the elements of collaboration, negotiation, integration, open dialogue (discursive democratic manoeuvring), political commitment and high levels of cooperation (ability to build ties, trust and sound relationships) are put to practice. As indicated in the Beacon Estate case study, integrated organisational action and PV generation is based on opportunities which emerge when communities take the decision to address their problems constructively. It is through means such as these that social satisfaction and social progress can be achieved.

#### **4.5 Summary**

The purpose of the chapter was to observe the housing delivery function and its parallel, community development, in the cities of Windhoek and London, with the presumption (belief) that PV generation and IPSS functioning can be successfully implemented in either set of conditions. In both cities, the need for housing delivery and subsequent community development features prominently. The crucial aspects of the matter are contained in the demand for outputs and outcomes that are desired by citizens, i.e. the desire for a quality of life that brings about large measures of equality, equity and sustainability conducive to individual and social progress. One may assume that a greater abundance of resources is to be found in the UK, while scarcities abound in Namibia. Having said this, elements such as political will, the drive to realise transformation, commitment from all actors, innovation, dedication to ideals and common objectives, ability to organise and self-organise, building trust relationships and exercising communal vision may be applied under any conditions. Given that an IPSS allows actors to step away from the confines of hierarchy, it may be assumed that Institutions of State (IOS) will contribute their support and expertise for the greater good, i.e. for the achievement of citizens' common objectives, democratic space, transformational governance, holistic approaches to regeneration programmes and stakeholder collaboration in general.

A home is an indispensable PV and may be defined and measured in terms of providing an individual or family with safety, security, comfort, privacy, recreational space and a healthy environment. Governments' housing function is, therefore, to adequately accommodate its citizens in such a manner as to promote social and economic inclusion, social progress and individual wellbeing, i.e. to meet the demands for individual and community development. While one acknowledges the reality of social disparity, one can also acknowledge the need for equality, equity and the attainment of equilibrium, i.e. communal stability and balance. However, there must be recognition from local authorities, that small houses comprising one or two rooms, isolated from economic hubs, green lungs and general social amenities (as found in Namibia), such as swimming pools, libraries, transport hubs, parks and recreation areas, as commonly found in the UK housing development models.

Fragmentation within government institutional frameworks in both advanced and developing countries is profound. In developed countries such as the UK, fragmentation, or silo divisiveness, is being addressed through the use of e-government and M-participation (mobile participation). This is not the case for Namibia. In fragmented systems, the division of labour,

delegation of duties and responsibilities, and strict job descriptions inhibit integration, flexibility and innovation. The results of fragmented systems are seen in reduced efficiency, effectiveness and economic welfare. Performance evaluation in fragmented systems is open to manipulation and is an inhibitor of change (Bititci 2015:170).

A set of assumptions and managerial stereotypes common among municipal officials, and which have become the norm in most developed and developing countries, are that (i) inferior and lower-quality homes are accorded to the lower-middle classes and the working class; (ii) the transformation of the housing model would be too costly, and (iii) society is resilient enough to maintain the economy irrespective of those who place a financial drain on it. An IPSS generating PV in a nonlinear environment, utilising stakeholder networks, will avoid placing limitations on the demand for quality homes and ultimately social and economic inclusion in the economy.

The following analyses draw on the researcher's experience of the housing and community development dilemmas in the UK and Namibia. The merits of the IPSS are advanced and motivated in a way that incorporates PV generation into integrated governance practices.

The first point of analysis concerns the functions of coordination, cooperation, communication and collaboration in creating a focus on the housing and community development needs in poor and vulnerable communities. The Beacon Estate case study shows that a network of actors, dedication, common objectives and education processes in the community are necessary for the effective application of coordination, cooperation, communication and collaboration to effect transformation and improvements. Authorities residing in municipalities should welcome initiatives that embrace openness, accountability and feedback. Open, nonlinear and holistic systems engage all actors equally and thereby avoid fragmentation, departmentalism, capacity constraints, information shortfalls, lack of staff cohesion and autonomy, limited financial resources (which may be interpreted as being more a case of skew allocations with regard to budget processes), lack of consideration for innovation and an unrewarding reliance on the private sector for direct and indirect intellectual and financial support.

The second point of analysis concerns the efficient and effective utilisation of resources, information and capacity in the generation of PV by government authorities. While current government legislation and policies do not ignore the necessity for the integration of resources,

information and capacity in policy documents, they do, however, omit the analysis necessary for the implementation of integration methods with respect to (i) alleviating or eradicating specific adverse conditions (situations) prevailing in communities, such as poor housing delivery, crime, gender abuse, poverty and joblessness; (ii) communities that are not afforded real opportunities to access education, which would empower them to engage authorities effectively; (iii) regeneration projects and programmes at community level, which are left to stakeholder networks, NGOs, religious bodies, and other actors, while government authorities show less motivation at inception to be active participants; (iv) the common or collective vision that is to be achieved with regard to community stability and wellbeing; (v) methodologies for feedback, adaptation and sustainability; and (vi) monitoring and evaluation of progress, change and improvements. Poverty alleviation and social cohesion are expected outcomes of effective integration processes. The exclusion of poor communities from full economic engagement results in opportunity costs to the economy. Housing delivery and community development are vital public values necessary to promote full economic engagement in the economy of the country.

The third point of analysis relates to the management (or co-management) of an integrated process for the generation of PV, which should link the following functions in an open, nonlinear manner: (i) relationship building between stakeholders, (ii) performance measurement of outputs, outcomes and adaptation, (iii) ensuring the quality of engagement and collaboration, and (iv) enhancing the management skills of stakeholder teams operating in a network. The process of attaining citizen wellbeing, therefore, becomes catalytic, dynamic and sustainable over the long term, and it is always guided by common objectives formulated by the stakeholder teams at the beginning of the process. Management in the bureaucratic style, mostly, do not embrace democratic elements.

In the Namibian and the UK municipal structures integration is supported in terms of their legislation, but regulation and policy implementation show strong adherence to bureaucratic practices, departmentalism and operations in their agenda and roles in community regeneration (upliftment) programmes and projects. Municipal authorities will have to accept that the principles of complexity, integration via networks of stakeholders and the independence of communities occur in a paradigm of democratic and equity principles.



In Namibia and the UK PPPs, community organisations and community agencies exist and operate within the bureaucratic system and therefore have to contend with the challenges that arise from such a system, examples being tribal relations (Namibia), tender corruption, political affiliation and individuals in powerful positions, fragmented councils and few resources for community empowerment and community enablement. In the UK there can be long delays in decision making, as there are numerous legislated channels to follow. These operational matters can have a negative impact on participatory-collaborative approaches to community concerns and issues.

Bureaucratic municipal systems, therefore, inhibit the cross-pollination of ideas, information, relationship building with the public and trust in general. Corruption and political persuasion are commonly found in bureaucracies, a factor which has a direct and inhibiting impact on public engagement, the key element in PV generation.

The fourth point of the analysis is the epistemological imperatives for the success of integration systems and PV generation. The introduction of civic education in Namibia will be an advancement in community participation, in terms of community capacity building. Education, enablement and engagement, are associated components of community-based education. Only an educated and empowered community can engage effectively within a stakeholder network and therefore with municipalities. Civic education programmes may be regarded as the vehicle for schooling communities on municipal matters, the effective formulation of demands, negotiation skills, the purpose of feedback and carving out a vision for community regeneration. Political education should not be ruled out as an aspect of civic education, as it is most probably the most important element of education a community can engage with. While in general civic education will deal with the understanding of PV and concepts such as equity, efficiency, effectiveness, adaptation and sustainability of outcomes, efficacy, political astuteness (in the generation of PV) will advance community empowerment and community enablement. One cannot assume that these concepts will naturally fall into place, hence the need for education and training with regard to the implementation of a shift from bureaucratic systems of management to open and nonlinear systems of integrated delivery of public goods. Officials work according to regulations and instructions which filter from the top downward, with little attention paid to bottom-up feedback. Hence education and training in feedback processes become necessary. Finally, there is the necessity for community regeneration in an integrated system of delivery, which entails (i) the awareness among all actors of holistic

development, (ii) nonlinear thinking, and (iii) visualising progress on the continuum from potentiality to actuality, i.e. the generation of PV.

An IPSS allows for stakeholder networks, integration and collaborative governance to emerge as new approaches for the achievement of common objectives, a common vision, transformative adaptations and long-term sustainability. The IPSS aims to achieve:

- Equality, equity, efficiency, effectiveness and efficacy in the PV delivery process;
- Efficiency when utilising financial resources. Authorities are known to spend huge sums of money on global consultants, global construction companies and advisory boards, without consulting the communities themselves. Investment of public money in housing and supporting infrastructure, jobs creation and building local economic hubs has a direct bearing on investment in the economy and hence on social wellbeing;
- In Namibia, township settlement design is executed at the minimum cost, based on the assumption of minimum returns on investment. Poverty and social problems become entrenched, as this model does not generate social and economic inclusion and progress; and
- Technology has advanced to the extent that communication systems, education and training, manufacturing of building materials, food production and transport systems have become cheaper, geographically implementable and sustainable. An IPSS recognises the integral relationship between the private sector and governments and therefore suggests the extension of digitalisation to the benefit of all social groupings and communities.

Benington (2017:Interview) holds that his contribution to the development of PV theory has led many academics and professionals outside the academic sphere to implement PV theory. This has resulted in community regeneration programmes across the United Kingdom and as far as Sudan, where he is personally involved in setting up and sustaining the first all-girls community school. He maintains that “one has to abandon mechanical models and adopt a permanent volatility chain which is by far more resilient and adaptive”.

## CHAPTER 5

### **HOUSING AND COMMUNITY SERVICES DELIVERY IN THE WESTERN CAPE PROVINCE: A CASE STUDY FOR AN INTEGRATED PUBLIC SERVICE SYSTEM (IPSS) CLUSTER GENERATING PUBLIC VALUE (PV)**

#### **5.1 Introduction**

This chapter deals with an analysis of housing delivery and its related function, providing community services in the Western Cape province municipalities. Housing delivery is understood to be the primary function of the Department of Human Settlements (DHS), while the function of community development is vested with the Department of Social Development (DSD). The analysis will proceed from the perspective of an integrated public service system (IPSS) generating public value (PV) and will aim to advance arguments for integration between the departments, collaboration with stakeholders, public engagement for PV generation, resolving fragmentation between the various Institutions of State and establishing a path for the fulfilment of citizens' wellbeing. Whereas an IPSS generating PV can produce efficiencies, effectiveness, equity and efficacy by integrating the functions of housing delivery and community development, the present fragmented system cannot. IPSS clusters are integrated network systems which are invariably part of a larger IPSS network generating PV; an IPSS cluster specific to a programme or project will (i) integrate housing and community development functions performed by stakeholders on an equal basis, (ii) monitor adaptation to transformation, and (iii) administer and manage the sustainability of programmes or projects.

#### **5.2 Background**

In extending the discussion in Chapter 4 on housing and community service delivery in Windhoek (Namibia) and London (UK) as contrasting contexts, this chapter will show how South Africa manifests its own peculiarities. South African housing and social development legislation, regulation and policy offer opportunities to municipalities to act autonomously in the creation of aesthetically pleasant environments for low-income earners. The housing model associated with the Reconstruction and Development Programme (RDP) has been entrenched by the government's housing departments, in all spheres of government, through low-cost housing provision for people with incomes ranging from R0,000 to R3,500 per month per household and R3,500 to R7,000 per month for lower-middle-income earners (Tissington

2011:23). New housing models for low-cost public housing have been introduced, delivering greater options for affordability and living space. After two decades of housing and community services delivery in South Africa, extensive research is necessary to ascertain (i) the tangible PV generated, i.e. how successful the current system of delivery has been to produce quality homes and surroundings for the poor, and (ii) the nontangible PV generated, i.e. what has been produced with respect to quality of life, social progress and citizens' wellbeing. Research of this nature may inform government officials on how unsuccessful prevailing integration measures have been.

This chapter analyses the progress made in housing delivery and community services in so far as it approaches an integrated public service system (IPSS) generating PV. A critical account of the dynamics will provide a platform for subsequent strategic recommendations in relation to housing delivery, community regeneration and sustained progress and growth over the long term; this is the crux of PV-driven quality housing and community services delivery in South Africa, a vital ingredient for socio-economic progress.

South Africa's socio-economic problems, if treated holistically and in an integrated way, will result in greater effectiveness, efficacy and efficiency in respect of service delivery and in the way that individual citizens may engage with their future development. The RDP townships in the Western Cape province reveal environmental deficiencies, such as the quality of housing delivery and greening. One may add that (i) houses of 40 square meters or less diminish privacy and recreational space, (ii) small, poor-quality houses are not conducive to sound psychological and physical health, (iii) the proliferation of gangster culture and control is a norm in the townships, (iv) inadequate schooling with very high drop-out rates, poor results for languages, mathematics, science and sport, high rates of drug abuse and teenage pregnancies are the trend, and (v) domestic abuse is rife. The psychological health of children is particularly at risk (Govender and Killan 2001:10).

Many of the townships built under the various housing schemes are located on the periphery of the CBD, such as Joe Slovo (10 kilometres from the CBD) and Drommedaris (Paarl). The hierarchical systemic and structural divisions within and between housing provision and community services are revealed in (i) budgeting objectives and constraints, (ii) allocating land for human settlements close to cities and towns, (iii) a lack of application of social investment

principles in programme and project planning, (iv) a lack of a holistic developmental agenda, (v) a lack of effective integration policies, and (vi) a lack of citizens' empowerment as a result of poor engagement with communities (Mtantato and Churr 2014:143).

Government departments have shown a reluctance to embrace innovative measures in housing delivery, which reflect poorly on effective strategic capability in addressing South Africa's developmental agenda. In focusing on stability and sustainability, an IPSS approach seeks to involve communities in a more qualitatively engaging manner.

### **5.3 Housing legislation and regulation as they relate to an IPSS generating PV**

The legislation described below is essential for effective housing delivery in South Africa, while the Constitution, (RSA 1996), Chapter 2, the Bill of Rights, is essential specifically for the quality delivery of housing, community development and services. The Constitution (RSA 1996) was formulated for the bureaucratic (hierarchical) context and is therefore applied by officials of IOS without flexibility and integration prescripts.

#### **5.3.1 The Constitution of the Republic of South Africa, 1996**

The Constitution, (RSA 1996), is respected by citizens as the primary law from which all other legislation is derived. The Constitution (RSA 1996), Chapter 2, directs the democratic realm in South Africa. The Constitution (RSA 1996), Section 26, makes provision for housing and its integration with social and community development dimensions for the facilitation of social progress, citizens' wellbeing and quality of life; in this regard, the Constitution (RSA 1996) offers little resolve and direction. However, the Constitution (RSA 1996), Chapter 2, contains the directive for housing delivery as well as the directives for enhancing the social dimensions of human life, namely, the preservation of human dignity in Section 10, labour rights in Section 23, the environment in Section 24, health, water, food and social security in Section 27, children in Section 28, education in Section 29 and culture, religion and language in Section 31, collectively regarded as nontangible PV, linked to citizens' wellbeing.

The Constitution (RSA 1996), Section 26, holds that "Everyone has the right to have access to adequate housing". This statement is decidedly clear in terms of the Bill of Rights, Chapter 2, and may be interpreted in two distinctly different ways. The first impression would be that everyone has the unquestionable right to 'adequate' housing, which is arguably in line with the

democratic nature of the Constitution (RSA 1996). Roux (in Woolman and Bishop 2008:10) holds that “rights are necessary conditions for meaningful, representative, participatory and direct democracy”. The authors maintain that democratic and legislative limitations are applied subject to the logical interpretation that (i) constitutional rights are not absolute, (ii) limitations and restrictions in governance practice must assume the purpose of strengthening (reinforcing) core values, (iii) constitutional democracy must be respected by all who engage civil society, (iv) challenging legislation relating to public goods and values must revert back to the obligations set out in the Constitution (RSA 1996), Section 29, which specifies directives for the interpretation of the Bill of Rights (RSA 1996). The second interpretation is that all people in South Africa have “access” to adequate housing, which admonishes the guarantee to a house, as conditions and dependencies need to be met prior to a family obtaining a house.

There is a third interpretation, namely that housing provision is dependent upon the availability and “reasonableness” of utilising available resources, in terms of which the government can argue that they do not have adequate resources and conclude that therefore that only qualitatively substandard houses may be provided. The uncertainty around the availability of resources creates a constraint for investment planning in the affordable and social housing arena. In the Western Cape province, the housing backlog stood at 564,000 households in 2017; in spite of this and with a budget of R2.2 billion in the 2017 financial year, 18,000 families were placed in homes (Madikizela and Winde 2017).

Another concern is that the Constitution (RSA 1996) does not direct that nontangible human rights be integrated into housing provision. While an IPSS aim to integrate these basic human rights, i.e. PV, the Constitution (RSA 1996) separates them into silo departments. The manner in which the Constitution (RSA 1996) levels these important rights is particularly applicable to the working people, the unemployed, the poor, aged and disabled persons, as they rarely have the financial means to secure a good quality of life. The Bill of Rights (RSA 1996) demands greater specificity with regard to its vision and strategic intention of rights implementation since after two decades South Africa’s quality of life for working people has declined, resulting in severe socio-economic inequalities. The achievement of PV, i.e. social progress, citizens’ wellbeing and quality of life in South Africa is in stagnation, given the inability of IOS to embrace communities in the task of housing delivery.

Tissington (2011:42-43) holds that the Bill of Rights (RSA 1996), Section 7(2), which stipulates that “the state must respect, protect, promote and fulfil the rights in the Bill of Rights”, is not always upheld in practice. In a bureaucratic government it can be challenging to uphold the moral values of ‘respect and protect’, or the values in ‘promote and fulfil’, i.e. the actual implementation is dependent upon will, motivation, acumen and boldness, often eroded by systemic control mechanisms. The author refers to the Grootboom case where the Constitutional court upheld Section 26 of the Bill of Rights (RSA 1996), namely, “[It] is not only the State who is responsible for the provision of houses, but ... other agents within our society, including individuals themselves, must be enabled by legislative and other measures to provide housing. The State must create the conditions for access to adequate housing for people at all levels of our society”. While the Bill of Rights (RSA 1996) appears to extol a sound morality, it actually breaks down at the point of praxis.

### **5.3.2 The White Paper on Housing (1994)**

The criteria and directives in the White Paper on Housing (RSA 1994) have been carried forward to the Housing Act of 1997 and the National Housing Code (RSA 2009). The White Paper on Housing (RSA 1994) is therefore regarded as a historic document for housing delivery. The White Paper (RSA 1994) stipulates points of principle on equity, community engagement and ‘people-driven’ solutions to housing. It provides a directive to government structures to provide “institutional, technical and advisory support structures within communities in partnership with the private sector” to construct private and public housing. As a means to an end, communities are to engage with the process, utilise scarce resources economically and to address the issue of land tenure (Parliamentary Monitoring Group 1999, Appendix 5).

### **5.3.3 The Housing Act, 1997 (107 of 1997)**

The Housing Act, 1997, (RSA 1997b), gives directives for public housing construction and delivery to citizens in need of affordable housing. Housing policy formulation, therefore, emanates from this Act (RSA 1997b). The Act (RSA 1997b) gives rise to the Rental Housing Act, 1999 (RSA 1999b), the Prevention of Illegal Eviction from and Unlawful Occupation of Land Act, (RSA 1998c), the National Housing Code (RSA 2009) and the Housing Consumers Protection Measures Amendment Act, 2007 (RSA 2007b), which amends the Housing Consumers Protection Measures Act, (RSA 1998d). The Act (RSA 1997b) is explicit on the

roles of the minister and the municipalities in housing provision to the lower and middle rungs of working people. The Act (RSA 1997b), Section 4, makes provision for policy formulation, provided by the National Housing Code (RSA 2009) which gives extensive powers to the minister to execute housing delivery through tenable means. The Act (RSA 1997b) establishes and directs the sustainable national housing development process with necessary infrastructure that would generate social wellbeing (PV).

The National Housing Code (RSA 2009), (see details in 5.3.5) hereafter referred to as the Code, is established in terms of the Act, (RSA 1997b), Section 4. The Code (RSA 2009) directs policy positions (for provincial and local government) regarding housing development and contains the approved housing programmes and guidelines for implementation. The principal directives in the Act (RSA 1997b) relate to addressing the housing needs of the poor, give rise to the Code (RSA 2009), which preserves and develops the process of consultation and engagement with stakeholders in respect of housing choices, socio-economic viability, integration, good governance, the elimination of slums, racial integration, ending discrimination and the inclusion of women. These principles, one of which is ‘sustainable housing settlements’, evolved from the Breaking New Ground (BNG) (RSA 2004b) strategy, also referred to as ‘housing policy’ by officials in government. The Code (RSA 2009), which may be assumed to be South Africa’s housing policy, sets forth the institutional arrangements for public low-cost and social (rental) housing stock in South Africa and opens opportunities for private and semi-private housing agencies to team with municipalities on development programmes such as the (i) integrated development residential programme (IDRP) (ii) community residential units (CRUs) provision, and (iii) enhanced peoples housing process (ePHP), for access to finance.

With regard to the building of social facilities that would contribute to the stability required to strengthen housing policy implementation, the Code (RSA 2009) directs that (i) ‘local’ strategies are required, (ii) the administration of norms and standards for various models of housing delivery are effected, (iii) a ‘housing subsidy scheme’ be provided to qualifying household heads, and (iv) formulas for subsidies and grants according to the household joint income value and types of housing be specified. While approximately 1.8 million houses were constructed between 1994 and March 2005, given the drop in current delivery numbers, the backlog continues to rise (WCPG DHS 2007:22). The Code (RSA 2009) and the BNG (RSA 2004b) may be regarded as concomitant support strategies for public housing delivery in South Africa. It could also be argued that these are housing delivery policies.



The role and responsibility of municipalities are outlined in Part 4, Section 9 (tasks) and 10 (administration) of the Act (RSA 1997b). The essential points relating to the municipal administration of housing delivery for the poor in municipal jurisdictions are:

- That the municipality enables community groups to understand housing delivery process, models and categories;
- The municipality must provide access to housing delivery on an ongoing basis;
- The Act (RSA 1997b) does not place restrictions on how housing is created, who must be employed in the construction thereof; the municipality is therefore at liberty to be creative, invite innovation from communities, build sustainable ‘green’ homes, set up public-private partnerships (PPPs) and joint ventures (JVs). There are no restrictions placed on the use of technologically advanced and cost-effective building materials in the policies and regulations. Municipalities are compelled to consider the rising costs of sand, bricks and cement as cost ‘pushers’ and seek alternative modern designs and materials to deliver liveable spaces that are aesthetically appropriate;
- Municipalities have an obligation to make communities safe and secure; and
- Municipalities must ensure that PV is generated in respect of socio-economic advancement, schooling, efficient and safe transport, recreation, green spaces. The Act, Section 2(1)(e) (iii), (RSA 1997b) stipulates that municipalities are obliged not to perpetuate slums, which implies the task of engaging communities in the aesthetic and material enhancement of their communities.

#### **5.3.4 The Social Housing Act, 2008 (16 of 2008)**

The aim of the Social Housing Act, (RSA 2008), hereafter referred to as the Act, has the primary purpose of regulating social housing implementation by the three spheres of government, with regard to creating “a sustainable social housing environment”. The Act (RSA 2008), Chapter 3, deals with the establishment of the Social Housing Regulatory Authority (SHRA) (n.d.), accountable to the national minister and Parliament. A definition of social housing given in the Act (RSA 2008) is “a rental or co-operative housing option for low to medium-income households”.

The primary directive of the Act (RSA 2008) is that the municipality must be responsive to local demands for housing. These demands should embrace as far as possible the needs of women and children. Also, the Act (RSA 2008) directs that municipalities create and encourage

local economic development (such as transport and jobs), ensure the preservation of dignity, uphold privacy, maintain a clean, healthy and safe environment, and manifest learning (in civic education programmes) in respect of information sharing, training and skills transfer. The Act (RSA 2008) states that the Rental Housing Act, 1999 (RSA 1999b) should be upheld and facilitate the housing delivery policy formulation and implementation.

The mandate of the SHRA is to “capacitate, invest and regulate the social housing sector”. SHRA is compelled to (i) secure funding for sustainable, energy-efficient social housing projects, (ii) be cognisant of transport, health and educational needs in housing developments, and (iii) supply communication infrastructure to communities (RSA 2008).

### **5.3.5 The National Housing Code of South Africa (2009)**

The National Housing Code of South Africa (RSA 2009), hereafter referred to as the Code, is comprised of the directives stated in the Housing Act (RSA 1997b) and the Social Housing Act (RSA 2008) and could be regarded as the policy for the delivery of affordable and social housing in South Africa. The Code (RSA 2009), together with the BNG, (RSA 2004b), contains core guidelines for housing implementation. In addition, the Code (RSA 2009) creates the Integrated Residential Development Programme (RSA 2006) which municipalities are responsible for implementing. The purpose of the IRDP, (RSA 2006), a sub-programme of the Integrated Development Programme (IDP) is defined as follows:

- To seek land for acquisition and affordable housing development;
- To implement the BNG (RSA 2004b); and
- To provide bulk infrastructure for land use including commercial, recreational, schools and clinics, as well as residential stands for both low-, middle- and high-income groups (RSA 2009).

The Code (RSA 2009) makes the implementation of the Informal Settlements Upgrade Programme obligatory, where the core focus is placed on the creation of social cohesion, security and stability. The Code (RSA 2009) also specifies upgrades to medical facilities, commercial hubs, parks, transport hubs, sport and recreation facilities, informal trade and sanitation with ablution facilities. The Code (RSA 2009) provides directives for social housing programmes, subsidy provision, communal land rights, the Enhanced Peoples’ Housing Project (ePHP) programme and a residents housing assistance programme.

The constraining factors in the Informal Settlements Upgrade Programme appear to be (i) a lack of vision and mission; the planning proposals in the policy supersede the vision of an investment-driven transformation, with few details on integration and methodology, (ii) the lack of flexibility required among the programme and project stakeholders; to make the policy workable, acknowledgement is required from the three spheres of government, (iii) the manner in which money will be invested in the IRDP and the Informal Settlements Upgrade Programme; the IRDP, (RSA 2006), is not accompanied with an investment model that will show a return on investment, (iv) a lack of specification of the nontangible needs of the community, like transport hubs, recreation facilities, crèches, Wi-Fi stations, (v) that the Code (RSA 2009) does not specify how it will create sustainable change while embracing the ‘people-driven’ programme called for in the White Paper (RSA 1994). The Code (RSA 2009) does not specify any measures for sustainability. The accompanying education and training programmes for capacity building in respect of housing delivery are not adequately defined; while the expanded public works programme (EPWP) is simply a means to relieve the pressure from unemployment, it has a short-term value for individuals. The Code (RSA 2009) does not set out any sustainable employment and training programme in the building industry. This would require careful planning and community engagement to research the shortfall in human capital prevailing in poor communities. Up to the present time, housing policy in South Africa remains fragmented and largely incomprehensible to citizens at the community level (Tissington 2011:78).

#### **5.4 An overview of the complex public housing delivery mechanism in South Africa**

In 2014 the African National Congress, as the party in government, having achieved a victory in the national elections, announced five ‘priority areas’ for the 2014-2019 period, which gave rise to 10 strategic priorities in the medium-term strategic framework (MTSF). The MTSF indicated the government’s twelve key outcomes, of which ‘Outcome 8’ (RSA 2014a) is referred to as the “sustainable human settlements and improved quality of household life”, a government goal. Outcome 8 (RSA 2014a) guides the work of the DHS, which is overburdened with excessive regulation and lacking in effective community engagement; moreover, Outcome 8 (RSA 2014a) is not a shared responsibility, but rather a top-down administered ‘policy’ instrument (Tissington 2011:78). Outcome 8 (RSA 2014a) should be simplified for utilisation at the municipal and community level.

In 2004 the DHS launched the BNG (RSA 2004b) strategy which re-oriented and practicalised housing delivery on a more equitable path. The BNG (RSA 2004b) is supported by the National Development Plan (RSA 2011a), Chapter 8. The BNG (RSA 2004b) is strengthened by the Code (RSA 2009) to effect a pragmatic approach to housing delivery, namely, “a comprehensive plan for the development of integrated sustainable human settlements”.

As stated in the General Household Survey 2002-2014 (RSA 2014c), the BNG (RSA 2004b) aims to achieve the step-by-step eradication of informal settlements; its strategy is contained in the following revised approach to the vision, policy and implementation of low-cost public housing:

- To promote sustainable integrated human settlements and better located housing projects;
- To promote quality housing delivery to build a non-racial, integrated society;
- To accelerate the delivery of housing as a key strategy for poverty alleviation, i.e. that property ownership can be a measure of wealth creation for the poor;
- To utilise the provision of houses as a job-creation strategy, leading to economic growth;
- To combat crime, promote social cohesion and improve the quality of life for the poor;
- Provide ancillary facilities such as schools clinics and commercial opportunities;
- Integrate different housing densities and types, ranging from single-stand units to double-storey units and row houses, providing more choices;
- Informal settlements upgrading and the eventual eradication of informal settlements;
- Accreditation of municipalities for housing delivery;
- Accelerating the delivery of housing as a key strategy for poverty alleviation; and
- Leveraging growth in the economy, combating crime, promoting social cohesion.

The legislated financial and non-financial support agencies embracing the BNG (RSA 2004b) for housing provision are:

- The Finance Linked Individual Subsidy Programme (also known as FLISP), a financial institution legislated for this purpose, operating as an institution issuing ‘loans’ and ‘bonds’. The concept of ‘gap’ housing allows the aspirant homeowner to obtain a ‘bridging’ home to utilise until the family is economically able to apply for a bank home loan. Affordable housing refers to housing units that are within the economic reach of a section of society whose income is below the middle household income, as specified by the BNG (RSA 2004b) categories (Tissington 2011:83);

- Social housing projects require management by institutions accredited by the SHRA. Social and rental housing programmes consist of the Social Housing Programme (SHP) and Community Residential Units (CRUs), aimed at households earning between R1,501 to R7,500 per month (Tissington 2011:98, 103).

Tissington (2011:22-24) lists the following financial and non-financial legislated support institutions:

- National Housing Finance Corporation (NHFC) has the mandate to fund housing delivery from any source, national or international;
- National Urban and Reconstruction Agency (NURCHA) channels funds to housing development projects through issuing loans and the administration of saving schemes;
- Rural Housing Loan Fund (RHLF) assists the ePHP; and
- Housing Development Agency (HDA) may acquire, manage and implement land acquisition for housing projects.

The ePHP (Tissington 2011:84), launched in 2009, is a people-driven and ‘self-build’ housing process. NGOs housing developers assist families in the construction of their homes, determined by the extent of their financial resources, explained in the Code (RSA 2009). The ePHP is intended to enhance the previous disadvantaged ‘peoples’ housing process. The primary focus is using ‘sweat equity’, i.e. the labour and skill of unemployed people, which contributes to the reduction in the costs of the contractors’ remuneration. Tissington (2011:84) states that the NGOs who are supporting the ePHP include, among others, PlanAct, Development Action Group (DAG), the Built Environment Support Group (BESG), Afesis-Corplan, Urban Services Group, Utshani Fund and Federation of the Urban Poor (FEDUP).

Tissington (2011:22) indicates that the incremental housing programmes consist of the Integrated Residential Development Programme (RSA 2006), the ePHP, the Informal Settlements Upgrading Programme (UISP) and the Emergency Housing Assistance plan. While citizens face an apparently wider choice, there is much overlap regarding the environmental and socio-economic dynamics of these programmes, which are best understood through surveying their successes, failures and lessons learnt.

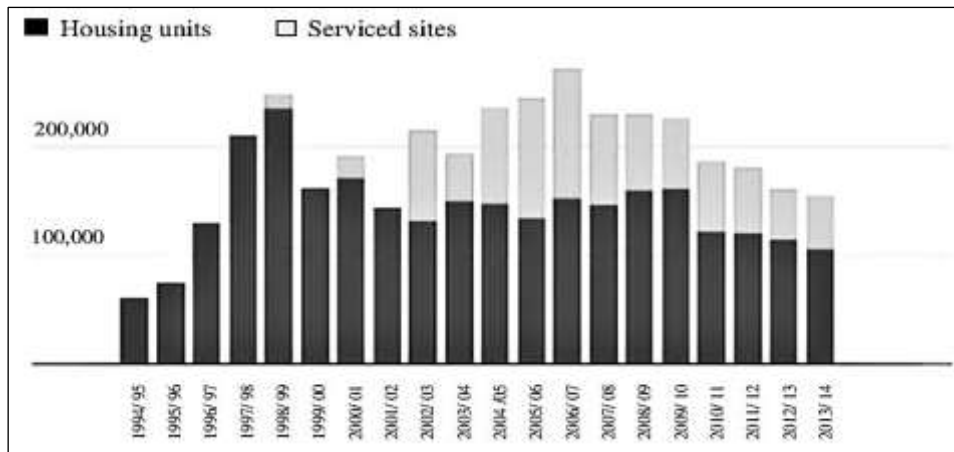
Venter and Marais (2010:252-253) hold that the housing code place emphasis on (i) general guidelines and strategies, (ii) administrative procedures, (iii) existing programmes, and (iv) new programmes. The authors hold that environmental matters, sustainability and the focus on poverty receive less attention, even though these are critical factors in establishing stable and productive communities. Political influences and the lack of involvement by top IOS officials are debilitating factors in the effective implementation of human settlement development. Rust (2016:2, 15) holds that South Africa has a shortfall of rental housing, i.e. the preferred form of social housing by home seekers. The author reports that 4.3 million houses and housing opportunities were delivered between 1994 and 2015. The distribution below shows a typical allocation, with only 121,784 housing units for social housing:

• Hostel and or community residential units	68 640
• Social, residential or institutional units,	121 784
• Finance linked houses	6 329
• RDP / BNG	2 806 235
• Services sites	986 608
• Enhanced Extended Discount Benefit Scheme	360 000
<b>Total units</b>	<b>4 349 596</b>

#### **5.4.1 Statistical account of the declining trend in housing delivery 2006 – 2017**

Wilkinson (2015) reports on the declining trend in the number of houses delivered by the DHS between 2006 and 2015. The author utilised statistics obtained from the Department of Statistics South Africa and the Socio-Economic Rights Institute of South Africa (SERI).

The author reports that the statistics obtained from the DHS (Figure 5.1) were not consistent and clear, and therefore the reliability of the information was unsatisfactory. The report reveals that the figures used in the analysis require independent auditing and recommends that the DHS keep accurate records of the various delivery types, migration numbers, population size regarding informal settlements and targeted delivery numbers per month or per quarter. The author suggests that stricter monitoring be undertaken by the DHS.



**Figure 5.1: Delivery of 'housing opportunities' in South Africa**

Source: Wilkinson (2015)

Questions arise over the precise meaning of 'housing opportunities' and a lack of accurate numbers for serviced sites, upgrades in informal settlements and accurate numbers for completed houses. Figure 5.1 reveals the following national figures; (i) increasing growth in housing units delivery from 1994 to 1999, (ii) decline in the number of houses and serviced sites delivered between 1999 and 2000 and between 2003 and 2006, characterised by a constant decline of approximately 140,000 units per annum, and (iii) a gradual decline in housing delivery was experienced between 2010 and 2014 characterised by a loss of 150,000 'housing opportunities', 48,193 serviced sites and 105,936 housing units (Wilkinson 2015).

For the Western Cape province, Tissington (2011:32-34) reports that from 1994 to 2008 293,053 units were constructed (Table 5.1), while only 164,206 units were delivered from 2008 to 2014 (Table 5.2). Table 5.3 illustrates the backlog numbers from 1994 to 2009.

**Table 5.1: Housing units completed and in process in the WCP, 1994 - 2008**

Number	1994/95-2002/03	2003/04	2004/05	2005/06	2006/07	2007/08	Total
Western Cape province	185 510	15 735	11 756	11 310	34 585	157 293	293053
Totals for provinces	1 420 897	193 615	217 348	252 834	271 219	248 850	2 604 763

Source: Tissington (2011:32)

**Table 5.2: Housing units completed and in process in the WCP, 2009 - 2013**

Number	2009/10	2010/11	2011/12	2012/13	2013/14	Total
Western Cape province	32371	31698	31698	33 139	35 300	164 206
Totals for provinces	219 899	220 000	220 000	230 000	245 000	1 134 899

Source: Tissington (2011:33)

**Table 5.3: Housing units backlogs in the WCP, 1994 – 2009**

1994/5	1995/6	1996/7	1997/8	1998/9	1999/2000	2000/2001	2001/2002	2002/2003	2003/2004	2004/2005	2005/2006	2006/2007	2007/2008	2008/2009
Not available	Not available	165 461	Not available	Not available	Not available	Not available	230 000	172 000	201 000	213 000	222 850	403 500	378 700	305 000

Source: Tissington (2011:34)

A study of the General Household Survey (RSA 2014c:35), found that 82% of the Western Cape province population live in formal dwellings, 14.8% in informal dwellings and 2.6% of the population live in ‘other’ dwelling types. From 2002 to 2014 formal homeownership increased from 73.7% to 79.4%, while informal dwellings decreased only by 0.3%. The number of citizens who were allocated a government subsidised house increased from 2002 to 2014 by an average of 10%.

Liberty (2015:1) reports that while the DHS has allocated more than 2.5 million houses since 1994, the backlog continues to grow. Significantly, the number of informal settlements has increased by 650% across South Africa and housing subsidies have increased from R12, 500 to R160, 500. By implication, the budget for housing provision increased from 1% of GDP to 3.7%. An IPSS recognises that the figures stated here do not signify the generation of tangible and nontangible PV linked to social wellbeing and progress. Besides citizens play a diminished role in the development of their living spaces (homes) as well as having limited opportunities for open dialogue to voice their public interests in the generation of PV.

#### **5.4.2 The low impact of the National Development Plan 2011 on housing policy and delivery strategy**

It is unfortunate that the National Development Plan, NDP, (RSA 2011a), Chapter 8, offers little to enhance the National Housing Code (RSA 2009). An IPSS generating PV would require



specific objectives for (i) rebuilding society, (ii) housing people effectively so that the end product might constitute an economically viable entity, and (iii) establishing secure and sustainable living areas. Chapter 8 (RSA 2011a), does not explicitly offer strategic direction; instead it outlines the historical-political and in some sense the geographical factors which led to the adverse current situation of people living in poor housing and environmental conditions. The NDP (RSA 2011a) places great emphasis on integrated spatial planning for South Africa's cities, defining spatial arrangements in a broad way, in terms of the economy, culture, business and social infrastructure (housing), interconnected by road and rail.

While three million low-cost housing units were produced in South Africa between 1994 and 2011, access to basic services in relation to water, sanitation and electrification increased, leaving a large section of the poor in the grip of poverty owing to rising costs, few opportunities in local economic development, and inadequate education (RSA 2011a:243). The NDP (RSA 2011a) suggests that attention is given to the fragmentation between rural and urban spatial arrangements as well as the fragmented spatial arrangements within cities and towns. While the NDP (RSA 2011a) discusses the provision of housing to low-income earners, one cannot claim that it offers any directives to the DHS for strategic direction. The following points are highlighted and considered important by the NDP (RSA 2011a:244-247): (i) the inadequacies in spatial planning, (ii) the growing population, (iii) fragmentation in the DHS and government structures, and (iv) a lack of integrated transport modes within the municipal boundaries. The NDP (RSA 2011a) also calls for more 'ecological' attention to the transport hubs in cities, as these are without sanitation facilities, green spaces, rest rooms, cafes and police presence. The NDP (RSA 2011a:238) holds that the towns and cities are not as productive as they could be, acknowledging that little support for the informal economy comes from government.

The NDP (RSA 2011a), also suggests that government design and implement a National Spatial Framework (NSF), which must ensure that available space is utilised for integrated development regarding housing, culture, sport, shops, services and recreation. The NDP (RSA 2011a), envisages that integrated spaces would bring balance, efficiency, quality, resilience and sustainability to development projects and programmes. In parallel with the NSF, the NDP (RSA 2011a:252) suggests a national spatial development perspective, a national spatial fund, spatial policy, a spatial planning function and a spatial governance framework, with special reference to national development corridors between cities and towns, in line with the vision for 2030.

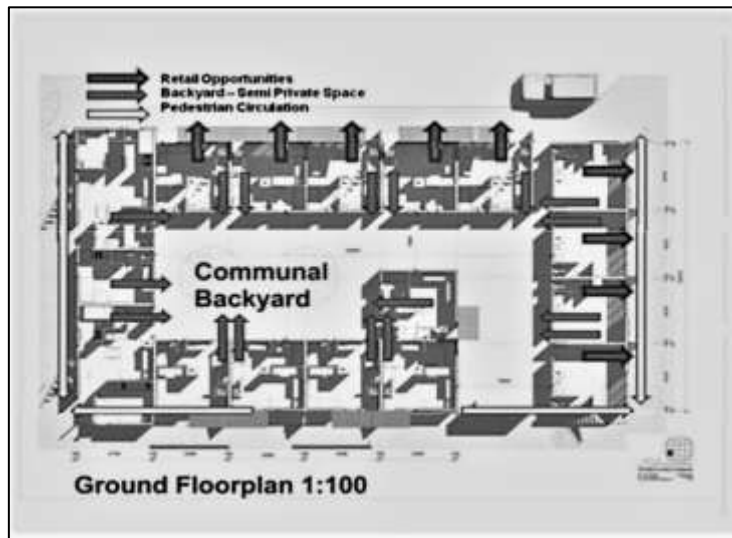
The purpose for the NSF and its subsidiary functions is to effect the following integrated development measures: (i) municipal spatial planning, (ii) affordable services, (iii) increase in budgets for bulk services, (iv) the construction of affordable inner-city housing, (v) a broadening of the urban renewal strategy, and (vi) inner-city renewal to eradicate ‘slum-lording’. It has been argued that government hierarchy, fragmentation, lack of acumen, skill, capability, planning and motivation for implementation, along with many other factors, are factors inhibiting transformation in the housing delivery sector. The NDP makes no mention of integrating social services with housing delivery as an important factor for the achievement of sustainability and stable communities (RSA 2011a:244).

An IPSS would require a closer network and digital relationship between social development (community services) and all types of housing delivery to effect transformation in human settlements. The DHS and the NDP (RSA 2011a) acknowledge the need for wellbeing as an outcome, but have not formulated a strategy for its accomplishment. An opportunity arises for innovation on a large scale and in all aspects of housing design, construction, labour provision and sustainability. The stakeholders, comprising the IPSS or clusters thereof, would target the various aspects of rebuilding communities and economic hubs and furnish the required information. Information is a means to an end, which is the generation of PV. The NDP (RSA 2011a) need to place the emphasis on commonalities between stakeholders, as stakeholder entities will expand development, reduce unemployment and restore economic prosperity through actual implementation of localised programmes and projects, i.e. for the continuous generation of PV.

#### **5.4.3 A practical example of the Integrated Residential Development Programme (IRDP) initiative in Cape Town**

The IRDP (RSA 2006), was devised in 2006 by the DHS to give practicality to the BNG (RSA 2004b). The purpose was to build ‘settlements’ with a view to sustaining jobs, the environment and improved quality of life (RSA 2006). The Joe Slovo Phase 3 project is approximately 10 km from the Cape Town CBD and aimed to deliver 2886 units. The BNG (RSA 2004b) principles of densification and sustainability are demonstrated in the Joe Slovo Phase 3 project and have similarities with international affordable housing models. Densification is achieved by having two-storey units, in an area in close proximity to the CBD and the Langa train station. It was envisaged that opportunities would arise for community stability, community regeneration and social cohesion, through community involvement as an equal stakeholder.

The duplexes built in the Joe Slovo Phase 3 project were designed to encourage sociability, safety and recreation (Sustainable Energy Africa 2014a:2-6). However, ‘community integration’ was effected in only a limited way in terms of proximity to the CBD, and the planning of an interior courtyard, illustrated in Figure 5.2 (Sustainable Energy Africa, 2014a).



**Figure 5.2: Joe Slovo Phase 3 floorplan with double-storey units and common courtyard**  
Source: Sustainable Energy Africa (2014b)

Land was made available for local economic projects, urban agriculture and recreation. The units were allocated to older residents who have incomes from R0 to R3 500 per month. Residents were appreciative of the security and safety, in particular, the ability to lock their homes, which had the effect of improving their mobility. An evaluation study (with community involvement) is required to measure the level of satisfaction among residents who are housed as well as among residents in the informal settlements, so that lessons learned may be transferred to future projects (Sustainable Energy Africa 2014a:10). One cannot overlook the phenomenon of overlap (duplication) between the Housing Code (RSA 2009), the IRDP (RSA 2006) and the BNG (RSA 2004b). However, poor management persists and no attempt is made to adopt co-planning and co-management as inclusive practices; hence ongoing feedback does not accompany performance evaluations done by the DHS in the Western Cape province.

#### **5.4.4 Political dynamics in the human settlement and community development arena**

Politicians have diverse political ideologies, backgrounds, levels of political knowledge, levels of loyalty to community ideals and externally imposed limitations on their independent decision making. Politicians need to have in-depth knowledge of the communities they serve

as well as detailed information and available statistics that would enhance their competencies. Politicians are catalysts in the development of the complex social and economic fabric of civil society as they are confronted with the demands of the state, the citizens and their political parties. To achieve their objectives, politicians need to use their skill in the alignment of their interests and gain stakeholder consent to achieve their outcomes (Hartley, Alford, Hughes and Yates 2013:22). According to Jordhus-Lier (2014:169-172), the following political dynamics prevailed during the implementation of ‘mega’ human settlement projects in South Africa, of which the Joe Slovo Phase 3 is an example:

- Inadequate public engagement, floundering by politicians owing to their political party interests, eagerness for financial opportunities (tender contracts), often result in budget cuts for infrastructural costs, the utilisation of inferior building material, and in some cases theft of building material such as geysers, cement and taps;
- Mega human settlement developments gave rise to opportunities, but politicians and communities lacked the resources, information, strategy and skill to ease tensions arising between groups over the allocation of houses, tenure and costs; community leaders are disempowered and divided as a result of the dismantling of their political power bases through constant relocation;
- Politically, the ruling party needed to bolster its political position for the general elections in 2014. However, when the African National Congress in the Western Cape province lost political ground to the opposition, the Democratic Alliance, and was therefore compelled to cede most of its control over housing programmes and projects to the Democratic Alliance, the DHS projects revealed a decline over time, which was of huge concern to developers, NGOs, contractors and community members. In addition, politicians were confronted with their inefficiencies in inter-governmental coordination and cooperation, poor quality workmanship, the bucket system eradication issue, protests regarding the allocations of houses, budgetary matters and undue delays regarding the issue of Deeds. An IPSS project or programme in housing delivery, generating PV, is inclusive of all parties and therefore demands (i) a common agenda, (ii) politicians’ commitment to the common objectives of stakeholders, (iii) collaboration and feedback, and (iv) co-planning, co-management and co-regulation;
- The lack of effective community engagement was evident as politicians lacked the mandate to deal with pressure from “inward migration, socio-spatial segregation and poverty”; and
- Politicians failed to negotiate effectively with contractors and with the EPWP officials, for increased employment and training of local unemployed persons, as ‘sweat equity’ was

offered as a means to offset the costs of ‘self-build’ ePHP home building.

Ratshitanga (2017:68) holds that politicians meddle in housing allocations by distorting the facts regarding delays, rivalry and the ‘waiting list’ concerns. Politicians have a closed agenda and pose a danger to cultivating social harmony and consensus, particularly in cases where citizens are desperate for homes and where engagement is poorly exercised. In an IPSS, the feedback process demands openness, transparency and accountability from politicians.

## **5.5 The non-government social sector organisations in the Western Cape province**

The purpose of the non-government sector aid organisations (NGOs) is to provide advice and all other levels of support to communities. Invariably, NGOs in the housing and the community development social sector work with communities located in the poor areas of the city and rural towns, where incomes per family are low, where there is a proliferation of poverty and where the ills associated with it are primarily a lack of education. Communities require support from actors not affiliated to the government or municipality so that the community voice is heard by the Institutions of State. A key issue facing poor communities is effective communication with Institutions of State. A significant problem in the NGO social sector is that these actors are not regarded as equal stakeholders to the IOS, nor are communities; one may deduce that integration interests and processes are set aside.

### **5.5.1 The South African SDI Alliance (SASDIA)**

The South African SDI Alliance of community organisations emerged in 1991 as a result of township inhabitants’ needs and demands for proper housing, social reform and a solution for their condition of dire poverty (SASDIA 1991). These organisations became affiliated to the Shack Dwellers International (SDI). The aim of these organisations was to assist communities living in townships to improve the quality of their lives. Given the social instability in the townships during the period leading up to 1994, Peoples’ Dialogue and SDI the South African Homeless People’s Federation (SAHPPF) came into being out of the demand for land and shelter. Two more organisations emerged out of the SAHPPF, similar in nature and purpose, namely the Federation of the Urban Poor (FEDUP) and Informal Settlement Network (ISN), which still survive to the present day. Peoples’ Dialogue has since been disbanded. In 2002 the Community Organisation Resource Centre (CORC) came into being as a base for professionals in the field of human settlements and social dynamics, as it pertains to shack and backyard

dwellers. The ISN (SASDIA 1991) at present has three primary objectives: (i) to develop and build social cohesion, social relations and harmony in creating stable communities; (ii) to develop a national urban network of stakeholders; and (iii) to transform the way cities are planned and developed. The ISN is seen as the umbrella network for CORC, the Coalition for the Urban Poor (CUP) and the Alliance of Rural Communities (ARC). CORC and FEDUP are the two main affiliates of the ISN, which is a national network operating in the interests of marginalised South Africans. The ISN's objectives are (i) education, (ii) building organised communities, and (iii) building capacity for democratic engagement (SASDIA 1991). The ISN (CORC and FEDUP) is affiliated to SASDIA.

### **5.5.2 Violence Prevention through Urban Upgrading (VPUU)**

The Violence Prevention through Urban Upgrading (VPUU) is an NGO that delivers activities and learning-based programmes for stabilising social aspects life in the informal settlements (VPUU 2017). Their key focus is mitigating the potential for crime to flourish and hence impact negatively upon the lives of children and youths. To effect their programmes with children and youths in volatile and vulnerable areas in the Western Cape province, the VPUU (i) enters into agreements with residents or with their community organisations to gain a mandate for their programmes; (ii) enters into agreements with partners such as the Western Cape Provincial Government, CCT, the University of Cape Town and the German Development Bank (KfW); (iii) has pre-planned programmes of activities while remaining flexible about them; and (iv) builds and transforms physical spaces for the convenience of play, safety and environmental improvement, i.e. implementing small but necessary environmental changes, such as planting a tree, creating play spaces or bricking a water point. VPUU's work entails social improvement between groups of residents, social cohesion, creating a caring society, improving the quality of life and restoring a level of empowerment (VPUU 2017:9).

The VPUU agenda is focused on changing the mindsets of youths and children through constructive play; through such experiential learning the children become sociable, learn to share and have fun together, and in the process, the factor of the impact of their harsh environment is mitigated. The VPUU is involved in the following programmes: (i) early childhood development (ECD); (ii) monitoring the functionality of toilets and taps where buckets are used to flush toilets; (iii) the construction of a youth and lifestyle centre; (iv) managing a social development fund; (v) construction of local traders' facilities; and (vi)

organising community festivals, which were found to reduce social tension in the townships. The VPUU, as part of their ongoing work, utilises a research-based model which entails the conducting of periodic short household surveys. The findings are utilised to better understand their work and challenges, and for reporting purposes to their partners. Constant monitoring is therefore considered an important aspect of their work. Since VPUU is institutionally partnered with the University of Cape Town, the research is valuable in respect to academic research. VPUU also utilises the United Nations Habitat Safer Cities model, the World Health Organisation Life Cycle Approach, the Crime Prevention through Environmental Design (CPTED) and a neighbourhood watch team. The VPUU works within the framework of the municipal IDP framework and programmes are implemented with assistance from municipalities, the community, NGOs and the private sector. The VPUU also utilise networks, and undertakes holistic development and value creation, while they do not refer to this as PV (VPUU 2017:9).

### **5.5.3 PlanAct**

PlanAct (2011) was established in 1985 as a body of academics and professionals operating nationally to examine the dynamics of, and applicable changes to matters pertaining to, land acquisition, habitat and development in rural and urban human settlements. PlanAct is a registered section 21 company. PlanAct also educates and empowers communities to engage effectively with stakeholders in order to improve the quality of life in general. The stakeholders affiliated to PlanAct are South African Cities Network, Socio-Economic Rights Institute of South Africa (SERI), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), Shift (project international), Afesis-Corplan, DAG, PPT, BESG, and SALGA.

### **5.5.4 Development Action Group (DAG)**

The Development Action Group (DAG) was established in 1986 (DAG 2010) by specialists in sociology, and development planning, affiliated to universities in South Africa and housing aid groups such as civil society organisations (CSOs) and the Cape Areas Housing Action Committee (CAHAC). The motivating factor was to create a sense of strength among township and council housing scheme dwellers for addressing their problems with the authorities such as the provincial government and the City of Cape Town in respect of service delivery, upgrading of houses and meeting the demand for houses (DAG 2010). The DAG inspired their clients to realise their demands both tangible and nontangible. DAG was catalytic in assisting

and organising tenant and community-based associations. Currently, DAG promotes itself through its vision, which is to realise a transformed, inclusive and restructured city. DAG also provides assistance to housing programmes and projects nationwide, through advocacy, coaching, mentoring, construction of model homes, and engaging with communities' capacity building and training organisations (DAG 2010).

DAG has a legacy of achievement in the successful delivery of 7 323 new homes and improving the lives of 27 000 people (DAG 2018:1). DAG also has a success record in the Western Cape province where it has delivered on 80 projects. DAG offers training courses such as the Active Citizens Training Programme in four modules, additions and alterations to buildings, building contracts, buying building material, improving warmth in the house, painting, food gardening, home and financial management and engaging with the municipality. DAG holds that (i) a housing delivery strategy must be a catalyst for access to land and bulk services, (ii) building partnership relationships is important, and (iii) community engagement must be directed at the actual involvement of the community in programmes and projects relating to housing, facilities, maintenance, refuse removal, roads and community facilities (DAG 2018). These are PV-generating criteria, however not part of a comprehensive regeneration programme.

#### **5.6 The importance of effective IOS reporting: The Annual Report of the Western Cape Provincial Department of Human Settlements (DHS) 2016-2017**

The Annual Report of the Western Cape Provincial DHS (WCPG DHS 2017) provides little descriptive detail and specific quantified information on items regarding the various housing programmes and projects undertaken or delivered in the Western Cape province in the period stated. The report (WCPG DHS 2017) relates the milestones achieved in terms of housing units delivered, success with stakeholders, community engagement, governance and a consultative workshop held with the National DHS regarding enhancements to the Housing Code (RSA 2009) (WCPG DHS 2017:1-3). The continuous search for available land for housing development by the Western Cape province (DHS) is part of their sustained 'integrated' agenda (WCPG DHS 2017:ii). The Western Cape province (DHS) usage of the term 'integrated', is vague and not comprehensively defined in the report (WCPG DHS 2017).

The Western Cape province (DHS) Annual Report (WCPG DHS 2017) is cognisant of (i) a backlog in the issuing of title deeds regarding land tenure to home owners, (ii) improving



relationships with communities, and (iii) improving relationships with stakeholders. The Western Cape province (DHS) has adopted a partnership strategy for sustaining productive and sustainable relationships with partners, primarily in the private sector (WCPG DHS 2017:12). While the report claims that partnerships are set up with communities, this is not defined in any precise way as is done in the case of the private sector partners.; the report does not clearly define the interconnections between the ‘partnership strategy’ and the Western Cape Integrated Human Settlements Framework, both of which deal with beneficiaries’ needs, such as security, good living conditions and a decision-making apparatus (WCPG DHS 2017:12-13). The Western Cape province (DHS) achieved (i) a total of 19 829 built houses, (ii) 1 079 jobs created in the construction industry, (iii) 4 050 ‘self-build’ units, and (iv) the transfer of 9 767 title deeds against a target of 7 000 in this fiscal year (WCPG DHS 2017:12).

The National Evaluation Plan (2013) (RSA 2013:13-14) has emphasised the importance of measuring the performance of ‘Outcome 8’ (RSA 2014a), in terms of the effective spending of the Urban Settlements Development Grant (USDG), backlogs and the provision of houses. The National Evaluation Plan (RSA 2013:1-2) directs that the Department must report and review its evaluation, include lessons learned, and report to Parliament. In terms of IPSS methodology, stakeholders are included in the review process of the periodic evaluation of programmes and projects at the local level.

The terms governance, good governance and corporate governance are used at various places in the report; however, a comprehensive governance report is not provided. An IPSS methodology demands feedback from stakeholders. The following private entities are regarded as external stakeholders to the Western Cape province (DHS): Everite, ASLA, Payprop, Real Estate Business Owners of South Africa (Rebosa), Institute of Estate Agents of South Africa, Lukhozi, National Property Forum, Black Conveyancers Association (BCA), Bham-Tayob-Khan-Matunda Quantity Surveyors (BTKM), Ikhayalami, Agricultural Housing Schemes and Lightweight Energy Panels Africa (WCPG DHS 2017:12).

### **5.7 Investment and integration approaches in housing delivery**

Affordable and social (public) housing owned by the government should have an investment value and should accordingly be maintained well. One could argue that most of the dwellings that are delivered by government legislated agencies have a low return on investment (ROI).

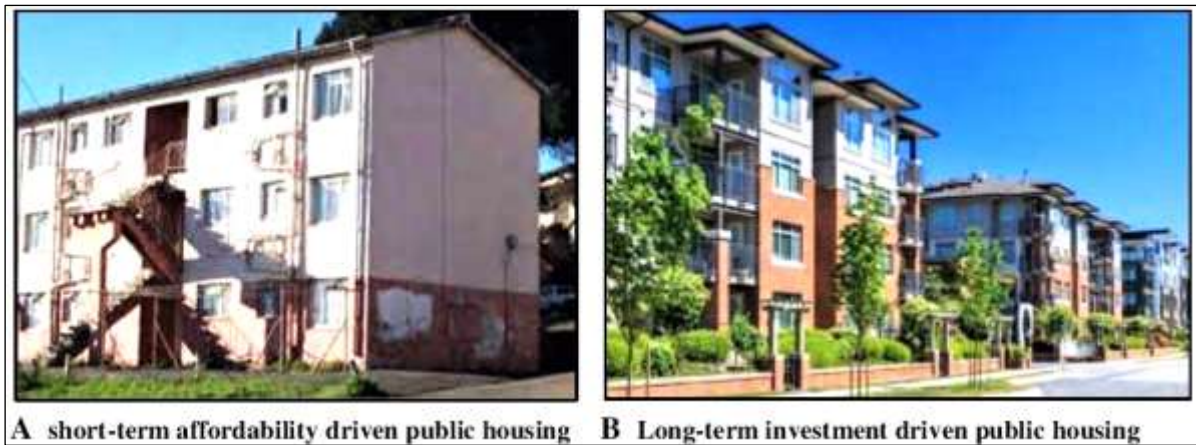
The risk arises that houses being delivered to citizens without the implementation of strict management policies, given their relatively low quality, could constitute a sunk cost.

### **5.7.1 Advancing an investment-driven approach to affordable and social housing**

Two IPSS principles would be operative in advancing an investment-driven approach to affordable and social housing, namely (i) that PV is by implication both a tangible and nontangible asset that may have added value over time, and (ii) that citizens are naturally attracted to investments and would willingly invest in a home and environment. It is the prerogative of the Minister in the DHS to research the best affordable and sustainable housing models generated globally for sustainable (investment-oriented) public housing delivery.

The key policy principle in the South African model is whether the individual can afford to pay for a house, i.e. affordability. Over the past two decades of housing delivery in South Africa, the emphasis was not given to nontangible PV investment criteria. The purpose for placing a focus on investment as a criterion is that the proportional returns on investment (ROI) are twofold, tangible (financial), but importantly also nontangible, i.e. social cohesiveness, economic robustness in terms of job opportunities, education, recreation, growth and development with respect to the gross domestic returns. One can identify benefits for the government and the economy arising from such a model. The key aspect of public housing delivery, locally and globally, remains social investment by the government in public assets (houses) that are of high quality, modern and technically stable, aesthetically pleasing and sustainable relative to a green economy (Maass 2011:774). From a systems viewpoint, i.e. the generation of PV and the utilisation of integrated public service systems (IPSSs), the success of housing delivery to all levels of working people must therefore embrace the principle that outputs and outcomes must exceed the value of the inputs and throughputs.

In Figure 5.3, Image A shows an example of social housing with minimum ROI, while Image B provides an example of sustainable, investment-wise, social (public) housing with sound ROI over time. Best practice models are particularly available in countries such as the United Kingdom, Singapore and Indonesia, where sustainable, investment-secure public housing have been established. The Cape Town housing model (Figure 5.3, Image A) is characterised by poor aesthetic design and construction, inferior environmental appeal, an average of 60-meter square floor space, hazardous location and lacking surrounding infrastructure conducive to social wellbeing, while the London model (Figure 5.3, Image B) indicates the opposite.



**Figure 5.3: The choice between short-term, affordability-driven public housing (A), and long-term, investment-driven public housing (B)**

Source: Shutterstock (Cape Town Image A) and Housingwire (London Image B)

In terms of PV criteria, an investment-driven social (public) housing model should have proximity to the CBD, investment criteria, living and recreation space, adequate privacy for the family, aesthetically pleasing features, safety and security features, be advantageous to customer integration with the mainstream economy, i.e. transport, employment and education. Basically, this means that the minister in the provincial DHS must utilise government financial resources to shift the emphasis from ‘human settlements’ to sustainable public housing, i.e. to a more explicitly defined and robust business model. Such a business model must employ the first principle of business, which is to make a successful contribution to government revenue, the beneficiaries and the developers (housing construction stakeholders), i.e. it must be an investment-driven model as opposed to a ‘sunk-costs’ model, which is unsustainable since costs are irretrievable.

An assumption may be made that there is a strong correlation between the South African social and affordable housing delivery context and how liveability could be conceived in terms of equity, long-term tenability, a pleasant environment, equilibrium (social stability and social happiness indexes) and sustainability. It is commonly found that the generally neglected physical conditions of social and affordable housing are one conducive to anti-social behaviour, social volatility, rapid rise in criminal activity, social instability (e.g. drug abuse), rise in domestic violence, sexual abuse, rise in teenage pregnancies, lack of quality schooling, lack of adequate early childhood learning facilities and high school drop-out rates; these are consequences of under-developed social and affordable housing delivery patterns, which contribute negatively to South African socio-economic development.

The correlation being sought is between social and affordable housing delivery and policy directives for cultural, educational and social development, i.e. open safe and secure spaces for recreation (sports), play, social exchange, learning, and the cognitive and psychological growth of children and teenagers. Sub-standard transport from the housing estates to the employment hubs does not contribute to quality living conditions.

Liveability and sustainability cannot be attained with a ‘sunk-cost’ approach. Investment models were found to drive housing delivery with sustainability components such as (i) a lifestyle with adequate rooms, floor space and family meeting space (liveability), (ii) a morale-building environment, (iii) social stability, safety and security, (iv) economic stability, and (v) an aesthetically pleasing environment (Maass 2011:774).

### **5.7.2 Integration of the Department of Human Settlements (DHS) and the Department of Social Development (DSD) in respect of IPSS clusters and PV generation**

In terms of IPSS and PV generation theory and practice, it becomes important to explain the distance in organisational and service orientation between the DHS and the Department of Social Development (DSD), which bears the community development (provision of services) function. A broad description of the DSD programmes covers early childhood development, child care, teenager and youth development, HIV-AIDS mitigation, psychological health, poverty reduction, the EPWP, a healthy food programme for schools and community, social grants and dealing with abuse in families. The DHS and the DSD need to consider integrating their functions to synchronise aspects of wellbeing, sustainable livelihoods and the socio-economic progress of individuals, as these objectives are interconnected with the delivery of houses. At the community programme and project level, the DHS and the DSD need (i) to accommodate citizens’ needs, desires and expectations, (ii) to find commonalities to achieve cost-effective and cost efficiencies, and (iii) to identify the needs of stakeholders to address them effectively. At present stakeholders have to liaise, negotiate and collaborate with DHS and DSD actors within a fragmented organisational framework.

The DSD’s strategic plan (RSA 2015a) for 2015-2020 lacks essential components and comprehensive descriptions of the programmes and projects identified for this period. The strategic plan does not provide an outline for the mitigation of constraints, nor does it provide a modus operandi for the implementation of programmes and projects for the period. Of

particular interest to the practicalities of IPSSs would be, among others, (i) stakeholder composition, (ii) equity among stakeholders, (iii) network management, (iv) programme and project performance measurement, (v) sustainability measures, and (vi) feedback. One could argue that the information contained in the DSD strategic plan (RSA 2015a) for 2015-2020 may be utilised for the construction of an implementable strategic plan. Since building communities has to do with how one lives and how one interacts with socio-environmental and ecological spaces, a strategic plan ought to provide at minimum a strengths-weaknesses-opportunities-threats (SWOT) analysis and then indicate the purpose and direction of each programme or project. Integrated business cases for each individual programme or project are required for efficiency, effectiveness and inclusiveness.

The values of the DSD are given in the strategic plan (2015-2020) as human dignity, openness, transparency, respect, integrity, accountability and equality. It appears that DSD staff require training with regard to the implementation of these values relative to programmes and projects, as they are measures of performance and social progress. The community development function of the DSD, given in the Strategic Plan (RSA 2015b:40), is directed by the Integrated Community Development Framework and Model. The objectives stated in the framework relate to (i) poverty eradication, (ii) establishing a database for cooperatives regarding food security, (iii) community-driven programmes and projects, and (iv) local economic development (RSA 2015b:22-43). Currently, the community development function of the DSD requires a robust relationship-building component with communities and stakeholders.

The DSD deals with all the nontangible public value (PV) elements households experience when entering a new housing settlement. It is therefore important that a network is established, through utilising digital communication, for integrating housing delivery needs with citizens' socio-economic needs and expectations, i.e. integrating them into the strategic and business planning of both the DHS and the DSD linked to effective engagement at the community level. An IPSS cluster would be more efficient and effective with integrated IOS stakeholders.

## **5.8 Challenges arising in the delivery of housing and community services**

The rising cost of urban land is a considerable constraint and is a thread that runs through the dialogue on affordable housing provision. Venter (in Ratshitanga 2017:72) holds that urban sprawl and the pressure placed on existing infrastructure, transport and natural resources result

in capacity problems and infrastructural collapse, particularly in the health and transport sectors. Since townships have been constructed on the periphery of metros, the question of equity in the allocation of land for social and economic integration becomes critical (Ratshitanga 2017:72). Equity implies that the allocation of houses in the ‘affordable settlements’ must provide the opportunity for social and economic progress. Observations reveal that allocations are skewed in distribution and that researched primary data is needed to address this challenge. As building costs increase, many homes construction companies worldwide are seeking solutions for building the cheapest, most durable, most aesthetic and low-maintenance affordable homes. Models and technologies are being sought for the cost-effective substitution of wood, cement, and beach and river sand and stone, as these materials are costly and not regarded as renewable resources by environmentalists and planners.

Skills proliferation, competency and certification of unemployed persons in the housing construction trade cannot be overlooked in South Africa. Cases of shoddy workmanship, lack of training and lack of pride in the production of low-cost housing have resulted in ‘sunk-costs’. To avoid wastage in the home construction industry and to ensure quality workmanship, skills training in the industry must be ongoing, visible and announced to interested persons. The DHS Strategic Plan 2015-2020 (RSA 2015b) has the responsibility for overseeing (i) community engagement, (ii) imposition and monitoring of quality standards, and (iii) the elimination of the culture of dependency on ‘free’ homes (RSA 2015c:20-22).

In a research report submitted to the Financial and Fiscal Commission in 2012, Mtantato and Churr (2014) raise the following challenges:

- Insufficient attention is given to measuring and generation of secondary data, analysis and commonality of understanding. The DHS should realise that rental state housing was found to be the preferred form of accommodation by citizens seeking homes;
- Housing types, location, distance from the economic hubs, the question of tenure (stand ownership) and the issuing of title deeds of ownership remain troublesome matters for concerned; hence, the utilisation of shacks is preferred as temporary housing, given their proximity to the CBD;
- ‘Self-build’ housing (ePHP) was preferred as the need contractors and hence labour costs are reduced; this option requires further exploration by the DHS for large-scale implementation. Evidence regarding ‘self-build’ housing reveals that residents in informal settlements can transform their houses into solid structures over a five-year period;

- The affordable housing programmes in Brazil are proving to be successful and South Africa could draw valuable lessons from it (Mtantato and Churr 2014:13; Pacheco 2015:1);
- The housing backlog and the growth of informal settlements increased over two decades;
- Information on projection and provision for future housing to accommodate population growth, urbanisation, migration and acceptable house sizes remains inadequate; and
- Poor planning, lack of engagement, tender fraud, administrative ineffectiveness, lack of knowledge, skill, leadership and departmental fragmentation remain current challenges.

## **5.9 Summary**

This chapter provided an account of the complexities involved in the governments' housing delivery mechanism. An argument was presented for the effective and efficient integration of the functions of the DHS and the DSD at community and municipal level, in line with IPSS criteria. From the outline of the directives contained in housing delivery legislation and policies, it became clear that housing delivery is supported by legislation, regulation and policy. The Constitution (RSA 1996), Section 26, provides an administrative safeguard for the government as it directs that citizens have 'access' to housing, given the availability of adequate resources; however, citizens do not have the absolute right to obtain accommodation that is state-supported. The chapter provided insight into the role of the DHS, the DSD and the NGOs active within communities. While political, organisational and resource constraints prevail, the critical issue is the lack of effective engagement with stakeholders.

Housing delivery in South Africa requires a review of what constitutes 'integration'; the delivery of a house (a tangible PV), and the much needed community services (a nontangible PV), are integrally and holistically linked. Integration can be achieved through (i) greater cooperation, coordination and collaboration between stakeholders at the point of project and programme planning, (ii) deliberative engagement with stakeholders, (iii) establishing norms and standards for housing delivery, and (iv) implementing measures for sustainability, adaptation, accountability, monitoring, evaluation and regular feedback to all stakeholders.

## CHAPTER 6

### QUALITATIVE AND QUANTITATIVE STUDY ON THE MANAGEMENT OF AN INTEGRATED PUBLIC SERVICE SYSTEM (IPSS) GENERATING PUBLIC VALUE (PV)

#### 6.1 Introduction

Chapter 6 describes the research methodology, data collection, analysis, and interpretation of the management of an IPSS generating PV in Western Cape municipalities. The research design aimed to meet the challenge of testing the perception of senior management in housing and community services departments in Western Cape province municipalities on IPSS feasibility, mode of operativity and PV benefits derived from their engagement with open systems of government and governance.

The chapter outlines the research problem and associated research questions and then explains the subsequent research process and methodology employed in the housing and community services departments of municipalities in the Western Cape province. The study has the advantage of being reflexive as well as descriptive. According to Schurink (2009:804), a reflexive process implies discovery and re-discovery, i.e. making sense of the social world. South African municipalities are headed for demand-driven transformation in the maintenance of service delivery to poor communities, which are identified and characterised by the quantity and quality of the services and products delivered to them. In a complex political and social environment, municipalities are obliged to account to their stakeholders and beneficiaries on how public service delivery value is created and measured. The findings from the study will provide the evidence to warrant the assertion that municipalities would benefit from the implementation of an IPSS generating PV.

The study used mixed methodology (qualitative and quantitative); a questionnaire, which examined the perception of senior management in 15 municipalities, was utilised as well as semi-structured interviews and observations. The research philosophy is explained in Section 6.6. The collection of primary data entailed the following:

- Quantitative data: 43 Questionnaires were completed and collected from 15 (of 25) participating municipalities; 10 municipalities did not participate and 5 were district



municipalities;

- Qualitative data: Open-ended ‘how’ and ‘why’ questions were used in the questionnaire to obtain the insights of the respondents. Semi-structured interviews were conducted at the CCT and the Western Cape Provincial Government offices, for further understanding of (i) the integration methodology used, (ii) whether PV generation is under consideration, and (iii) how they formulate measures (KPIs) given the wide breadth and scope of their work.

## **6.2 Research orientation**

Municipalities are structurally and functionally constrained by fragmentation, silo administrations, centralisation, internal focus and managerial bias. Municipalities are hierarchical, overregulated, neglectful of their developmental and democratic role and immersed in rigidly literal interpretations of the local government legislation, resulting in few opportunities for innovation and connectedness with communities. South Africa has seen the hollowing of the state, corruption, non-delivery, under-delivery and stymied implementation of policy which has curtailed municipal dynamism; the developmental role in municipalities is therefore in conflict with the preserving the status quo (Middleton 2019; Molale 2019:58).

This chapter introduces senior managers to stakeholder networks, network teams, integration, relationship building with stakeholders, collaborative governance, measuring value (PV) inputs, outputs and outcomes, efficiency, effectiveness, equity and efficacy. An IPSS aspires to employ holism, democratic relations, trust-building, PV generation and empirical integration in the organisation. Given that the municipal context in South Africa is extremely volatile, an assumption is made that an IPSS generating PV can provide answers to the many of the challenges in municipalities, such as ineffective administration, poor financial accountability, poor governance practices and the inadequate quality of service delivery, among other things.

## **6.3 Research problem, problem statement and research questions**

The research problem, problem statement and the research questions are stated in section 1.5.1, 1.5.2 and 1.5.3 respectively, thereby establishing a bases for the research premises (section 1.6.1), the research objectives (section 1.6.2) and the significance of the study (section 1.7).

## **6.4 Research premises and research objectives**

The study is guided by five premises stated in section 1.6.1. The premises stated, facilitate and

justify the central argument presented in the dissertation, i.e. to seek resolutions for the five research objectives stated in 1.6.2. The research premises provides a basis for argument and reasoning, in the course of finding sustainable resolve to intractable municipal problems.

### **6.5 Questionnaire objectives**

The following objectives pertain to the questionnaires for the municipalities:

- To obtain information regarding the unit of analysis, i.e. senior managers who have the functions of managing housing and community services or both;
- To ascertain senior managers' perception of IPSS and PV elements and principles; and
- To determine internal and external integration and collaboration practices (focus).

### **6.6 Research design, philosophical point of departure and methodology**

The introduction of a nonlinear socio-technical system of management and operativity for municipalities, viz. an IPSS generating PV, is conceptually new to municipal officials. A mind shift is required from municipal officials to fully embrace systemic transformation, PV conceptualisation and IPSS rudiments and properties. It is for this reason that the research design draws on the fundamentals of the qualitative phenomenological research design, in order to capture the views, opinions and experience of senior managers in the housing delivery and community services departments in municipalities, "as it occurs". The phenomenological design lends itself to interpret new knowledge of the participants "perception, perspectives and understanding of a particular situation" (Leedy and Ormrod 2001:153, 57). The views, opinions and experience of senior managers are unique, as it mirrors their experience of the bureaucratic, hierarchical and authoritarian systemic characteristics of municipal operativity. A 'qualitative' dominated mixed study was utilised to accommodate the intended triangulation, viz. the issue of a questionnaire, conducting semi-structures interviews, free discussion with officials, open ended questions and observation, essentially all qualitative methods of inquiry, while the mean, mode and median measures (quantitative) contributed to the analysis of the information obtained in respect of the IPSS and PV generation. Nine themes were formulated for data collection in this regard (Table 6.1 refers). The aim of this particular research design was to develop a complete and clear understanding of senior managers' views, opinions, readiness and willingness. i.e tendency to embrace IPSS and PV elements.

**Table 6.1: Questionnaire: Themes and purpose of each theme**

Theme no.	Theme name	Theme purpose
	<b>General themes on IPSS and PV generation</b>	<b>In respect of the housing and community services delivery</b>
1	Work related data of respondents: work focus and experience relative to external influences, collaboration with stakeholders and integration dynamics.	To assess aspects of the current work context of respondents regarding integration and collaboration.
2	An assessment of respondents' approach to integration and collaboration in their departments relative to PV generation.	To assess respondents' perception (perspective) on integration and collaboration, relative to PV generation.
	<b>Actual utilisation of IPSS elements for PV generation</b>	
3	An assessment of respondents' actual utilisation of collaboration and integration tasks and activities by the departments of community services and housing.	To obtain the perception of respondents on their actual engagement with collaboration, collaborative governance and integration elements.
4	Assessing service delivery elements with senior managers as it relates to or have bearing on the generation of PV through an IPSS.	To obtain the perception of respondents on the application of 25 PV generating elements.
5	Assess senior managers' readiness to engage with stakeholders in promoting IPSS elements for PV generation.	To examine the readiness of respondents to adopt IPSS elements in their engagement with stakeholders.
6	Assessment of IPSS measures for PV outputs, outcomes and adaptation in respect of transformation in municipalities.	To assess how respondents' would address measures (which would lead to KPI construction) for PV outputs, outcomes and adaptation.
7	Assessment of 16 IPSS and PV performance management functions related to the efficiency of PV generated in communities.	To assess respondents' regard for IPSS functions, i.e. tools and techniques for the generation of PV.
	<b>Future perspective on IPSS implementation with regard to PV generation.</b>	
8	Assess the feasibility and potentiality for the emergence of an IPSS generating PV in the future.	To assess the feasibility and potentiality for the emergence of an IPSS generating PV in the future (and as it applies to service delivery).
9	Assessment of respondents' willingness to shift from hierarchical to collaborative governance in the future.	To assess respondents' regard for change from hierarchical governance to collaborative governance.

Source: The author

The nine themes chosen would provide insight and understanding regarding IPSS and PV (i) conceptualisation, (ii) implementation, (iii) challenges and (iv) solutions. The mixed study utilised a questionnaire as the primary source of data collection, and semi-structured interviews, free discussion in interviews and observations made.

The themes were categorised into three parts: (i) general data, (ii) specific data on current practices at municipalities, and (iii) data on the future prospects for an IPSS generating PV, in respect of its feasibility and implementation. The purpose of each theme is advanced in Table 6.1. The information generated will be utilised in addressing the challenges (Chapter 7) and solutions (Chapter 8) for this study.

The questionnaire items (in Annexure A) contain open-ended (qualitative) questions, which provide the respondent with the opportunity to provide valuable additional information, ensuring that this body of research generates new knowledge regarding (i) municipal management development, (ii) stakeholders' interaction with municipalities and communities

(iii) integration, (iv) collaboration, and (v) systemic transformation. Mouton (2011:slide 49) holds that questionnaires are best used when there is little information on a subject, creating an opening to ask ‘what’ and ‘how’ open-ended questions.

The target population (25 municipalities) and the unit of analysis are derived as follows: the research design took account of the purposive selection of the population, which was defined as the 25 municipalities (24 local ‘B’ municipalities and the CCT) in the Western Cape province. The 5 district, ‘C’ municipalities, do not perform community services and housing delivery functions since the ‘B’ municipalities assume those functions. The 5 district municipalities were Central Karoo, Cape Winelands, West Coast, Eden and Overberg. The unit of analysis was the senior managers in the Departments of Community Services and Housing delivery at 25 municipalities in the Western Cape province.

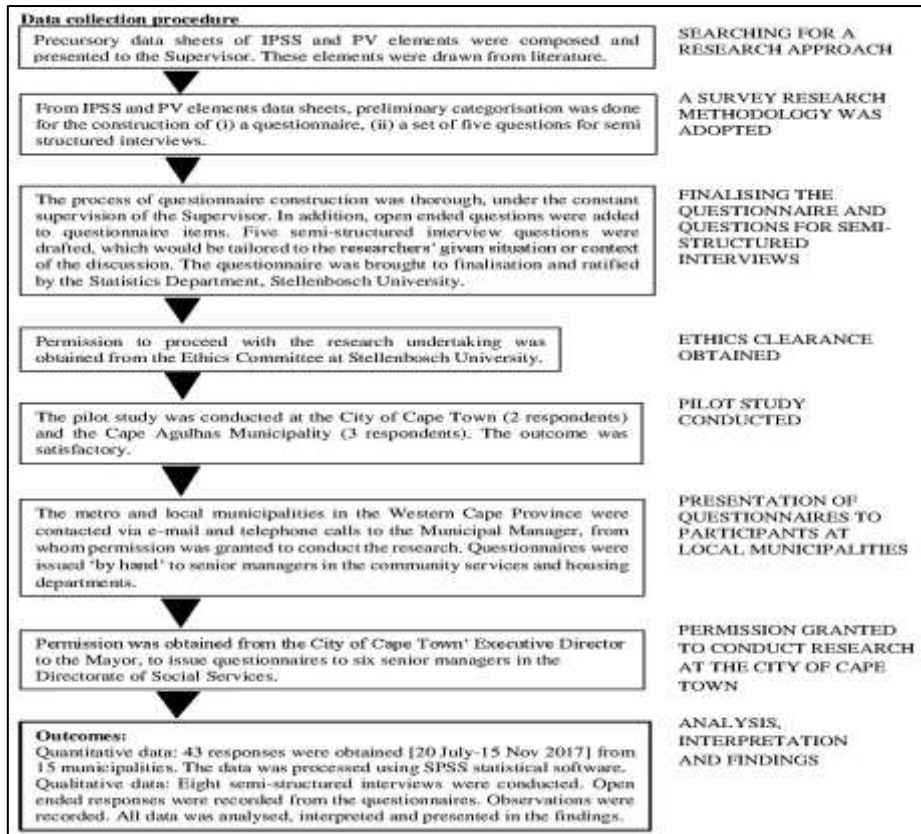
Fifteen (15) of the 25 municipalities participated in the study. The 15 participating municipalities were: the CCT metro and the following local ‘B’ municipalities: Cape Agulhas, Theewaterskloof, Drakenstein, Witzenberg, Stellenbosch, Langeberg, Oudtshoorn, Matzikama, Overstrand, Saldanha Bay, Bergrivier, Swartland, Cederberg and Breede Vallei municipality. The 10 municipalities who offered no explanation for non-participation were Laingsburg, Beaufort West, Prince Albert, Swellendam, Knynsa, George, Hessequa, Mossel Bay, Kannaland and Bitou. The Eden District Municipality and the Prince Albert Municipality offered assistance to the researcher to host focus groups regarding data collection, but poor responses regarding attendance from the local municipalities in these districts were not forthcoming.

## **6.7 The data-collection process**

The data-collection methods utilised were: (i) a questionnaire, (ii) open-ended questions, (iii) semi-structured interviews, (iv) free discussion with senior managers at the CCT, the Western Cape Provincial Government Human Settlements Department, and (iv) observation. Figure 6.1 captures the data-collection process.

Correspondence with municipalities to gain access to senior managers for the study was done by sending emails, direct telephone conversations, personal visitations and long waiting periods. Regarding Overstrand, Drakenstein, Oudtshoorn, Swellendam and Bergrivier, the waiting period was at least 4 - 5 months; the result was a return of 1, 2, 1, 0 and 1 questionnaire

respectively. In the case of Swartland and Berggrivier, the director and municipal manager respectively expressed their unwillingness to participate. Figure 6.2 represents an interest-response grid, which reflects the experience of data collection at 15 municipalities in the Western Cape province. High interest and high responsiveness indicate that senior managers conducted constructive and worthwhile discussions with the researcher.



**Figure 6.1: An outline of the data-collection process**

Source: The author

<b>High interest and high responsiveness</b> Metro and 8 local municipalities	<b>Interest and responsiveness as formality</b> 3 Local municipalities
<b>Low interest and low responsiveness</b> 3 Local municipalities	<b>No interest and no responsiveness</b> 10 Local municipalities

**Figure 6.2: Interest and responsiveness displayed during data collection at 25 municipalities in the Western Cape province**

Source: The author

The following observations were made by the researcher during data collection:

- Of the 15 participating municipalities, 13 were visited and allowed a brief introduction to the questionnaire, while 2 participated by email, i.e. 60% of the 25 municipalities

participated; 43 completed questionnaires were obtained from 15 municipalities. The researchers' target was 75 completed questionnaires, i.e. 3 questionnaires from 25 municipalities (75 questionnaires), hence 57.3% of the target returned questionnaires;

- Responses to the open-ended questions: 51.2% of respondents answered all the open-ended questions; 34.8% completed the open-ended questions in part only and 14% did not answer the open-ended questions; and
- All the semi-structured interviews planned took place. Eight interviews were conducted. The top executives delegated the responsibility for the interview to their directors, hence the municipal managers (at the municipalities) and executive directors at the Western Cape Provincial Government were not interviewed. Interviewee details are given in section 6.20. The difficulty experienced by the researcher at the municipalities was introducing the topic of IPSS and PV generation, as the area of study was unfamiliar to those senior managers who were delegated to engage with the researcher. Table 6.2 provides information on the participating municipalities engaged in the data collection process.

**Table 6.2: Participating municipalities by department (population = 25)**

	Western Cape province municipalities	Total questionnaires Returned	Senior managers in housing	Senior managers in community services	Senior managers with both functions
1	The City of Cape Town	10		5	5
2	Langeberg	2	1		1
3	Swartland	3	2		1
4	Theewaterskloof	2			2
5	Overstrand	1	1		
6	Cederberg	3	2		1
7	Witzenberg	2	2		
8	Matzikama	3	3		
9	Drakenstein	2		2	
10	Oudtshoorn	1	1		
11	Stellenbosch	4	3	1	
12	Saldanha Bay	4	1	2	1
13	Cape Agulhas	3	1	1	1
14	Breede Valley	2	1		1
15	Bergrivier	1			1
	TOTAL	43	18	11	14
	TOTAL (%)	100%	42%	25,5%	32.5%

Source: The author

## 6.8 The pilot phase

The pilot testing was conducted at two municipalities and six questionnaires were completed. No items were subsequently identified for alteration. The average time to complete a

questionnaire was 75 minutes. The researcher observed that the respondents completed the questionnaire with interest, though they found the questionnaire too lengthy. Respondents did not raise any concerns about the terminology and commented that they found the questionnaire both insightful and challenging. During the pilot phase, the questionnaires were completed in the presence of the researcher.

## **6.9 Statistical analysis, interpretation and findings**

The questionnaire utilised ordinal Likert scales; the mean, median and the mode will be the measures of central tendencies used in the interpretation of the data. Bar charts, distribution charts, tables and non-linear graphs were used to exhibit ordinal data in the analysis. The statistical analysis, interpretation and presentation of findings per theme, presented in the sequence of the questionnaire, follow below. Full accounts of the statistical information are given in Annexure B and open-ended responses to questionnaire items in Annexure C. A combined score implies the sum of the first set of positive scores in the data tables.

## **6.10 Theme 1. Work-related data of senior managers; the nature of their current work and involvement with internal and external pressures**

The purpose of Theme 1 was to obtain data from senior managers on their skills, capacity, work domain, political interference, knowledge regarding municipal legislation, and collaboration elements relative to housing and community services delivery. The questions from the questionnaire given below address senior managers' capacity for understanding internal (with other departments) and external (with stakeholders) integration regarding PV generation.

### **Question 1.1 Respondents' position by department (N = 43)**

Of the 43 respondents, 18 (42%) were located in the housing department, 11 (25.5%) in community development and 14 (32.5%) worked within both functions (Table 6.2).

### **Question 1.2 Respondents work-related experience in years (N = 43)**

Of the 43 respondents, 37 (86%) had more than 5 years' experience in their functions and 6 (14%) had between 2- and 5- years' experience. While at least 23% of the respondents (10 of 43) are studying towards tertiary education, i.e. Honours, Masters and diploma studies in Public Administration, the results reflect job stability, commitment and career drives.

### **Question 1.3 Current ranked IPSS functions performed by respondents (N = 43)**

Data was collected in respect of tasks related to IPSS performed by senior managers in the housing and community services departments in 15 municipalities. The percentage weighting attached to the tasks refer to the daily level of engagement with the specified function.

1.3.4	Teamwork and collaboration with other departments (an internal function)	91%
1.3.8	Programme and projects monitoring (an internal function).	86%
1.3.2	Policy implementation (an internal function).	84%
1.3.3	Attend intergovernmental (IGR) meetings (an internal function).	81%
1.3.7	Arrange problem solving meetings (external collaboration) with stakeholders.	81%
1.3.5	Teamwork (external collaboration) with stakeholders.	79%
1.3.9	Programme and projects evaluation (an internal function).	79%
1.3.6	Strategic planning with external stakeholders	74%
1.3.1	Policy formulation (an internal function).	74%

In an open-ended question, respondents were asked about additional tasks related to the IPSS which they perform; the following information was provided:

- Sustainable development;
- Research on best practices;
- Capacity building in collaboration with community networks to assist local organisations;
- Manage municipal grant funding process to community organisations;
- Social relief for distress during disaster incidents;
- Operational tasks related to water, sewage, streets, sports fields and Thusong Centres pertaining to senior managers involved in both housing and community development tasks;
- Public participation;
- Procurement, contract management and budget implementation; and
- IDP and SDBIP policy compliance.

The tasks indicated above are grounds for IPSS implementation and PV generation. Senior managers thus demonstrated flexibility in IPSS task performance under difficult circumstances since municipal resources are scarce. The need for teamwork and collaboration was their highest priority. The respondents' engagement with 'addition tasks' solidifies their positive perception of public purpose and the production of the public good.

### **Question 1.4 Functions related to the current work on integration between municipal departments and externally between municipal departments and stakeholders (N = 43)**

The percentage weighting given indicates the perception of importance of the specified task:



- **Internally**
- Integration initiatives between departments are supported. 81%
- Senior managers engage in relationship building between departments. 77%
- Senior managers participate in integration initiatives with other departments. 74%
- Finance and HR departments are present at departmental meetings. 56%
- The municipalities' HR department is proactive in public participation training. 9%
- **Externally**
- Senior managers participate in (external) stakeholder networks. 70%
- Engagement in public meetings to record and mitigate concerns. 60%
- Senior managers invite external stakeholders to department's meetings. 47%
- Senior managers have a communication system with communities. 47%
- Senior managers conducts community satisfaction surveys. 42%

Scores below 50% raises the following concerns in terms of current work practices: (i) the lack of invitation of external stakeholders to municipal meetings as this concerns public programmes and projects; (ii) the adequacy of the communication system with the communities; (iii) the quality and overall adequacy of the annual community satisfaction surveys; and (iv) the inadequacy of utilising the municipalities' human resources departments for public participation training. In an open-ended question, respondents were asked to add any other additional task that they perform; the following were indicated:

- Respondents' attendance at the Integrated Development Plan (IDP) public participation meetings shows responsiveness. Respondents hold, that in spite of their attendance at IDP meetings, training of community leaders by NGOs was still necessary to add value; and
- Respondents integrate social, economic, health and cultural areas of development. The analysis made in this question are supportive of an IPSS and PV-generation practices.

**Question 1.5 Assessing respondents' perception of collaboration as experienced within the municipality and externally with stakeholders (N = 43)**

Six statements were presented to respondents to assess their perception of collaboration. The results indicate that collaboration as a means of (i) building relationships between the municipality and stakeholders and (ii) effecting integration, requires a greater focus in terms of awareness, necessity and importance in the housing delivery and community services functions. The results refer to the level of engagement with the task indicated below:

- The advantages of collaboration are understood by senior managers 53%
- Collaboration has been neglected in stimulating innovation 33%
- Collaboration is limited by silo structures 33%
- Collaboration is limited by departmental regulation 30%
- Collaboration is limited by regulation imposed by organs of state 30%
- Collaboration is discouraged as a municipal practice 7%

Fifty-three per cent (53%) of the respondents agreed that collaboration is understood in the municipal context. Therefore 47% of the respondents could not state with certainty that they understood collaborative dynamics. About a third (30% - 33%) of the respondents perceived limitations and restrictions imposed on their flexibility to utilise collaborative measures in their daily work. Only 7% of the respondents were of the perception that collaboration between stakeholders were discouraged by the executive managers.

A number of key points may be highlighted from the open-ended responses:

- Respondents found it challenging to build relationships with communities in social housing owing to diverse demands and mistrust of each other;
- Communities seem to be divided on many levels, in terms of their poverty levels, schooling, poor nutrition and house sizes;
- Respondents were tasking reactive work mainly and involved only to a small degree in creative and innovative work projects or programmes;
- Respondents have a varied work schedule. While managers are compelled to fulfil their tasks in respect of compliance reports, little room is left for effective engagement regarding community wellness and progress; and
- Respondents stated that financial resources were hardly available for analysis, monitoring and evaluation of projects and programmes. The hierarchical organisational apparatus at the municipality allows the executive leadership to ‘guide’ and ‘sanction’ the work of senior managers in housing and community services.

### **Question 1.6 Capacity building focus areas in support of IPSS implementation and PV generation (N=38)**

The results for 8 ranked capacity-building focus areas in support of IPSS implementation and PV generation for ‘most needed, needed and least needed’ are given in Table 6.3. Consensus building between the municipality and community are ranked the highest with a combined mean of 95%; 61% of the respondents regard capacity building in negotiation skills training as ‘most’ needed and 54% of the respondents regard capacity building in public participation as ‘most’ needed. Co-management is ranked at the bottom of the list with a combined mean of 78%, which as a capacity-building focus area, is encouraging.

**Table 6.3: Ranked responses on capacity building focus areas in municipalities' community services and housing delivery departments**

Capacity building focus areas	Most Needed	Needed	Least Needed
Consensus building between municipality and community.	60%	35%	5%
Collaborative governance.	50%	41%	9%
Relationship building with stakeholders.	55%	34%	11%
Public participation.	54%	31%	14%
Monitoring programmes and projects for quality.	43%	40%	17%
Evaluating programmes and projects for sustainability.	52%	31%	17%
Negotiation skills training.	61%	18%	21%
Co-management.	36%	42%	22%

Source: The author

The results obtained are encouraging in respect of capacity building training that would support IPSS and PV generation objectives. However, skills training in monitoring, evaluation, negotiation and co-management show that 17% -22% of the respondents are of the perception that these training areas as 'least needed', i.e. not of priority at the present time.

**Question 1.7 Political factors which impact negatively on service delivery (PV) outputs (N = 38)**

Table 6.4 shows results for ranked data indicated by 'negative impact, some negative impact and no impact' for 8 political factors that impact negatively on service delivery. The purpose of assessing the negative impact of political factors on service delivery was (i) to determine the awareness of respondents and stakeholders of political matters, (ii) to mitigate the impact of political interference, and (iii) to secure the implementation of an IPSS and PV generation. The percentages in Table 6.4 indicate that all the factors listed had a negative impact on service delivery, within the range of 37% to 63%; 37% of the respondents perceived that 'politician's non-attendance at community meetings' had a 'negative' impact, while 63% believed that the factor had 'some' and 'no impact' on community meetings. This result is significant and indicate that politicians need to re-examine their role and purpose at public meetings. Political meddling in strategic decisions for personal gain was ranked as having a negative impact on service delivery by 63% of the respondents. Less than 25% of the respondents were of the opinion that the political factors stated had no impact on service delivery. 50.1% of the respondents regarded the 8 factors as having a negative impact on service delivery.

**Table 6.4: Ranked political factors which impact negatively on service delivery outputs**

Political factors	Negative impact	Some negative impact	No impact
Politicians increase uncertainty in communities by making empty promises.	56%	36%	8%
Political decisions which are in conflict with community decisions.	53%	36%	11%
Political meddling in strategic decisions to accommodate a personal agenda.	63%	21%	16%
Political action that prevents a programme, project or budget initiative.	46%	38%	16%
Political pressure on a municipal staff member to perform a duty.	45%	35%	20%
Politicians' non-attendance at community meetings or workshops.	37%	42%	21%
Political requests to remove or replace an organisational objective.	55%	21%	24%
Political refusal to collaborate with stakeholders and or community.	46%	30%	24%

Source: The author

In response to the open-ended question, respondents related factors which negatively impact on their performance:

- Incoming politicians took a while to understand municipal processes as they question and change strategy, abandon projects in favour of others, create uncertainty owing to delayed decision making and induce loss of confidence among community members;
- Politicians influence the appointment of junior staff; and
- Poor exercise of their oversight role.

### **Question 1.8 Familiarity with local government legislation among respondents (N = 38)**

Table 6.5 reflects the ranked data for respondents in the case of being 'most familiar', 'familiar' and 'least familiar' with local government legislation. The results show that 64% of the respondents were 'most familiar' with the Constitution of South Africa, 1996, (RSA 1996), while only 45% with the White Paper on Local Government, 1998, (RSA 1998a). While these legislative directives are not accorded the same prioritised perception by respondents are questionable, as these directives supply an important principles base in the developmental agenda of municipalities. Also, familiarity with other Acts provide information that the respondents have not been adequately trained in the understanding and application of local government legislation, hence the results reflect mediocre 'familiarity' with the Acts in general.

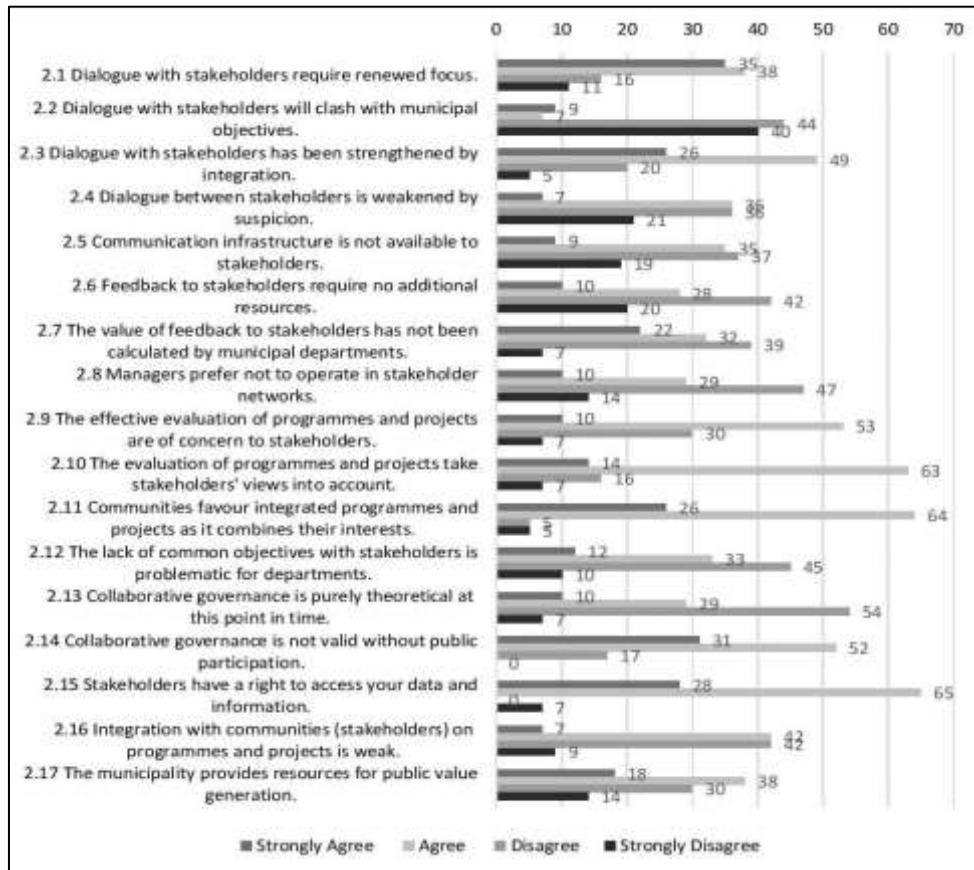
**Table 6.5: Ranked results for respondents' familiarity with local government legislation**

<b>Familiarity with local government legislation among respondents</b>	<b>Most familiar</b>	<b>Familiar</b>	<b>Least familiar</b>
The Constitution of the Republic of South Africa, 1996.	64%	33%	3%
The Municipal Finance Management Act, 2003 (No 56 of 2003).	59%	37%	4%
The Municipal Systems Act, 2000 (No 32 of 2000).	56%	39%	5%
The Municipal Structures Act, 1998 (No 117 of 1998).	63%	26%	11%
The White Paper on Local Government 1998.	45%	33%	22%
The Intergovernmental Relations Framework Act, 2005 (No 13 of 2005).	21%	45%	34%
The Public Finance Management Act, 1999 (No 1 of 1999).	8%	57%	35%
The Public Administration Management Act, 2014 (No 11 of 2014).	5%	52%	43%

Source: The author

### **6.11 Theme 2. An assessment of the senior managers' approach towards the practice of integration and collaboration in their departments, relative to PV generation**

In Theme 2 senior managers' approach to the practice of collaboration and integration with stakeholders was assessed in order to establish grounds for the advancement of an IPSS and PV generation in the municipality. There is a qualitative difference between the concept of PV and the concept of service delivery; where PV tends towards the generation of tangible and nontangible outputs, public interest, public enablement, public goods, adaptation and sustainability, service delivery tends towards the delivery of basic (minimum) services such a shelter (not necessarily homes), water, electricity, sanitation, refuse removal, omitting any emphasis on nontangible services. The researcher will extrapolate (extend assumptions about) meaning regarding PV from the respondent's perceptions of service delivery. Figure 6.3 provides the statistical analysis for 17 statements, 2.1 to 2.17, that reflect the respondents' perception of interactions with external stakeholders:



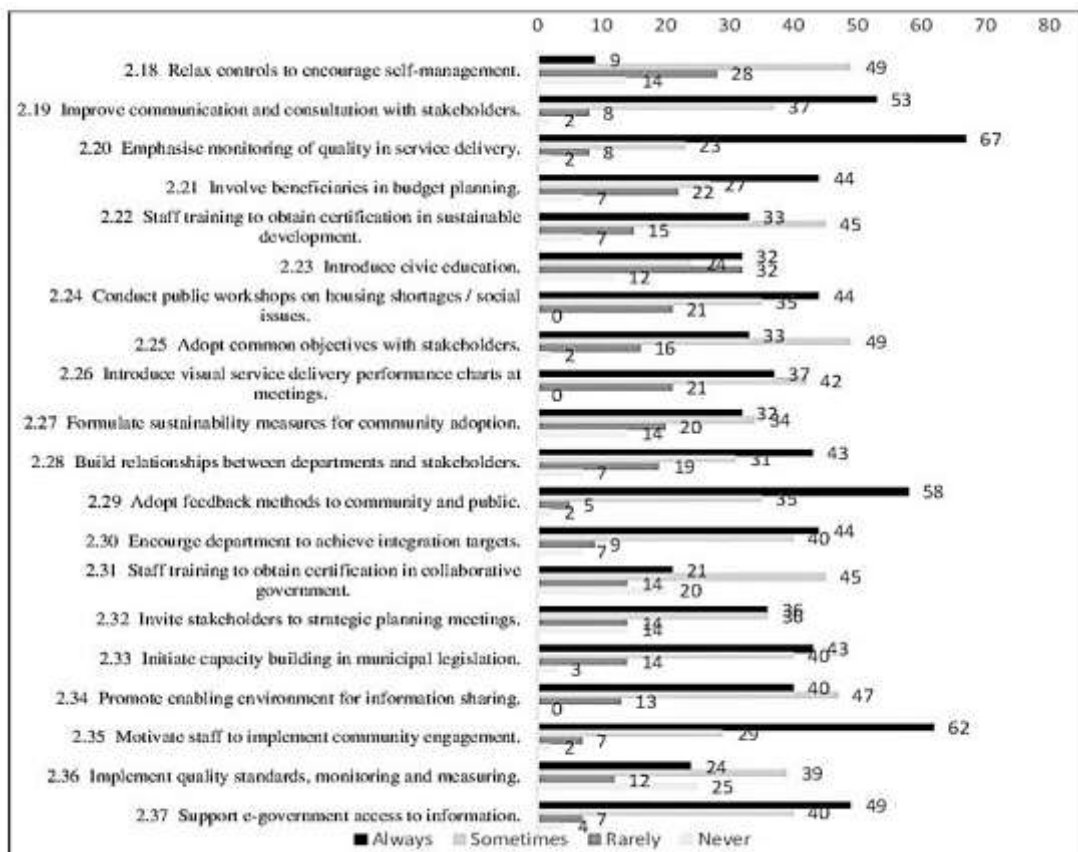
**Figure 6.3: Respondents’ perception of integration and collaboration statements in their daily practice as it relates to service delivery and PV generation (N = 40)**

Source: The author

- The combined mean scores (for ‘Strongly agree and Agree’) for ranked items 2.15 (93%), 2.11 (90%), 2.14 (83%), 2.10 (77%), 2.3 (75%), 2.1 (73%), 2.9 (63%) and 2.17 (56%) show strong support for the IPSS statements. The open-ended responses to Item 2.1 are given as a need (i) to increase and improve dialogue with stakeholders, not only at public participation meetings or annual imbizos; (ii) to improve communication with stakeholders and the community; (iii) to build leadership, accountability and support in communities, (iv) to obtain common objectives, and (v) to utilise e-platforms;
- The open-ended responses to Item 2.2 provide a comprehensive glimpse into the municipalities internal focus, i.e. the avoidance of effective engagement with communities (Annexure C, Item2.2).
- As the following items were negatively stated; respondents disagreed in favour of the positive interpretation. A mean of 58.7% was obtained for the endorsement of the statements in 2.4, 2.5, 2.6, 2.7, 2.8, 2.12 and 2.13 (Figure 6.3 refers);
- From the open-ended question in Item 2.5, methods for making communication

- infrastructure available to stakeholders are given by (i) budget contingencies, (ii) improving (managerial) skills, internal capacity, staff willingness and community education, and (iii) negotiation to reduce divergent political affiliations in the community, which was found to inhibit a common vision. In response to Item 2.6, why feedback to stakeholders required additional resources, respondents stated (i) infrastructure for communication with stakeholders was lacking; (ii) a budget was needed for mobile (M) participation, wi-fi zones, Facebook, e-mails, e-pedestals in the foyer at municipalities and Thusong Centres;
- In response to Item 2.12, respondents explained concerning a lack of (or no lack of) ‘common objectives’ that (i) there are no stakeholder management programme, (ii) the public participation model needs to be improved, (iii) objectives are (only) formulated and communicated with committees regarding the (IDP) and SDBIP, and (iv) all communities are unique (by implication each community will need its own set of common objectives which are in line with IPSS and PV generation principles);
  - Eighty-four per cent (84%) of the respondents (on Item 2.2) hold strongly that deliberative dialogue will not clash with municipal objectives. This shows that respondents are not opposed to deliberative dialogue with stakeholders. From the open-ended question, reasons for the respondents’ choices are given as (i) the need for common objectives between their departments and the stakeholders (including communities), which would help to avoid or reduce the persistent lack of openness, transparency and discord arising from miscommunication between actors; (ii) the need to enlighten councillors on the advantages of being aware of community demands; and (iii) the need for municipalities to be more flexible regarding their strategic plans (for IDP); and
  - With regard to Item 2.16, 49% agree and 51% disagree that integration with community stakeholders on community programmes and projects is weak. This division implies that discussions and negotiations with senior managers in municipalities are necessary. From the open-ended question, reasons for the respondents’ choices are given as a need (i) to improve skills regarding integration of projects and programmes, (ii) to understand that communities can drive their own agendas, (iii) to be open about the allocations of rental stock, (iv) to improve public participation, and (v) to introduce community education to facilitate sustainable programmes and projects with improved public participation and involvement of young people.
  - On Item 2.17, the respondents perceived community services budgets, customer satisfaction surveys, libraries, Thusong centres, ward committees and public meetings as ‘resources’ for public value generation.

- Figure 6.4 presents an analysis of 20 statements, 2.18 to 2.37 (N = 40), which were categorised on a Likert scale, viz., ‘Always’, ‘Sometimes’, ‘Rarely’ and ‘Never’ on integration:
- The highest scores (71% - 93%) obtained for ‘Always’ and ‘Sometimes’ combined are ranked as follows: 2.29 (93%), 2.35 (91%), 2.20 (90%), 2.19 (90%), 2.37 (89%), 2.30 (84%), 2.33 (83%), 2.24 (79%), 2.28 (74%) and 2.21 (71%) for 50% of the scores;
- The scores for ‘Sometimes’ performed are given by Items: 2.18, 2.22, 2.25, 2.26, 2.27, 2.31, 2.34, 2.36, i.e. for 28% of the scores the range is 34% to 49%;
- Combined mean of 77.6% shows respondents are supportive of the 20 PV-generating statements as high scores fall within the ‘Always’ and ‘Sometimes’ categories, with means of 40.2% and 37.4% respectively.



**Figure 6.4: Analysis of integration, collaboration and PV generation tasks (N = 40)**

Source: The author

The following elements (Items 2.23, 2.32 and 2.36) are crucial for IPSS viability; senior managers’ responses for the combined scores for ‘Always’ and ‘Sometimes’ are 56% in support of civic education, 72% claim that stakeholders are invited to municipal strategic planning meetings and 63% claim that their departments utilise standard-setting, monitoring and



evaluation (as suggested by ISO 9001:2015). The results indicate too much dispersion between the scores, indicating that capacity building through training is required to synchronise IPSS elements and to highlight the interconnectedness between the IPSS elements.

The respondents who ‘disagreed’ and ‘strongly disagreed’ held the perception that in-depth involvement with the community was required as it was not forthcoming from the municipality; community objectives are stated but invariably ‘top-down’ formulates; financial restrictions placed a real burden on work accomplishment; a stakeholder management programme did not exist and skills in the key areas indicated in Theme 2 need to be acquired by all managers.

### **6.12 Theme 3. Senior managers’ response to the level of importance of fifteen (15) IPSS statements actually utilised by the Departments of Community Services and Housing**

The purpose of Theme 3 is to understand the perceptions of senior managers of the actual utilisation, i.e. their rating of importance, of 15 IPSS criteria in respect of (i) collaboration, (ii) collaborative governance, (iii) integration, and (iv) PV generation.

Senior managers in municipalities have to a lesser or greater extent utilised the four functions within the hierarchical setting. The fifteen IPSS statements were ranked on 5 scales, viz. ‘Highly important, Important, Fairly important, Slightly important and Least important’. The rating scale allowed respondents to respond to the 15 statements without holding back.

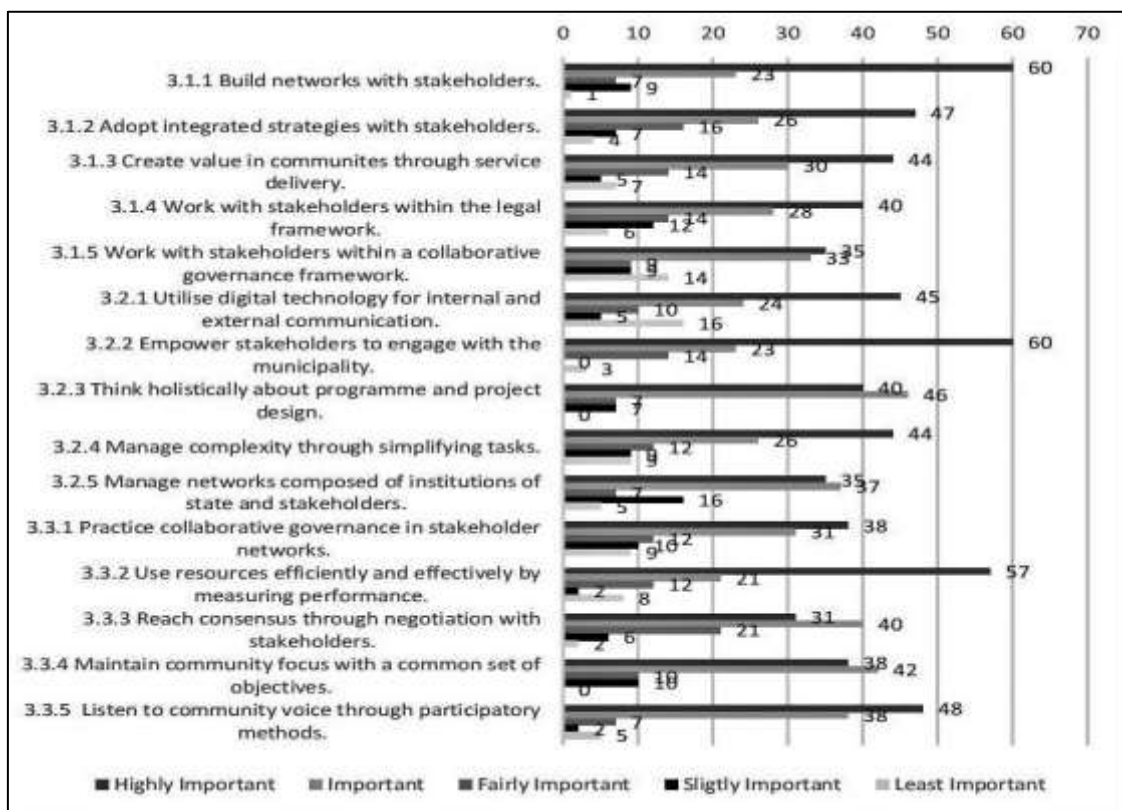
**Table 6.6: Ranked results for the top 10 of the 15 IPSS criteria in respect of collaboration, integration, collaborative governance and PV generation (N = 43)**

<b>Ranked scores for ‘Highly’ important and ‘Important’ for IPSS and PV functions actually utilised by senior managers in the housing delivery and community services departments, for N = 43</b>		
<b>Item no.</b>	<b>Item name</b>	<b>Score</b>
3.2.3	Think holistically about programmes and projects design.	86%
3.3.5	Listen to community voice through participatory means.	86%
3.1.1	Build networks with stakeholders.	83%
3.2.2	Empower stakeholders to engage the municipality.	83%
3.3.4	Maintain common objectives with the community.	80%
3.3.2	Effective and efficient use of resources.	78%
3.1.3	Generate PV in communities through service delivery.	74%
3.1.2	Adopt integrated strategies with stakeholders.	73%
3.2.5	Manage networks composed of internal and external stakeholders.	72%
3.3.3	Reach consensus through negotiation.	71%

Source: The author

The following analyses are based on the results given in Figure 6.5 and Tables 6.6 and 6.7:

- The following 5 items are ranked for the combined score of ‘Highly important’ and ‘Important’; these are Items 3.2.3 (86%), 3.3.5 (86%), 3.1.1 (83%), 3.2.2 (83%) and 3.3.4 (80%), with a mean of 84%. In open-ended responses for Item 3.1, respondents held as important (i) ‘buy-in’ from communities and stakeholders, (ii) working in networks with communities, (iii) avoiding duplication, (iv) delivery of effective and efficient services, (v) capacity building, and (vi) trust-building with the municipalities;
- The next highest 5 items are ranked on the combined score for ‘Highly important’ and ‘Important’; these are Items 3.3.2. (78%), 3.1.3 (74%), 3.1.2 (73%), 3.2.5 (72%) and 3.3.3 (71%), with a mean of 73.6%. With regard to the open responses for Item 3.2, respondents were encouraged (i) by the ITC department utilisation of digital technology e-government, Facebook, WhatsApp and (mobile) M-participation, (ii) by networks, critical for improving communication and facilitating genuine participatory engagement with stakeholders, (iii) civic education for genuine public engagement, and (iv) by building trust with stakeholders;



**Figure 6.5: Ranked results for 15 IPSS elements in respect of collaboration, integration, collaborative governance and PV generation**

Source: The author

**Table 6.7: Statistical analysis with respect to Figure 6.5 and Table 6.6**

N=43	Highly important	Important	Fairly important	Slightly important	Least important
Mean	44.1%	31.3%	11.5%	7.2%	5.9%
Mode	35%, 38%, 40%, 44% and 60%	23% and 26%	7%	5% and 9%	0%, 5% and 7%
Median	42%	29%	11%	7%	5%
Range	29%	25%	14%	16%	16%
Lowest	31%	21%	7%	0%	0%
Highest	60%	46%	21%	16%	16%

Source: The author

- In combination the scores for ‘highly important’ and ‘important’ show that 75.4% (mean) of the respondents have the confidence that the criteria stated were important (Table 6.7);
- A mean of 5.9% for ‘least’ importance excludes Items 3.2.3, adopting a holistic approach, and 3.3.4, support for common objectives, where the score for ‘least’ importance was zero;
- Concerning the open-ended questions for Item 3.3, respondents motivated their choice for the items’ ‘high importance’ about (i) community ratification the IDP budget process, i.e. the SDBIP, (ii) participatory governance to eradicate blockages in projects, (iii) strengthening public participation for programmes and projects, and (iv) ensuring value-for-money and ROI principles are adequately discussed at community level; and
- In open-ended responses to Item 3.4, respondents held that their departments have implemented integration (meetings) with provincial government departments only.

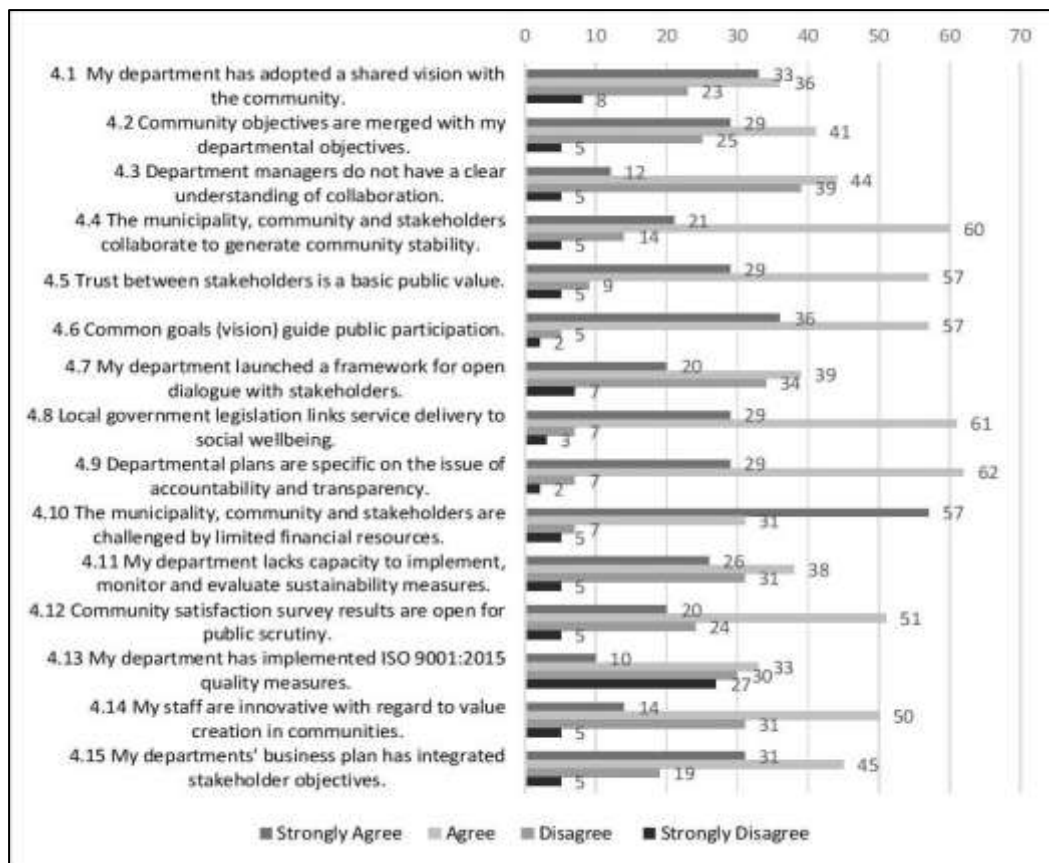
### **6.13 Theme 4. Assessing service delivery statements with senior managers, relative to the generation of PV through an IPSS**

The purpose of Theme 4 is to examine the respondents’ perceptions of IPSS and PV-generating statements appropriate for community building. In doing so, respondents need to relate the PV statements to effective and efficient service delivery. In this theme, the 25 items are related to the delivery of quality services. The relationship between PV generation and service delivery outputs is described in section 6.11 (in this chapter).

#### **6.13.1 The Likert scale items 4.1 to 4.15**

Under this theme, respondents (N = 41) examined 15 PV-generating items having a direct bearing on the facilitation of PV to the public. The results reveal a normal distribution graph for the categories, ‘Strongly Agree, Agree, Disagree and Strongly Disagree’, described in Figures 6.6 and 6.7 and Table 6.8. The 15 PV-generating criteria are given in Figure 6.6:

- Items 4.1 to 4.15 indicate that a mean of 27% is obtained in the “Strongly Agree’ category and a mean of 47% in the ‘Agree’ category. The combined score for these categories is 74%, which is a positive indication that respondents relate the PV statements to effective and efficient service delivery. Table 6.8 shows this relationship. In response to the open-ended question (Item 4.1) respondents indicated that they would adopt a shared vision and common objectives with the community, because (i) it is essential for effective service delivery, (ii) improved capacity and motivation emerges from engagement with multi-stakeholder groups, (iii) joint strategies with communities strengthen public participation, (iv) transparency is maintained, (v) public participation is weak as it is manipulated by politicians, (vi) communities are empowered through education, (vii) the IDP can be approved or rejected, and (viii) it creates sound relationships between stakeholders and the municipality for sustainable development;



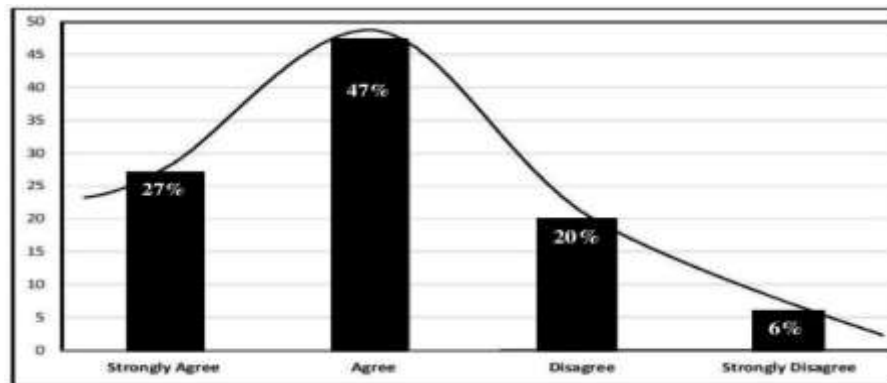
**Figure 6.6: Analysis of 15 PV generating statements**

Source: The author

- 20% of the respondents ‘Disagree’ and 6% ‘Strongly Disagree’ with the statements, as given in Figure 6.7;
- In Item 4.3, 56% of the respondents expressed a need for improved understanding of

collaboration;

- The responses to the open-ended question (Item 4.5) point out that respondents believe that trust between stakeholders is a basic value because (i) trust must be earned, (ii) mutual trust ensures progress and collaboration, reduces problems and allows for delivery on common objectives, (iii) mistrust between stakeholders curtail sharing of opportunity, and (iv) without trust there can be no participation;



**Figure 6.7: Bar graph of means for 15 PV items assessed in terms of appropriateness for service delivery tasks**

Source: The author

**Table 6.8: Statistical analysis results with respect to Figures 6.6 and 6.7**

N=41	Strongly agree	Agree	Disagree	Strongly
<b>Mean</b>	27%	47%	20%	6%
<b>Mode</b>	29%	57%	7%	5%
<b>Median</b>	27.5%	44.5%	20.5%	5%
<b>Range</b>	47%	31%	34%	5%
<b>Lowest scores</b>	10%	31%	5%	2%
<b>Highest scores</b>	57%	62%	39%	27%

Source: The author

- Item 4.8 shows that 90% of the respondents believe that local government legislation links service delivery to social wellbeing;
- Item 4.9 shows that 91% of the respondents will insist on accountability and transparency in agreements with stakeholders;
- Item 4.10 reveals that 88% of respondents hold that limited financial resources are challenging. The open-ended responses reveal that (i) increased migration of people into cities and towns places a burden on ageing infrastructure, (ii) the budget process can be managed better, (iii) unemployment is extensive, (iv) service delivery needs are critical, and (v) low-capacity municipalities are dependent on national (government) grants;

- The open-ended Item 4.11 indicates that respondents perceive internal capacity (in respect of sustainability measures) as relative to (i) lack of understanding of community engagement, (ii) a lack of resources, (iii) lack of understanding of sustainability technology, (iv) no common view on sustainability, and (v) the need for capacity building;
- Item 4.13 shows that 43% of the respondents agree and 57% disagree that ISO 9001:2015 quality measures were implemented by their departments;
- The open-ended question (Item 4.14) indicates that respondents perceive innovation in respect of value creation in communities to be influenced by (i) networking with private and academic institutions and finding solutions, (ii) holding regular public meetings to involve the community in programmes and projects such as housing education, (iii) housing consumer training, (vi) embarking on practical ways to improve the community, and (v) maintenance of open spaces for socialisation by parents in depressed communities; and
- The open-ended response (Item 4.15) indicates that respondents perceive that their departmental business plan is integrated with stakeholder's objectives because human settlement planning had been initiated with stakeholders to ensure equity.

### **6.13.2 Ranked PV-generating items 4.16 and 4.17 in support of community building**

Ten items in 4.16 and 4.17 examine respondents' perception of IPSS and PV-generating activities appropriate for community building. These items were ranked according to Most Appropriate, Appropriate and Least Appropriate, illustrated by Graphs A and B in Figure 6.8.

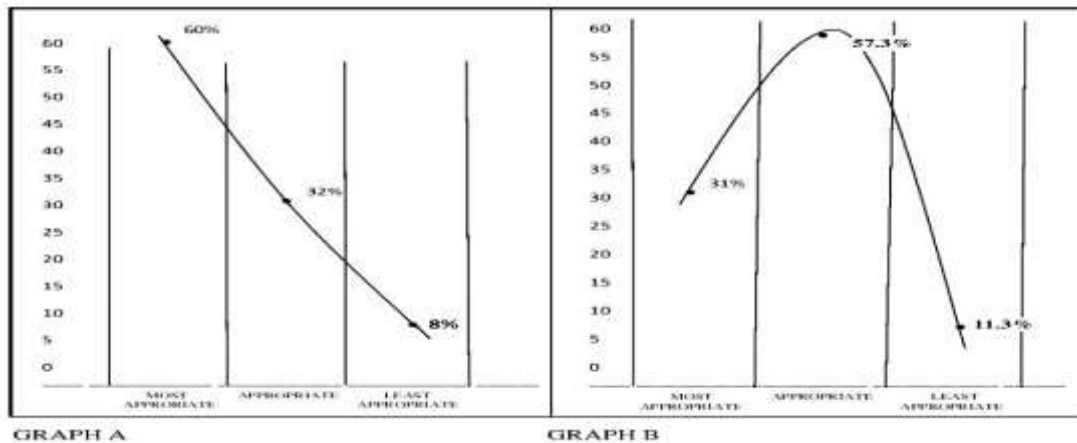
- **Analysis of Graph A statements (Figure 6.8 A)**

Graph A (Figure 6.8A) indicates a mean of 60% for 'most appropriate' and 32% for 'appropriate', i.e. a combined mean of 92%, reflecting a positive regard for community building (N = 41). Graph A has a negative slope, indicating mean scores decreasing from high to low. Graph A (Figure 6.8) provides a visual analysis for the interpretation of Table 6.9, which lists seven crucial ranked PV elements for community building.

- **Analysis of Graph B statements (Figure 6.8 B)**

In Graph B (Figure 6.8B), for Items 4.17.1 to 4.17.3, with means of 31% for 'most appropriate' and 57% for 'appropriate', a combined mean of 88% is achieved. The combined scores for 'most appropriate' and 'appropriate' in Table 6.10 range between 83% and 92%. For these 3 items (PV elements) respondents show their strong support for consensus building, coaching,

mentoring, e-governance and feedback, applicable to PV generation.



**Figure 6.8: Graphs A and B show respondents' perceptions of PV-generating activities for community building, Items 4.16 and 4.17**

Source: The author

**Table 6.9: Ranked values for 7 items (Figure 6.8, Graph A)**

No.	Item description	Most appropriate	Appropriate	Least appropriate
4.16.4	Public participation workshops.	64	33	3
4.17.5	Sharing vision with stakeholders.	67	29	4
4.16.1	Effective and efficient service delivery to communities.	74	21	5
4.16.5	Discussions with community to gauge their expectations.	64	29	7
4.17.4	Open access to municipal information.	50	43	7
4.16.3	Negotiations with stakeholders.	46	39	15
4.16.2	Community safety and security surveys.	53	30	17

Source: The author

**Table 6.10: Ranked values for 3 items (Figure 6.8, Graph B)**

No.	Item description	Most appropriate	Appropriate	Least appropriate
4.17.3	Reaching consensus with stakeholders on sustainability criteria.	37	56	7
4.17.2	Coaching and mentoring of staff for public engagement.	26	64	10
4.17.1	Physical implementation of e-governance for feedback and ease of communication.	31	52	17

Source: The author

The respondents who 'disagreed' and 'strongly disagreed' held the perception that in-dept public participation is weak and are manipulated by politicians. Hence building trust was a major issue in communities; the sentiment of "no trust? no participation!" applied.

#### **6.14 Theme 5. Managements' readiness to engage with stakeholders in promoting collaboration, collaborative governance, integration and PV generation**

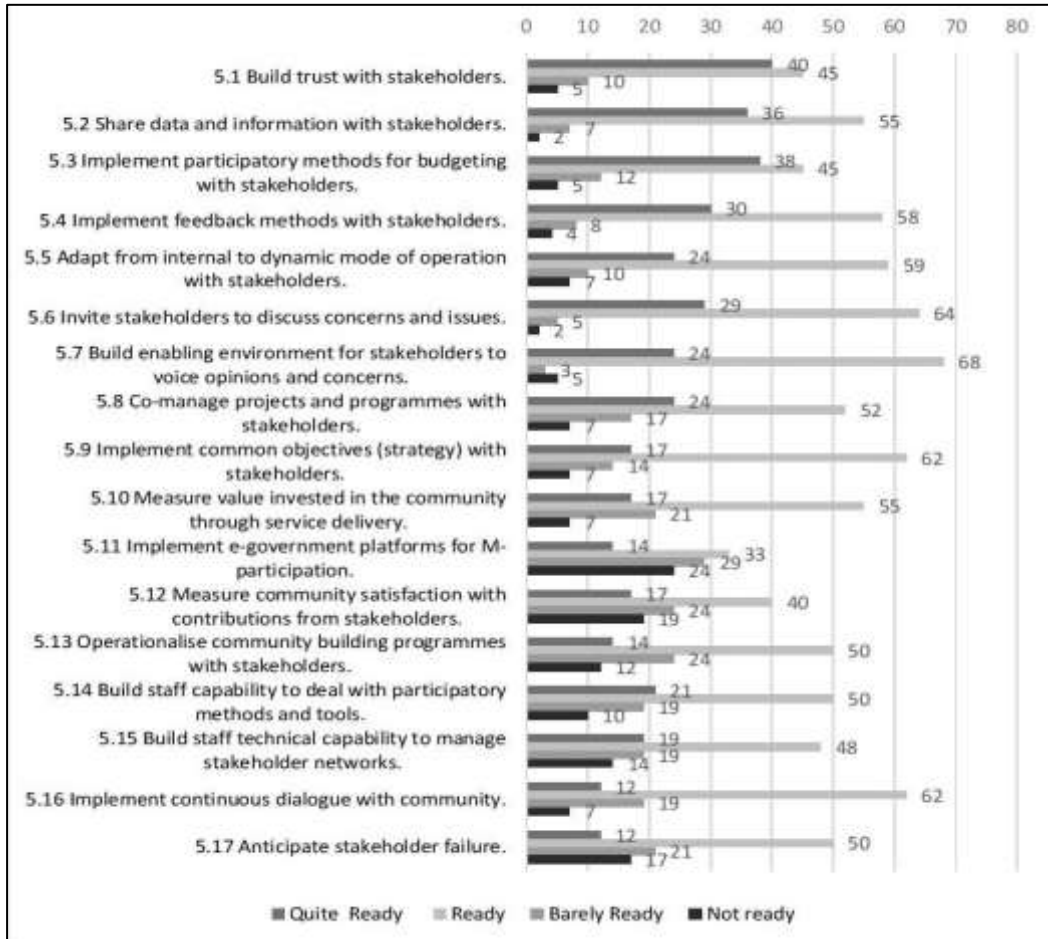
The purpose of Theme 5 is to establish, according to 17 IPSS functions, how 'ready' senior managers are to engage with community and stakeholders in implementing IPSS functions generating PV in respect of collaboration, integration and collaborative governance. A positive outcome would indicate grounds for initiating an IPSS in municipalities, while 'low levels' of readiness ('barely' and 'not' ready) would signify resistance to change. A Likert scale utilised four categories, viz. 'Quite ready, Ready, Barely ready and Not ready' for N = 42 (Figure 6.9).

The 'Quite ready' and 'Ready' means, 22.8% and 52.7% respectively (Table 6.11), provide a combined mean of 75.5%, indicating a prominent level of readiness among respondents to engage with stakeholders to advance the IPSS principles stated. The range for the 'Barely ready' category is 3% - 29% with a mean of 15.4%. The range for the 'not ready' category is 2% - 24% with a mean of 9.1%, i.e. 24.5% of the respondents were reluctant to engage with stakeholders to advance the IPSS principles (Figure 6.9 and Table 6.11):

- For Item 5.1, 85% of the respondents had a combined score for readiness. The open-ended responses were that trust (i) promotes a developmental municipality, (ii) ensures sustainability, (iii) improves operations, (iv) improves political stability, (v) reduces project and programme disruption, and (vi) eases communication;
- For Item 5.2, 91% of the respondents had a combined score for readiness. The open-ended responses on sharing information with stakeholders indicated the need to (i) improve skills and capacity for joint planning, (ii) build trust and open, accountable and transparent governance, (iii) effect stakeholder engagement on waste mitigation, and (iv) to provide feedback on progress regarding programmes and projects;
- For Item 5.3, 83% of the respondents indicated a combined score for readiness. The open-ended responses for the item, on the motivation for adopting participatory methods for budgeting with stakeholders, requires, according to the respondents, (i) skills sharing (ii) flexibility and spontaneity for staff to engage communities, (iii) improving knowledge sharing between municipality and stakeholders to compile credible budgets, (iv) listening to the community voice, (v) interdepartmental planning and (vi) community understanding of the prioritisation of project budget cuts as a way to improve the quality of the IDP;
- Item 5.4: 88% of the respondents had a combined score for readiness to adopt effective feedback methods;



- Item 5.5: 83% of the respondents had a combined score for readiness to adopt dynamic interaction with stakeholders;
- Item 5.6: 93% of the respondents were of the view that they are ready to engage with stakeholders in discursive dialogue;



**Figure 6.9: Analysis of 17 IPSS functions for managements’ readiness to engage with stakeholders in promoting collaboration, collaborative governance, integration and PV generation**

Source: Author

**Table 6.11: Statistical analysis with respect to Figures 6.9**

N=42	Quite ready	Ready	Barely ready	Not ready
Mean	22.8%	52.7%	15.4%	9.1%
Mode	17% and 24%	50%	19%	7%
Median	21%	52%	17%	7%
Range	28%	35%	26%	22%
Lowest	12%	33%	3%	2%
Highest	40%	68%	29%	24%

Source: The author

- Item 5.7: 92% of the respondents were of the view that they are able to be receptive to engage with stakeholders in an enabling environment;
- Item 5.8: 76% of the respondents had a combined score for readiness. The open-ended responses on implementing co-management (and co-regulation) with stakeholders reflected the need for (i) building skills and capacity, (ii) a development task team, (iii) clearly developed project plans, (iv) study of governance, (v) joint projects and programmes with stakeholders, (vi) community capacity building, (vii) participatory methods for budgeting with stakeholders.;
- Item 5.9: 79% of the respondents had a combined score for readiness. The open-ended responses (on the implementation of common objectives with stakeholders) suggested (i) acquiring skills and capacity to implement common objectives, (ii) to share information and find finance for joint solutions, (iii) to identify community projects with community members, (iv) to discuss and align plans to strategies with stakeholders, ward councillors and ward committees, (v) to discuss expected outcomes, and (vi) develop housing master plans which address community needs;
- Item 5.10: 72% of the respondents had a combined score for readiness. The open-ended responses on PV investments in communities are achieved through (i) utilising research teams, (ii) utilising feedback sessions and surveys, (iii) by measuring and evaluation, (iv) assessment of housing types and styles for community approval, and (v) building trust with communities;
- Item 5.11 shows that respondents are undecided on the implementation of e-government platforms and communicative apparatus; 47% stated a readiness while 53% were not. The open-ended responses on the implementation of e-government suggest (i) building skills and capacity, (ii) and motivation in the community, (iii) involving all senior managers, (iv) utilising SMS, websites, WhatsApp, email and electronic surveys;
- Item 5.12: 57% of the respondents had a combined score for readiness. The open-ended responses on measuring community satisfaction, suggest the need for (i) accredited training for staff and community members, (ii) public participation, (iii) building interest in community satisfaction surveys, (iv) using the annual IDP satisfaction surveys and focus group discussions, and (v) conducting feedback on work done in communities;
- Item 5.13: 54% of the respondents had a combined score for readiness. The open-ended responses on operationalising community-building programmes for stakeholders are (i) in order to capacitate stakeholders, (ii) to have youth centres and youth cafés, (iii) to build community cohesion, and (v) to regularly engage stakeholders;

- Item 5.14: 71% of the respondents had a combined score for readiness to utilise participatory methods;
- Item 5.15: 67% of the respondents had a combined score for readiness to work and manage within networks;
- Item 5.16: 74% of the respondents had a combined score for readiness. The open-ended responses on how to implement continuous dialogue with the community, suggests that (i) accredited training and skills development should be applied, (ii) existing networks be utilised, (iii) e-communication with stakeholders be utilised, (iv) pamphlets are distributed to stakeholders, and (v) housing consumer education programmes with feedback be introduced; and
- Item 5.17: 62% of the respondents had a combined score for readiness. The open-ended responses, on dealing with service delivery failure, indicate the need for (i) staff training, (ii) budget contingencies, (iii) forward planning, (iv) building community trust, (v) reducing manipulation by politicians in times of crisis, and (vi) implementing continuous monitoring and evaluation of progress.

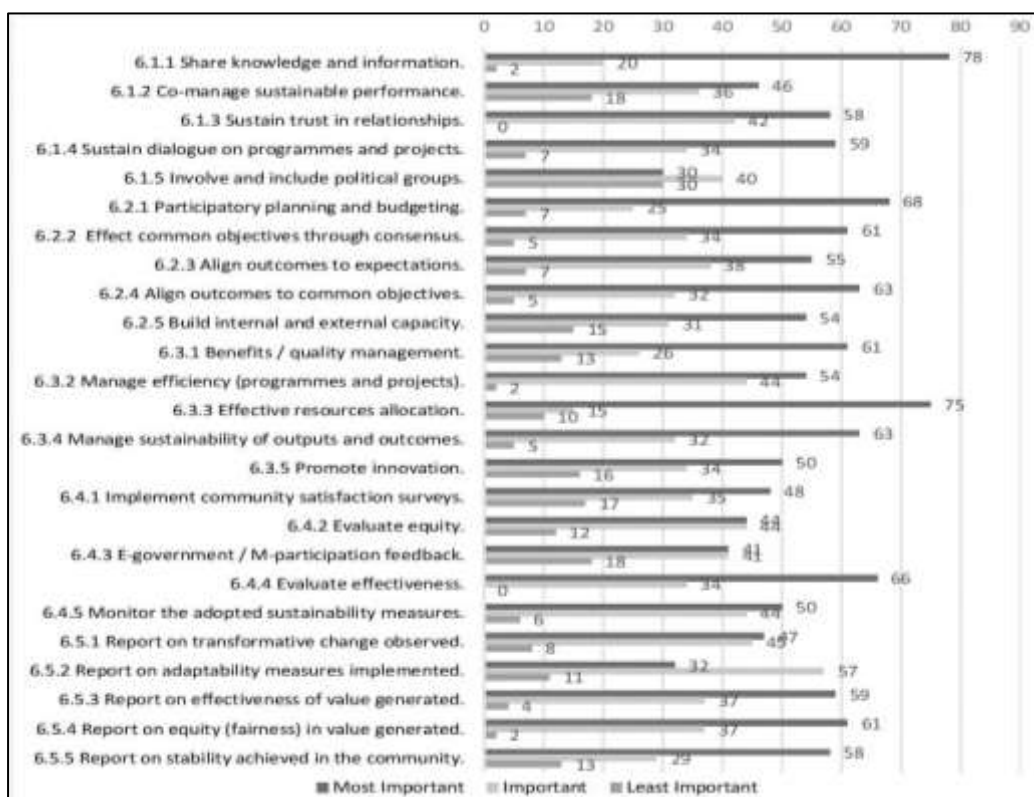
The respondents who were ‘barely and not ready’ held the perception that the municipal structures for stakeholder engagement were not in place and that systematic measurement tools or systems were not in place. Also, that other municipalities were not engaged with stakeholders in any broad and inclusive manner.

### **6.15 Theme 6. IPSS measures for generating PV outputs, outcomes and adaptation in respect of transformation in municipalities**

The purpose of Theme 6 is to examine how senior managers ranked (perceived) the 25 PV-generating statements relevant to the measurement of PV outputs, outcomes and adaptation. Measurability, in this case, is synonymous with effective feedback and reflection, the quantity and quality of deliverables and community satisfaction. The statements were ranked by respondents as ‘Most important, Important and Least important’ for N = 39:

- From Figures 6.10, 6.11 and Table 6.12, one observes overwhelming support for the 25 PV measures, demonstrated by a combined mean of 90% for ‘most important’ and ‘important’;
- A mean of 9.32% was obtained for ‘least’ important on the 25 items provided (Table 6.12);
- Items 6.1.1 - 6.1.5 indicate that knowledge sharing, co-management, trust-building, effective dialogue and the involvement of politicians are utilisable as PV measures. High combined scores (88.6%) were obtained for ‘most’ important and ‘important’ in this regard;

- Items 6.2.1 – 6.2.5 indicate that participatory planning, alignment of outcomes to expectations, common objectives and capacity building regarding PV is supported by a combined score of 91.8% for ‘most’ important and ‘important’;
- Items 6.3.1 - 6.3.5 indicate that quality outputs, efficiency, effective resource allocation, sustainability and innovations are utilisable (or adaptable) as PV measures. A high combined score of 90.6% was obtained for ‘most’ important and ‘important’ in this regard;
- Items 6.4.1 – 6.4.5 indicate that community satisfaction, equity, e-government effectiveness and efficiency, operational and organisational effectiveness and monitoring on sustainable programmes and projects are utilisable as PV measures, which is supported by a combined score of 89.4% for ‘most’ important and ‘important’; and



**Figure 6.10: Results for 25 PV-generating elements (measures) for outputs, outcomes and adaptation (N = 39)**

Source: The author

- Items 6.5.1 - 6.5.5 indicate that respondents regard reporting on small transformative changes observed in the community, adaptability, effectiveness in value creation, equity and community stability, as utilisable PV measures, with 92.4% support (combined score for ‘most important’ and ‘important’).

Table 6.12 provides the means for the rating of the 25 PV measures; 55.2%, the highest mean

score for the ‘most important’ category and 35.5% for the ‘important’ category, i.e. a combined mean of 90.7%. The individual scores for the combined means are illustrated in Figure 6.11, showing a range of scores from 70% - 100%. One may, therefore, deduce support from senior managers for the 25 PV performance measures. The high combined means (in Figure 6.11), indicates that adaptability, collaboration, community engagement and stability elements are utilisable as PV measures (KPIs) in graphs and data sheets.

Item no.	Measures for outputs, outcomes and adaptation	Ranked score
6.1.3	Sustain trust in relationships.	100
6.4.4	Evaluate effectiveness.	100
6.1.1	Knowledge and information sharing.	98
6.3.2	Manage efficiency in programmes and projects.	98
6.5.4	Report on fairness (an element of equity).	98
6.5.3	Report on PV generated.	96
6.2.2	Effect common objectives through consensus.	95
6.2.4	Align outcomes to common objectives.	95
6.3.4	Sustainability of outputs and outcomes.	95
6.4.5	Monitor adopted sustainability measures.	94
6.1.4	Sustain dialogue on programmes and projects.	93
6.2.1	Participatory planning and budgeting.	93
6.2.3	Align outcomes to expectations.	93
6.5.1	Report on transformative change.	92
6.3.3	Effective resources allocation.	90
6.5.2	Report on adaptability.	89
6.4.2	(Holistic) evaluation of equity.	88
6.5.5	Report on stability achieved.	87
6.3.1	Benefits / quality management.	87
6.2.5	Build internal and external capacity	85
6.3.5	Promote innovation.	84
6.4.1	Implement community satisfaction surveys.	83
6.4.3	E-government / M-participation feedback.	82
6.1.2	Co-manage sustainable performance.	82
6.1.5	Involve and include political groups.	70

**Figure 6.11: Ranked scores of combined means for 25 PV measures, derived from Figure 6.10**

Source: The author

**Table 6.12: Statistical analysis for Figures 6.10 and 6.11**

N=39	Most Important	Important	Least Important
Mean	55.2%	35.5%	9.3%
Mode	61%	34%	2% and 7%
Median	56.5%,	34.5%	8%
Range	48%	42%	28%
Lowest	30%	15%	2%
Highest	78%	57%	30%

Source: The author

### **6.16 Theme 7. The examination of 16 IPSS operations and performance-management functions for facilitating effective and efficient PV generation**

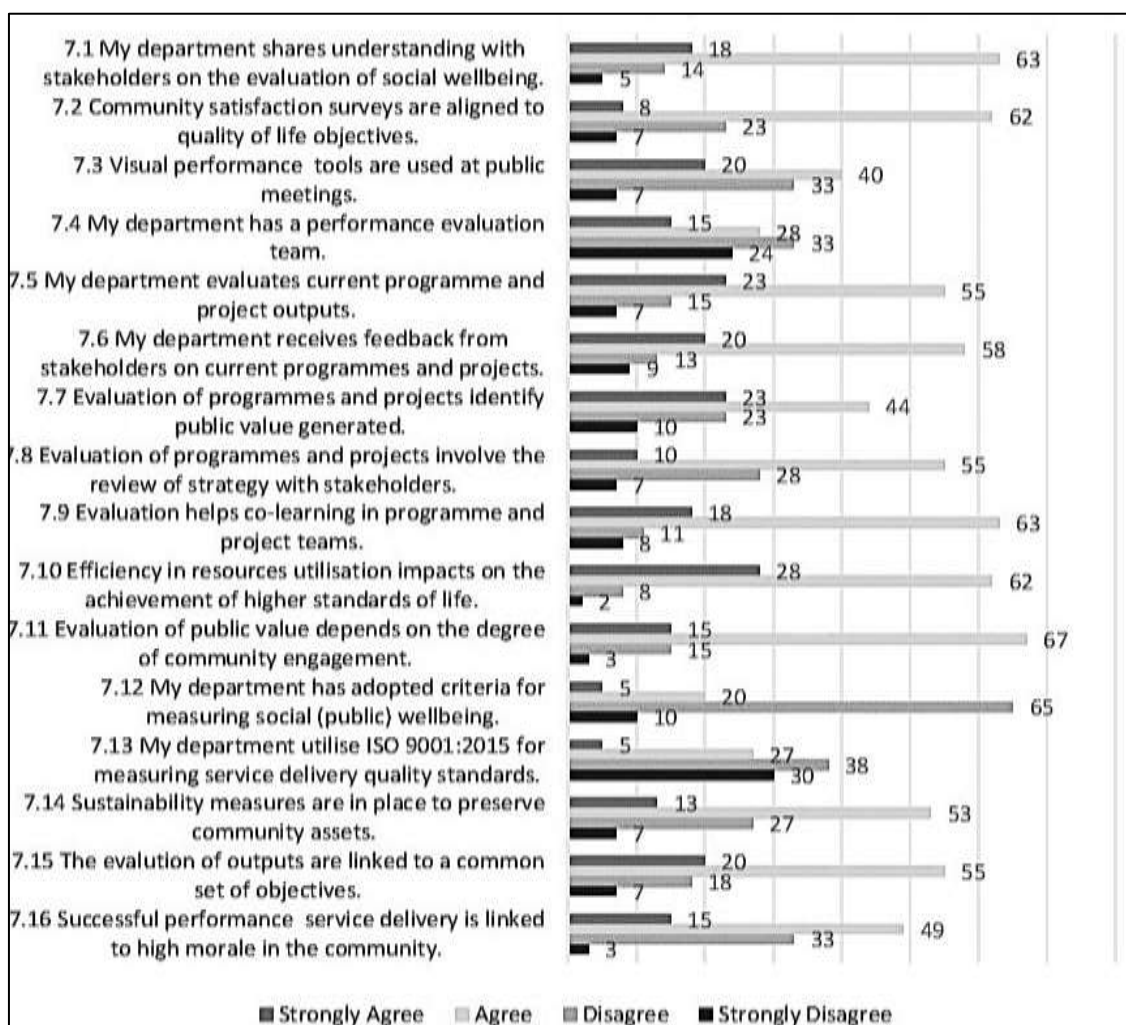
Theme 6 presented IPSS and PV measures (KPIs). Theme 7 presents 16 IPSS operations and performance-management functions for PV generation, feedback, monitoring, visual

performance tools, methods of achieving efficiency and effectiveness, indispensable for IPSS functioning and PV generation. These functions (tools and techniques) serve to advance the attainment of network integration. Theme 7 also determines the extent to which senior managers will adopt the 16 IPSS performance management functions in order to generate PV efficiently and effectively.

A Likert scale with categories 'Strongly agree, Agree, Disagree and Strongly disagree' was utilised (Figures 6.12 and Table 6.13 refers). The following points of analyses were made:

- 13 of the 16 items show that responses in the 'agree' category exceed other categories (Figure 6.12). A mean of 16% is obtained for the 'strongly agree' category and 50% for the 'agree' category (Table 6.13);
- Item 7.1: 81% of respondents perceived that they share an understanding of evaluating social wellbeing with stakeholders. No responses were made to the open-ended question;
- Item 7.2: 70% of the respondents perceive community satisfaction surveys to be aligned to 'quality of life' community objectives. Further examination to establish the facts is required;
- On item 7.3, 60% of the respondents claim that visual performance tools are used in community meetings. A significant number (40%) did not agree. From open-ended responses, the respondents indicated that visual performance tools were not used during public participation meetings and ward committee meetings. While the importance of visual performance tools is recognised by respondents, (i) departmental managers require training in using them, which indicates that an attempt should be made to share knowledge with communities, and (ii) basic civic education is urgently needed as citizens need to understand the application of performance instruments;
- Item 7.4: 43% agree that performance evaluation programmes and project teams are utilised by departments; 57% did not agree. Monitoring and evaluation are not effectively applied in municipalities, given the weakness of departmental performance monitoring teams;
- Item 7.5: 78% of the respondents agree that programme and project evaluation is being implemented in their departments. From open-ended responses, respondents claim that they (i) hold feedback meetings with communities, council standing committees, IDP and SDBIP committees and (ii) financial reporting occurs with no specific (empirical) evaluation process. These responses reveal the omission and shortcomings related to 'periodic' programme and project evaluation, as per IPSS criteria;
- On item 7.6, 78% of respondents agree (perceive) that municipal departments receive feedback from stakeholders involved with programmes and projects. From the open-ended

responses, respondents held that (i) ward committees, public meetings, portfolio committees, community forums, SMSs and e-mails, debriefing meetings, (ii) IDP or NCOP meetings, (iii) ward meetings and beneficiary meetings and (iv) project reports are utilised;



**Figure 6.12: Results for 16 IPSS operations and performance-management functions (tools and techniques) for achieving efficiency, effectiveness and equilibrium of PV generated in communities**

Source: The author

**Table 6.13: Statistical analysis for Figures 6.12**

N=39	Strongly Agree	Agree	Disagree	Strongly Disagree
Mean	16.0%	50%	24.9%	9.1%
Mode	15% and 20%	55%	15% and 33%	7%
Median	16,5%	55%	23%	87%
Range	23%	47%	57%	28%
Lowest	5%	20%	8%	2%
Highest	28%	67%	65%	30%

Source: The author

- On Item 7.7, 67% of respondents agree that PV generated can be quantified (identified) by utilising programme and project evaluation. From the open-ended responses, respondents indicated that PV generated is identified through (i) showing support and agreement for the evaluation of programmes and projects, co-learning and efficient use of resources, (ii) by emphasising quality standards, and (iii) by the outcomes of community meetings. Training on generating, measuring and sustaining PV in communities is required;
- With regard to Item 7.8, 65% of respondents perceived stakeholder teams to review and deliberate on co-strategy on all programmes and projects. While this result is promising for IPSS operativity, it requires ratification in the current municipal setting;
- Item 7.9: 81% of the respondents agreed to the principle of co-learning as it relates to the evaluation of quality standards in programmes and projects delivery. From the open-ended responses, respondents held that such evaluation is achieved through (i) the quality of feedback, (ii) diagnostic analysis and knowledge sharing, (iii) community scrutiny of technical details, regulatory meetings, pilot projects (green agenda for example), waste recycling, on-site sanitation, and (iv) training in operations management;
- Item 7.10: 90% of the respondents agreed that how resources are used impacts on the living standards of citizens; from the open-ended responses respondents held that the efficient use of resources facilitates (i) community participation in critical meetings (technical, planning and regulatory), (ii) empowering community members, (iii) optimal use of resources, and (iv) reduction in inefficiencies (waste);
- On item 7.11, 82% of the respondents agreed to the critical aspect of effective public engagement. The evaluation of PV generation cannot proceed without effective public engagement as these functions are integrated;
- Item 7.12: 75% of the respondents disagree that their departments are evaluating social wellbeing. From observation and informal discussions with respondents, one learns that social (community) wellbeing is not evaluated by municipalities, while NGOs do such evaluations. An IPSS measures social (community) wellbeing as this is systemically necessary for PV generation;
- Item 7.13: 32% of the respondents agreed (68% disagreed) that ISO 9001:2015 was utilised in their departments. Open-ended responses reveal that National Treasury frameworks and guidelines and building control regulations are used as quality standards in municipalities. The quality standards of the ISO are designed for municipal achievement of quality outputs and are comprehensive in the particular promotion of PV generation;



- Item 7.14: 66% of the respondents agree that sustainability measures are operational to preserve community assets. Sustainability measures, applied as a participatory tool, are not operational, since the educational process to support such a claim does not exist;
- Item 7.15: 75% of the respondents perceived that municipal outputs are linked to common objectives. Open responses indicate that the alignment of common objectives to outputs is achieved through (i) monitoring pre-determined objectives contained in the SDBIP and the IDPs, and (ii) performance indicators linked to the strategic focus of the IDP objectives. In essence, respondents do not realise that common objectives imply open and dynamic participation with communities in the monitoring and evaluation of outputs; and
- Item 7.16: 64% of the respondents perceived ‘successful performance’ in service delivery to be aligned to high morale displayed in the community, but 34% disagree. Open-responses indicate that vandalism, lack of information, differences and poor cooperation in political ideology and the poor quality of community satisfaction surveys were constraining factors. Figure 6.12 and Table 6.13 reveal that 64% of the respondents agree and 36% disagree that the 16 PV performance functions are viable for the generation of PV .

The respondents who ‘disagreed’ and ‘strongly disagreed’ held the perception that there was little or no understanding of social wellbeing as an end goal; that visual performance tools were not used; and that ISO ‘standards’ were not utilised other than National Treasury frameworks and guidelines.

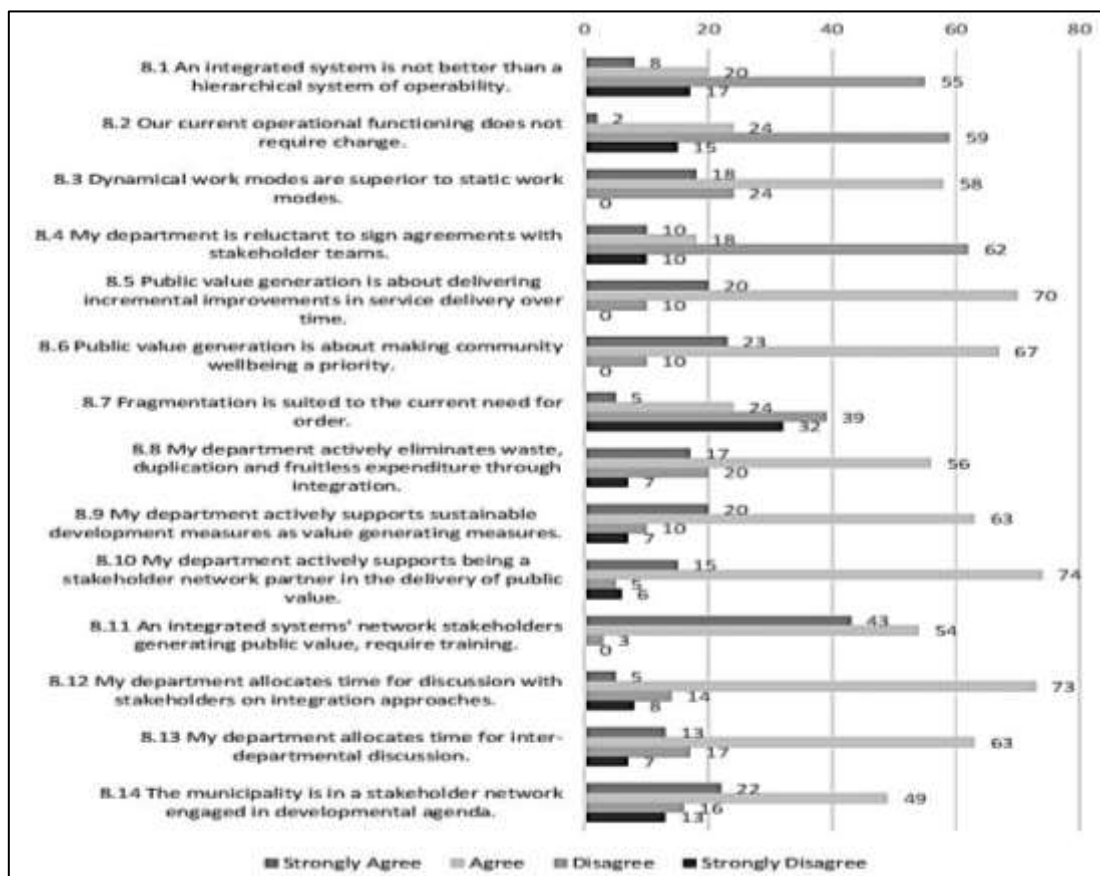
### **6.17 Theme 8. Assessing the feasibility and potentiality for the emergence of an IPSS generating PV in the future**

The purpose of Theme 8 is to elicit responses from senior managers in the housing and community services departments in municipalities on their perception of the feasibility and potentiality of implementing an IPSS generating PV in the future. 14 IPSS statements were analysed (presented in Figure 6.13) and also, ranked statements are presented in Tables 6.15 and 6.17 of IPSS criteria that are employable in shaping future dynamic and interconnected municipalities.

#### **6.17.1 Analysis of the Likert scale data set**

Fourteen (14) Likert scale statements and 10 open-ended questions were included in this section of the questionnaire. The Likert scale utilised 4 scales, viz. ‘Strongly agree’, ‘Agree’, ‘Disagree’ and ‘Strongly disagree’. The results are given in Figure 6.13 and Table 6.14:

- The interpretation of the results reveals a normal distribution for N=40 (Table 6.14);
- For the category of ‘Strongly agree’, a low mean of 16% was achieved; in this category, the range was 2% - 43%; for Item 8.11, 43% held that training was necessary for senior managers when working within an IPSS generating PV, indicated in Figure 6.13;
- 51% of the respondents ‘agreed’ that the criteria are feasible for IPSS emergence. The range was 18% - 74%; given by Item 8.10, 74% indicated that municipal departments tend to be supportive of working within a network with other stakeholders (in Figure 6.13);
- At least 67% (combined means for ‘strongly agree and agree’) show support for the 14 statements, i.e. IPSS feasibility and potential for its emergence;



**Figure 6.13: Analysis for the emergence of an IPSS generating PV in the future**

Source: The author

**Table 6.14: Statistical analysis for Figures 6.13**

N=40	Strongly Agree	Agree	Disagree	Strongly Disagree
Mean	16%	51%	25%	8%
Mode	5% and 20%	24% and 63%	10%	7% and 8%
Median	16%	57%	17%	7,5%
Range	41%	56%	59%	27%
Lowest	2%	18%	3%	0%
Highest	43%	74%	62%	32%

Source: The author

- A significant number (33%) of respondents ‘disagreed’ with the statements in Figure 6.13 as the following items were negatively phrased, which increased the ‘disagree’ category responses. The following items were negatively phrased: 8.1, 8.2, 8.4 and 8.7;
- Item 8.1 reveals that 72% of the respondents were of the perception that an integrated system is better than a hierarchical system. In response to open-ended questions the respondents held that (i) an integrated system was a democratic system best suited to collaboration with stakeholders, (ii) integration diminishes wastage of resources, (iii) ‘silos’ were dysfunctional, (iv) integration allows for community expression and inclusivity, (v) evaluation involving the community was good, and (vi) NGOs bring fresh approaches to projects and programmes;
- Item 8.2 reveals that 74% of the respondents are of the perception that the current system does require change. The statement reveals that respondents seek flexibility, fewer regulations and greater freedom of expression regarding work in communities;
- On Item 8.3, 76% of the respondents preferred dynamic and flexible work modes. In response to open-ended questions, respondents held that dynamic (flexible) work modes are superior to static modes because (i) they are more desirable, (ii) stability, responsiveness, innovation and change are motivating forces, (iii) too much red tape (regulation and bureaucracy) slows work down, and (iv) flexibility encourages innovation;
- On Item 8.4, 28% of the respondents claim that their department is reluctant to sign agreements with stakeholders; however, 72 % of senior managers disagree with this claim. The open-ended responses justify the claim by the 28% of the respondents, because, (i) municipal authority emanates from the full council and not the administrators, as they determine roles, responsibilities, decisions (mandates) that must be approved by council in line with policy and regulations, and (ii) agreements may be (negatively) influenced by politicians;
- On Item 8.5, 90% of the respondents agreed that PV generation was about incremental advancements over time. Respondents’ attitudes display support for IPSS principles;
- On Item 8.6, 90% of the respondents agree that PV generation implies establishing community (social) wellbeing. In open-ended responses, respondents held that generating PV was about making community wellbeing a priority because, (i) PV is about positive social development, building quality of life, a sustainable environment and the curtailment of community unrest, (ii) quality service delivery, quality service to communities are intended to improve wellbeing, and (iii) strategic objectives must focus on the wellbeing of community;

- Item 8.7 revealed that 71% of the respondents believe that fragmentation is not appropriate to meet the need for order (39% disagree and 32% strongly disagreed to a negatively keyed statement). In open-ended responses, respondents held that fragmented work systems (and ‘silo’ departmental arrangements) are suited to the current need for order because (i) they are realistic about the hierarchical system, (ii) adopting integration, cooperation, collaboration, waste reduction, duplication and fruitless spending would challenge the status quo, and (iii) knowledge sharing, collaborative planning and integrated budgeting were seen as attractive work procedures or undertakings in IPSS;
- On Item 8.8, 73% of the respondents claim that their departments actively eliminate waste, duplication and fruitless spending through internal integration. The open-ended responses suggest that training in IPSS utilisation be offered; the open-ended responses suggest that this may be achieved through (i) understanding the value of working with an (integrated) collaborative model, and (ii) shifting the focus from compliance and targets to governance processes and bottom-up policy formulation;
- On Item 8.10, respondents could not provide instances of network support by their departments and hence referred to establishing forums in informal settlements, inter-departmental meetings and multi-disciplinary meetings (not stated with whom).
- On Item 8.11, respondents referred to the executive managers to initiate training in collaboration, integrated systems, overcoming bureaucratic constraints, capacity building and policy relating to systemic change.
- On Item 8.12, 78% of the respondents agreed that in their departments time is allocated for discussion with stakeholders on integration matters; the open-ended responses reveal that respondents held that this is achievable through periodic engagements with stakeholders to plan and evaluate and to hold consultative meetings.;
- On Item 8.13, 76% of the respondents revealed that in their departments time is allocated for interdepartmental meetings, which would add value to integrated service delivery; and
- On Item 8.14, 71% of the respondents perceive the municipality as an equal stakeholder with other stakeholders engaged in implementing a developmental agenda.

One could argue that 67% of the respondents support the 14 statements which reflect IPSS feasibility for future implementation in municipalities. 12 respondents out of 43 completed Item 8.15 (an open-ended question); seven (7) respondents (58.4%) answered ‘yes’ and claimed that (i) information sharing is required, (ii) a collective approach is better for utilising scarce resources, (iii) an IPSS would speed up service delivery, (iv) an IPSS would eliminate

red tape, and (v) and IPSS would encourage accountability. Five respondents (41.6%) opposed this measure and held that (i) government structures are legislated and therefore a non-hierarchical system would not be feasible, (ii) time did not allow for IPSSs (iii) an IPSS requires municipal restructuring, (iv) one could impose a new system upon managers, and (v) all government structures are bureaucratic and therefore IPSS would not be appropriate.

### 6.17.2 Analysis of 5 transformational characteristics applicable to future dynamic and interconnected municipalities (concerning community services)

Theme 8 assesses the feasibility and potentiality for the emergence of an IPSS generating PV in municipalities in the future. Community engagement on such a transformation process would be necessary. For this purpose, respondents were asked to assess the five ‘inputs’ presented in Item 8.16 in the questionnaire. Respondents were asked to rank the 5 statements as ‘Highly desirable’, ‘Desirable’ or ‘Least desirable’ (Tables 6.15 and 6.16 applies, for N = 38):

**Table 6.15: Ranked IPSS statements applicable to future dynamic and interconnected municipalities (concerning community services)**

Transformation criteria concerning the public	Highly desirable	Desirable	Least desirable
8.16.4 A municipality should empower its community.	83%	17%	0%
8.16.3 A responsive municipality.	85%	13%	2%
8.16.1 A participatory system.	61%	34%	5%
8.16.2 Knowledge and information sharing.	61%	32%	7%
8.16.5 Public interactive e-government platforms.	42%	42%	16%

Source: The author

**Table 6.16: Statistical analysis with respect to Table 6.15**

N=38	Highly Desirable	Desirable	Least Desirable
Mean	66,4%	27,6%	6.0%
Mode	61%	-	5%
Median	61%	32%	5%
Range	43%	29%	16%
Lowest	42%	13%	0%
Highest	85%	42%	16%

Source: The author

- Tables 6.15 and 6.16 show significant support for the 5 IPSS ‘inputs’ (Item 8.16) supportive of future transformation through the proposed implementation of an IPSS generating PV;
- The scores reveal that 66.4% of the respondents regarded the 5 transformation inputs as

‘highly desirable’ and 27.6% as ‘desirable’, a combined score of 94%; and

- Item 8.16.5 indicates that 16% of the respondents were not comfortable with sharing interactive e-platforms with the public. 42% found the proposal to be ‘highly’ desirable, while 42% found it ‘desirable’. Respondents were undecided on whether e-platforms exist or not (and what the implications are) in municipalities. For the criterion ‘a responsive municipality’ (Item 8.16.3) the highest score of 85% was in the ‘highly desirable’ category and the lowest score was 13%, in the ‘desirable’ category.

### 6.17.3 Analysis of 5 transformational characteristics applicable to future dynamic and interconnected municipalities (concerning integrated systems)

The purpose of this item analysis is to ascertain senior managements’ approach to deal with integrated systems regarding municipal transformation. Five statements were assessed (Table 6.17) and presented in ranked order of combined means for ‘Highly desirable’ and ‘Desirable’. Table 6.18 indicate means of 58.2%, 33.2% and 8.6% for the categories, where N = 38:

**Table 6.17: Ranked IPSS statements applicable to future dynamic and interconnected municipalities (concerning integrated systems and integration processes)**

Transformation criteria concerning integrated systems	Highly desirable	Desirable	Least desirable
8.17.1 Collaborative governance with stakeholder partners.	74%	21%	5%
8.17.3 New knowledge brought by stakeholders.	49%	46%	5%
8.17.5 Bottom-up innovation and creativity.	56%	39%	5%
8.17.2 Joint stakeholder, citizen and municipal control.	61%	25%	14%
8.17.4 The emergence of operating stakeholder teams.	51%	35%	14%

Source: The author

**Table 6.18: Statistical analysis with respect to Table 6.17**

N=38	Highly Desirable	Desirable	Least Desirable
Mean	58,2%	33,2%	8,6%
Mode	-	-	5,1%
Median	56%	35%	6%
Range	25%	25%	9%
Lowest	49%	21%	5%
Highest	74%	46%	14%

Source: The author

- Table 6.17 shows significant support from respondents for the 5 IPSS statements, relative to the adoption of integration practices regarding municipal transformation in the future;
- Items 8.17.1, 8.17.3 and 8.17.5 reveal 95% support (combined means for ‘highly desirable’

- and ‘desirable’) for collaborative governance, emerging new knowledge and innovation;
- Items 8.17.2 and 8.17. 4 reveal 86% support (combined scores for ‘highly desirable’ and ‘desirable’) for joint stakeholder control and emerging stakeholder teams; and
- Table 6.18 shows 91.4% support (combined means for ‘highly desirable’ and ‘desirable’) for the 5 IPSS statements relevant to integrated systems (IPSS principles).

The respondents who ‘disagreed’ and ‘strongly disagreed’ held the perception that their department is reluctant to sign agreements with stakeholder teams because they are not mandated, have no understanding of integration and that municipalities are too bureaucratic.

### **6.18 Theme 9. Respondents’ willingness to shift from hierarchical to collaborative governance systems in the future**

The purpose of Theme 9 is to indicate the willingness of senior managers to shift from a hierarchical type of governance to collaborative governance practice (or system) in the future.

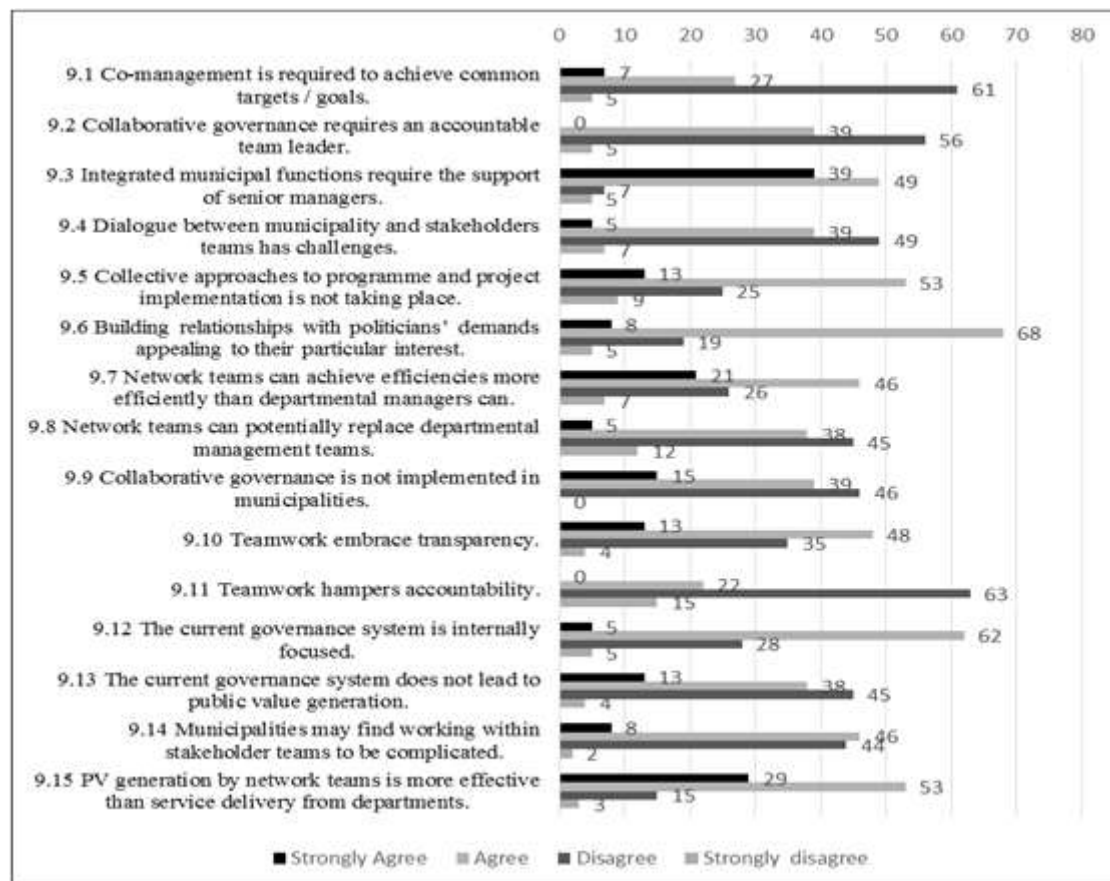
#### **6.18.1 Analysis of shifting from hierarchical governance to collaborative governance**

15 IPSS collaborative governance elements were analysed using a Likert scale, with categories ‘Strongly agree, Agree, Disagree and Strongly disagree’. Figures 6.14 and Table 6.19 provides the statistical information for N = 40, for the 15 statements:

- Respondents expressed low confidence in the statements issued and therefore the ‘strongly agree’ category has a low rating, i.e. an average of 12.1% (Table 6.19);
- Respondents were divided (undecided) on their willingness to adopt a collaborative system of governance in the future, given by a combined mean of 56.6% for 15 IPSS elements in this category (Table 6.19). Only 5.9% ‘strongly disagreed’, indicating the potential for senior managers to be convinced about supporting an IPSS generating PV in the future;
- The combined mean results for the ‘disagree’ and the ‘strongly disagree’ is 43.4%, which is indicative of a low level of support for the 15 collaborative practices (Table 6.19);
- Table 6.19 indicates the range for each category, and reflects the highest and the lowest scores in each category;
- Item 9.1: 66% of the respondents disagreed (5% ‘strongly’ disagreed) that ‘disregard is shown for co-management’, which may be understood as 66% support for co-management among senior managers. Open-ended responses revealed that (i) co-management has not been considered as a municipal function, (ii) senior managers require training in integration

and co-management, (iii) low levels of trust prevail, and (iv) platforms for dialogue with stakeholders require attention;

- Item 9.2, ‘collaborative governance requires an accountable team leader’: 61% of the respondents did not agree, indicating that an ‘accountable team leader’ was not given priority. The question then arises as to who would be accountable (for all matters) in the event of the emergence of collaborative governance in municipalities;



**Figure 6.14: Assessment statements for respondents’ willingness to shift from hierarchical governance to collaborative governance in the future**

Source: The author

**Table 6.19: Statistical analysis with respect to Figure 6.14**

N=40	Strongly Agree	Agree	Disagree	Strongly Disagree
Mean	12.1%	44.5%	37.6%	5.8%
Mode	5% and 13%	39%	45%	5% and 4%
Median	13%	46%	44%	5%
Range	34%	46%	56%	13%
Lowest	5%	22%	7%	2%
Highest	39%	68%	63%	15%

Source: The author

- On Item 9.3, 88% of the respondents perceived a more ‘secure’ arrangement if support for



integrated functions emanated from the top (executive) managers. 12% of the respondents disagreed. Open-ended responses revealed that respondents held that integrated municipal functions require support from senior managers because (i) senior managers can effect change and adopt cooperation, collaboration and integration, and (ii) a champion must be appointed to promote integrated municipal functions;

- Item 9.4, 'Dialogue between the municipality and stakeholders has challenges': 44% agreed and 56% of the respondents disagreed. One may assume that 56% of respondents are biased in the admission that there are no challenges around objectives, planning, management and performance, while 44% of the respondents have a more realistic approach. From the open-ended responses, respondents held that dialogue between municipality, community and stakeholders is problematic because, (i) municipalities are unaware of collaborative governance practices, (ii) dialogue is dominated by self-interest, (iii) platforms for dialogue are not always benefitting the community, (iv) interest groups and politicians interfere, and (v) trust, community empowerment and education is needed;
- On Item 9.5, 66% of the respondents agreed and 34% disagreed that collective approaches to programme and project implementation are not being applied. The open-ended responses indicate that respondents held that collective approaches to programme and project implementation remain the decision of senior management; they add that there is no culture of 'bottom-up' applications and suggested that top management should exercise flexibility;
- On Item 9.6, 76% agree (24% disagree) that in relationships with politicians, the respondents have to appeal to the politicians' particular interests. Awareness of the phenomenon implies that collaborative efforts on programmes and projects will be negatively impacted by politicians' interests if these differ from the stakeholders' interests;
- Regarding Item 9.7, 67% of the respondents agree (33% disagree) that network teams can produce greater efficiencies than departmental managers can. The open-ended responses indicate that (i) resources, skills knowledge and information are used more efficiently as teams take responsibility for being efficient and effective, (ii) monitor and evaluate outputs an outcomes, (iii) can reduced red tape by avoiding hierarchical controls and long waiting periods and (iv) have ready available local knowledge for solutions which are effective;
- Item 9.8: 43% of the respondents agreed that network teams can potentially replace departmental management teams. From the open-ended responses, respondents held that network (stakeholder) teams can potentially replace departmental management teams through (i) establishing balance between department managers and stakeholders, (ii)

appointing an accountable person, and (iii) changing management's mode of operation, i.e. increase collaboration with stakeholders on developmental concerns (issues);

- Item 9.9: 54% of the respondents agree that collaborative governance has not been implemented in municipal departments (46% disagree). The margin of difference is slight and, by implication, respondents are divided on the weighting of the statement. From the open-ended responses, respondents who tend to agree with the statement hold that (i) there is not sufficient buy-in, (ii) departments need to review who their "customers" are (i.e. the need to shift focus from internal to external), and (iii) portfolio committees, transversal management systems and working groups are collaborative means that are in place. 46% of the respondents disagreed with point herein (iv);
- Item 9.10: 61% of the respondents agree that teamwork must embrace transparency. A significant number of respondents (39%) disagree, motivated by the statements made in the open-ended responses, which are that (i) transparency is not easily achieved, (ii) transparency is driven by the values of the organisation, not teamwork, and (iii) because transparency is legislated but not practised, the teams must ensure openness themselves;
- Item 9.11: 22% of the respondents held that 'teamwork hampered accountability' and 78% held the opposite view. In open-ended responses respondents explained that (i) teamwork strengthens accountability, (ii) since the implementation of Standard Chart of Accounts (SCOA), teams have been more accountable, (iii) total trust is synonymous with accountability, (iv) teamwork ensures there are no hidden agendas, (v) teamwork inhibits the shifting of blame, and (vi) teamwork inhibits politicians from representing themselves as the voice of the community;
- Item 9.12: 67% of the respondents agreed that the current governance system is internally focused. However, 33% do not agree with this statement. From the open-ended responses, respondents held that (i) skills and capacity development are geared to achieve internal systemic advantages, and (ii) communities are often consulted after decisions have already been made, as the current system does not favour integration because the focus is primarily on compliance. Respondents who do not agree with the statement hold that governance does extend to the community level;
- Item 9.13: 51% of the respondents agree with the statement that 'the current governance system does not lead to PV generation'; 49% of the respondents are of the opinion that the current governance system does produce or generate PV. The researcher holds that this division exemplifies the real situation in municipalities. In terms of the overall analysis for the 15 statements, 56.6% of the respondents agree and 43.4% disagree (Table 6.19). One

may deduce that in respect of respondent willingness to support collaborative governance, there will be a similar split in opinion, which is exemplified by the median;

- Item 9.14: 54% of the respondents agree with the statement that municipalities will find it complicated to work with stakeholder teams. 46% of the respondents disagree. One may argue that nearly half of the respondents felt that the municipality will work well with stakeholders. From the open-ended responses one learns that (i) networks enhance and strengthen collaborative efforts, (ii) people do not like to deal with complexity and complicated matters, (iii) municipalities are overregulated and do not encourage innovation, (iv) municipalities work with diverse communities, hence complications may arise because of the diverse needs within a community, and (v) municipalities can utilise creative means of doing business (collaboration) with stakeholders; and
- Item 9.15: 82% of the respondents hold that PV generation by IPSS stakeholder teams is more effective than services delivered by departments. From the open-ended responses, respondents held that PV generation by network teams is more effective than when it is generated by individual departments because (i) working in silos has never been successful in generating PV, (ii) network teams represent departments and community organisations, (iii) there is a need for cooperation, coordination and collaboration, (iv) communities do not trust the municipality, and (v) network teams provide holistic development. Some respondents considered ‘large network’ teams to be problematic or difficult to control.

9.16 is an open-ended question. Respondents’ perceptions on implementing a non-hierarchical, self-managing, integrated, stakeholder-driven municipal environment. Respondents held that (i) co-management and self-management are not possible without a legislative and political environment for it, (ii) an integrated, stakeholder-driven municipal environment is a ‘pipe dream’, (iii) it is idealistic and not suitable for the present municipal system, (iv) hierarchy is always required to an extent, but greater involvement of stakeholders will improve efficiency regarding resource utilisation and effectiveness in problem-solving and community development, (v) municipalities are not ready for self-managing teams as they lack the necessary levels of trust, (vi) responsibility and responsiveness must be demonstrated, (vii) the public should have a voice, and (viii) a champion for implementing an IPSS is needed.

The respondents who ‘disagreed’ and ‘strongly disagreed’ held the perception that managers would not support discursive and deliberative dialogue in an open forum; they shift the blame;

respondents perceive hierarchy as required to an extent, but greater involvement of stakeholders ‘could’ improve efficiency regarding resources utilisation, effectiveness in problem solving and community development. Respondents believe that an IPSS will not work.

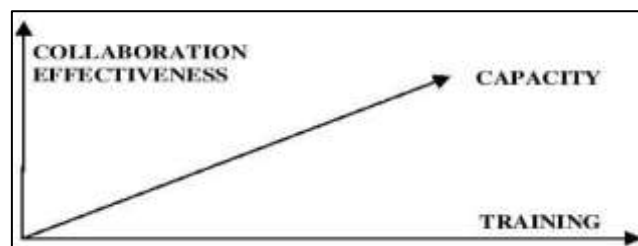
### 6.18.2 Training needs for developing internal and external capacity in respect of shifting from hierarchical governance to collaborative governance practice

Figure 6.15 describes the next two sections of the analysis of Theme 9, i.e. assessing the respondents’ perception of capacity building regarding collaborative governance in terms of building (i) internal capacity within the municipality and (ii) external capacity to deal effectively with stakeholders. Collaborative governance becomes appropriate when a shift is made from hierarchical governance to collaborative governance; such a paradigm shift creates balance in the type of governance applied in municipalities.



**Figure 6.15: Training needs schema for building internal and external capacity**  
Source: The author

Figure 6.16 demonstrates the relationship between the collaborative governance capacity building, effective collaboration, and training to improve capacity and maturity in performance over time. These components facilitate collaborative governance in practice.



**Figure 6.16: Collaboration effectiveness, training and capacity building**  
Source: The author

#### 6.18.2.1 Training needs for developing internal capacity in respect of practising collaborative governance in the future

In this section, the purpose is to examine the perceptions of respondents with regard to training needs for building internal capacity regarding collaborative governance. Internal capacity, required by senior managers to implement collaborative governance principles between

departments and individuals in a municipality, is comprised of (i) the acquisition of knowledge, skill and ability to perform (capacity) and (ii) mature skills, experience and expertise.

Table 6.20 reveals the ranked scores for 10 statements (Items 9.17 and 9.18) relative to the adoption of training in collaborative governance in municipalities (N = 35). The statements were ranked according to ‘Highly needed’, ‘Needed’ and ‘Least needed’; the means for the 3 categories were 55.2%, 47.6% and 7.2% respectively. 92.8 of the respondents supported the 10 statements regarding training in the field of collaborative governance.

**Table 6.20: Ranked scores for training needs for developing internal capacity in respect of collaborative governance (N = 35)**

Item No.	Questionnaire items on training in collaborative governance practice	Highly Needed	Needed	Least Needed
9.18.1	How to attain consensus in networks.	50%	50 %	-
9.18.2	How to manage feedback.	55%	45%	-
9.18.3	How to build trust between stakeholders.	80%	18%	2%
9.17.1	Comprehending local government knowledge.	71%	26%	3%
9.17.4	Co-management in networks.	39%	58%	3%
9.17.5	Comprehension of collaborative and networked governance.	50%	43%	7%
9.18.4	How to share information and knowledge.	46%	46%	8%
9.17.2	Being responsive and responsible.	58%	32%	10%
9.18.5	How to share and cost resources	53%	37%	10%
9.17.3	Negotiation skills requirements.	57%	32%	11%

Source: The author

Items 9.18.1 and 9.18.2: attaining consensus and managing feedback are the most prominent training areas which were completely supported, indicated by a combined score of 100% for ‘highly needed’ and ‘needed’ categories. This is followed by 9.18.3, 9.17.1 and 9.17.4 with combined scores for ‘highly needed’ and ‘needed’ of 98% for building trust between stakeholders, 97% for knowledge of local government and 97% for supporting co-management in networks. Scores for Items 9.17.5, 9.18.4, 9.17.2, 9.18.5, 9.17.3 have combined means for ‘highly needed’ and ‘needed’ ranging between 89% - 93%, which one may consider to reflect highly needed training areas in collaborative governance. As the scores are extremely high (92.8%) in favour of training to build internal capacity in collaborative governance, one can deduce with confidence that respondents will not be opposed to training in collaborative governance with regard to municipal (systemic) transformation in the future.

### 6.18.2.2 Training needs for developing external capacity in respect of practising collaborative governance in the future

In this section, the purpose is to examine the perceptions of respondents with regard to training needs for building external capacity regarding collaborative governance. External capacity is required by officials to implement collaborative governance practice between a municipality and its stakeholders (inclusive of the community).

Capacity building training in collaborative governance enhances skills to facilitate engagement with external actors regarding flexibility, dependability, collaboration, adaptability and quality assurance in PV generation. Table 6.21 shows the ranked scores for 10 statements (Items 9.19 and 9.20) relative to the adoption of training in collaborative governance in municipalities,

**Table 6.21: Ranked scores for training needs for developing external capacity in respect of collaborative governance (N = 37)**

Item No.	Questionnaire items on training in collaborative governance practice	Highly Needed	Needed	Least Needed
9.20.2	How to build strong networks.	59%	38%	3%
9.19.5	Sustaining public value outcomes.	58%	39%	3%
9.19.3	Public engagement skills (relationship building).	58%	38%	4%
9.19.2	Comprehension of quality standards.	59%	35%	6%
9.20.1	How to sustain community development.	62%	30%	8%
9.19.1	Comprehension of social wellbeing.	42%	50%	8%
9.20.5	How to deal with network problems as they arise.	54%	34%	12%
9.19.4	How to use feedback effectively.	61%	26%	13%
9.20.3	Learning interpersonal skills.	47%	39%	14%
9.20.4	Workshops on responsibility and responsiveness.	56%	28%	16%

Source: The author

The statements were ranked according to ‘Highly needed’, ‘Needed’ and ‘Least needed’; the means for the 3 categories were 55.5%, 35.7% and 8.8% respectively. Ninety-one point two per cent (91.2%) of the respondents were supportive of the 10 statements regarding training in collaborative governance:

- Respondents hold that 9.20.2 and 9.19.5 are the top 2 training needs in relation to building external capacity in collaborative governance, i.e. building networks and sustaining PV outcomes. The combined mean for these 2 items is 97%;
- 9.19.3, 9.19.2 and 9.20.1 are the next 3 top training needs with a combined means of 95%, indicating the need for training in public engagement, quality standards and sustainable development; and

- The two lowest scores have combined means of 84% and 86% for training in interpersonal skills, responsibility and responsiveness. One may deduce from Table 6.21 that respondents perceive the need for training in external capacity as highly significant to their future in municipalities, as it relates to ‘pending’ future municipal transformation.

### **6.19 Commonly recurring points raised by respondents**

The researcher observed genuine levels of motivation among respondents concerning their future in housing delivery and community services, such as persistence in finding solutions, delivering quality services and promoting community engagement. Owing to this approach to perform well, other points raised by respondents concern the following issues:

- Municipalities are silo oriented;
- Thusong Centres are good venues for regeneration programmes and civic education;
- More explanation and knowledge transfer regarding PV is needed; and
- E-government and M-participation are lacking but are not regarded as a priority.

Closely related to the above concerns are (i) operationalising collaborative units and collaborative meetings with primary stakeholders in housing delivery and community services, (ii) operating in networks, (iii) knowledge sharing, and (iv) nonlinear integration.

This concludes the analysis and interpretation of the questionnaire. The next section deals with qualitative IPSS and PV aspects obtained from the semi-structured interviews conducted at the Western Cape Provincial Government and the City of Cape Town (CCT).

### **6.20 Semi-structured interviews with senior managers in the Western Cape Provincial Government Department of Human Settlements (DHS) and the City of Cape Town’s (CCTs) Transport and Urban Development Authority (TDA)**

The following qualitative analysis is based on the semi-structured interviews held with senior managers in the Western Cape Provincial Government’s DHS and the CCT’s Transport and Urban Development Authority (TDA). This body of knowledge will be supplementary to the above quantitative study in providing a comprehensive understanding of the context of the IPSS (and IPSS clusters) generating PV. To accomplish this task, interviews were held with Adriaanse, Smith, Samson and Mahomed (November 2017). At the CCT, interviews were held with Ferreira, Crous and Goodwin (November 2017), Dyiki (December 2017) and Mandlana

(January 2018). The interview dates and transcripts are recorded in Annexure D.

### **6.20.1 Purpose of the semi-structured interviews held at the Western Cape Provincial Government's Department of Human Settlements (DHS)**

In order to improve understanding of the IPSS and PV real-world context, (indicated in 6.20.3), semi-structured interviews with senior managers at the DHS became necessary in order to gain insight into their facilitatory (collaborative) role in integration regarding housing delivery and community services, as it pertains to municipal outputs and outcomes.

### **6.20.2 Purpose of semi-structured interviews held at the City of Cape Town's (CCT) Transport and Urban Development Authority (TDA)**

In order to improve the understanding of the IPSS and PV (real-world) contextual demands (indicated in 6.20.3), semi-structured interviews were held with senior managers in the CCT's Area Based Service Delivery Directorate, responsible for housing delivery (human settlements) and maintenance. The researcher's aim was to understand the provisions for housing delivery in the newly structured Organisational Development Transformation Plan (ODTP) and Cape Town Transit Oriented Development (TOD) strategic framework introduced late in 2016. Departments at the CCT were renamed in order to reflect the new organisational arrangement which favoured transformation, transversal management, integration, ending silos, achieving customer-centricity and governance reform, as claimed by the CCT (CCT 2017:30-31). The Social Services Directorate is responsible for the delivery of community services.

### **6.20.3 Summary of findings from semi-structured interviews**

The five questions listed below were e-mailed to interviewees at the Western Cape province DHS and the CCT prior to the interviews (2017 – 2018) and were fully addressed at the interview. All interviewees were given the same set of questions for the purpose of reliability, objective comparison and content validity. The comprehensive transcripts are contained in Annexure D, with unrelated data omitted. A synopsis of the key issues are provided below.

**Question 1:** Does the Western Cape province DHS, private housing agencies and the TDA have a common set of objectives with communities? How were these formulated?

The interviewees (2017 – 2018) stated that public participation is outsourced to consultancies, hence the Cape Town Community Housing Company does not assume this responsibility. The



DHS indicated that they have public meetings prior to the allocation of land but rely on the municipalities' Integrated Development Plan (IDP) and Service Delivery Budget Implementation Plans (SDBIP) at community meetings held annually. The DHS and the TDA are not directly responsible for community engagement and common objectives are not formulated with communities (2018). While community inputs to the IDPs are done by the authorities, the frequency of the task is about once or twice per annum and occurs without deliberative dialogue (intensive engagement).

**Question 2:** What participatory method(s) do you use (such as community empowerment through civic education) to give communities the opportunity to voice their desires, needs and expectations?

Interviewees (2017 – 2018) referred to the IDP and the SDBIP as vehicles which record the needs and expectations of communities. This process did not include thorough preparation nor thorough debate. The interviewer learned that community meetings are held regularly, organised by the municipalities, and ward committees. Community engagement is not included in the TDA's strategic focus areas nor in the 11 strategic priorities (as yet) and the CCT is in the process of implementing community engagement. Municipal spatial development, therefore, occurs (currently) without community involvement. The non-existence of civic education in communities was confirmed.

**Question 3:** Who are your stakeholders in the housing delivery process and what methods (such as networks) are you using to collaborate and integrate tasks with your stakeholders?

Interviewees (2017 – 2018) at the DHS and the TDA, could not be decisive in answering on stakeholder management, organisation, network usage and feedback. It was affirmed to the interviewer that the community is not regarded as a stakeholder, but meetings with the community are held separately; also, stakeholders sometimes attend community meetings. Stakeholders were regarded as service providers, therefore not involved in a developmental role. Interviewees reflected on vertical and horizontal (linear) integration. Integration (as defined in terms of organisational networks, chapter 2) was not being implemented; interviewees could not provide 'integration-related' work examples or experiences, documents (or reports), nor could they identify projects or programmes where stakeholder relationships and work modes are formalised in terms of an integration or collaboration framework. Integration 'work' did not include communities; integration with community engagement is not visible and clearly stated objectives could not be identified. Collaboration with stakeholders

(including communities) does not involve operating in networks where network technology and measurement may be identified. The TDA is responsible for social housing delivery and management, while the Social Services Directorate is responsible for community services. The researcher could not identify reports (or accountable officials) on how these directorates collaborate and integrate (or measure performance) as actual programme details were not located with the officials interviewed (2017 – 2018). The TDA argues that they are ‘new’, having started in 2017 and that departments (for new social housing) are being organised.

**Question 4:** Can you provide documents (reports) regarding the methodology you employed to effect transformation relative to the ODTP?

Interviewees (2017 – 2018) provided a hierarchical organogram (Annexure D) of the ODTP transformation, but could not answer to how transformation and integration would be effected. Interviewees did, however, state that it was not easy to see what has actually been transformed and mentioned how ‘distanced’ they (the senior managers) are from the ‘top’ decision-makers.

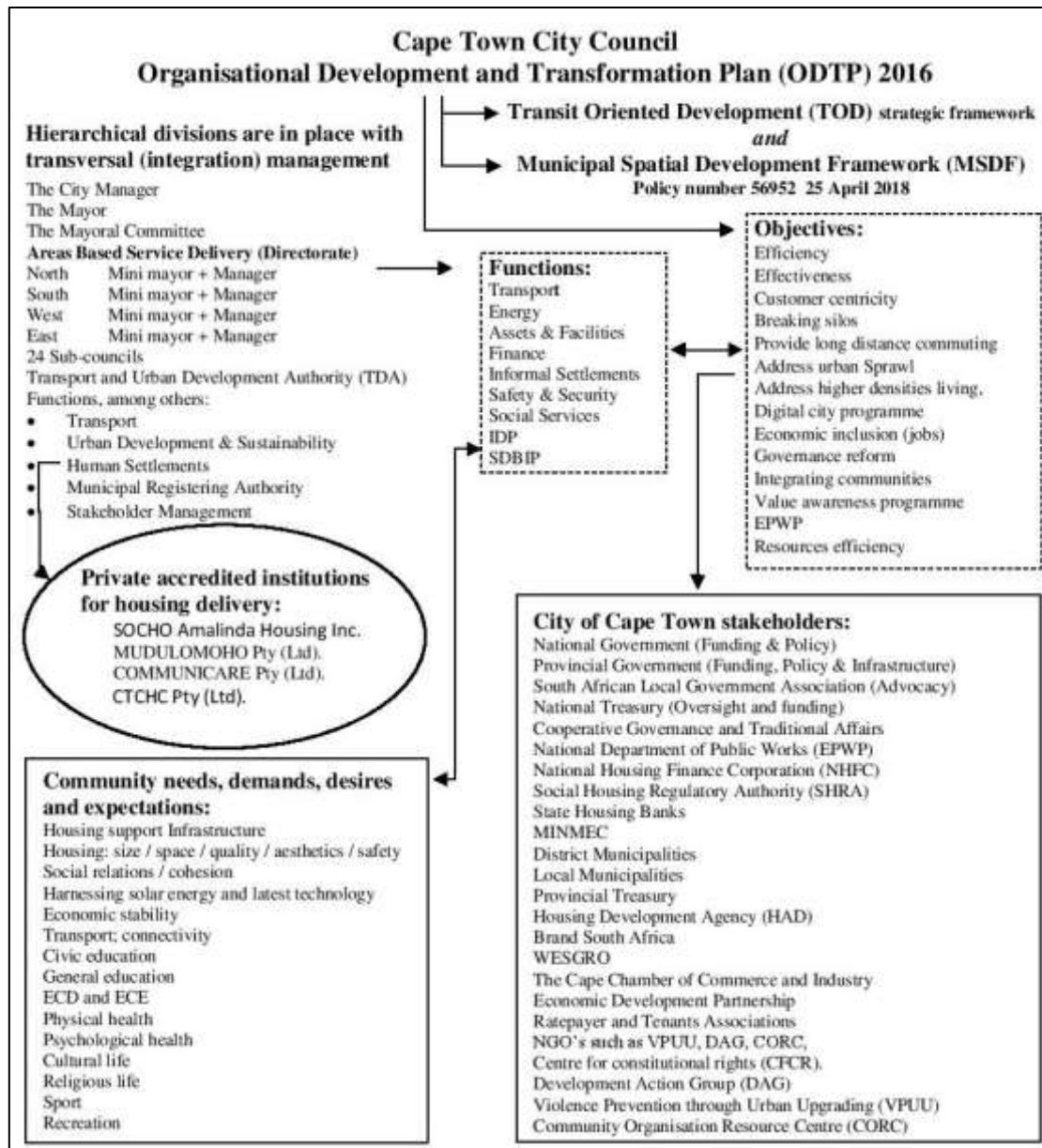
**Question 5:** How are citizens’ needs satisfied regarding housing delivery and community services?

Interviewees (2017 – 2018) could not provide precise accounts of performance reports but referred the interviewer to the TOD documents online. The researcher could not obtain objective opinions, performance reports or community satisfaction survey analysis and reports from the interviewees. The researcher learned from a discussion with interviewees that community satisfaction surveys are not project- and programme-specific and does not relate community-specific problems, integration challenges or achievements pertaining to wellbeing. The researcher could not locate analysis of the annual community satisfaction surveys in the annual municipal IDP report (CCT 2017).

#### **6.20.4 Structure and functioning of the City of Cape Town’s ODTP**

The purpose of this section is to highlight the researchers’ experience of inquiry into ‘transversal management’ and ‘transformation’ as interpreted by the CCT’s Five-Year Integrated Development Plan (CCT 2017:30-31). The researcher found that (i) the hierarchical arrangements were not ‘transformed’, (ii) the Area Based Service Delivery Directorate could not provide clarity on integration planning, process or measurement, and (iii) lines of communication between the organisational entities (departments) remained opaque as there are

no clear ‘open’ means for effective communication with top-level managers in the hierarchy by lower-level managers, in terms of the ‘transformation’ process or model (Crous and Goodwin 2017:Interview). Further research is required into the CCT’s ‘transformation’ process regarding its operativity and integration process.



**Figure 6.17: Researchers’ assessment of the status of the ODTP: Structure and function for a rudimentary network schema for housing and community services**

Source: The author

The CCT’s Area Based Service Delivery Directorate is responsible for the administrative transformation of its departments through the implementation of the ODTP (2016). The functional arm of the ODTP is the TDA, which is responsible for the implementation of the Transit-Oriented Development (TOD) strategic framework. The Social Services Directorate

responsible for community services outputs is a separate directorate. Figure 6.17 illustrates the structures and functioning of the ODTP

From Figure 6.17, one observes that integration, i.e. the ‘transversal approach’, is delivered by the TOD strategic framework which is aligned to the Metropolitan Spatial Development Framework (MSDF). Six functional areas need to be effectively integrated under the TOD and the MSDF: (i) the top-level political and administrative managers of the ODTP, (ii) the four area divisions of the Areas Based Service Delivery Directorate and their 24 sub-councils, (iii) the five TDA departments, (iv) the private accredited institutions for housing delivery, (v) the community, and (vi) the stakeholders known to the TDA (CCT 2017:30-31).

### 6.21 Presentation of the qualitative and quantitative findings

The summary of findings of the (extensive) study is presented in Table 6.22. Questionnaire analysis, open-ended responses, observation and information from interviews are contained in the findings, i.e. the salient points of the study.

**Table 6.22: Findings on the qualitative and quantitative research regarding the management of an IPSS and PV generation in 15 Western Cape province municipalities**

<p><b>Data collection:</b> The findings are based on 43 questionnaires returned from 15 participating municipalities. The questionnaire contained 9 themes with open-ended questions; 8 semi-structured interviews were conducted and observations were made.</p>
<p><b>Theme 1. Details concerning the unit of analysis, i.e. senior managers, where N = 43:</b></p> <ul style="list-style-type: none"> <li>• 42% are located in housing, 25.5% in community development and 32.5% work across both departments;</li> <li>• 86% senior managers had more than 5 years’ experience and 14% had between 2 and 5 years’ experience;</li> <li>• 74% - 91% of senior managers performed skilled operational managerial functions;</li> <li>• Between 15% and 23% of senior managers are improving their qualifications;</li> <li>• Between 9% and 81% of senior managers perform IPSS and PV-generating functions;</li> <li>• Only 9% of respondents perceived the HR Department to be proactive in public participation training;</li> <li>• One third (33%) of senior managers perceive collaboration to be a neglected mode of operation; 7% believe that it is discouraged and 53% perceive the advantages of this to be well known among top managers;</li> <li>• Respondents attained a mean score of 51% (‘most needed’) and 34% (‘needed’), i.e. combined score of 85% on assessing 8 IPSS and PV-generation-related capacity-building focus areas (Table 6.3);</li> <li>• 50.1% of senior managers perceived that political factors impacted negatively on service delivery; 32.4% perceived ‘some’ negative impact and less than 25% perceived no impact at all. Politicians and senior managers require training and capacity building in political astuteness (Table 6.4);and</li> <li>• 40.1% of senior managers were ‘most familiar’ with local government legislation; 40.3% expressed familiarity and 19.6% were ‘least’ familiar with local government legislation. Senior managers and politicians require training and capacity building in local government legislation, in particular, the White Paper on Local Government (RSA 1998a) (Table 6.5).</li> </ul>
<p><b>Theme 2. Senior management’s approach to collaboration and integration regarding PV generation, where N = 40:</b></p> <p>Findings show that respondents adopted a positive approach towards the basic elements necessary for IPSS feasibility and PV generation:</p> <ul style="list-style-type: none"> <li>• 57.5% of senior managers accepted the IPSS approach to collaboration and integration as it relates to PV generation; 93% supported the right of access to information by stakeholders; 90% held the belief that</li> </ul>

communities preferred integrated systems and 83% perceived collaborative governance to be in the public interest (Figure 6.3);

- The combined means for ‘always’ and ‘sometimes’ for 20 IPSS functions 2.18 to 2.37 (Figure 6.4) indicating senior managers’ support for integration, collaboration, collaborative governance and PV generation was 77.6%. 93% of the respondents supported the adoption of a feedback process; 90% of the respondents were of the opinion that (i) they actively improve communication between the municipality and stakeholders and (ii) they do monitor for quality in services delivered. Senior managers perceived adopting common goals with stakeholders (82%) and improving community engagement (91%) as important collaborative tasks (Figure 6.4);
- Budget contingencies, lack of managerial skills, lack of internal capacity and negotiation with politicians were prominent constraints;
- Formulating common objectives (and common vision) with communities does not occur;
- According to senior managers, feedback to stakeholders required additional resources and training;
- Respondents held that their public participation methods required improvement;
- 84% of the senior managers held strongly that community objectives will not ‘clash’ with municipal objectives; and
- Senior managers were divided in their opinions on whether integration (on programmes and projects) between the municipality and the community is weak; 49% held that it was weak and 51% held that it is not. The result indicates that public engagement with stakeholders can be improved if it is made a special area of focus.

**Theme 3. Senior Managers’ actual experience of collaboration, integration, collaborative governance and PV generation (as IPSS operational functions) in their municipalities, N = 43:**

- The combined means for the 15 IPSS items (functions) rated by senior managers as ‘highly important’ and ‘important’ was 75.4%. Only 5.9% of senior managers found the items to be of ‘least’ importance;
- 10 of the 15 functions were ranked as ‘highly important’ priorities (Figure 6.5 and Table 6.6);
- For 10 items (functions) given in Table 6.6, the combined means ranged between 71% and 86%. These IPSS functions were (i) building networks with stakeholders, (ii) empowering stakeholders to engage with the municipality, (iii) encourage participatory engagements, (iv) efficient and effective use of resources, (v) adoption of integrated strategies between stakeholders, (vi) use of digitalisation as means for communication and feedback, (vii) generating PV, and (viii) managing complexity collaboratively;
- Other prominent IPSS factors supported were (i) holistic regard for programme and project design, (ii) network management, (iii) consensus among stakeholders, (iv) working with common objectives, and (v) listening to the community voice; and
- The open-ended responses reflected a need for clarity regarding (i) public participation on the Integrated Development Plan (IDP) and the Service Delivery Budget Implementation Plan (SDBIP), (ii) public engagement, and (iii) value-for-money interests and return on investment (ROI). Respondents perceive their ‘activities’ with the Western Cape Provincial Government to be an example of ‘integration’. Training and capacity building are required to clarify the IPSS concept of ‘integration’.

**Theme 4. Senior managers’ perceptions of 15 PV statements were elicited, where N = 41:**

- Items 4.1 to 4.15 are PV-related elements which aim to enhance community wellbeing through PV generation. 27% of senior managers strongly agreed and 47% agreed, i.e. a combined mean of 74%. The 15 PV statements were credible as PV-generating catalysts to enhance community building. Some of these PV items were shared values, common agenda and objectives, co-strategy formulation with stakeholders, transparency, accountability, relationship ‘trust’ building and evaluating sustainability outputs (Figure 6.6);
- Attention should be given to the slow pace of transformation regarding the low capacity of infrastructure, understanding community engagement, training in sustainability, ratification of ISO 9001:2015, innovation in respect of community development;
- 31% strongly agreed and 45% agreed (76% combined) that departmental business plans must include community needs and expectations, i.e. stakeholder IPSS ‘common’ objectives. In the open-ended comments, senior managers stated that their department does not utilise ‘departmental business plans’;
- Senior managers ranked 10 PV items concerning PV generation: results reflected a range between 83% - 97% acceptance of the 10 PV statements as ‘appropriate’ for community building, which are from the highest to the lowest: public participation training workshops, shared values and vision, efficient and effective service delivery, formulating community expectations, reaching consensus on sustainability functions, municipal ‘in-house’ training on public engagement, access to information and establishing commonalities with stakeholders, negotiation with stakeholders, community safety and security surveys, and initiating e-governance for feedback (Tables 6.9 and 6.10); and
- The open-ended responses to the how and why questions were supportive of (i) a shared vision, trust-building and common objectives with stakeholders, (ii) the held belief that increased migration of people

into cities and towns places a burden on ageing and existing infrastructure, (iii) the held belief that internal capacity in respect of sustainability measures are relative to a lack of understanding and a lack of resources, (iv) innovation as generated from the bottom-up to secure sustainability partners, i.e. the community and (v) the view that departmental business plans should reflect 'proposed' integration measures with stakeholders.

**Theme 5: Senior managers' readiness to engage with stakeholders in promoting PV generation, where N = 42:**

- 22.8% of senior managers indicated that they were quite ready, while 52.7% held that they were ready (75.5% combined); the issues regarding senior managers' 'readiness' involved building trust with stakeholders, information sharing, adopting participatory methods for work and budgeting, implementing feedback mechanisms, building enabling environments, co-management, implementing common objectives and strategies, and ultimately measuring PV generated (Figure 6.9 and Table 6.11). 15.4% were barely ready and 9.1% were not ready to collaborate with stakeholders to promote IPSS and PV objectives as stated. 2% -24% of the senior managers indicated 'not ready' to work within and IPSS paradigm. One reason put forward for the 'not ready' position was that the IDP was already performing these tasks; 17% held that they were not ready to deal with service delivery failure, while 24% stated that the municipality was not ready for digitisation, i.e. external platforms and e-participation; and
- The open-ended responses were in favour of transformation, i.e. utilising the elements of trust-building between stakeholders, sharing information, stimulating public engagement and enhancing public participation, working with common objectives, e-government platforms and establishing common dialogue between stakeholders. Senior managers alluded to the need for skills development, capacity building for staff, fewer budgetary constraints, and effective monitoring and development.

**Theme 6. 25 IPSS measures for PV outputs, outcomes and adaptation, where N = 39:**

- 25 PV measures for outputs, outcomes and adaptation were assessed and ranked (Figures 6.10 and 6.11);
- 55.2% of the senior managers regarded the ranked measures as 'most important', 35.5% as 'important' and 9.3% as 'least important', revealing 90.7% support for the 25 PV measures;
- On the involvement and inclusion of political groups, 30% regarded the measure as 'most' important, 40% as 'important' and 30% as 'least' important. While the majority (70%) acknowledge political involvement as critical to programme and project success, 30% of the senior managers hold that the presence of politicians does not have an impact on the outcome of public participation meetings;
- All the senior managers agreed to accord 100% importance to (i) sustaining trust between stakeholders and (ii) utilising 'effectiveness' as a measure;
- On the assessment of sustaining dialogue as a PV measure, 93% found the measure 'most' important and 'important' (combined) and 7% found the measure to be 'least' important;
- On the assessment of equity as a PV measure, 88% found the measure 'most' important and 'important' (combined score) and 12% found it to be 'least' important;
- On the assessment of e-government (digitisation) as a PV measure, 82% found the measure 'most' important and 'important' (combined) and 18% found the measure to be 'least' important;
- 78% of the senior managers were of the opinion that sharing knowledge and information with stakeholders was 'most important'; 20% found it 'important' and 2% 'least important' (Figure 6.11); and
- On the assessment of 'adaptability' as a PV measure, 32% found the measure 'most' important, 57% 'important' and 11% found the measure 'least' important. Measuring 'adaptability' has not been introduced in municipalities and to stakeholders.

**Theme 7. 16 IPSS performance-management functions related to the efficient and effective delivery of services (PV) to communities, where N = 39:**

- 15.5% of the senior managers 'strongly agreed' and 50% 'agreed' (a combined score of 65.5%) that the performance-management functions (if applied) would result in the effective and efficient delivery of services, i.e. PV. 34 % of senior managers did not regard the performance-management functions as crucial (Figure 6.12 and Table 6.13);
- 60% of senior managers agreed that visual performance tools were being used during public participation meetings, while some reported in the open-ended responses that it was not a common practice;
- 43% of senior managers held that (municipal) performance-evaluation teams operated and 57% disagreed; 70% of senior managers are of the belief that community satisfaction surveys are performed, while 30% disagree. These results appear to be contradictory; however, municipalities perform community satisfaction surveys once per annum, while not all municipalities have performance evaluation teams operating in communities;
- 90% of senior managers perceive that the efficient use of resources will impact on achieving higher standards of living in communities. In open-ended responses, senior managers held the efficient use of resources and the eradication of inefficiencies as crucial to development. Coupled with this item, 64% of

senior managers regarded successful performance in service delivery as a contributing factor to the level of morale displayed in a community;

- According to senior managers, feedback to stakeholders (on performance) involves ward committees, public meetings portfolio committees, community forums, SMSs, emails, IDP or NCOP meetings, in the present municipal context. In an IPSS, the feedback process is regarded as continuous;
- 5% of senior managers ‘strongly agreed’, 27% ‘agreed’, 38% ‘disagreed’ and 30% ‘strongly disagreed’ that the ISO 9001:2015 is not utilised in municipalities as quality ‘performance’ standards, i.e. 68% of senior managers are of the opinion that the ISO 9001:2015 quality standards are not applied in municipalities; and
- 5% of senior managers ‘strongly agree’ and 20% ‘agree’ that public wellbeing functions have been adopted by their municipalities; 75% disagree that public wellbeing functions have been adopted by municipalities.

**Theme 8. The feasibility and potentiality for the emergence of an IPSS generating PV in the future, where N = 40:**

- Responses indicate that not enough is known about an IPSS and the generation of PV in municipalities. Training, workshops and focus groups are necessary to dispel erroneous ideas and simplistic interpretations of these features. Respondents’ views differ in respect of an IPSS with some calling it a “pipe dream”, while others are enthusiastic about the potential of an IPSS and PV generation (Figure 6.13 and Table 6.14);
- 16% of senior managers ‘strongly agreed’, 51% ‘agreed’, 25% ‘disagreed’ and 8% ‘strongly disagreed’, that the statements direct action towards the emergence of an IPSS (generating PV) in the future. 33% of senior managers did not agree with the ‘value’ content of the stated items. In open-ended responses, senior managers (on Item 8.1) held that democracy supports integrated systems, and that integration diminishes waste and allows for community expression. Respondents made the assumption that an IPSS would replace the hierarchical order. This was not the intention, as hierarchical systems have certain advantages;
- Respondents agreed that flexible work modes (Item 8.3), the focus on sustainable development (Item 8.9), internal integration (8.13) and the encouragement of dialogue between departments (Items 8.12 – 8.14) do facilitate the emergence of an IPSS and PV generation;
- 72% of senior managers are of the view that an integrated system is better than a hierarchical system;
- 74% of senior managers are of the view that the current system does require a change in respect of flexibility, signed agreements with stakeholders, fragmentation, waste elimination, as examples;
- 72% of senior managers believe that their departments are willing to sign memorandums of agreements with stakeholders as it pertains to IPSS PV-generating programmes and projects;
- 71% of senior managers believe that fragmentation is not necessary as a tool to maintain order;
- Senior managers revealed a strong desire (84% to 100%) for a participatory system, knowledge and information sharing, a responsive municipality, community empowerment and interactive e-government platforms as applied in communities (Table 6.15);
- Senior managers expressed strong desire (86% to 95%) for collaborative governance with stakeholders, joint stakeholder, citizen and municipal control, emergence of new knowledge from stakeholder teams, the emergence of operating stakeholder teams and innovations arising from the community, as these apply to the emergence of an IPSS in municipalities in the future (Table 6.17); and
- The open-ended responses from senior managers revealed an endorsement of IPSS and PV principles and modus operandi; much more support was expressed than aversion. Respondents were of the opinion that silos were dysfunctional; that NGOs bring fresh approaches to communities; that innovation and change are motivational in themselves. Respondents shared many of the IPSS approaches to collaborative governance, network operativity, stakeholder forums, co-planning, training needs and multidisciplinary meetings.

**Theme 9. Assessment of respondents’ willingness to shift from hierarchical governance to collaborative governance in the future, where N = 40:**

- 12.1% of senior managers ‘strongly agreed’, 44.5% ‘agreed’, 37.6% ‘disagreed’ and 5.8% ‘strongly disagreed’ that the IPSS statements indicate facilitation of a shift from hierarchical governance to collaborative governance in the future. The results suggest that some are more willing than others to make a decisive change in their mode of operativity (Figure 6.14 and Table 6.19);
- 66% of senior managers held that co-management does not show ‘disregard’ for stakeholders. This claim is supported by the open-ended responses which support collaboration with stakeholders in that senior managers regard co-management as instrumental in reducing authoritarian attitudes and mistrust of stakeholders. Senior managers also believe that more platforms for dialogue are required with stakeholders.
- 78% of senior managers held that teamwork does not hamper the attainment of accountability;
- 56% of senior managers held that open dialogue with community and stakeholders is not problematic. Strong support (44%) is given to the view that open dialogue with community and stakeholders is problematic, an indication that improved quality of open dialogue can instil greater confidence in senior managers to hold a more positive view;

- 88% of senior managers held that integration requires support from the top municipal executives for it to be legitimised;
- Senior managers agree that (i) collective approaches to programme and project implementation is necessary (66%), (ii) building relationships with politicians is necessary (76%), (iii) network teams are better positioned to achieve efficiencies (67%), (iv) teamwork leads to transparency (61%), (v) the governance system requires refocusing (67%), and (vi) PV generation can be more effectively achieved by network teams (82%);
- Respondents have shown a positive approach to (i) accountability in teamwork (78%), (ii) accountable ‘collaborating’ team leaders (61%), (iii) the view that network teams can work with departmental management teams (54%), (iv) the view that collaborative governance has been not been instituted (54%), and (v) that PV cannot be generated with the current governance system (51%);
- The ranked items (Table 6.20) for training in collaborative governance to build internal capacity for a successful IPSS generating PV, with means of 55.2% for ‘highly needed’, 37.6% for ‘needed’ and 7.2% for ‘least’ needed, indicate a pull towards a supportive approach for the IPSS elements; and
- The ranked items (Table 6.21) for training in collaborative governance to build external capacity for a successful IPSS generating PV is consolidated by responses of 55% for ‘highly needed’, 35.7% for ‘needed’ and 8.8% for ‘least needed’ as well as a confidence range of 84% - 97% support for the IPSS elements.

**Additional comments from respondents captured at the end of the survey:**

- Attitudes and personalities (of managers) are the biggest constraints to collaborative governance;
- Integration has been practised in Sport and Recreation and Public Safety leading to more effective service delivery;
- E-governance is needed for public participation;
- Very little analysis of power bases and structures has been undertaken;
- Buy-in and motivation are required to adopt innovative systems, not without conflicts of interest between IOS and the municipality;
- Integrated stakeholder engagement needs to be improved between all parties and IOS;
- Monitoring and evaluation regarding service delivery and other programmes should be effective;
- Respondents agreed that ‘new ways’, i.e. a modernisation of effecting tasks, should be tested;
- The concept of PV is interesting;
- Need for the Balanced Scorecard;
- Housing issues are discussed at IDP meetings, which leads to community problems that are structurally hard to solve as the DHS do not attend IDP meetings; and
- Three municipalities stated the survey to be inappropriate as it bore no relevance to their tasks.

Source: The author

## 6.22 Summary

The feasibility and the implementation of an IPSS generating PV was the subject of a mixed study, at 15 municipalities, which involved the completion of an intensive 18-page questionnaire consisting of 9 themes with open-ended questions. The primary data collected from 43 questionnaires was enriched with data from eight semi-structured interviews and observations made by the researcher. Senior managers who completed the questionnaire willingly participated in the research. The research process was a learning experience for all concerned, given the elucidation of IPSS and PV concepts and principles. The context in which the research was framed provided senior managers with an insight into open, dynamic and flexible nonlinear systems for PV generation.

The combined findings are captured in Table 6.22. It was found that respondents were not opposed (i) to collaboration, collaborative governance, integration and network operations, (ii)



effective stakeholder and community engagement, or (iii) to the concepts of an IPSS and PV generation. However, respondents cautioned the researcher about having a new system forced upon them without their involvement. Senior managers eagerly discussed (i) the difference between community engagement and public participation, (ii) open systems as opposed to hierarchies, and (iii) the absence of civic education in communities.

The opportunity arises for further research and immediate experimentation with regeneration programmes (IPSS clusters) in communities where networks of stakeholders would operate in a non-linear manner, where systemic change can be introduced on a micro-scale. One may conclude that the implementation of an IPSS generating PV was found to be feasible. The findings in this chapter and combined in Table 6.22, supplies data which show that senior managers would welcome a system that generated effectiveness, efficiency, public engagement, collaboration with stakeholders and a networked governance approach that seeks to involve communities in their future development. On average, 5% - 16% of the senior managers held that an IPSS, as described in the questionnaire, had little chance of being implemented, on the basis that an IPSS could not guarantee a democratic approach.

Old systems dissipate and are replaced by new ones. Respondents held that an IPSS generating PV would offer more flexibility for engagement with communities to facilitate closer relationship ties with communities and stakeholders. Respondents were aware that public participation limited effective engagement through (i) the lack of information issued, (ii) little discussion time, (iii) lack of formulating common objectives, (iv) lack of agendas for spatial, housing and community services planning, and (v) the absence of an educative component which is required prior to public participation meetings. An IPSS cluster could be utilised to put these requirements in place, and hence launch effective community engagement.

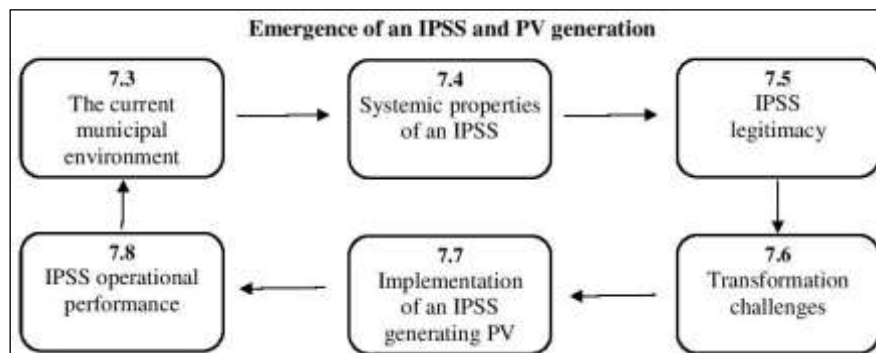
In this regard, respondents confirmed the need for training and capacity building in many of the areas addressed by the conceptualisation of IPSS and PV. Senior managers, it was found, were not opposed to capacity building in the areas of (i) PV conceptualisation, (ii) IPSS conceptualisation, (iii) integration, (iv) stakeholder network operations, management and measurement, (v) the role of the municipality as a hub, (vi) the productive role of politicians in building political astuteness and (vii) formulating (frame-working) the ultimate broad objectives for collaborative governance.

## CHAPTER 7

### A CRITICAL EVALUATION OF AN INTEGRATED PUBLIC SERVICE SYSTEM (IPSS) AND PUBLIC VALUE (PV) GENERATION IN THE WESTERN CAPE PROVINCE MUNICIPALITIES

#### 7.1 Introduction

This chapter provides a critical evaluation of the issues, challenges and problems which are likely to arise from the proposed initiation and subsequent implementation of an open and nonlinear integrated public service system (IPSS) in municipalities for public value (PV) generation in communities. The evaluation will be directed at housing delivery and community services integration, i.e. the focus of previous chapters. An assumption is made, therefore, that the housing delivery and community services functions in municipalities could form an IPSS cluster, generating PV in communities, in line with common stakeholder objectives and broad social goals. Figure 7.1 illustrates the aspects of IPSS implementation that will be addressed in this chapter, relative to a critical evaluation.



**Figure 7.1: Themes for the evaluation of an emerging IPSS and PV generation**

Source: The author

#### 7.2 Background

An IPSS (or IPSS cluster) aims to generate PV, expressed as common stakeholder objectives and broad social goals, intangible and nontangible forms, namely social and economic wellbeing, a raised standard of life, quality housing, social progress and aesthetically pleasing sustainable housing environments. Previous chapters explored open-system elements of an IPSS, which are illustrated in Figure 7.2, each element having the quality of being irreversible in the process of systemic transformation from hierarchical structures and functions to open dynamic, flexible and integrated systems. The following imperatives apply: (i) tangible and

nontangible PV goals are aligned to the outputs, outcomes, adaptation and sustainability objectives; (ii) transformative change is driven by interdisciplinary integration of socio-economic programmes such as health, education, recreation, safety and security; and (iii) collaborative governance elements and principles are utilised in IPSS operativity.



**Figure 7.2: The elements of an IPSS generating PV**

Source: The author

Municipalities utilise hierarchy and regulatory means to implement IDPs directed at service delivery while undervaluing integration and community engagement, which impacts adversely on housing delivery and community services. Alternatively, housing delivery and community services IPSS clusters aim to (i) engage communities, (ii) initiate PV-driven programmes and projects, (iii) stimulate bottom-up innovation, and (iv) maximise resource utilisation. Community engagement between the municipality and stakeholders necessitates discursive (exploratory) and deliberative (targeted) dialogue as the fulcrum for pursuing common objectives, a transformative process and collaborative governance.

### **7.3 The current municipal environment: Challenges and problems**

An imbalance exists between the current municipal system and the modernisation of municipalities. Municipalities are compelled to adjust to the effects of globalisation, digitalisation, open dynamic government systems, integration and accountability locally, the challenge being the attainment of effectiveness and efficiency in service delivery.

#### **7.3.1 The status quo, inertia and path dependency in municipalities**

Municipalities habitually employ management consulting companies who offer a wide range of solutions to complex problems without examining systemic demands. An IPSS generating PV compels a focal shift from the internal to the external environment, allowing for a more

comprehensive, holistic and realistic insight into the complex ‘systemic’ problems and sustainable solutions through the utilisation of (i) network technology as the integration mechanism to broaden the scope of enquiry from which to factor in the endogenous and the exogenous influences (variables), (ii) opportunities and resources available from the macro and meso spheres of government, and (iii) external actors from NGOs, universities and private institutions, such as spatial planners and environmental specialists. The IPSS objective is to advance a robust and resilient system of public administration that produces efficiencies, effective outputs, outcomes and the space for sustainability and adaptation (transformation) to a qualitatively improved social environment.

Municipal inertia results from poor bureaucratic institutional practices which govern power structures, legislative imperatives, regulatory procedures, compliance, policy formulation, administrative controls, hierarchical departmentalism, poor service delivery and the slow development in communities (Table 7.1, column 1 and 2). The IPSS and PV stakeholder objectives are driven by the elements stated in Table 7.1, column 3.

**Table 7.1: Barriers to the implementation of IPSS and PV generation in municipalities**

<b>Managerial barriers to effective and efficient service delivery in municipalities</b>	<b>Barriers facing IPSS and PV generation in municipalities</b>	<b>Management adoption of an IPSS with capacity building areas of focus (explained in Chapter 8)</b>
<p><b>Under the current system:</b></p> <ul style="list-style-type: none"> <li>•Resistance / discouraging to innovation.</li> <li>•Indifference to curb high levels of fragmentation.</li> <li>•Silo operations.</li> <li>•Weak public participation.</li> <li>•Insular communication systems.</li> <li>•Reluctance to overstep administrative boundaries.</li> <li>•Inflexible administration to bend with community pressure.</li> <li>•Linear operations with high authority.</li> <li>•Discouraging flexibility.</li> <li>•High levels of control with strong power distances.</li> <li>•Non-negotiable compliance to reporting lines.</li> <li>•Unfairness settles in.</li> <li>•Exclusionary policies.</li> <li>•Ward Committee dysfunctionality.</li> <li>•Limitations on transparency.</li> <li>•Lines of accountability is strict.</li> <li>•High levels of compliance.</li> </ul>	<p><b>Under the current system:</b></p> <ul style="list-style-type: none"> <li>•Lack of civic awareness among officials.</li> <li>•Minimal engagement with citizens.</li> <li>•Civic educational deficits.</li> <li>•Skills deficits.</li> <li>•High degree of mistrust.</li> <li>•Perfunctory behaviour of officials.</li> <li>•Levels of social problems are high.</li> <li>•Community infrastructure is poor.</li> <li>•Low morale.</li> <li>•Lacking leadership skills.</li> <li>•Poverty in communities.</li> <li>•Hierarchical division is a constraining factor to innovation.</li> <li>•High diversity in (external and internal) demands and expectations.</li> <li>•Shift responsibility to councillors and municipal officials.</li> <li>•Unemployment in communities is high and contribution to funding is scarce.</li> <li>•High levels of domestic fracture.</li> <li>•Demands are short term based.</li> <li>•Peripheral and splintered involvement with community projects and programmes.</li> </ul>	<p><b>New learning and training fields:</b></p> <ul style="list-style-type: none"> <li>• Open dynamical system.</li> <li>• Efficiency.</li> <li>• Effectiveness.</li> <li>• Equity.</li> <li>• Equilibrium.</li> <li>• Efficacy.</li> <li>• Coordination and cooperation</li> <li>• Collaboration between stakeholders</li> <li>• Co-management by stakeholder teams.</li> <li>• Holistic approaches.</li> <li>• Flexibility.</li> <li>• Accountability.</li> <li>• Transparency.</li> <li>• Bottom-up innovation.</li> <li>• Closing power distances.</li> <li>• Civic education, empowerment and engagement.</li> <li>• Negotiated compliance.</li> <li>• Collaborative governance which largely overlaps with networked governance.</li> <li>• E-governance (digitalisation).</li> <li>• Feedback process.</li> <li>• Collaborative governance regime (CGR).</li> </ul>

Source: The author (based on explanations in Chapter 2 and evidence from Chapter 6)

Path dependency is a concealed cause of resistance to change among top-level managers. Path dependency is the practice of preserving outmoded patterns of behaviour, the status quo, power domains, authority and conformities. Community enablement and empowerment necessitate an eradication of path dependency as community objectives come into conflict with it constantly, resulting in a growing 'distance' between municipalities and communities. In Question 1.4, (Chapter 6), only 42% of the senior managers claimed to be involved with community satisfaction surveys and only 9% held that the human resources departments actually initiate public participation training.

Table 7.1 lists barriers to municipal development which reveal shortcomings in municipal capacity and capability concerning an IPSS and PV generation. While 74% to 91% of senior managers (Item 1.3, Chapter 6) are adequately skilled in their current positions, with an even spread of knowledge of the housing delivery and community services functions and with 86% having more than 5 years' experience in the field (Item 1.2, Chapter 6), training in advancing the skills necessary to overcome the barriers listed in Table 7.1 is necessary. Relative to Table 7.1, responses to open-ended questions, Items 3.1, 3.2, 3.3 and 3.4 gives some indication of senior managers' inability to effectively satisfy community demands.

### **7.3.2 The problem of fragmentation in municipalities**

Fragmentation in municipalities implies a system of multiple 'closed' entities (departments), each with an independent purpose. Fragmentation encourages secrecy, power and control enclaves, an authoritarian management style, inaccessibility to top managers, negative attitudes towards integration and resistance to the ideas of stakeholders. In municipalities, one finds separate managers for the IDP, housing delivery and community services within the hierarchical structure. Managerial attitudes are bolstered by the assumption of importance, power, control and the ownership of knowledge, which hinders the generation of PV (Talbot 2017). 97% (Item 8.11) of senior managers agreed that an integrated systems' network model (IPSS) requires the training of senior managers, in order to counteract fragmentation (Chapter 6). Integration neutralises authoritarianism, encourages power-sharing and control, and minimises domination by top-level managers, politicians and political parties in seeking commonalities. Fragmentation in municipalities has a negative effect on governance; complexities and antagonisms arise between good governance policies and principles, and the need to retain independent departmental power and control mechanisms within the

municipality. Digital communication, innovation and community engagement (the tools for co-management) have not been endorsed in municipalities, thus inhibiting the co-creation of PV; findings show that 34% of senior managers agree that co-management in municipalities is unsupported (Item 9.1, Chapter 6).

### **7.3.3 The slow growth in municipal capacity**

The capacity of a municipality is limited by the hierarchical organisational structures it utilises to meet the demands and expectations of the community it serves. Capacity building is therefore required to overcome the barriers indicated in Table 7.1 (previous page). In this regard, the IDP represents the demands of the community inadequately. Municipal staff and beneficiaries are disadvantaged by the low capacity of officials; malfeasance is an additional factor which erodes the capacity of a municipality. The findings in Chapter 6 indicate that senior managers regard the IDP process as underutilised, with public participation deficits, weak community satisfaction surveys and weak budgeting collaboration. Table 6.3 (Chapter 6) indicates that (i) 95% of senior manager welcomed training in the field of consensus building, (ii) 91% in collaborative governance, and (iii) 78% in co-management (with communities). Statistics South Africa (RSA 2017) found that 75% of households in South Africa did not believe that municipalities are communicating effectively with communities, in respect of the poor record of addressing service-delivery problems effectively.

Participation by communities in their own development is evidently neglected for the following reasons; municipal staff (i) lack the skill to engage effectively with communities, (ii) are not paid for the overtime hours worked as an incentive, (iii) do not have the proper facilities (such as municipal committee rooms) to conduct meetings with the community, and (iv) lack planning skills for a community meetings (Khoza 2017; Items 2.2. 2.6 and 2.16 in Annexure C). Deficits in municipal capacity lead to uncertainty in communities. Community engagement remains an extension of municipal governance; in an IPSS, collaborative governance is fundamental to stakeholders operating in a defined network.

Linked with Table 7.1, maladministration, wasteful expenditure, the lack of KPIs for community engagement, lack of commitment by consultants to develop material that maintain the status quo and ineffective strategic planning prevail in municipalities (Table 6.22, ‘additional comments’, Chapter 6).

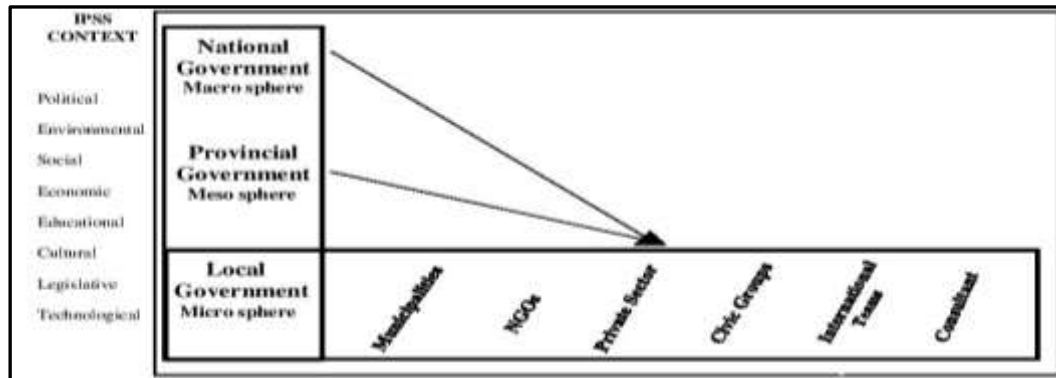
Conducting deliberative dialogue with stakeholders is a skill required by municipal officials to advance community matters and concerns (Item 3.3, open-ended responses). Municipalities accord little attention to the appearance and living conditions of people in affordable public housing schemes and informal settlements (Ratshitanga 2017:72). This area of concern, outlined in Table 7.1, indicates that new learning to advance IPSS and PV generation attributes needs to occur. Figure 6.14, Item 9.4 indicates that 44% of senior managers agree that dialogue with stakeholders is challenging, particularly in the housing delivery and community services departments (Chapter 6). The resultant cost to the fiscus arising from the poor state of liveability, in poor areas, in respect of health, education (low numeracy, literacy and high dropout levels), joblessness, crime, high rates of teenage pregnancies, and socio-economic exclusion, impacts negatively on the developmental role of the municipality.

#### **7.3.4 Macro-, Meso- and Micro-level implications for a holistic approach to IPSS operativity and PV generation**

The methods of collaboration between the spheres of government are complex, regulated, bureaucratic and time consuming for stakeholders in terms of project and programme implementation, monitoring, evaluation and handover. Communities experience inefficiencies and ineffectiveness in the achievement of national and local civic goals. Hypothetically, indicated in Figure 7.3, municipalities at the micro-level constitute a hub in a multi-level integrated network consisting of IOS, the private sector and NGOs driven by a common agenda. In this manner, resources and information sourced will prove valuable for communities interacting with IOS at the micro-level. However, if at the meso-level IOS act as gatekeepers (appropriate to hierarchies), problems for communities will occur at the micro-level. Collaboration between the macro-, meso- and micro-level government spheres require vigorous interconnectivity in order to prioritise housing delivery and community services at a programme and project level, with citizen involvement as equal partners (Table 6.15, Chapter 6). Sections 7.2, 7.3.3 and the barriers indicated in Table 7.1 indicate structural and functional problems that occur when IOS interconnectedness (Figure 7.3) is not adequately addressed.

Aspects requiring the attention and application of inter-organisational approaches are (i) the authorisation of programmes and projects at local level, (ii) municipal administrative disputes, (iii) strategic and business planning with community inputs, (iv) budget allocations, (v) malfeasance, and (vi) wastage of resources. These aspects are linked to the 10 IPSS tasks stated in Item 1.4 and the recognition that only 44% (Item 2.16) of senior managers agreed to

collaborative work with stakeholders (Chapter 6). The purported interrelationships between government spheres, municipal entities and interdisciplinary human development organisations (IOS) are best addressed by an IPSS generating PV, utilising a bottom-up integrated approach and managed by stakeholders in a defined network.



**Figure 7.3: Interconnected spheres of government for an IPSS environment**

Source: The author

### 7.3.5 Concerns regarding the Integrated Development Plans (IDPs)

The IDP is regarded as the principal strategic plan of the municipality from which sub-development plans may be drafted. The IDPs are internally focused and intended primarily for the development of the municipality, i.e. strategic and business planning. IDPs acquire its authority from local government legislation and the directives in the Bill of Rights (RSA 1996). IDPs are intended to develop communities and ensure wellbeing, cooperative governance and ‘effective’ public participation, which are current contestable matters. There are several points of concern in respect of IDPs:

- Rigorous alignment is required between the IDP, the Service Delivery Budget Improvement Plan (SDBIP), strategic long-term planning to address community needs and expectations; feedback from the annual municipal community satisfaction survey does not include nontangible service provisions and integration between housing delivery and community services, which in terms of housing delivery results in “asymmetrical power relationships” between stakeholders (Jordhus-Lier 2014:175);
- One observes from conducting interviews with key officials that community meetings are not utilised effectively to engage communities in (i) local programme and project activities, (ii) municipal performance as required by legislation, (iii) building relationships of trust, (iv) measuring the success of local economic development programmes, and (v) innovative ideas (Ferreira, Samson, Smith, Adriaanse 2017:Interviews);



- IDPs are not future-oriented (proactive) on issues of integration, community inclusivity through digitalisation, social cohesion, sustainability, modernisation, safety and security in the poor communities as this pertains to the joint provincial and municipal housing delivery function. In enhancing personal safety, a critical IDP matter, it is common to find that municipal policing only operates during normal working hours and not ‘after hours’, when these services are often urgently required by communities. Presently, IDPs simply ‘list’ critical community problems without solution-driven links to sustainability, as communities are constrained to actively participate in social, economic infrastructure and housing programmes, prescribed in the BNG policy (RSA 2004b:16-23);
- IDP municipal officials rarely engage in information sharing with beneficiaries regarding, (i) reports on meetings held, (ii) community education, (iii) reports on projects completed and the role of the community in their sustainability, (iv) invitations to the community to design and run projects, (v) housing information, (vi) social concerns, (vii) community satisfaction feedback reports, and (viii) open dialogue (Item 6.2.3, Chapter 6); and
- The role of the ward committee(s) and ward councillor(s) require review to align them with actual community needs as stated in the IDPs. In open responses by senior managers (Items 5.9, 7.3 and 7.6, Chapter 6) problems are expressed concerning the implementation of common objectives, lack of visual performance tools, and quality of feedback, respectively.

An IPSS generating PV is primarily based on successful collaboration between stakeholders, given levels of interdisciplinary connectivity. South Africa and Namibia experience similar problems with regard to a lack of in-depth collaboration between stakeholders and municipalities. In the UK, communities are regarded as crucial stakeholders by NGOs and QUANGOs such as Homes England, to satisfy communication between stakeholders. Findings in this study show that while 79% of senior managers claim that they generally do collaborate with stakeholders (Items 1.3 and 6.1), 53% hold that the advantages of collaborating with stakeholders are not fully utilised (Items 1.5 and 6.1). 30% - 33% of senior managers expressed ‘difficulties’ in collaborating with stakeholders. Only 7% of the senior managers held that collaboration (with stakeholders) is discouraged as a municipal practice. From the open-ended responses, it was evident that senior managers at municipalities found it problematic to build relationships with communities in the social housing sector, owing to diverse demands and mistrust between parties. The Department of Human Settlements (DHS) and the Department of Social Development (DSD) overlook complex issues of integration and public interest.

The BNG policy (RSA 2004b) requires adjustment to the needs of the communities (Mtantato and Churr 2014:143). In the UK, the CfPS and the C2-Connecting Communities (Fujiwara *et al.* 2016) programmes involve communities in a direct, open and transparent manner, unlike what is dominant in Namibia and South Africa.

### **7.3.6 Political astuteness**

An assertion may be made deductively that the political and executive leaders in a municipality are lacking in political astuteness and are therefore incapable of adopting a political agenda that would advance communities in an interdisciplinary way. Political education universally resides in two domains: (i) what is taught in academic institutions, and (ii) what is learned parochially. In the municipal and community arenas individuals have vastly different political-educational backgrounds; public managers, mayors and councillors also have varying educational foundations that communities are compelled to trust in respect of their demands, wishes and expectations. Politics may consequently be used to drive personal political aims and objectives, or it may be used to drive social progress. Political astuteness emerges from cross-disciplinary knowledge such as schooling in mathematics, science, anthropology, history, geography and other subjects. A definition of political astuteness is given as “deploying political skills in situations involving diverse and sometimes competing interests and stakeholders, in order to create sufficient alignment of interests and/or consent in order to achieve outcomes” (Hartley *et al.* 2013:6). Therefore, the following claims may impact negatively on service delivery outputs, as indicated in Table 6.4 (Chapter 6):

- Fifty-six percent (56%) of senior managers held that there was a highly negative impact on the work of the administration;
- Eleven percent (11%) believed that there was no impact at all;
- Fifty-six percent (56%) held that politicians created uncertainty;
- Sixty three percent (63%) held that political ‘meddling’ in strategic decisions negatively affected their work; and
- Twenty-one percent (21%) perceived political meddling to be negligible.

Given the five cases above, one may claim that capacity building is required in political interpretation and related decision making for municipal managers, councillors and community members. This is necessary in order to establish common ground between these actors regarding housing, IDP, SDBIP, community services, programme and project implementation in the interest of the public and social progress from the perspective of an IPSS and PV

generation. In the South African and the Namibian political contexts, regarding public housing, a common factor is the lack of political will. In the United Kingdom, political activity at community level is much reduced and left to the politicians and the ‘Citizens UK’ (NGO) network affiliates to debate in parliament. Regarding the drastic decline in public housing between 1978 and 2017, shrinking house sizes, overcrowding and longer commuting hours to and from work, it appears that politics in the UK is ‘trusted’ to parliamentarians, as effective community engagement declines (Weaver 2017).

#### **7.4 Systemic properties of an IPSS: Challenges and problems**

The IPSS generating PV, in order to maintain its systemic operational properties, is compelled to manage systemic problems such as uncertainty, unpredictability and the challenge of co-creation of PV, in order to maintain the efficiency, effectiveness and efficacy of its outputs, outcomes, adaptivity and sustainability. The IPSS is an operational system with the characteristics of openness, flexibility and nonlinearity, influenced by a multitude of social and economic factors operating in the bureaucratic context. Not all municipal managers aspire to open, flexible, nonlinear and democratic systems as some would prefer to retain hierarchical, ‘closed’ system and authoritarian work modes (Items 2.8, 4.7, 8.1 and 9.8 refers, chapter 6).

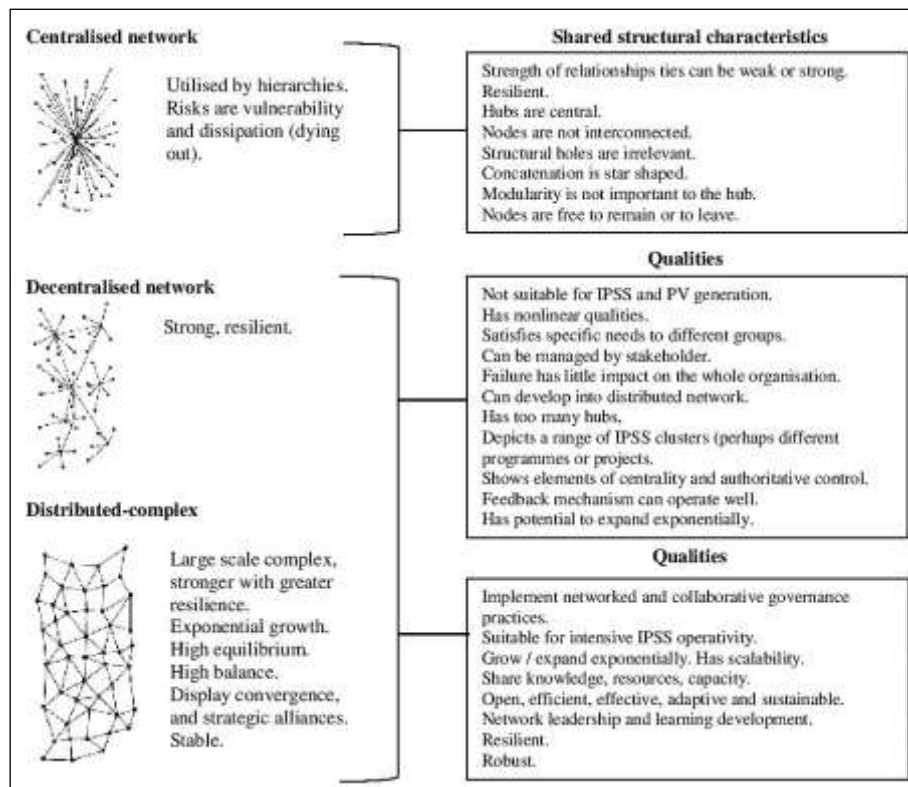
##### **7.4.1 Managing complexity**

IOS are contextualised in existing hierarchies which are operationally and systemically different from ‘open-system’ IPSS generating PV. IPSS collaborating network actors (stakeholders) represent a wide range of organisations and are therefore required to build intra- and interdisciplinary relationships that would generate PV, i.e. public goods and public purpose. IPSS network stakeholders who represent the multidimensional IOS in the three spheres of government, are guardians of resources in the social, educational, economic, technological, cultural and environmental sectors (Figure 7.3 refers).

Figure 7.4 illustrates the three network topologies (arrangements) discussed in Chapter 2. Each network diagram (Figure 7.4) is accompanied by an explanation regarding its ‘systemic’ value. The ‘star’ and the ‘decentralised’ topologies are not typically suited to the needs of the IPSS, while the distributed-complex topology is ideal for an IPSS as described by its qualities in Figure 7.4. Given the expertise and the availability of software such as Gephi, an IPSS can manage complex community problems. Stakeholders are enabled to (i) build strong ties based

upon commonalities, (ii) share knowledge, resources, capacities and information, (iii) co-manage, and (iv) utilise digital methods for feedback, reflection and communication.

Network challenges (in an IPSS) may be referred to as ‘complexities’ as they are brought about by (i) the wide array of network stakeholders aiming to act in synchrony, (ii) organisational objectives and goals, (iii) various political and social schools of thought held by stakeholders, (iv) the endogenous and exogenous factors impinging on the IPSS, (v) conflicting municipal and community interests, and (vi) an existing complex environment.



**Figure 7.4: Three progressively complex network states (contexts)**

Source: Adapted from Baran (in Barabási and Frangos 2002:114-143)

Resistance to acknowledging the advantages of complex-distributed networks in municipalities arises because some centrality of authority is no longer required as complex nonlinear systems evolve (Rihani and Geyer 2001:240). Hierarchies are mostly unable to solve multidimensional problems such as co-learning, integration, interdisciplinary connectivity and collaborative governance with traditional systems of control. Complex problems, i.e. ‘wicked problems’, arise from (i) continuous change without reaching targeted goals, (ii) omission of consultation with citizens, (iii) government policies which affect certain social groups adversely, (iv) skewed social progress (where only some sections of a society develop and not others), and (v)

a transition process, which may be gradual or rapid but which fails to achieve a new paradigm beneficial to social progress and wellbeing. The CCT's ODTP 'transformation' model it may be argued, is an example of 'systemic' characteristics (Item 6.20.4, Chapter 6) which cannot offer solutions to complex problems, given the ODTP's high levels of hierarchy.

The perception of municipal authorities that communities are static, apathetic, incapable of innovation and the least investment-credible entities is problematic for promoting development and it requires examination, review and redirection. The prevailing 'systemic' challenge in municipalities is that communities are seen as 'unable' to participate (engage) in the delivery of services and the affairs of municipalities as a result of critical factors such as (i) mistrust of community representatives who meet with councillors and municipal administrators, (ii) ward councillors who take decisions on behalf of communities, (iii) the inertia surrounding the development and implementation of a community vision. (iv) lack of agreements with unstable communities and the huge turnover in leadership positions, (v) diverse views of community groupings, and (vi) lack of education regarding vital issues of politics, quality of services and community security (Items 2.2, 2.16, 4.5, 8.4, 9.4 and 9.14 respectively, in chapter 6). These challenges pose the risk of systemic blockages and are not adequately and openly addressed in municipalities, or with stakeholders operating in a defined network. The study shows that 75% (Item 2.3, Chapter 6) of the senior managers hold the position that integration practices strengthen dialogue with stakeholders, given the preparedness of senior managers to build relationships with stakeholders.

For an IPSS to operate efficiently, network stakeholders have to be skilled in negotiation, consensus building, collaboration and willing to share resources, knowledge, skill and capacity in formulating a common set of programme and project objectives, thus creating synergies for co-management, co-planning and co-regulation. The challenge for municipalities subsists in the recognition of the need to utilise discursive and deliberative dialogue in engaging the community as a crucial stakeholder, as part of the process which establishes efficiency, effectiveness, equity and efficacy in the generation of PV. Challenges arise in municipalities owing to the lack of collaborative efforts to address (i) scarcity of financial resources for housing delivery, community services, monitoring and evaluation (Item 2.6), (ii) the need by (78% of) senior managers for the effective and efficient use of resources (Item 3.3.2), (iii) senior managers' support for co-creation of PV (90.6% of the senior managers support the PV measures listed as Items 6.1.1 to 6.5.5). These challenges are further supported and confirmed

in the open responses to Item 4.15, which identifies the complications involved in the alignment of municipal and stakeholder business plans. Problem-solving and decision-making tools may be utilised in workshops which will address these problems and simultaneously enrich the relationships between the stakeholders. The C2 Connecting Communities framework and model (Fujiwara *et al.* 2016) has thus far proven to be the most successful in the UK, which utilises IPSS and PV-generation attributes; the challenge of initiating and adopting such a programme for South African and Namibian municipalities may be regarded as ambitious.

PV generation is curtailed by hierarchical operating systems; in this regard, findings show that (i) 73% of the respondents held that ‘open’ systems were superior to hierarchy (Item 8.1), (ii) 83% - 93% of senior managers indicated their support for engagement with stakeholders (Items 5.5, 5.6 and 5.7), and (iii) 62% of the senior managers indicated their ‘readiness’ to deal with ‘anticipated’ service delivery failures owing to inadequate staff training, budget constraints, internally directed strategic planning, breakdown of trust with communities, political crises and the lack of effective performance measurement (in open responses to Item 5.17).

In South Africa and Namibia systemic social and economic problems have crystallised owing to the poor housing management and adverse environmental conditions which prevail in informal settlements and which inhibit effective social investment, civic education and social progress in general. Evidence from the study indicates that (i) 81% of the respondents agreed with the principle of co-learning as it relates to the evaluation of quality standards for efficiency in programmes and projects delivery (Item 7.9) and (ii) 90% agreed that the manner in which resources are used impacts on the living standards of citizens (Item 7.10); systemic change in housing delivery and community services in South Africa and Namibia is therefore justifiable.

#### **7.4.2 Demystifying networks in municipalities**

Demystifying IPSS networks can be effected through education, training and experiential learning. The aim of demystifying (IPSS) networks in municipalities is to (i) encourage municipalities to recognise the limitations of the hierarchical system and the issues expressed in Table 7.1, (ii) provide realistic means for transformation, innovation and integration, and (iii) create a non-threatening environment for stakeholders to exercise flexibility. Network interactivity which evolves within an IPSS allows for the exchange of knowledge and views, which stimulates co-learning and growth. Network dynamics, also referred to as integration

(dynamics) technology, have features and characteristics which need to be workshopped with public managers and stakeholders. Demystifying IPSS networks will be catalytic in addressing and resolving the long-standing systemic problems in the municipal hierarchy. The survey results indicate that 97% of senior managers supported training in network dynamics (Item 9.20.2, Chapter 6). Networks present an alternative organisational arrangement to hierarchy and utilising them requires a paradigm shift (cognitive shift or shift in mind-sets) in public managers. The open responses to Item 9.16 (Chapter 6) indicate that senior managers were not opposed to adopting an IPSS, but insisted on alignment with legislation, retaining elements of the hierarchy, training in self-management and the appointment of a champion to lead.

The importance of demystifying stakeholder networks extends to PV generation, which cannot be pursued in hierarchies owing to their linear principles, fragmentation and internal focus. These problems are characterised by systemic failure owing to lack of financial resources, poor service delivery, poor information sharing, absence of co-creation of new knowledge and community enablement. Findings show that 90% of the senior managers agree that the living standards in communities is dependent upon the manner in which resources are utilised to generate PV (Item 7.10); also, senior managers placed ‘high’ importance on internal capacity, sustainability, community engagement and staff training (open responses to Item 4.11).

### **7.4.3 “Integration” as a systemic problem in municipalities**

Housing delivery and community services are regarded as separate functions in municipalities at a time when municipalities are dealing with the issue of “integration” to improve performance. Municipalities have not succeeded in integrating these departments (functions) owing to constraining hierarchical factors (indicated in Table 7.1) as municipalities might not synchronise with IOS at the Macro- and Meso- levels of government. Consultants are appointed without adequate inspection of needs, as in the case of Swartland Municipality where the INVOCOMS (2014) method is being put to practice to increase efficiencies, and with regard to the CCT, where the ‘transversal approach’ is utilised (CCT 2017:31) in an attempt to ‘integrate’ functions. At the CCT the ‘integration’ attempts entail mixing hierarchical systemic elements with open and nonlinear systems theory, i.e. IPSS applications, which resulted in expanded hierarchical structures (Figure 6.17, Chapter 6). The elements of an IPSS provide the necessary structures and functions for the efficient and effective performance of a municipality, as integration can only be effected systemically, using instruments such as Gephi software

(Yang, Cheng, Shen and Yang 2017:169-172), which is not currently being used. Integration and transformation in municipalities are understood in terms of linear integration, which utilises hierarchy as a system of operativity; hence municipalities do not apply the elements of holism, flexibility, synchrony, bottom-up approaches and interdisciplinary connectedness, i.e. the attributes of nonlinear systems.

Items 8.17.2 and 8.17.4 (Table 6.17, Chapter 6) reveal that 86% (in both cases) of the respondents held that joint stakeholder initiatives and the formation of stakeholder teams were desirable. The contradiction which arises is that convergence (of resources, information and capacity) cannot be achieved within a hierarchy, i.e. an IPSS generating PV will not evolve in the public interest, as explained in 6.20.4 of Chapter 6 (Crous and Goodwin 2017:Interview). The current (bureaucratic) municipal government and governance system is resilient in maintaining (i) fragmentation, (ii) distance from communities, (iii) power and control over institutional arrangements, and (iv) preserving strict lines of authority (Budd 2007:533). Item 8.15 (Chapter 6), an open-ended question, indicates that 58.4% of the respondents were emphatic in their support for reducing hierarchy, while 41.6% were not ready to work in an IPSS and PV-generating environment. While survey results indicate a high measure of support among senior managers for a shift away from the hierarchical system, the challenge regarding (systemic) transformation remains, based on 81% of senior managers' support for internal integration and 70% support for integration with stakeholders (Item 1.4, Chapter 6). There is also the belief among senior managers that the executive leadership of the municipality should 'lead the way' for municipal integration (open response to Item 9.3, Annexure C), indicating an impediment for the adoption of an IPSS. IOS requires exposure to IPSS (and IPSS clusters) and PV advancements made in municipal administration as a means to curtail fragmentation in municipalities, which prevents the emergence of IPSS clusters that would serve as a conduit for effective 'systemic' integration. Interviews with IOS officials revealed a 'reluctance' to initiating a discursive discussion on IPSS and PV generation (Samson, Adriaanse and Smith 2017:Interviews). Transcripts are located in Annexure D.

Macro-, meso- and micro-level IOS in South Africa have retained a distinctive culture characterised by (i) hierarchy, (ii) underutilising resources, such as the Thusong Centres (Khoza 2017), (iii) underutilising features such as wi-fi zones, Facebook, WhatsApp and e-mails, (iv) engaging communities minimally, and (v) neglecting community-based

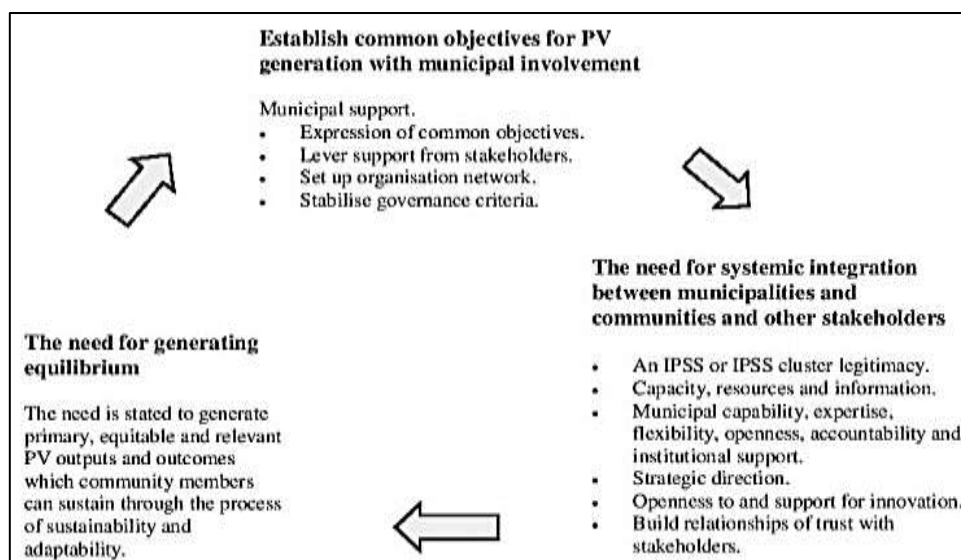


development programmes, which has an impact on liveability and wellbeing; an example of such as regeneration programme is the UK model C2-Connecting Communities programmes (Fujiwara *et al.* 2016). This statement is confirmed in that (i) spheres of government have not qualitatively changed the living conditions of the poor, and (ii) the three-year budget cycle constrains development (Samson 2017:Interview). The fragmentation of functions in IOS is sustained by (i) a lack of open dialogue with communities (supported by 74% of senior managers, Items 2.1 and 2.3) and (ii) the lack of communication infrastructure between the spheres of government (Item 2.5, Chapter 6). Audited financial reports by the AGSA reveal problems related to (i) wasteful expenditure, (ii) programme or project failure, and (iii) requests for additional funding, as all the variables were not initially taken into account (RSA 2018:2-4). There is no identifiable culture of effective public engagement (common objectives, common vision, bottom-up approaches, flexibility and accountability to stakeholders) in municipalities in South Africa that would counteract such fragmented practices; 66% of senior managers agreed that collective approaches to programme and project implementation is not taking place (Item 9.5, Chapter 6).

#### **7.4.4 The problem of achieving equilibrium (stable communities)**

An assumption may be made that all municipalities desire stable communities, yet municipalities are currently far from achieving this vision, i.e. municipalities are ‘far from equilibrium’ (2.4.2 in Chapter 2). The current (bureaucratic) municipal operating system is weakened by volatile community protests, political and financial instability and therefore cannot be in a state of equilibrium. A series of events regarding community volatility over questions of fair representation, consultation and engagement regarding service delivery (in housing and community services) have shown that municipalities need to ‘shift’ from ‘assumptions’ to ‘acknowledgement’ of the barriers hampering the achievement of stability in communities (Table 7.1). Figure 6.11 (Chapter 6) indicates 25 measures for stability (equilibrium) between the municipality and the community, which are not being implemented. Item 8.3 (Chapter 6) indicates that 76% of the senior managers preferred dynamic and flexible work modes to static and controlled work modes; the open responses reveal that senior managers prefer dynamic (flexible) work modes because (i) they are desirable, and (ii) stability, responsiveness, innovation and change were regarded as motivating factors that are disregarded in hierarchies. Municipalities have not acknowledged the need for (i) commitment to integrate departments and functions in the interest of community stability (Item 2.6, Chapter 6), (ii)

democratising public engagement, enabling communities to express their needs and expectations and to effect civic education (confirmed in Items 1.5, 6.19, 7.3 and 9.12), (iii) political training; 82.5% of senior managers agree on the negative impact of the lack of political astuteness in transforming communities (Table 6.4), (iv) bottom-up approaches to address housing needs and related social problems (Item 9.5), (v) an assessment and rescoping of the IDP (Items 2.2 and 2.12), and (vi) innovation as a means to close the gap between municipal rigidity and community needs (Item 1.5, Chapter 6). Equilibrium is also dependent on (i) developing social cohesion (Item 8.15), (ii) building relationships of trust with communities, individuals and stakeholders (Item 4.5), and (iii) the pursuit of common objectives, currently not seen as a unifying factor in working with stakeholders (Item 2.12). The avoidance of genuine regard for openness and accountability in municipalities does not contribute to equilibrium; results per item point to overwhelming support for from senior managers for openness and accountability (Items 4.7. 4.9. 4.12, 4.17.1, 9.3 and 9.11 in Chapter 6).



**Figure 7.5: Challenges and problems influencing the attainment of equilibrium**

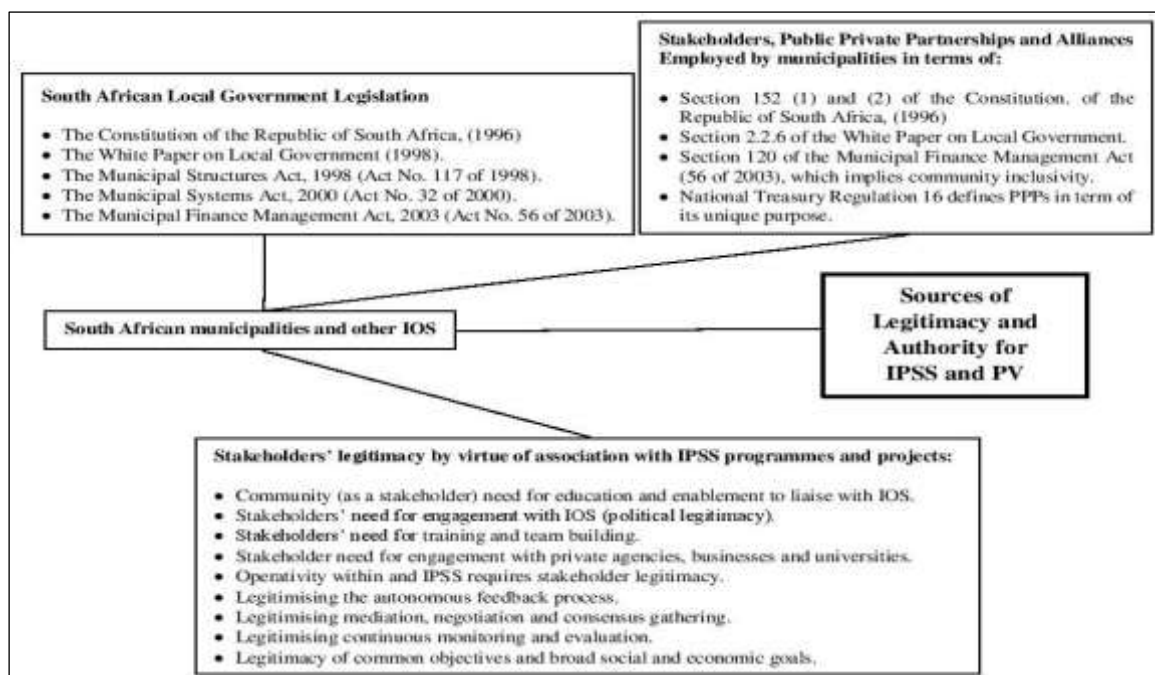
Source: The author

Figure 7.5 provides an outline of the challenges and problems with regard to the attainment of equilibrium in municipalities. Given the current system of municipal operativity, common stakeholders’ objectives, systemic integration for the generation of PV and IPSS implementation, in terms of its outputs, outcomes, adaptation and sustainability, are required.

## 7.5 IPSS legitimacy

This section deals with the sources of legitimacy and authority of an IPSS and PV generation. As espoused in the strategic triangle concept devised by Moore and Khagram (2004:3),

‘legitimacy and authority’ are critical elements in forging stakeholders’ links to generate their common objectives, i.e. creation of PV. This section also sets out to examine how an IPSS establishes legitimacy and authority in order to function efficiently and effectively to generate PV in an environment that is essentially controlled and authoritative (Figure 7.6). Figure 7.6 indicates four essential domains for legitimising IPSS and PV generation, namely (i) local government legislation, (ii) legislation directing participatory engagement, (iii) acknowledgement of the municipality as a legal entity, and (iv) nine policy directives, the first one giving a high priority to civic education (the community need for education, empowerment and engagement with IOS). Open responses (Item 8.4, Chapter 6) indicate that policy formulation in this regard is dependent on the vision of top-level managers in the municipality and their willingness to participate in value creation. Figure 7.6 may be regarded as a policy guideline for a housing delivery and community services IPSS cluster as it contains IPSS requirements for legitimacy and authority.



**Figure 7.6: Sources of legitimacy and authority for an emerging IPSS and PV generation**  
Source: Adapted from Turrini *et al.* (2010:546)

A contextual problem arises as current South African local government legislation is applied in a Weberian-bureaucratic system, i.e. government departments (entities such as municipalities) are hierarchical in structure and function (Chapter 2). The IPSS and PV generation, however, are the antithesis of bureaucracy, hence a conflict arises regarding the application and interpretation of local government legislation in terms of systemic flexibility, nonlinearity, dynamic and open modus operandi. Findings show that local government

legislation supports IPSSs and PV generation, which implies a limited but realistic opportunity for the parallel application of two systems, one bureaucratic and the other open and nonlinear, guided by the common objectives and broad goals expressed in section 7.2. 72% of the senior managers surveyed held that an integrated system (an IPSS) is superior to a hierarchy (Item 8.1) and 90% supported the generation of PV (Items 8.5 and 8.6, Chapter 6). In open responses to Items 8.15 and 9.16, similar contentions were made by senior managers in the housing and community services departments of the municipalities surveyed.

The following points are significant as they pertain to the flexibility required in the interpretation of local government legislation to promote IPSS and PV generation in municipalities:

- South African local government legislation does not bar a municipality from adopting an open, flexible, dynamic and nonlinear system of functioning. Municipal political and administrative executives, owing to their institutional and political culture, do not challenge or apply flexibility in their interpretation of the laws, nor do they add value to the existing legislation by suggesting more flexible interpretations to accommodate effective and efficient delivery of houses and community services. Flexibility is advanced throughout the White Paper on Local Government (RSA 1998a). Seventy-five per cent (76%) of senior managers held that (i) flexibility for improving service delivery is hampered by regulation and bureaucracy, (ii) flexibility is crucial as it would bring about more responsiveness to community needs, and (iii) flexibility encourages innovation, much needed in communities (Item 8.3, Chapter 6);
- The ‘authority and legitimacy’ of community entities are not regarded as particularly significant by municipalities and therefore communities are not involved in the affairs of the municipalities to the extent they should be, i.e. as directed in local government legislation (in section 7.5.4). Item 2.5 reveals that only 44% of the senior managers held that infrastructure to build community engagement is not made available by municipalities, while 63% held that effective ‘feedback’ for community engagement requires such infrastructure (Item 2.6, Chapter 6);
- Local government legislation is interpreted in terms of tangible outputs, as recorded in many IDPs, e.g. toilet provision, water provision, roads, refuse removal and, for example, library burglar bars, while no attention is given to the nontangible PV human element, i.e. outcomes, sustainability and adaptability to change. Forty-five per cent (45%) of senior

managers agreed that the lack of common objectives and effective engagement with IPSS cluster stakeholders is problematic (Item 2.12, Chapter 6); and

- Following from the previous point, current municipal administrations experience (i) loss of synergy with communities, (ii) neglect of genuine consultation with communities regarding their housing and community services need, (iii) excessive red tape and compliance, (iv) a passive IDP, (v) suppression of innovation and digital communication, and (vi) a lack of open discourse with communities. The survey results (Themes 8 and 9, Chapter 6) demonstrate overwhelming support among senior managers for IPSS transformation criteria and training for enhanced internal and external capacity. By way of an example, an interview held at the CCT's Transport and Urban Development Authority (TDA) could not provide explicit objectives in respect of the above issues, particularly important for quality liveability and social happiness (Mandlana 2018:Interview).

### **7.5.1 The Constitution of the Republic of South Africa, 1996**

Section 152 of the Constitution (RSA 1996), provides clear directives for municipalities to develop communities, regarded as an anchor for the legitimacy of an IPSS and PV generation. Logically, the IDP and community objectives should direct municipalities (i) to act in the interests of communities, (ii) to be accountable and democratic, (iii) sustain services, (iv) promote socio-economic development and a healthy environment, and (v) to “encourage the involvement of communities and community organisations in the matters of local government”. Communities do not hold municipalities accountable to achieve these democratic objectives in the interests of PV generation in housing delivery and community services, i.e. in mitigation of challenges (stated in section 5.8, Chapter 5). The failure of municipalities to meet these objectives have serious consequences for communities in terms of housing space, effective service delivery, aesthetically pleasing environments, wellbeing and negative impacts on education, health, social progress, security and personal safety. To this end, the CCT's Transport and Urban Development Authority (TDA) claims that a holistic approach, densification and a renewed focus on maximising space can mitigate social and economic problems in poor communities while retaining a fragmented system (Mandlana 2018:Interview). From a sample of 15 municipalities in the Western Cape province, only 64% of senior managers were ‘most’ familiar with the Constitution (RSA 1996). A problem arises in that 36% of senior managers operate without full comprehension of the Bill of Rights (RSA 1996), which links nontangible PV outputs and outcomes (community needs and expectations)

with the delivery of services (Table 6.5, Chapter 6).

### **7.5.2 The significance of the White Paper on Local Government (1998) for the IPSS and PV generation**

The White Paper (RSA 1998a) serves to shift attitudes and behaviour of municipal officials towards democratic interactivity with network stakeholders in an IPSS, in the interest of PV generation. The White Paper (RSA 1998a), Sections A and B, supports the legitimacy and authority of an IPSS and PV generation as follows: (i) municipalities are able to utilise relatively autonomous powers to act ‘in their own right’; however, the visibility of the implementation of this ‘right’ is not evident in community engagement, intergovernmental relations, the developmental role of municipalities to build democracy, promote socio-economic development or enhance social relations among citizens, and (ii) municipalities do not display any motivation for the co-creation of sustainable human settlements through establishing themselves as equal partners with the national departments (DHS and DSD). Senior managers indicate an 83% readiness for dynamic and participatory relations with stakeholders, and 76% indicated their readiness for co-management (Items 5.5 and 5.8, Chapter 6, respectively). While these results are in conformity with the spirit of the White Paper (RSA 1998a) and imply openness to bottom-up approaches in housing delivery and community services, municipalities are not responsive to them. Section B of the White Paper (RSA 1998a) subscribes to (i) public-private investment in building communities, (ii) community leadership, (iii) the empowerment of marginalised groups, (iv) integration, (v) co-operative planning, (vi) mitigation of volatility through programmes and projects, (vii) spatial and economic integration of poor communities, and (viii) integration and the improvement of integration capacity in municipalities (RSA 1996). Findings reveal that only 45% of senior managers in the housing and community development departments are ‘most’ familiar with the White Paper (RSA 1998a) within a range of 5% - 64% (Table 6.5). Municipal officials were divided on whether municipalities actually accord value to the integration with IOS, public groups and stakeholder as questionnaire Item 2.16 (Chapter 6) reveals that 49% agree and 51% disagree on the weakness of integration practices in municipalities. Furthermore, Part 4, sections 9 and 10 of the Housing Act, 1997, (RSA 1997b) direct that the participatory role of municipalities calls for ‘ongoing’ community engagement regarding housing delivery (Item 5.3.3, Chapter 5). This does not in any way automatically imply municipal responsiveness to the need for nontangible PV generation in communities.

### **7.5.3 The Municipal Structures Act, 1998 (117 of 1998)**

The directives in the Municipal Structures Act, 1998, (RSA 1998b), gives impetus to the hierarchical structures and institutional framework of the municipality. The preamble contextualises the Act (RSA 1998b) in terms of promoting “sustainable, effective and efficient municipal services” and social and economic development, safe and healthy environments and ‘dignified’ housing. The Act (RSA 1998b) does not take cognisance of the disjuncture between the rigid hierarchical structuring in IOS and the flexibility required for the attainment of these democratic ideals expressed in the Act; nor does the Act (RSA 1998b) take account of the need for systemic change over time in order to meet the democratic ideals expressed in the preamble to the Act (RSA 1998b), citizens’ changing needs or technological progress. This omission contributes to intransigence and the perfunctory behaviour of municipal officials (RSA 1998b).

The Act (RSA 1998b), Sections 44(2) and 56(d), place decision-making powers with the executive mayors and the executive committees who most of the time ‘sidestep’ analytical, democratic and strategic analysis of the agenda items regarding issues arising in respect of bridging collaborative relationships with communities in the interest of community wellbeing. This statement may be verified by (i) analyses of the annual municipal community satisfaction surveys, where findings indicate only 42% confidence therein by senior managers (Item 1.4, Chapter 6), (ii) the 7% - 53% range indicated for ‘confidence in collaboration’ with communities indicates weaknesses in collaboration and the open responses revealed that little time is afforded to officials to conduct effective collaboration with communities (Item 1.5, chapter 6), (iii) civic education does not exist, and (iv) 86% of the senior managers indicated support for community engagement, but this is not accorded urgency by the municipal executive leadership (Item 3.3.5, Chapter 6). In the UK the Social Value Act (GUK 2012) may be interpreted as promoting PV, as it encourages local councils (municipalities) to embrace community engagement and the communities’ right to maintain a fair quality of life.

In an IPSS ‘powers’ and ‘controls’ are shared with social experts, beneficiaries and IOS on an equitable basis. The Act (RSA 1998b), Sections 56(2), (g) and (h), prescribes that the community must be involved in the affairs of the municipality, which must be reflected in all annual reports. Municipalities have (about) two public meetings with communities per annum, inadequate for effective engagement with community stakeholders on development matters.

The Act (RSA 1998b), Section 19 (2), directs that communities must be consulted; firstly, the process is periodic but not autonomous, and secondly, communities are not effectively engaged as the education and enabling components are omitted. The Act (RSA 1998b), Section 19, compels the municipality to ‘review’ the status of the community annually in relation to Section 152 of the constitutional directives. It is at this juncture where the legitimacy and authority for an IPSS and PV generation become relevant. An IPSS compels ongoing and autonomous programme and project reviews, which can include the review of community relationships with the municipality with regard to mutual engagement. Section 19 (3) is not specific on the methodology for community consultation; however, a community must participate in the annual performance rating of the municipality, as stipulated in Sections 44 (2)(d)(3)(g)(h) and (4) of the Act (RSA 1998b). At this juncture, municipalities have failed to accommodate communities to engage with them in any effectual manner, as participatory measures for its operationality has not been advanced or piloted in municipalities; however, evidence in this regard needs further research.

Hierarchy tends to create line-management dependence on procedural regulations, ‘authority’ and siloed restrictions among senior and junior managers, which reduces their capability to act collaboratively when the need arises to show positive regard for innovation, flexibility and engagement with community representatives to generate development opportunities. An IPSS shares power and control among stakeholders in the interests of collaboration. While Sections 83 (3)(a)(b)(c)(d) of the Act (RSA 1998b) directs ‘integrated, sustainable and equitable socio-economic development’ and ‘integrated development planning’ from ‘the top’, the hierarchical structures and functions of the municipality do not allow for the full incorporation of stakeholders (located in a democratic context); this remains a critical problem. The Act (RSA 1998b) gives credence to ‘open committees’, i.e. ward committees and project steering committees, which may include sections of the community. The prerogative for integrated planning and implementation is located with the executive mayors (or mayors), who are expected to drive integrated development planning (IDP) from ‘the top’, as specified in the Act (RSA 1998b); however, the effective and efficient functioning of the ward committee is left to the ward councillor (Section 74 (a)(ii)). A problem (conflict) arises between the Act (RSA 1998b) (interpreted favourably for the municipality) and actual implementation (set in an open democratic context). While only 63% of senior managers were ‘most’ familiar with the Act, (Table 6.4, Chapter 6), a problem arises pertaining to management’s knowledge about the rights of the organised community entities (stakeholders) regarding public purpose, public



interest and PV generation; 26% have some familiarity with the Act and 11% indicated the ‘least’ knowledge of the Act (RSA 1998b).

#### **7.5.4 The Municipal Systems Act, 2000 (32 of 2000)**

The Municipal Systems Act, 2000, (RSA 2000a), hereafter referred to as the Act, draws on section 152 and 153 of the Constitution, (RSA 1996), the developmental aspects stated in the preamble and the ‘objects’ of the Act (RSA 2000a), which concerns community participation, integrated development plans (IDP), resource mobilisation, developmental local government, the need to ‘empower’ the community and performance management in municipalities. Empowerment is an aspect of community engagement, which the Act (RSA 2000a) stipulates in its preamble as being fundamental for community involvement “in the affairs of the municipality”. The Act (RSA 2000a) is vital for the legitimacy and the authority of an IPSS and PV generation, as it relates to:

- Public participation and the need for training in order to engage effectively with members of IOS and effective stakeholders in a defined network (Sections 16, 17 and 21). Training of community organisations and individuals in aspects of housing, environmental (sustainable) development, feedback processes, measurement of performance, scrutiny of political agenda and methods of discursive and deliberative discourse, becomes crucial for effective community engagement;
- The transformative and developmental role of the IDP, expressed in section 23 of the Act (RSA 2000a), directs that communities must be involved in the IDP; however, there is a gap between what the Act (RSA 2000a) directs and what is actually implemented. Community involvement in municipal affairs is ineffectual and hence not in the interest of the public, but more for the preservation of the status quo in municipalities, contained in Section 26(a), i.e. in the interests of the “long-term development of the municipality”;
- The actual links in the Act (RSA 2000a) to public purpose and public interest and hence genuine community engagement, deviates from community expectations. Scrutiny of IDPs of various municipalities revealed that the ‘actual’ contributions from communities are omitted. As municipalities do not have installed e-communication platforms accessible to communities and stakeholders, communication between actors is inadequate. In open responses to Item 4.11 (Chapter 6), senior managers held that municipalities evinced lack of understanding of the value of community engagement;
- Section 24(1) of the Act (RSA 2000a) states that a municipality’s ‘co-operative’ policy

must be scrutinised in relation to cooperative relations with all IOS. As the community, by legislation, is a crucial partner in development, reflection and redirection, it cannot be excluded from the process of scrutinising a municipalities' 'co-operative' policy. Yet communities are not properly prepared (trained) for the task. 88% of senior managers hold the opinion that support is required from top-level managers for the implementation of collaboration with stakeholders; the Act (RSA 2000a) allows for stakeholders' scrutiny of the municipalities' 'co-operative' policy (Item 9.3, Chapter 6);

- The Act (RSA 2000a), Sections 5(1), 38 and 42, in respect of a municipality's performance management system, are open to interpretation on matters such as (i) 'availability' of resources, (ii) acceptable standards, and (iii) 'reasonableness' of the municipalities' capacity for outputs (service delivery) to raise the quality of life of the community. It is clear that these important directives are phrased in a manner as to grant a municipality the benefit of interpretation. Such directives place all decision-making authority at the discretion of the municipal council, thereby placing communities at a disadvantage as the opportunity for collaboration is limited;
- The Municipal Structures Act, 1998, (RSA 1998b), Section 44 (3)(g)(h) and the Municipal Systems Act, 2000, (RSA 2000a), Section 16(1)(a)(b)(i) advocate for community involvement in the affairs of the municipality and place emphasis on regard for public views, consultation with the community and subsequent review by the full council. These directives are made in the context of the spirit of community participation, participatory governance and the review of the performance management system of the municipality. The Act (RSA 2000a), Section 42, directs that a community can participate in the construction of the KPIs and the setting of targets in respect of the performance management system. However, the Act (RSA 2000a) does not specify that a community should be participatory in the performance of the (executive) mayor, the municipal manager and senior 'Section 57' managers; and
- Only fifty-six percent (56%) of senior managers were 'most' familiar with the Act (RSA 2000a) (Table 6.4). Since the Act has hermeneutical issues (language that is open to interpretation), senior managers must take cognisance of the way the Act (RSA 2000a) may disadvantage a community.

### **7.5.5 The Municipal Finance Management Act, 2003 (56 of 2003)**

The primary purpose of the Municipal Finance Management Act, 2003, (RSA 2003), is to

eradicate fruitless and wasteful expenditure in a municipality, as stipulated in section 38. Capital is a scarce resource and hence a municipality must be responsible in its utilisation. This Act (RSA 2003) strengthens the Municipal Systems Act (RSA 2000a), Sections 2(c), 5(1)(i) (ii), and 17 (2) as facilitatory to community engagement. Section 12(3) of the Act (RSA 2003) allows municipal entities to raise funds from external sources for community projects and programmes. Section 22 (ii) directs that a community could make representations to the annual budget which could be of benefit to housing delivery and community services in terms of generating nontangible PV. Section 120(1)(a) of the Act (RSA 2003) holds that a municipality may enter into a public-private partnership (PPP) agreement only if the municipality can demonstrate the soundness of the ‘value for money’ principle. The ‘value for money’ principle is best defined in terms of PV elements, i.e. tangible and nontangible outputs, outcomes, effectiveness, efficiency, sustainability, economic use of resources and compatibility with community demands. The survey results (Table 6.5), indicate that 59% of senior managers were ‘most’ familiar with the Act (RSA 2003). One may assume therefore that senior managers require training to better understand the Act (RSA 2003) in relation to community needs, expectations and stakeholder participation. The open responses to Item 3.3, (Chapter 6), reveal that senior managers could not be precise on the matter of value-for-money and ROI principles (and other financial matters), relative to community engagement, which are according to the researchers’ observation, not deliberatively discussed at community level.

#### **7.5.6 The Intergovernmental Relations Framework Act, 2005 (13 of 2005)**

The preamble and Section 36(1) of the Intergovernmental Relations Framework Act, 2005, (RSA 2005), highlight the following relevant points concerning municipalities: (i) consultation between the three spheres of government, (ii) consultation with communities, and (iii) national priorities relevant to development. The preamble is clear on the integrative and co-ordinating directives in the Act (RSA 2005), as it points to utilisable resources vested with the three spheres of government which may be utilised by municipalities in alleviating poverty and promoting wellbeing among the citizens. The preamble also directs the need for “effective, efficient, transparent, accountable and coherent government”. The Act (RSA 2005) is supportive of the initiation of an IPSS generating PV in terms of its democratic principles, which do not oppose (i) collaboration, negotiation or consensus-building between the three spheres of government in the interests of communities, (ii) utilising integration systems that will be in the interests of municipalities and communities with regard to programmes and

projects, and (iii) linking community demands with the United Nations Sustainable Development Goals as a national priority. 21% of senior managers were ‘most’ familiar with the Act; 45% show some familiarity, while 34% of senior managers had the ‘least’ knowledge of the Act (Table 6.5). The Act (RSA 2005) is important for an IPSS, since it legitimises the systemic relevance of integration and collaboration between municipalities and IOS; hence it is important for housing delivery and community services.

#### **7.5.7 The Public Administration Management Act, 2014 (11 of 2014)**

The Public Administration Management Act, 2014, (RSA 2014b), has relevance for an IPSS generating PV in so far as values and principles of good governance are (i) preserved, (ii) promoted in the National School of Government, (iii) used to promote e-government, and (iv) used to justify quality standards (Section 16) in housing delivery, health, education and environment. The Act (RSA 2014b) itself does not contain in-depth directives for transformation, integration and collaboration in municipalities in any detail, but its preamble directs these functions to the appropriate IOS. The Act (RSA 2014b) gives legitimacy and authority to an IPSS generating PV, since Chapters 4 and 5 of the Act (RSA 2014b) promote (i) the values of effective, efficient, economic, transparent and accountable government, (ii) citizens’ wellbeing, (iii) ethical behaviour among administrators, (iv) equitable division of resources, (v) capacity development, and (vi) information technology. Only 5% of senior managers were ‘most’ familiar with the Act (RSA 2014b) and 52% indicated familiarity with the Act (RSA 2014b), (Table 6.5, Chapter 6); such a general lack of knowledge constitutes a problem for communities as they do not derive benefits from the Act (RSA 2014b). Section 14 (a)(iii) and (b) of the Act (RSA 2014b) is important for an IPSS, since it legitimises interactivity between the three spheres of government. The Act (RSA 2014b) supports the systemic relevance of integration and collaboration in housing delivery and community services.

#### **7.5.8 Legislative shortcomings with regard to the integration of housing delivery and community services: South Africa, Namibia and the United Kingdom (UK)**

A constraint prevalent in South Africa and Namibia is that little attention is given to housing delivery and community services as integrally linked functions which share a common needs base and has direct relevance for communities as a single function and service. In South Africa the DSD and DHS are distinct IOS. These functions are structurally, functionally and legislatively fragmented in South Africa and Namibia, which duplicates costs, time and effort.

In the UK social services and housing delivery retain distinct domains but share a work ethic of consultation, legislative consolidation, immediacy and forged bonds of cooperation. In South Africa and Namibia, housing delivery is urgently required. Township inhabitants are left to survive under harsh conditions; informal settlements are retained through the ‘upgrading’ policies at a huge cost to the government. The phenomena of inferior social housing schemes and youths, poor schooling, health deficits, recreational deficits, lack of visible policing, the need for teenage centres, and the poor aesthetic appearance of township housing areas are not addressed through additional legislation and thus has a negative impact on economic progress.

#### **7.5.8.1 South Africa, Namibia and UK housing legislative concerns**

Namibia and South Africa share similar challenges regarding affordable housing and the absence of quality considerations accompanying community services geared to the need for citizens’ development, equity and participation in a growing economy. While these needs apply to UK citizens as well, their systems, infrastructure and support institutions are developed and sustainable. The key legislative attributes which supports an IPSS and PV generation are:

- The Constitution of Namibia (GRN 1990) does not provide direction on matters of public and private housing delivery. Housing delivery is addressed in the Harambee Prosperity Plan (GRN 2016a), government departments, agencies and policies; the shortcomings are, (i) the HPP (GRN 2016a), is merely a proposal of intention and not a community collaborative programme, (ii) the HPP (GRN 2016a), does not claim that it will involve citizens directly in their own development, and (iii) while it intends to provide ‘mass housing’, it does not specify how communities will be involved. The National Housing Policy (GRN 2009:4) and the National Housing Development Act (GRN 2000) does not deal with social and economic development, individual wellbeing, integration between social services and housing delivery, monitoring, evaluation, environmental aesthetics and the path to citizens’ economic prosperity;
- In the UK the Greater London Authority Act, 2007, (GLA 2007), Chapter 24, the Public Services (Social Value) Act, 2012, (GUK 2012), Chapters 3, 6 and 7, and the Housing Act, 1996, (GUK 1996), Chapters 52, 36(2)(e) and 170, directs for cooperation between rendering community services and housing delivery with considerable reference to health determinants, standards for housing, transport services and public safety, relocation to match location with jobs, economic, social and environmental wellbeing and cooperation between local authorities and landlords. While the UK does not have a constitution, existing

legislation appears to be amended often, in accordance with needs and a rapidly changing housing delivery context. The UK government and Homes England (formally Department for Housing, Communities and Local Government) take responsibility for new housing estates with local councils. In the UK the construction of the traditional ‘two-up-two-down’ model has seen modernisation as structural materials, floors, toilet and bathroom fittings have become inferior; and

- The local councils in the UK have an established relationship with the CfPS and QUANGOs, which represent communities. In South Africa and Namibia NGOs assist citizens with ‘starter houses’ and ‘self-build houses’ on a small scale, which is dependent on the supply of land and finance. In both countries, citizens utilise ‘saving schemes’ to augment housing ‘start-ups’. The implementation of public-private partnerships (PPPs) are neglected as a viable option in South Africa and Namibia to support bottom-up housing programmes and projects; in the UK PPPs are implemented and considered a cost-effective means for housing construction and management, with a focus on the common objectives of beneficiaries.

#### **7.5.8.2 South Africa, Namibia and UK housing demand dynamics**

The demand for housing in South Africa and Namibia differ from those within the UK context. In South Africa and Namibia a great number of citizens live in shacks and backyard dwellings which are overcrowded living spaces of poor standard. In addition, in South Africa, there is little integration between the DHS and the DSD. In these developing countries, the lack of integration between these departments has a negative impact on the livelihood of the inhabitants in these ‘townships’. In the UK the demand is high for houses designed for modern living; for purchasers and tenants, housing costs have escalated as land availability becomes scarce (discussed fully in Chapter 4, 5, and Table 7.2 below).

South African and Namibian towns and cities have growth and development potential, hence the growing need for the increase in economic activity, housing development, small trader markets, schools, health centres, public transport systems and community development services. While in South Africa and Namibia traditional cultural bodies exercise rights over land ownership, it is not the case in the UK. In addition, political pressure in South Africa and Namibia for housing delivery contradicts the ‘tribal’ perception of land tenure and land use, resulting in a complex socio-economic problem.

**Table 7.2: Observations, questions and issues regarding South Africa’s housing and community services legislative challenges**

OBSERVATIONS	QUESTIONS and ISSUES
<ul style="list-style-type: none"> <li>• The Constitution (RSA 1996), Section 26 the Bill of Rights, directs that “Everyone has the right to have access to adequate housing”. The clause ‘to have access’ in the context of the statute implies ‘permission’, i.e. conditionality; by implication, informal settlements will never be eliminated, as impoverished citizens who cannot afford rent or obtain a subsidy will prefer to live in a shack at a cost to the fiscus.</li> <li>• An IPSS generating PV supports ‘people-driven’ solutions to housing.</li> <li>• The Housing Act, 1997 (RSA 1997b), the National Housing Code (RSA 2009), the Social Housing Act, 2008 (RSA 2008), links to Social Development but do not address the needs, demands and expectations of citizens directly, and requires streamlining in terms of efficiency, effectiveness, efficacy, equity and public and purpose regarding economic pragmatism.</li> <li>• The IRDP, Enhanced Peoples’ (self-build) Housing Project (ePHP) and the Breaking New Ground (BNG) strategy (RSA 2004b) require streamlining, simplification, a people-centric approach and economic planning as inclusivity and effective governance is lacking.</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent is capital expenditure on affordable housing and informal settlements a sunk cost? Identify the investment component regarding affordable housing and informal settlements.</li> <li>• What integration means are available for closing the spatial divide between the peri-urban and the urban with regard to social and economic development?</li> <li>• The Constitution of South Africa, (RSA 1996), Section 26(2) on the “reasonableness” of utilising available resources, is problematic in respect of its pragmatism.</li> <li>• A problem arises with housing delivery as a ‘top-down’ approach; how are communities included strategically and systemically in the development of their own livelihoods?</li> <li>• The concept of housing people qualitatively and productively is weakly suggested in the ‘housing’ legislation. Why as these directives not stated unequivocally?</li> <li>• Concerns regarding performance measurement of integration, collaboration and PV generation raise questions on: (i) the under-utilisation of monitoring and evaluation processes, (ii) inertia on positive and negative feedback, (iii) inertia on programme and project-specific evaluation, (iv) lack of interest in utilising visual performance tools and (v) inertia on utilising stakeholders (e.g. community) in the construction of performance indicators based on common objectives.</li> </ul>

Source: The author

In the UK this factor does not apply. In the UK the demand for housing is a ‘push’ factor created by a younger generation, while in South Africa and Namibia the ‘push’ factor is created by the demand for housing by the working class. Common policy constraints in respect of housing delivery and community services integration are: (i) hierarchy, i.e. fragmentation in government departments, (ii) intransigence towards innovation, systemic transformation and bottom-up consultation, and (iii) shifting from the ‘sunk-cost’ housing models to ‘investment’ (rental stock) models.

## 7.6 Transformation challenges

The purpose of this theme is to explore the difficulties related to systemic transformation in municipalities. Housing delivery and community services departments serve the same

objectives and strategic intention; hence municipalities need to consider their integration from the perspective of cost, effort and efficiency in order to advance the common objectives of communities (see 7.2). In this regard, collaboration and public engagement would serve the beneficiaries in addressing common ‘transversal’ issues and concerns, as a step towards systemic transformation and efficient municipal operativity. The integration of the housing delivery and community services departments presents a logical step forward for systemic transformation. In the absence of such integration, the systemic problems are a lack of (i) clarity in planning for social and economic progress, (ii) addressing hierarchy, silo-management and red tape, (iii) addressing the current institutional culture, departmental fragmentation and resistance to change, (iv) an effective participatory model for community engagement, and (v) addressing ‘power distances’ within and between departments. Bolden, Gulati and Edwards (2020:26) explores the “mobilisation of systems change”, and “systems leadership’ development” for aiding “cross-sector partnerships” in the public sector. The authors hold that “wicked” public sector problems may be addressed ‘systemically’.

In respect of initiating and implementing IPSS and PV generation, systemic transformation implies a shift from municipal hierarchies to nonlinear IPSSs, the information contained in Figure 6.14, Table 6.19 and open-ended responses, Item 9.16 (Chapter 6) becomes relevant. The transformational process in municipalities begins with establishing its purpose, asking why it is necessary. ‘Transformation’ is applied in municipalities currently without the pursuance of (i) a new vision, (ii) an outline of the complexities, (iii) ‘systemic’ transformation, i.e. from hierarchy to open nonlinear systems (iv) a framework and time frame, (v) utilisation of technological advancement, (vi) questions relating to change in legitimacy and authority, and (vii) consideration of what alternatives are available. Municipal authorities cannot overlook the need for efficiency, effectiveness, equity and efficacy in advancing community aims and broad social goals (see 7.2). Systemic transformation in municipalities, addresses shortcomings such as the behavioural ‘lock-in’ (among executives and senior managers) to the hierarchal status quo and path dependency while allowing the focus on effective public engagement to diminish in the generation of PV outputs, outcomes, adaptation and sustainability. Desing, Brunner, Takacs, Nahrath, Frankenberger, and Hischier (2020:3) puts forward the elements for a resources-based systemic model and framework which approaches the IPSS in sharing the following qualities; it is integrative, cascading, resource-based, environmentally sustainable and inclusive, i.e. socially beneficial to socio-economic progress. The model does not however steer a course towards systemic transformation, in recognition of the disadvantages to socio-



economic progress created by Weberian dominance in the market and in governments.

### **7.6.1 Municipal transformation as an innovation**

Municipalities, in particular, the CCT, have undertaken a transformation process referred to as ‘transversal management’ discussed in sections 6.20 (Chapter 6) in terms of its transformation challenges. In this transformation (integration) process, the organograms of departments have expanded and become more hierarchical (Crous and Goodwin 2017:Interview). Municipalities have not yet reached a point of examining the advantages of distributive-complex network arrangements (Figure 7.4) in order to provide a methodology for an integration process. Municipalities need to accept that integration, stakeholder involvement, community enablement (engagement) and collaboration (with collaborative governance) are associated constructs of the transformation process; one cannot perform the one without the other. The problem areas which arise in the transformation process that municipalities have failed to address are (i) envisioning municipal transformation as an innovation, (ii) recognising that transformation is systemic, i.e. that the system of silo management (fragmentation) and controls could not be retained, (iii) constructing a framework for effective transformation, (iv) building capacity for internal and external relationship building with stakeholders, (v) working with bottom-up innovations regarding housing delivery and community services, (vi) considering shared and integrative leadership, (vii) addressing the barriers listed in Table 7.1, (viii) digital communication, e.g. using Middleware software, and (ix) replacing internal decision making with consensus between municipality and stakeholders.

### **7.6.2 Effective feedback, deliberation and reflection as ‘systemic’ catalysts in an IPSS**

In municipalities, the housing delivery and community services departments’ senior managers, who are at the coal-face of communities, are not familiar with (or have not been exposed to) effective feedback, deliberative dialogue, effective community engagement and reflection procedures as ‘systemic’ IPSS and network catalysts in respect of IPSS and PV approaches (Samson, Adriaanse, Smith, Crous and Goodwin 2017:Interviews) and (Mandlana 2018:Interview). Transformation cannot proceed without positive and negative feedback, as the former is part of the ‘formative’ process, i.e. the co-creation of PV and added PV, while negative feedback is corrective in nature. Municipalities have not yet, in terms of the ‘transformation process’, evinced discursive and deliberative dialogue with stakeholders in formulating commonalities, nor are policies in place for this (Mandlana 2018:Interview).

### **7.6.3 Preservation of municipal institutional culture: Attitudes and behaviours**

This section draws attention to the conflict within municipalities regarding the will of the top-level managers to preserve the institutional culture (shared values, subculture, power relations, policies, decision making) and the organisational structures (hierarchy, silos, authority and management style) relative to the transformation demanded in the modern ‘digital’ era. The initiation of an IPSS becomes difficult as barriers are set up (Table 7.1) to preserve the institutional culture, organisational framework and policies of the municipality. These attitudes and behaviours are not in the public interest, nor do they serve to generate PV, i.e. public purpose. Top-level managers tend to:

- Preserve their links with IOS in the meso and macro-social, political and economic domains and are thereby constrained to act independently in the interest of change;
- Uphold the ‘closed’ and non-transparent appointment of ‘section 57’ top managers; and
- Encourage traditional behavioural patterns of authority within the municipal hierarchy, resulting in a negative impact on staff morale and work processes as change is inhibited by various compliance requirements.

Indicators in the open responses (Chapter 6) offer insights into authority, power structures, resistance to change and ‘seats’ of authority. These indicators are: (i) 28% (Item 8.4) of senior managers expressed genuine concern about their mandate to sign agreements with stakeholders; (ii) only 56.6% (combined means) of senior managers agreed to a shift from hierarchy to open, dynamic integrated systems of operativity (Table 6.19); (iii) under ‘additional comments’ (last page of questionnaire), senior managers stated that ‘buy-in’ from the executive leadership and motivation was required to adopt innovative systems, noting that “conflict of interest will arise between IOS and the municipality” (Chapter 6); and (iv) in the open responses (Item 9.16), all senior managers expressed restraint about their willingness to shift from a hierarchy to open nonlinear systems and indicated that municipalities were not ready for self-management with stakeholder teams, owing to low levels of trust (Chapter 6).

### **7.6.4 Findings regarding constraints to municipal transformation**

The constraining factors to municipal transformation are discussed in section 2.6.2.2 (Chapter 2) by authors Ananda and Proctor (2012:105); Vigoda-Gadot (2003:19-20); Battistella and Chester (1973: 495, 498, 512, 523); Koskinen (2012:285-299); Hartley *et al.* (2013:22) and Jordhus-Lier (2014:169-172) in Chapter 5. Table 7.3 provides evidence from open responses

to Items 8.15 and 9.16 (Chapter 6) which reflect the municipalities' current position on change, path dependency and cognitive conditioning within the municipal hierarchy.

**Table 7.3: Constraining factors and mind-sets as listed by senior managers**

<p><b>Constraining factors regarding resistance to transformation from an IPSS perspective</b></p> <p><b>Item 8.15:</b> 41.6% of the respondents indicated that they would not support operating in a non-hierarchical environment. Government structures are legislated and therefore a non-hierarchical system would not be feasible. Government (IOS) structures are bureaucratic, not nonlinear.</p> <p><b>Item 9.16:</b> Initiating an IPSS, co-management or self-management would not be possible without a conducive legislative and political environment. An integrated stakeholder-driven municipal environment is a 'pipe dream'; it is idealistic, not suitable for the present municipal system. Hierarchy will always be required; municipalities are not yet ready for self-managing teams. The required trust is not present. Responsibility and responsiveness is required from all IOS actors.</p> <p><b>'Additional comments'</b></p> <ul style="list-style-type: none"> <li>• E-governance is required in public participation to ensure effective communication between parties.</li> <li>• Very little analysis of power bases and structures (regarding the top-level managers).</li> <li>• Negative attitudes and personalities of managers are a constraint to collaboration.</li> <li>• 'Buy-in' from top-level managers is required to adopt innovative systems.</li> <li>• Integrated stakeholder engagement needs to be improved between all parties and IOS.</li> <li>• Monitoring and evaluation regarding service delivery should be effective.</li> <li>• Housing belongs to DHS. Housing issues are discussed at IDP meetings, leading to community problems which are structurally hard to solve as the DHS do not attend IDP meetings.</li> <li>• Three municipalities stated the survey to be inappropriate as it bore no relevance to their tasks.</li> </ul>
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Source: The author

However, an overview of the findings indicates that 83% (Item 5.3, Chapter 6) and 71% - 86% (Table 6.6, Chapter 6) of senior managers in the housing and community services departments in municipalities are supportive of the concept of an IPSS and PV generation (and its supporting elements and principles). Table 7.3 also indicates current views relative to an IPSS-initiated transformation process: these include (i) what needs to change, (ii) how implementation may proceed, and (iii) consideration given to community (citizen) demands and expectations.

### **7.6.5 Senior managers' shift from hierarchical to collaborative governance**

Of the 15 participating local municipalities, senior managers at the Bergrivier, Swartland and Swellendam local municipalities categorically expressed their discomfort at the idea of a shift from their current governance system to an open dynamic system of operations and governance. Table 6.19 (Chapter 6) indicates that 56.6% of the senior managers were supportive of such a transition, while 43.4% were opposed to it; one could claim, on the basis

of this result, that senior managers are divided on the issue of collaborative and hierarchical governance. The problem reflects (i) a lack of knowledge and understanding of the nature of an IPSS and PV generation, and (ii) the fear of moving from the known to the unknown. From Chapter 2 (2.6.2.2), Stoker (2006:50) confirms that key challenges in collaborative governance relate to purpose, accountability, oversight, equity and capacity. However, Hamel, Doz and Prahalad (in Khanna *et al.* 1998:193-5); O’Leary and Vij (2012:507) and Mitleton-Kelly (2003:5-25) note that transformative change is inevitably accompanied by (i) tensions driven by competition, (ii) benefits and incentives, and (iii) opportunities pending in alliances. Findings related to item 9.8 (Chapter 6) indicate that only 43% of senior managers agreed that network teams could potentially replace departmental management teams. The open responses to this item indicate that issues relating to accountability and building trust between stakeholders, impact on the (lines of) authority of senior managers, in many cases, negatively.

#### **7.6.6 Transformation in the City of Cape Town**

The CCT initiated a transversal management exercise in 2017, which involved restructuring and the launch of the Organisational Development Transformation Plan (ODTP) (Figure 6.17 refers). The CCT’s IDP drives the strategic plans for the eleven strategic municipal priorities, among which are ‘customer-centricity, ending silos, revision of transport hubs, digital communication, economic inclusion, governance reform, integrated communities, a citizen value awareness programme and reduced wastage’ (CCT 2017:12, 30-31, 121). An integrated strategic framework has not been made clear, nor the way that integrated communities and integrated transport systems are linked to the Metropolitan Spatial Development Framework (MSDF). Given the early stage of the process, many questions remain (Mandlana 2018:Interview). Some of the key challenges facing the ODTP from an IPSS perspective are:

- Synchronising the integration process by addressing (i) existing overlapping functions, (ii) integrative management, (iii) the stakeholder base and (iv) the community’s demands base;
- Finding a suitable methodology for measuring inter-departmental, intra-departmental and external (with stakeholders) integration successes;
- The implementation of a positive and negative feedback system between public managers and between public managers and community representatives (network stakeholders);
- Clarity regarding the integration guidelines, i.e. transformation framework;
- Clarity regarding the integration guidelines policies, i.e. transformation framework policies;
- The retention of line management in hierarchical structures contradicts the transformational

objectives of the ODTP as the latter implies the adoption of integration, collaboration, customer centricity and ‘open’ accountability (CCT 2017:30-31);

- Neglect of the important dynamic of ‘bottom-up’ collaboration, consultation and discourse with communities (as equal stakeholders with the municipality);
- Leadership and authority are vested with the executive leadership and not with a defined stakeholder group to oversee the integration process;
- The programmes, projects and common agenda of the ODTP (CCT) are not clear to the public as they pertain to integrated housing delivery and social services; and
- The CCT has retained its internal, organisational, institutional and systemic composition as bureaucratic and hierarchical. While ‘modernisation’ and ‘transversalism’ are not contextualised in holism, dynamism, nonlinearity and open systems, the CCT has the option to adopt a ‘hybrid’ mode of operativity which will satisfy the CCT’s ‘systemic’ intentions. From an interview, it seemed that the CCT had not yet established a method for effective community engagement (Mandlana 2018:Interview).

#### **7.6.7 Challenges regarding ‘systemic’ transformation effectiveness in an IPSS**

‘Systemic’ transformation effectiveness in an IPSS entails ensuring that implementing gradual change and measuring the success achieved is aligned to PV generation, broad PV goals (stated in 7.2), established trust relationships, satisfying beneficiary expectations, stability and improved social relations at the community level. The challenge in municipalities is to execute transformation effectiveness by (i) supporting stakeholder and community networks, (ii) building capacity, (iii) encouraging integration with external entities, (iv) supporting change, and (v) understanding the context in which change must occur (Figure 2.9, Chapter 2). Transformation effectiveness also concerns the replicability of the processes and good practice in other municipalities and communities. It is against this statement that one may assess the challenges associated with initiating a housing delivery and community services IPSS cluster. Item 9.3 (Chapter 6) indicates that 88% (combined mean) of the senior managers agreed that transformative change must be supported by the municipal executive leadership. The challenges below relate to constraints to ‘systemic’ transformation effectiveness.

- Management practices, attitudes and behaviours which (i) resist change, (ii) resist trust-building with stakeholders operating in networks, (iii) retain silo structures and (iv) excessive hierarchical control will serve to hinder the effective implementation of programme and projects;
- Measuring outputs, outcomes, adaptation and sustainability effectiveness, feedback relative

to reflection and redirection, are crucial transformation process tasks which require effective implementation in a housing delivery and community services IPSS cluster. A critical problem associated with housing delivery and community services monitoring and measuring is the quality of public engagement in the transformation process;

- The municipal executive team and senior managers need to build capacity in holistic development, ‘adaptation’ and ‘sustainability’ as they pertain to financial investment in infrastructure for housing delivery and community services, outlined in Tables 6.20 and 6.21 (Chapter 6); and
- Stytler (2008:1) holds the view that municipalities are “strangled, stifling innovation, experimentation and local responsiveness”; with this admonition in mind, one may highlight the need for effective ‘systemic’ transformation in the development of political astuteness, as politicians have a responsibility for guiding effective transformation in the interest of citizens’ wellbeing (See 7.2).

## **7.7 Implementation of an IPSS generating PV**

The challenges and problems facing the implementation of an IPSS generating PV are complex and require the utilisation of resources, information and capacity (inputs) derived from the municipality, IOS and stakeholders for utilisation in community-based housing and community services programmes and projects; by implication, an IPSS cluster must emerge. The purpose of the municipality as a network ‘hub’ is to implement the documented needs and expectations, broad social goals and the common objectives of communities. The governance function would be collaborative, utilising legislated directives, IPSS instruments (models) and frameworks in order to sustain a positive impact on the implementation process.

### **7.7.1 The IPSS ‘operations’ model**

The challenges of the ‘operations’ model are related to the implementation of a nonlinear, flexible, dynamic, integrated and autopoietic system, utilising a positive and negative feedback system with the same qualities. A crucial aspect of the IPSS and PV generation is the quality of public engagement, with positive and negative feedback processes, based on the emergence of common objectives, civic education and exponential socio-economic development (Figure 2.4, (c), Chapter 2). The IPSS operations model is illustrated in Figure 2.6 (Chapter 2).

### **7.7.2 Key challenges facing the implementation of an IPSS and PV generation**

While the questionnaire results verify an overall positive outcome in favour of IPSS implementation and PV generation in municipalities, the following challenges are likely to emerge in the course of the implementation process. The barriers encountered (Table 7.1) will relate directly to (i) support from the executive political and administrative leadership of the municipality to adopt and initiate a nonlinear system of operativity, (ii) utilisation of existing legislative and regulatory frameworks, and (iii) advancing co-management (and co-planning) with stakeholders in the co-creation (generation) of PV; the challenges are described below.

- **Initiation and adoption of an IPSS and PV generation**

Senior managers in the housing delivery and community services departments (or IPSS cluster) need to promote a holistic approach to the initiation and adoption of an IPSS and PV generation. This measure will integrate the developmental elements from three fundamental sources, namely, the (i) epistemological (improving general education levels), (ii) axiological (how citizens understand value elements such as aesthetics regarding house design and liveability) and the (iii) ontological (how people envision their lives), crucial in facilitating a holistic understanding of development. These three components of nontangible PV demand that municipalities work with their communities and the IOS in the three spheres of government, to effect the utilisation of resources within their municipalities, integrating intra and inter-departmental resources. These considerations compel senior managers to address a nonlinear system of operativity, which involves finding solutions for the (i) cognitive shift from hierarchy to open systems and (ii) reduced uncertainty among managers on the topic of organisational change. The adoption of an IPSS implies the inclusion of stakeholders such as the Department of Education, South African Police Services, hospital nursing staff and social workers, previously considered as stakeholders in housing delivery and community services. The issues that arise in the co-creation of PV, are (i) developing integrative leadership, (ii) encouraging an open, flexible and dynamic leadership style among managers, (iii) understanding PV in terms of tangible and nontangible outputs, outcomes, adaptability and sustainability, (iv) experimentation with hybrid IPSS arrangements, (v) procurement of resources, and (vi) gaining commitment from actors to achieve common objectives (stated in section 7.2).

- **Challenges relating to community engagement**

Community engagement is crucial for IPSS implementation and PV generation, as it is the

source from which the municipality formulates its objectives. The challenges faced by IPSS stakeholder network teams regarding community engagement concerns (i) preparing (readying) communities for education and training, which will enable engagement in housing delivery and community services programmes and projects, and (ii) training municipal officials in understanding community diversity in terms of their social, cultural and economic contexts. These challenges may be extended to engage communities in programmes and projects relating to adaptation and sustainability for an improved environment over the long term. The challenge for the municipality and other IOS is the employment of a bottom-up approach to ensure that the basic measures for public engagement and trust are acknowledged. Municipal managers and communities need to acquire skills in the use of discursive and deliberative (structured) dialogue regarding integrated housing and community services programmes and projects in addressing the challenges of effective community engagement.

Findings in chapter 6 indicate that senior managers needed an understanding of the support required in communities for effecting ‘common objectives’ such as (i) skills acquisition, (ii) information sharing, (iii) open discussion, and (iv) acknowledging community expectations with other stakeholders (Item 5.9, Chapter 6). Challenges such as these indicate that municipalities have no history of developing community strengths with regard to the liveability and quality of life of citizens through housing delivery and community services. The open responses to item 4.11 (Chapter 6) revealed an undervaluing of community engagement by municipal managers through (i) the disregard for community engagement, (ii) ineffective allocation of resources, (iii) lack of staff training in adaptation and sustainability technology, (iv) the weakness of policies on sustainability ‘implementation’ and (v) the lack of extending capacity building to stakeholders.

- **An effective feedback IPSS sub-system**

Municipalities face the challenge of implementing an effective and efficient autonomous positive and negative feedback sub-system, as it is an essential integration ‘communications’ tool not previously utilised. Where there is no feedback system, municipalities are compelled to rely on secondary information and reporting by officials. The omission of a feedback system in municipalities places limitations on the depth of their relationships with stakeholders because their policies for feedback are not (i) designed to operate along the lines of openness, dynamism and flexibility, (ii) consensus-driven, (iii) utilising community expectations, vision,



goals, (iv) highlighting accountability procedures, and (v) encouraging bottom-up approaches. In addition, challenges facing feedback efficiency relate to (i) IPSS network composition, actor strengths, commitment and levels of trust, (ii) conflicting goals, objectives and expectations, (iii) software training in respect of actor management in a network, (iv) acquiring skills in programme and project reflective (review and reward) techniques, (v) levels of accountability and transparency (openness) in programme and project implementation, and (vi) unethical behaviour if and when it occurs.

As municipalities do not have a feedback mechanism, their annual satisfaction surveys are regarded as the formal instrument for engagement with communities. Only 42% (Item 1.4, Chapter 6) of the senior managers indicated their involvement with community satisfaction surveys. This low level of involvement reflects the ‘internal’ focus of municipalities. Items 5.12 and 7.16 in the open responses (Chapter 6) indicate that vandalism, lack of information, differences in political ideology and lack of cooperation between parties were constraining factors in respect of achieving effective engagement with stakeholders.

- **Utilising quality standards in PV generation**

The implementation of an IPSS requires an open approach to the quality of housing by all stakeholders operating in a defined IPSS network. This task is not being performed in municipalities, as the community, an integral stakeholder, is excluded from decisions relating to ‘quality’ in many aspects of housing delivery. ISO 9001:2015 is specifically designed for utilisation by municipalities, providing measures for inputs, outputs, outcomes, adaptability to change and sustainability, regarding housing and community services delivery.

Housing delivery and community services are delivered with a minimum of quality inputs, and at a huge cost to the government. An example of this undertaking is informal housing upgrading, which is unsustainable, lacking in investment potential and not conducive to economic growth and the intellectual advancement of vast sections of the population. While housing delivery utilises government finance on the delivery of PV ‘tangibles’, an IPSS would also take the nontangible PV into account. Only 63% of the respondents gave support to the implementation of ISO 9001:2015 quality standard (Item 2.36, Chapter 6) while 68% hold that ISO 9001:2015 was not put into practice in their departments for the measurement of houses delivered (Item 7.13, Chapter 6); in the open responses senior managers indicated that building

control specification and National Treasury guidelines are used as quality measures. In the open responses to Item 8.6 (Chapter 6), senior managers stated that ward committees, the municipality and stakeholders should engage in the creation of community stability and quality in the delivery of services, in striving for community wellbeing. Open responses by senior managers on the implementation of quality standards, (Item 7.13), indicate that the following (PV) imperatives are required, (i) utilisation of ISO 9001:2015; 68% of senior managers claimed that these quality standards are not utilised, (ii) that ISO 9001:2015 contributes to PV generation, and (iii) ward committees should be involved in monitoring quality in service delivery and (iv) the employ of quality standards is a regulatory requirement (Chapter 6).

The adoption of quality standards in the generation of PV, i.e. housing delivery and its related community services in Namibia and South Africa, has not been effective. Unattractive ‘mass’ housing designs, poor workmanship, lack of greening and poor outcomes in respect of social progress are observable results. This is accompanied by poor environmental infrastructure, poor environmental aesthetics, long distances between their homes and the CBDs, poor- and low-quality transport systems and overcrowding. In South Africa, Namibia and the UK housing delivery is increasingly being negatively influenced by reduced financial resources and land availability, resulting in qualitatively inferior houses built without fixtures, smaller rooms, reduced space for built-in cupboards, family recreation and ultimately reduced privacy (Chapters 4 and 5). Poor regard for the utilisation of quality measures results in a negative impact on liveability, investment value and a subsequent financial burden on the government. The citizens’ right to dignity and economic progress is impaired, particularly where housing needs are the most pronounced, as in Namibia and South Africa.

- **Stakeholder composition and leverage**

The integration of housing delivery and community services, operating in accordance with the principles of an IPSS cluster, depends on how efficiently stakeholders can manage and drive IPSS cluster network organisation, implementation and the leveraging of information, capacity and resources in the interests of generating PV. The challenge for municipalities (and IOS) is the adoption of an open approach to work with community organisations (and other stakeholders) as equal partners to effect positive PV outputs and outcomes. In South Africa and Namibia there are no stakeholder network formations in the form of the IPSS clusters, in respect of the integration of housing delivery and community services with any other function, such as

the IDP, planning and the finance functions of the municipality.

The challenges relating to stakeholder composition and resources leverage for IPSS housing clusters entail (i) procurement of resources requirements from the IOS, (ii) involving IDP and planning departments, as stakeholders, (iii) initiating negotiations with the Provincial Education Department (WCED) regarding the fulfilment of social needs, i.e. effective schooling of children and youth, early childhood education, daycare centres, adult basic education (ABE), civic education, libraries, teenage centres, recreation regarding performing arts, (iv) involving the DSD in community services, and (v) reformulating the budget purpose of the Provincial DHS regarding financial aid. The participation of crucial stakeholders such as the South African Police Services (SAPS) for safety and security facilitation in public housing schemes, the Provincial Treasury Department for the leveraging of additional funding, and universities, schools and healthcare institutions regarding education programmes and projects are necessary. These tangible and nontangible PV inputs are integrally associated with housing developments, citizens' wellbeing, safety and security.

In South Africa, the relationship between stakeholders and the municipality, concerning integrated housing delivery and community services (in an IPSS cluster), is characterised by the following challenges; (i) there is fragmentation between housing delivery and community services which impacts on community satisfaction, (ii) political interference assumes a prominent place and hinders community cohesion, (iii) councillors display self-interest, (iv) officials display perfunctory behaviour, and (v) public participation is preferred in stead of effective public engagement and inclusion. These characteristics are evidenced by the open responses obtained from respondents (2.1 to 9.16, Chapter 6) as follows, (i) not enough open engagement with stakeholders occur, (ii) inadequate means of communication and e-platforms exists, (iii) inadequate inclusion of stakeholders in community meetings, (iv) disputes arise between the municipality and stakeholders owing to the lack of openness, (v) building trust relationships lacks priority, (vi) co-planning lacks priority, (vii) the importance of stakeholders' involvement in programmes and projects, (viii) absence of stakeholder attendance at ward committee meetings, and (ix) no stakeholder involvement in community satisfaction surveys.

The perception among senior managers in respect of stakeholder involvement is negative (in the range from 7% to 53%) on issues relating to actual involvement in housing programmes and projects, innovation and collaboration on housing issues (Item 1.5, Chapter 6). 73% of

senior managers agree that a renewed engagement with stakeholders is required (Item 2.1), 44% of the senior managers held that e-platforms were required (Item 2.5) and 91% held that improved communication and consultation with stakeholders were required (Item 2.19, Chapter 6). Senior managers held that they need relationship building (through collaboration) with stakeholders; the latter seems to be supported, but not manifested (Item 1.6, Table 6.3 and Item 1.7.8 in Table 6.4), where 89% of senior managers believe that political interference erodes relationship building with stakeholders (Chapter 6).

- **Innovation as integral to IPSS implementation and PV generation**

The challenge of initiating, adopting and implementing a network, nonlinear IPSS mode of operativity for PV generation, compels the “diffusion” of innovation (Ceci and Iubatti 2012:565). This implies that innovation is necessary, natural and unavoidable at every point in the ‘four states of IPSS productivity’ (see 2.5.1, Chapter 2). Innovation is required to advance housing delivery and social services in a more qualitative, effective and efficient manner, bringing to it a modern element. Advancements made in housing technology pose a challenge for municipalities and stakeholders to utilise innovations in low-cost affordable housing, community services and infrastructural demands which are cost-effective, efficient, modern and aesthetically pleasing, in the interest of broad PV goals (outlined in section 7.2). Similarly, digitalisation reduces the time consumed in respect of actioning tasks required in community services, because e-platforms facilitate communication between beneficiaries and municipalities. Two critical challenges regarding innovation are: (i) while survey results point out that senior managers welcomed innovation, the municipal executive leadership lags behind them in promoting flexibility and stakeholder engagement to implement such action in housing delivery; the open responses indicate that the five criteria given (in Item 4.14) are not supported by the municipal executive leadership; in Item 9.14, senior managers show ambivalence in this regard, and (ii) Item 1.5 (Chapter 6) indicates that only 33% of senior managers worked collaboratively with those engaged in innovative activities. Considering the need for innovation in the integrated housing delivery and community services model, such as the implementation of an IPSS cluster, a challenge arises regarding the willingness of senior managers to advance bottom-up innovation; findings show that 76% of senior managers regard flexible work modes as innovative (Item 8.3, Chapter 6), while 95% were not opposed to innovation from the stakeholders (Item 8.17.5, Chapter 6).

- **Training to enhance capacity**

According to the questionnaire, Item 1.6.2 in Table 6.3, indicates that 95% (a combined mean) of the senior managers regarded building consensus between municipalities and communities, as crucial, and for which training to enhance capacity was required (Chapter 6). Item 2.36 tested training in the utilisation of ISO 9001:2015 that would add value to the work of senior managers; however, only 63% (combined mean) of senior managers supported this view (Chapter 6). Capacity building is required in (i) the formulation of sustainability elements and measures (Item 4.11, Chapter 6) and (ii) participatory housing delivery planning with communities and stakeholders. Table 6.20 lists IPSS elements for internal capacity building and Table 6.21 the elements for external capacity building (Chapter 6).

## **7.8 IPSS operational performance**

The purpose of performance measuring in an IPSS is to quantify successes and failures in integrated housing delivery and community services, implemented by an IPSS cluster. IPSS cluster performance measurement also aims to quantify learning experiences and systems' credibility, in respect of achieving the common objectives and broad social and economic goals set out in section 7.2. In this regard, the measurement and reporting process demands an assessment of (i) the operational 'states' in generating PV (Figure 2.6, Chapter 2), (ii) stakeholder networks operativity, and (iii) the feedback process, measuring PV outputs, outcomes, adaptability and sustainable development.

### **7.8.1 Identifying the challenges in IPSS performance management**

Challenges regarding the IPSS performance process in housing delivery and community services are the following: (i) training is required for the operation of an autonomous positive and negative feedback system, (ii) perennial reporting (looking back and looking forward continuously), (iii) measuring PV tangible and nontangible outputs, outcomes, adaptability and sustainability, (iv) learning from the reviews and reflections of stakeholders, and (v) churning results back into the 'positive' cycle of the feedback mechanism. The IPSS and PV theory developed in Chapters 2 and 3 presents important KPIs for performance evaluation.

### **7.8.2 Challenges relative to IPSS performance in the municipal context**

Challenges in IPSS performance management, for the housing delivery and community services IPSS cluster, concerns the assessment of (i) IPSS cluster values and principles, and

(ii) probable operational arrangements with a municipality (assuming a traditional hierarchical or hybrid relationship). It is common within municipalities, under the current system, to divest performance management and performance evaluation from involvement by community stakeholders and to regard the performance function as ‘internal’. An IPSS demands a holistic approach to the management of performance and operations, a bottom-up approach and motivation to achieve community objectives and broad PV goals.

- **Utilising an internal, linear, siloed approach to performance management**

Municipalities in the Western Cape province are utilising an internally focused siloed approach to performance management; assessments are conducted annually, interpreted and utilised for annual reporting within the hierarchical structure of municipalities. Community organisations, despite legislation prescribing their involvement, as directed by the Municipal Structures Act, 1998, (RSA 1998b), Section 44(3)(g) and the Municipal Systems Act, 2000 (RSA 2000a), Sections 16(1) and 17(2)(d), are not involved in a meaningful way. Annual community satisfaction surveys are top-down and inadequate for empirical analysis, hence ineffectual for empirical analysis by IPSS stakeholders. During the data-collection period, the researcher was unable to establish the precise methodology utilised in respect of community satisfaction surveys. In respect of Item 9.12 (Chapter 6), 67% of the senior managers supported the view that the current governance system is internally focused. The open responses reveal that communities are often consulted after decisions have been made, as the current system does not favour effective community engagement. Extended research is required in housing delivery and community services performance reporting in order to observe levels of inclusivity, openness and integration, in relation to IPSS and PV generation adoption.

Namibia and South Africa lag behind the UK, particularly with regard to (i) the efficient and effective application of resources, capacity and information dissemination to citizens, (ii) the difference in the quality of life enjoyed by the individual, (iii) political accountability, and (iv) citizens’ participation with IOS in voicing their needs and expectations on housing.

- **Systemic value of current municipal performance system**

The performance of the housing delivery and community services outputs and outcomes regarding interconnectedness, i.e. transversal (cross-cutting) activities, requires effective monitoring and evaluation. The systemic value of the current municipal performance system is

calculated in terms of its effectiveness, transparency and accountability to stakeholders. The systemic value of the current municipal performance system is also contained in 'what' it measures, such as (i) target goals achieved, (ii) quality of community engagement, (iii) how information is shared, (iv) resources utilisation, (v) inter- and intra-disciplinary collaboration (vi) cost analysis, (vii) successes or failures of innovations, (viii) quality of 'review' reports, (ix) auditing reports, and (x) programme and projects stakeholder satisfaction. In respect of Item 9.9 (Chapter 6), 54% of the respondents agree that collaborative governance has not been implemented in municipal departments, an indication of weak performance reporting to stakeholders. While respondents claim in the open responses (Item 9.9, Chapter 6) that portfolio committees, interdepartmental management collaboration and working groups are functioning, one might assume that these forms of integration require effective evaluation.

The stakeholders involved in housing and community services delivery are the municipality, the beneficiary community, the (private) construction company, provincial governments' Departments of Social Development (DSD), the DHS and stakeholders such as the DAG. These parties require detailed and analytical municipal performance reports on the ten points stated above. Limited forward planning occurs without empirically sound performance analysis, noting the omission of beneficiary inputs regarding their common objectives and broad social goals incorporating the tangible and nontangible PV (see 7.2).

Theme 7 (Chapter 6) tested 16 performance management functions (tools and techniques) in order to assess the respondents' perception of their utilisation in municipalities. Table 6.13 reveals that a combined mean of 66% is obtained for the 16 items, i.e. IPSS performance management functions, tools and techniques; while 16% 'strongly agree' to the appropriateness of the items, only 50% 'agreed' Chapter 6). This result indicates that an investigation into the utilisation of performance management functions is required. Two results are of particular importance concerning the performance management functions in municipalities, namely, i.e. Items 7.4 (given a combined mean of 43%) and 7.13 (given a combined mean of 32%), for utilising a performance management team and quality standard ISO 9001:2015, respectively (Chapter 6). One may assume that while IPSS performance management functions, tools and techniques are potentially implementable in municipalities, these have not been effectively 'reality tested' in municipalities and communicated to stakeholders; however, a number of concerns have been expressed by senior managers:

- Only thirty-two percent (32%) of senior managers (Item 7.13, Chapter 6) claims that the utilisation of the ISO 9001:2015 service delivery standard (or similar standard) is adequately utilised. While building control quality standards, National Treasury frameworks and guidelines, IDP and SDBIP performance indicators (linked to a strategic focus and IDP objectives) are being used, one cannot claim that these standards are appropriate for community development, as there is no evidence to show their effectiveness as municipalities are not transparent on how they formulate performance measures and whether communities participated in the process;
- Sixty percent (60%) of senior managers claimed that visual performance tools are used at community meetings; however, the open responses claim that visual performance tools are not used in community meetings (Item 7.3, Chapter 6);
- Eighty-two percent (82%) of the senior managers held that PV generation by IPSS stakeholder teams would be more effective than services delivered by departments since stakeholders offer wider representation with a holistic approach (Item 9.15, Chapter 6); and
- Senior managers claim that there is little understanding of social wellbeing in municipalities; 75% claimed that there were no indicators formulated for the measurement of social wellbeing (Item 7.12, Chapter 6).

- **PV generation**

Municipalities do not involve stakeholders in the formulation of indicators for service delivery, as they are compelled to do by law. In the case of an IPSS cluster, municipalities would involve stakeholders in the formulation of indicators regarding PV generation, in respect of evaluating inputs, outputs, outcomes, adaptation and sustainability. Tables 6.9 and 6.10 (Chapter 6) present ten IPSS elements appropriate for the evaluation of PV generated by stakeholders; the range of acceptance by senior managers of these elements is 82% to 98%. Given the implementation of an IPSS (or IPSS cluster) in municipalities, the appraisal of standards, waste eradication and quality of PV generation, can be effectively and efficiently measured. Items 1.3.1 to 1.3.9 (which are measurable) indicate strongly, in the range of 74% to 91%, that senior managers' work domains incorporate these essential IPSS functions as a basis for the future implementation of an IPSS and PV generation. Poor performance in respect of housing delivery and community services, i.e. PV generation, relate to:

- Poor infrastructure in public housing areas (townships);
- Little effort by municipalities to establish relationships with communities;



- Low income per capita of beneficiaries, which intensifies their difficulties in living far from the CBDs, owing to the lack of a safe, affordable urban and rural transport network;
- Underutilisation of appropriate NGOs;
- The need for skills development to increase competency and certification in housing delivery with the consideration for integration with the community services function; and
- Underutilisation of research in respect of (i) community needs, (ii) capital investment models for increased qualitative liveability, (iii) innovation stemming from communities, and (iv) innovation in building design and materials that would reduce costs and enhance comfort and create more pleasant modern environments.

Given the factors influencing municipal performance, one may refer to the efficiency and effectiveness of the C2-Connecting Communities regeneration programme (Chapter 4) which has expanded in the UK since its inception in the Cornwall-Penwerris district since 1995. South Africa and Namibia do not have programmes such as the C2-Connecting Communities regeneration programme because (i) a champion (pioneer) has not emerged, (ii) political, municipal and IOS accountability to communities have not developed, (iii) the will, knowledge and skill (and capacity) for implementation is not evident, (iv) the awareness among managers of the need for integration and systemic change has not developed, and (v) there are no network technology and stakeholder-driven programmes and projects.

From the questionnaire results, in Theme 6, overwhelming support is indicated for 25 IPSS and PV measures (Figures 6.10, 6.11 and Table 6.12, Chapter 6) with a combined mean of 90% for their ‘importance’. However, these measures will only apply in the context of an IPSS or IPSS cluster, but not so much in a hierarchy. Specifically related to PV generation, Item 6.1.5 indicates that 30% of the senior managers found it the ‘least’ important to involve politicians in the generation of PV. Table 6.4 (Chapter 6) presents 8 accounts of the negative impact of political meddling in the administrative affairs of municipalities. In respect of Items 6.1.3 and 6.4.4, 100% support was given to trust-building with stakeholders. These results indicate a positive approach to IPSS measures for the co-creation of PV.

- **Challenges in collaborative governance, digitalisation and feedback**

Municipalities fail to acknowledge the required links and integrated relationships between collaborative governance, digitalisation and feedback; these IPSS performance management functions cannot operate independently. Municipalities have critical weaknesses in each one of

these functions and have not yet considered integration in this regard. A structural problem in housing delivery performance (in South Africa) arises which may be attributed to the non-existence of collaborative governance practices in municipalities and their related infrastructural (ICT) support systems, such as digitalisation in facilitating integrated communication and feedback of results (reports) and opinions (reflection and review) of stakeholders. The findings (Chapter 6) show that (i) 67% of senior managers hold that collaborative governance (if employed) is ‘internally’ focused (Item 9.12), (ii) 54% hold that collaborative governance has not been instituted in municipalities (Item 9.9), and (iii) 39% (Item 2.13) claim that collaborative governance is purely theoretical at this point. An interpretation of the foregone findings shows much uncertainty among senior managers on the interconnectedness of IPSS tools and techniques.

E-government, i.e. digital communication between IOS and stakeholders, does not exist in municipalities in a balanced and effective way; 83% of the respondents claimed that these functions were required in their municipalities (Item 4.17.1, Chapter 6). Forty-four percent (44%) of senior managers agreed that a communication infrastructure, which facilitates collaboration between stakeholders in municipalities, were not in existence in municipalities (Item 2.5, Chapter 6). The open responses to Item 2.5 reveal that factors such as budget contingencies and political divergence in communities inhibit the development of a common e-governance platform (Chapter 6). Thirty-eight percent (38%) of senior managers agreed that feedback infrastructure to communities were not available and that budgets are required for the effective development of digital platforms for stakeholder utilisation (Item 2.6, Figure 6.3, Chapter 6). In addition, senior managers have rated the need for the utilisation of digital technology for internal and external communication as 69%, is a combined score for ‘highly important’ and ‘important’ (Item 3.2.1, Chapter 6).

- **Community engagement as a crucial element of IPSS performance management**

As a governance best practice and legislative concern, community engagement, a crucial element in IPSS performance management, presents a challenge regarding its implementation in municipalities. The challenge of employing discursive and deliberative dialogue in municipalities as a measurable means to engage stakeholders and politicians is intended to advance the recognition of community engagement as a critical element in municipal performance management; municipalities have failed to recognise this imperative.

In respect of programmes and projects performance outputs and outcomes in housing delivery and community services, community engagement is critical in playing a catalytic role. These attributes need to be recognised by municipalities. Community engagement demands prior education and training actuation in order to build capacity and enablement to effectively engage with managers in municipalities and IOS. Table 6.6 (Chapter 6) presents ten IPSS ‘collaborative governance and integration’ performance elements, ranked between 71% and 86% by senior managers, indicating required training areas for community engagement.

The performance management constraints pertaining to community engagement in housing delivery and community services must include the poor utilisation of innovation. Innovation of various types requires infrastructure that can sustain a digital communication system, an effective feedback mechanism as well as effective and efficient engagement between stakeholders, including the municipality. The constraints which inhibit innovation are simultaneously constraints which inhibit (i) adaptation to new environments, (ii) a focus on citizens, (iii) sustainable development training and measurement, (iv) mitigation of resource wastage, (v) control of in-group and out-group bias, (vi) the elimination of gatekeeping, and (vii) organisational dynamism. From the findings, 95% of senior managers indicated a welcoming approach to inviting innovation from stakeholders (Item 8.17.5, Chapter 6). The open responses to item 4.14 (Chapter 6) indicate that senior managers regard innovation as PV creation in the interest of community wellbeing.

- **Managing performance of policy**

An assumption may be made (given the current context of municipalities and based on poor community engagement) that the ‘public ratification’ of policy formulation, its approval, initiation, review and alteration, particularly in the domain of housing delivery and community services, performs poorly. The challenge in this regard concerns policy planning, stakeholder participation in policy formulation, implementation and appraisal. Owing to a lack of community education, policy management shows poor outcomes, which are rarely reported.

The policy matters of performance measurement, therefore, cannot be credible as reported in all municipal annual reports. 84% of the senior managers held that policy implementation is an internal function (Item 1.3.2, Chapter 6). The open responses to Item 8.4 (Chapter 6) indicate that senior managers hold the ‘full’ council to account for determining the ‘roles and

responsibilities' of decision making in respect of policy management. By implication, the executive leadership of the municipality is responsible for policy successes and failures. In South Africa and Namibia, ongoing support for housing delivery policy after beneficiaries have taken possession of their homes is weak and lacks monitoring, evaluation and policy development in enhancing services to citizens (Chapter 5).

- **Financial auditing and planning**

Municipalities have internal and external support structures and functions to ensure effective and efficient financial auditing and planning. An assumption may be made that other than the annual Service Delivery Budget Implementation Plan (SDBIP), communities and stakeholders are not adequately involved in the financial affairs of the municipality, as specified in the Municipal Systems Act, 2000 (RSA 2000a) and the Municipal Finance Management Act, 2003 (RSA 2003), in Sections 7.5.4 and 7.5.5 respectively. Item 4.10 (Chapter 6) indicates that 88% of senior managers hold that the municipality has limited financial resources of the municipality does not meet the housing needs of citizens, owing to (i) increased migration from towns into cities, (ii) weak management of the budget process, (iii) high unemployment, (iv) limited borrowing potential of municipalities, and (v) a lack of 'internal' capacity (Item 4.10, Chapter 6) to administer effective budgeting. The open responses to Item 5.9 (Chapter 6) reflect senior managers' interest in sharing information and 'finding' the finances for joint ventures in respect of fulfilling the common objectives of the community. The open responses to Item 7.5 (Chapter 6) reveal that limited financial resources impact negatively on programme and project evaluation in the housing and community services departments, hence the financial reporting evaluation process requires more stringent auditing and planning guidelines.

From a basic study of Western Cape provincial government (DHS) Annual Report (WCPG DHS 2017:27, 105), one does not find comprehensive performance reporting on successes, failures and methods used for mitigation or remedy of the problems encountered in housing delivery; the reports are short and unhelpful for research. From the Annual Report 2017, the following observations were made: (i) community "instability owing to land invasions and protests" creates risk as property damage is a 'cost' to the DHS (WCPG DHS 2017:23), and (ii) 27 planned human settlements were allocated between the 25 local municipalities in the province which are aligned to the IDPs of the municipalities and the objectives set out in 'Outcome 8' of the national performance agreement on housing delivery with IOS.

The information provided in the report is not sufficient for in-depth analysis; a comprehensive research study is required to assess the efficiency and effectiveness of financial auditing as performed by the political and administrative departments of the 30 municipalities in the Western Cape province as they relate to housing delivery and community services; such reports can identify lack of efficiencies, duplication and resources wastage as these pertain to community needs and expectations. In the CCT the ‘mayoral dashboard’ is used as a performance tool and periodic corporate scorecard, based on the Management Performance Assessment Tool (MPAT) and the organisational performance management system (OPMS). A housing delivery and community services IPSS cluster would require (i) a focused financial framework, (ii) financial and material auditing guidelines, aligned to the common objectives and broad social and economic goals of specific communities, and (iii) regular feedback on the skilled utilisation of resources. From a cursory study of reports (CCT 2011) it is evident that budget allocations in the SDBIP are inadequate for regeneration programmes in the townships and for nontangible PV programmes and projects in new housing areas. Problems indirectly related to financial auditing are:

- Political point-scoring between parties, which does not serve to create value;
- Suspicion between political parties based on differences of opinion;
- Reluctance of the municipality to promote cost-saving innovations;
- Absence of councillors at important community events may be a cost; and
- The potential PV embedded in the various cultures within communities is overlooked by municipalities and therefore the opportunity costs are lost (Essop and Momberg 2013).

The role of the community is doubtful in the auditing and planning process as only 56% of senior managers hold that the finance departments of municipalities are present at meetings concerning community development (Item 1.4, Chapter 6). A challenge arises for the IPSS stakeholder team to have representation from other departments of the municipality and from government departments such as the national and provincial SDS, DHS and the Department of Education to contribute to financial auditing and planning meetings, as this concerns community development (Open responses to Item 2.1, Chapter 6).

## **7.9 Summary**

This chapter evaluated the conceptualisation of an IPSS generating PV in terms of the problems and challenges experienced in six themes, viz. (i) current municipal dynamics regarding

housing and community services delivery and as a future IPSS cluster, (ii) IPSS and PV systemic properties, (iii) legitimacy and authority of stakeholders, (iv) systemic transformation, (v) implementation of an IPSS generating PV, and (vi) functional performance of an IPSS generating PV. The holistic approach to the IPSS and PV generation included the municipality and the community as crucial stakeholders. In initiating an alternative system of operations in municipalities, one is required to factor in existing frameworks, such as the spatial development frameworks, existing stakeholders in respect of budgets and research completed; existing instruments such as these need to be discussed in effective public engagement settings and in relation to the implementation of community programmes and projects in order to verify common objectives.

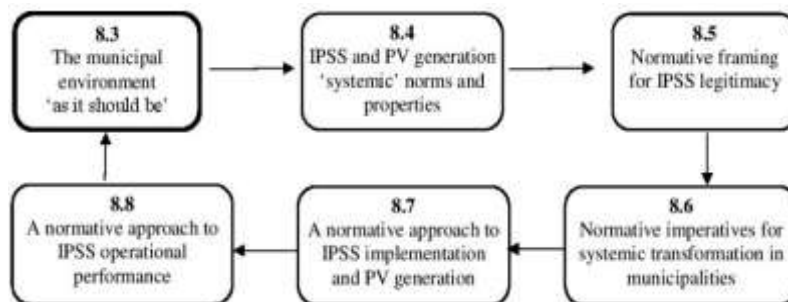
It is clear that local government legislation does not oppose the initiation of advanced systems (compared to the existing municipal system) for bringing about greater effectiveness, efficiency, cooperation and coordination to the task of delivering services to citizens. In addition, there is no prescription placed on municipalities not to make independent decisions in favour of their communities. Beyond this argument, one finds more adaptive stakeholder-oriented IPSS instruments, such as collaboration, networked governance, collaborative governance, integration and integrative management, which are utilised in generating PV through the establishment of an IPSS or a series of IPSS clusters in municipalities.

## CHAPTER 8

### A NORMATIVE APPROACH TO THE INTEGRATED PUBLIC SERVICE SYSTEM (IPSS) AND PUBLIC VALUE (PV) GENERATION IN THE WESTERN CAPE PROVINCE MUNICIPALITIES

#### 8.1 Introduction

A ‘normative’ approach to an IPSS and PV generation, presents a case for municipalities to deliver services ‘as they should be’, maximising efficiency, effectiveness and economy in producing the desired satisfaction for its citizens. This chapter offers solutions and recommendations to the challenges addressed in Chapter 7. The experimental strategic direction for municipalities to implement an IPSS and PV generation would be framed in a normative approach, intended to encourage municipalities to adopt sustainable solutions, effective and efficient institutional and organisational development, at the micro-level. Figure 8.1 presents an outline of the normative rationale for this chapter structure, which is linked to the challenges, concerns and problems outlined in Chapter 7.



**Figure 8.1: Normative rationale for chapter structure**

Source: The author

#### 8.2 Acknowledging key IPSS and PV normative imperatives

Municipal vision, public purpose (targets and goals), service delivery, PV generation and strategic municipal intentions are the key areas for applying normative principles in the interests of citizens’ wellbeing. This path towards understanding an IPSS and IPSS clusters, particularly in housing delivery and community services, leads to the acknowledgement of the qualitative difference between service delivery and PV generation, as explained in Section 6.11 (Chapter 6). A community is satisfied through efficient and effective service delivery and PV generation, both equally necessary to sustain the socio-economic progress and wellbeing of citizens. Table 8.1 proposes normative imperatives for bottom-up tangible and nontangible PV

generation, guided by common objectives for the attainment of broad, long-term PV goals (as stated in Sections 7.2 and 8.2).

**Table 8.1: Normative imperatives for IPSS implementation**

Reference: Chapter 7	What needs to change	Recommendations	Instruments, tools and techniques (how)
Section 7.2	Municipal purpose and vision	Current municipal purpose and vision should be synchronised to stakeholder common objectives (communities being stakeholders in a defined network, driven by broad social and economic goals) (Sections 7.2 and 8.2).	Community demands and expectations IPSS frameworks for programmes and projects.
Theme 2. Section 6.11. Chapter 6.	While service delivery means the supply of basic ‘bulk’ services, housing and community services, PV generation in both tangible and nontangible forms signifies the co-creation of social wellbeing (PV) in communities.	The distinction between service delivery and PV generation (Section 6.11) must be made for effective orientation to municipal purpose, management training and community enablement.	All IPSS instruments, tools and techniques stated in this chapter.
Section 7.2 Figure 7.2	Municipal strategic intention and direction	Align or position the municipality to: <ul style="list-style-type: none"> <li>• Absorb IOS resources information and capacity from the three spheres of government;</li> <li>• Engage the community as a key stakeholder in a defined network.</li> </ul>	Adoption of the 20 elements of an IPSS generating PV in Figure 7.2; education and training are necessary in this regard.

Source: The author

### 8.3 The municipal environment ‘as it should be’

As the municipal environment is contextualised in a hierarchy, regulation and compliance requirements, a hybrid ‘operation’ is proposed, utilising both IPSS (and IPSS cluster) components geared to ‘local’ programmes and projects, PV generation and the existing municipal structures, functions and practices. The co-existence of the two systems in parallel should initiate an IPSS and PV generation in municipalities in the future.

#### 8.3.1 Status quo, inertia and path dependency in municipalities

Communities are not able to influence a municipalities’ strategic intention and direction regarding cognitive shifts, municipal organisation, operational and institutional culture. One may deduce that ‘systemic change’ can benefit stakeholders and municipal officials



simultaneously, particularly in housing delivery and community services as these functions relate directly to citizens' wellbeing. Table 8.2 below provides recommendations for enhancing community engagement as a critical IPSS induction factor, in line with IPSS operativity and PV-generation elements.

**Table 8.2: Status quo, inertia and path dependency in municipalities**

Reference: Chapter 7	What needs to change	Recommendations	Instruments, tools and techniques (how)
Section 7.3.1 (Chapter 7)	The fixed focus on maintaining municipal hierarchy, fragmentation of functions and strict internal focus, i.e. a static municipal environment (8.3.1.1).	Municipalities should effectively utilise integration, stakeholder participation (public engagement), develop an 'external' focus, open collaboration and holistic, dynamic and flexible approaches to operations. It is necessary to focus on tangible and nontangible PV generation (outputs and outcomes).	Chapter 8 provides instruments for operations and performance management of an IPSS or IPSS cluster (housing delivery and community services).
	Hierarchical systems must allow for co-existence with network systems to effect integration (8.3.1.2 and 8.3.1.3).	Stakeholder networks with network performance measures and digitalisation should be utilised to effect integration and collaboration, taking account of endogenous and exogenous as well as interdisciplinary factors.	An IPSS generating PV is appropriate. Middleware and Gephi tools measure network performance, development and stagnation.
	Monitoring, evaluation and performance measurement require re-scoping in municipalities.	Measure efficiency and effectiveness of outputs, outcomes, adaptation and sustainability with IPSS KPIs, some of which are listed in Figure 6.10, Chapter 6.	Performance models for dashboard reporting with positive and negative feedback reporting is recommended.
	'Good' governance and 'corporate' governance utilised in municipalities emphasise an 'internal' focus, inhibiting dynamism and flexibility within municipalities (8.3.1.2).	Initiate collaborative governance principles, practice and policies, review existing policies, reduce red tape, inspire flexible management practices, reduce compliance and eradicate non-value-creating controls, which should advance efficient and effective management.	Utilise the collaborative governance regime (CGR) explained in Emerson and Nabatchi (2015).
	Path dependency (8.3.1.2).	Holistic visioning, reflection and review workshops for introspection on institutional barriers blocking the municipal developmental role.	Unlearn path dependency through education and training.

Source: The author

### 8.3.1.1 From static to dynamic municipal context

In council meetings, attended by community representatives, municipalities should conduct open dialogue on the adoption of an IPSS and PV generation, as co-existing (complementary) structures to a hierarchical organisation. Fragmentation should be phased out to cement (i)

inter- and intra-departmental integration, i.e. IPSS cluster formation regarding housing delivery and community services, (ii) collaborative governance with stakeholder participation, (iii) civic education, and (iv) community engagement, which should replace public participation. Stakeholders should address the need for managerial effectiveness, digital communication platforms, accountability and common IPSS and PV objectives (Table 8.2 refers).

### **8.3.1.2 Shaping a new municipal paradigm**

The solution and required reorientation for reversing managerial inertia, path dependency and municipal internal focus, outlined in Table 8.2, are to steer thinking, through training, towards the practice of (i) municipal dynamism, (ii) community enablement, (iii) utilisation of networks for engaging stakeholders, and (iv) broadening the scope of enquiry for public managers through the reduction of red tape. The motivation for training in this regard is to engender (i) self-management, (ii) the implementation of common objectives, and (iii) flexibility in action.

### **8.3.1.3 Advancing holistic, realistic and flexible insights in management practice**

Statistical findings (Chapter 6) indicate that 76% (N = 40) of senior managers are enthusiastic to embrace new ways of working and were supportive of utilising holistic, realistic and flexible management practices with an openness to innovation and the application of sustainability measures (Item 8.3, Chapter 6). In addition to this advantage, no opposition was encountered among senior managers to the notion of sharing ideas with stakeholders. Training should increase capacity among senior managers in respect of holistic visioning, social cohesion, interdisciplinary exchanges and maximising the benefits of democratic engagement for PV generation, as the outcome of integration, as outlined in Table 8.2.

## **8.3.2 Overcoming fragmentation through connectivity, self- and co-regulation**

Fragmentation in municipalities is addressed through understanding and training in holism, interdepartmental integration, interdisciplinary connectivity, self- and co-regulation (with stakeholders). Self-regulation implies focusing on the application of IPSS and PV elements. Flexibility in managerial behaviour allows managers to adopt a path to close existing gaps between the community and the municipality, hence creating enhanced positioning to comprehend community expectations. Training in this regard is recommended. Tables 8.3 and 8.4 offer training elements and tools for increasing awareness among stakeholders, from an IPSS perspective, of the elements leading to fragmentation and those for enhancing managerial flexibility, dynamism and interconnectivity. Table 8.4 offers recommendations for avoiding

duplication, strategic streamlining between departments, and waste reduction to increase efficiency, effectiveness and IPSS viability in housing and community services delivery.

**Table 8.3: Training elements for achieving holism, connectivity and self-regulation**

<b>Elements relevant to fragmentation</b>	<b>Elements relevant to holism, connectivity and co-regulation</b>
<ul style="list-style-type: none"> <li>• Bureaucracy.</li> <li>• Closed entities (departments), each with its independent purpose.</li> <li>• Secrecy, power and control.</li> <li>• Bureaucratic.</li> <li>• Antagonism between officials.</li> <li>• Hierarchical organisation.</li> <li>• Authoritarian management style.</li> <li>• Inaccessibility to top managers.</li> <li>• Negative attitudes.</li> <li>• Resistance.</li> <li>• ‘Good’ governance problems.</li> </ul>	<ul style="list-style-type: none"> <li>• Integration.</li> <li>• Openness.</li> <li>• Dynamism.</li> <li>• Knowledge sharing.</li> <li>• Trust between actors and stakeholders.</li> <li>• Flexibility.</li> <li>• Accountability.</li> <li>• Inclusivity and transparency.</li> <li>• Digital communication.</li> <li>• Innovation.</li> <li>• Community engagement.</li> <li>• Collaborative governance.</li> </ul>

Source: The author

**Table 8.4: Training tool for addressing duplication and fragmentation between departments**

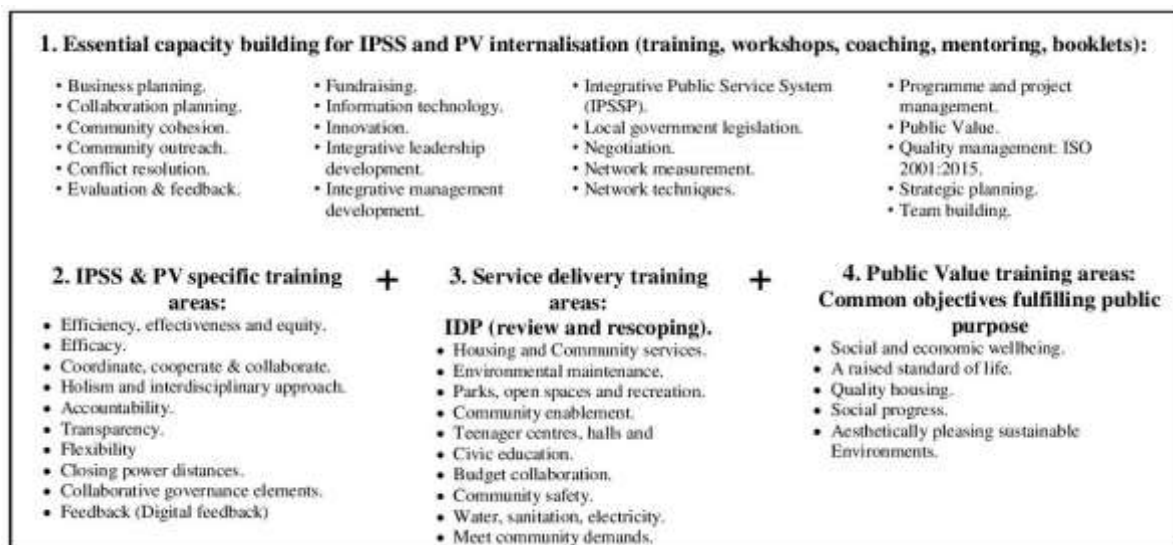
<b>Reference: Chapter 6 and 7</b>	<b>What needs to change</b>	<b>Recommendations</b>	<b>Instruments, tools and techniques (how)</b>
Tables 6.20 and 6.21, Chapter 6.  Section 7.3.2	Duplication (overlap) and fragmentation characterise the housing delivery and community services functions.  Fragmentation, inward focus, executive power bases, authoritarian management style, gatekeeping, knowledge ownership; resistance to integration, governance inconsistency and lack of stakeholder innovation and involvement.	The housing delivery and community services departments should be integrated for purposes of enhancing strategic fit, efficiency, efficacy, equity and effectiveness in service delivery.  Integrate departments with commonalities in regard to encourage communities to form IPSS clusters generating PV, i.e. implement IPSS elements, values, and principles (Figure 7.2 and Table 7.1 ‘new learning and training fields’), to give modern impetus to the municipal developmental role.	Integration framework with IPSS and PV network approach.  Digital communication platforms, facilitatory to an effective community engagement process.

Source: The author

### 8.3.3 Enhancing capacity among municipal officials for IPSS initiation and PV generation

Figure 6.16 (Chapter 6) illustrates the growth in capacity as a result of training and effective collaboration. Public managers require capacity building in the housing delivery and community services departments, while collaboration between stakeholders serves to eliminate

the fruitless effort and waste in resources utilisation. Figure 8.2 outlines recommendations for four specific training areas in order to facilitate capacity building, efficiency and effectiveness.



**Figure 8.2: Essential capacity building areas for IPSS initiation and PV generation**

Source: The author

Table 8.5 lists ‘barriers’ that need to be addressed and the specific areas in which training is required. It is important to contextualise capacity building for IPSS and PV conceptualisation in order to impart the full value of the training to public managers in municipalities. It is also recommended that stakeholders participate in training that will promote integration.

**Table 8.5: Capacity building areas for municipal managers and IPSS stakeholders**

Reference: Chapter 7	What needs to change	Recommendations	Instruments, tools and techniques (how)
Section 7.3.3 and Table 7.1	Barriers to (i) effective and efficient service delivery and (ii) IPSS adoption and PV generation.  The inward focus of the IDP in addressing the needs and expectations of the community, malfeasance and wasteful expenditure.	New learning and training fields indicated in Table 7.1 are recommended in order to build managerial capacity in: <ul style="list-style-type: none"> <li>• Formulating KPIs to enhance strategic intent and direction.</li> <li>• Effect community engagement.</li> <li>• Develop visual materials for community engagement.</li> <li>• Measure community satisfaction.</li> <li>• Open dialogue regarding budgeting collaboration.</li> </ul>	Education and training to build capacity for: <ul style="list-style-type: none"> <li>• Consensus building.</li> <li>• Collaborative governance.</li> <li>• Co-management (with stakeholders).</li> <li>• Increasing effectiveness, efficiency, efficacy and equity.</li> <li>• Effective communication.</li> <li>• Developing a framework for social and economic progress in communities.</li> </ul>

Source: The author

### 8.3.4 Macro-, Meso- and Micro-level interconnectivity for IPSS initiation and adoption

In satisfying the directives in the Constitution of South Africa (RSA 1996), Sections 41 (a)(b) (c)(h) and 195(b) and the Intergovernmental Relations Framework Act, 2005, (RSA 2005), unlimited support and ‘authority’ are accorded to municipalities to engage and cooperate with IOS in the three spheres of government. Table 8.6 provides recommendations for promoting interconnectivity between IOS and an IPSS or IPSS housing delivery and community services cluster.

**Table 8.6: Macro-, Meso- and Micro-level imperatives for IPSS and PV generation**

Reference: Chapter 7	What needs to change	Recommendations	Instruments, tools and techniques (how)
Section 7.3.4	The under-utilisation of resources, information and capacity seated in the three levels of IOS, i.e. the macro, meso and micro spheres of government, NGOs, PPPs and experts in relevant fields.	<p>Maximise the utilisation of resources, information and capacity seated in the three levels of IOS to (i) promote interconnected efforts to advance community infrastructure and wellbeing, (ii) increase the pace of transformation in municipalities and communities.</p> <p>Advance the utilisation of resources, information and capacity from NGOs, PPPs and experts to maximise the positive impact on community development.</p> <p>Adopt bottom-up innovations to maximise the utilisation of human capital in communities.</p> <p>In order to smooth integration and interconnectivity between IOS:</p> <ul style="list-style-type: none"> <li>• Authorise programmes and projects at local level;</li> <li>• Solve municipal administrative disputes;</li> <li>• Co-manage strategic and business planning with IOS stakeholders;</li> <li>• Co-manage budget allocations;</li> <li>• Build relationships of trust with IOS.</li> </ul>	<p>IPSS network growth and expansion.</p> <p>Collaboration between IOS.</p> <p>Collaborative governance Regime (CGR).</p> <p>Deliberative and discursive dialogue, and positive and negative feedback loops.</p> <p>Holistic approach as a tool, i.e. as a means to an end.</p> <p>Coordination between IOS.</p> <p>Cooperation between IOS.</p> <p>Monitoring and evaluation Instruments: Communities should be included in municipal based monitoring and evaluation, in the fulfilment of the constitutional mandate of municipalities (Government-wide Monitoring and Evaluation System (RSA 2007a:22 - 24)</p>

Source: The author

A network stakeholder team for a housing delivery and community services IPSS cluster may be comprised of the DHS and DSD representatives, local building contractors, housing and spatial development designers, public-private partnerships (PPPs), NGOs such as DAG and

PlanAct, civic education groups, the private sector, the South African Police Services and the Departments of Energy. Table 8.6 offers recommendations to advance intergovernmental relations to a higher level required for IPSS initiation and PV generation in creating benefits such as (i) the integration of housing delivery and community services, (ii) the rescoping of the IDP, and (iii) simplifying the BNG (RSA 2004b) and the National Housing Code (RSA 2009) policies for community engagement and enablement.

### 8.3.5 The Integrated Development Plan (IDP) as a strategic tool

The following recommendations in Table 8.7 address the strategic rescoping of the IDP, based on the limitations it currently imposes on community involvement. A municipality’s IDP should include community regeneration programmes and projects, led by the community steering committees and IPSS cluster stakeholder teams (integrative leaders).

**Table 8.7: Recommendations for rescoping the Integrated Development Plan (IDP)**

Reference: Chapter 7	What needs to change	Recommendations for solutions and motivation	Instruments, tools or techniques (how)
Section 7.3.5	The IDP strategic planning current internal focus. An assessment of ‘public participation’ effectiveness and process (procedure).	The rescoping of the IDP, i.e. IDP strategic direction should assume a community engagement focus, giving priority to housing and community services needs, community expectations and enablement for participation in programmes and projects.	Strategic planning and business planning meetings in collaboration with IPSS stakeholders of which the community is one.
	The under-utilisation of interconnectivity between (i) NGOs, PPPs, semi-non-governmental organisations, IOS and the private sector.	Utilise stakeholder interaction between IOS, NGOs, PPPs and the private sector. UK examples are the Centre for Public Scrutiny (CfPS) mode of operation and the C2-Connecting Communities Programme (Section 7.3.5).	Establish IPSS defined network with feedback apparatus, the principles of which are similar to the C2-Connecting Communities Programme (7.4.1 of chapter 7 applies).
	Information sharing regarding inputs, outputs, outcomes, adaptation and sustainability.	Complete and broad information sharing regarding inputs, outputs, outcomes, adaptability and sustainability.	Visual planning tools, digitalisation, knowledge sharing, updates and feedback apparatus.

Source: The author

A municipality is compelled to take account of the role of the community in the governance of the IDP and the SDBIP, as directed by the Constitution (RSA 1996), Section 152(e), the Municipal Structures Act, 1998, (RSA 1998b), Sections 44 (3)(g)(h) and 56(3)(g) and the

Municipal Systems Act, 2000, (RSA 2000a), Section 51 (a)(i) and (ii). A municipality should, in the interest of community engagement, encourage discursive and deliberative dialogue on community needs and expectations, prioritise monitoring and evaluation in respect of programmes, projects, safety and security.

### 8.3.6 Recommendations on developing political astuteness

If political astuteness is to be regarded as a skill that councillors should acquire, then training in this area should be mandatory. The recommendations made in Table 8.8 are intended to develop empirical and substantive political behaviour among councillors. Councillors and the municipal executive leadership should protect (i) communities’ right to a dignified life, (ii) citizens from municipal political manipulation, (iii) citizens’ right to engage in policy formulation, (iv) communities from negative political interference that managers deem a threat to stakeholders’ network operativity, and (v) citizens from politically motivated unfairness.

**Table 8.8: Training in politics for councillors and managers in municipalities**

Reference: Chapter 7	What needs to change	Recommendations	Instruments, tools and techniques (the how)
Section 7.3.6	Politics as a tool for manipulation and manoeuvring in the community domain as this creates risks for community development, social progress and citizens’ wellbeing.	Councillors and public managers should embrace political learning material on the topic of political astuteness to enhance the level of political insight applicable to municipal and community development.  Utilise political authority, common objectives, broad social and economic goals (8.2) in developing a ‘Housing Manifesto’ for community organisations and IPSS housing delivery and community services clusters, based on the Code (RSA 2009) and the BNG (RSA 2004b), with community engagement (Sections 8.5.2 and 8.5.9).	Workshops, seminars and focus groups for municipal managers, community members and officials (from from the Western Cape Provincial Government).

Source: The author

### 8.4 IPSS and PV generation: ‘Systemic’ norms and properties

The executive leadership of a municipality is faced with an opportunity to adopt the IPSS for PV generation. An IPSS allows a municipality to set in motion broad holistic social and economic goals, devoting immediate attention to common objectives of stakeholders. The advantages of an IPSS generating PV can only be elucidated through the willingness and

readiness of the executive leadership of a municipality. Table 8.9 offers key IPSS recommendations for the establishment of ‘systemic’ norms in respect of municipal management practice, elaborated in the sections which follow.

**Table 8.9: Recommendations to adopt and initiate IPSS ‘systemic’ norms in municipalities**

Reference: Chapter 7	What needs to change	Recommendations	Instruments, tools and techniques (the how)
Chapter 7 Section 7.4.1 and Figure 7.4.	The hierarchical systems’ attributes of: <ul style="list-style-type: none"> <li>• Fragmentation.</li> <li>• Uncertainty.</li> <li>• Unpredictability.</li> <li>• Top-down service delivery.</li> <li>• Internal focus.</li> <li>• Poor communication.</li> <li>• Municipal exercise of high power and control distances internally and externally.</li> </ul>	Utilise an IPSS generating PV which offers the benefits of network organisational and managerial qualities, openness, flexibility, nonlinearity, accountability and autonomous feedback, with greater efficiency, effectiveness, equity, efficacy, adaptation and sustainability. An IPSS operates at programme and project level, with stakeholder teams, i.e. integrative leaders (Section 8.2 and Table 8.1).	Education and training programmes, models and frameworks for IPSS stakeholders with regard to the utilisation of ‘Gephi’ software, measuring (i) network density, (ii) interconnectivity between IOS, (iii) digital feedback, reflection and review, and (iv) the study of open systems (discussed in 8.4.1 and 8.4.3).
Chapter 7 Section 7.4.2.	The internal focus in the municipality and the intransigence on exploring network organisations for greater efficiency.	An IPSS may deliver great efficiencies, attained with stakeholder teams in the area of transformation, integration and innovation. Network organisation should be demystified.	Skills development in negotiation, consensus-building and collaboration in maintaining ‘systemic equilibrium’ (discussed in 8.4.2).
Chapter 7 Section 7.4.3.	Linear integration retains hierarchy as its system of operativity and cannot accommodate the elements of holism, flexibility, innovation, synchrony, bottom-up approaches and interdisciplinary connectivity.	Municipalities should initiate (i) a shift away from hierarchy and linearity, (ii) focus on nonlinear IPSS or (iii) a hybrid, with clear lines of parallelism between the two ‘systems’ as the two ‘systems’ cannot coalesce.	Experiential learning, i.e. demonstrating (put into practice) IPSS norms and properties in communities (8.4.2).  Revitalise Thusong Centres as community development centres, to effect trust between stakeholders, network organisational arrangements (IPSS cluster operativity), equilibrium through effective integration and prevention of IPSS failure (discussed in 8.4.1 to 8.4.4).
Chapter 7 Section 7.4.4.	Volatility in communities.	Municipalities should utilise resources, information and capacity to attain equilibrium (stability) in community programmes and projects (Section 8.2 and Table 8.1).	
Chapter 7 Section 7.4.5.	Delivery of qualitatively poor and limited services to communities.	A municipality should initiate regeneration programmes based on the values, principles and elements of the C2-Connecting Communities model which will address housing and community services IPSS clusters in communities, i.e. the generation of tangible and nontangible PV.	Implement civic education, a vital instrument for the education and enablement of community-based stakeholders (stated in 8.4.3, Figures 8.4 and 8.5).

Source: The author



These recommendations (Table 8.9) necessitate the utilisation of ‘systemic’ norms of an IPSS and PV generation, namely (i) the interconnections between nonlinear operativity, municipal interdepartmental and interdisciplinary stakeholder collaboration, (ii) network organisational management and measurement, (iii) an autonomous feedback system, (iv) tangible and nontangible PV generation, and (v) collaborative governance. The C2-Connecting Communities regeneration programme (Fujiwara *et al.* 2016) allows municipalities to grow their capacity to effect recommendations of this nature.

In this regard, Thusong Centres should provide the much-needed office space from which IPSS cluster stakeholder teams could operate. Unfortunately, reports on Thusong Centres concluded that (i) new technology (digitalisation) was not utilised, (ii) reskilling was not performed, (iii) staff lacked motivation, (iv) there was a lack of materials and equipment, (v) lack of maintenance, and (vi) lease agreements were poorly managed (Khoza 2017). Innovation should be included as an IPSS ‘systemic’ norm as it generates cost-effectiveness, material and cost efficiencies and community pride.

#### **8.4.1 Managing complexity successfully**

The executive and senior managers in a municipality deal with complexity (indecision, unpredictability and uncertainty) daily. However, in dealing with complexity from an IPSS and PV generation perspective, the recommendations should embrace three components, which may be explained further in terms of the elements dealt with in previous chapters: (i) network organisations (open systems) in a technologically advanced society, (ii) operativity, and (iii) adaptability and sustainability to what is systemically intractable.

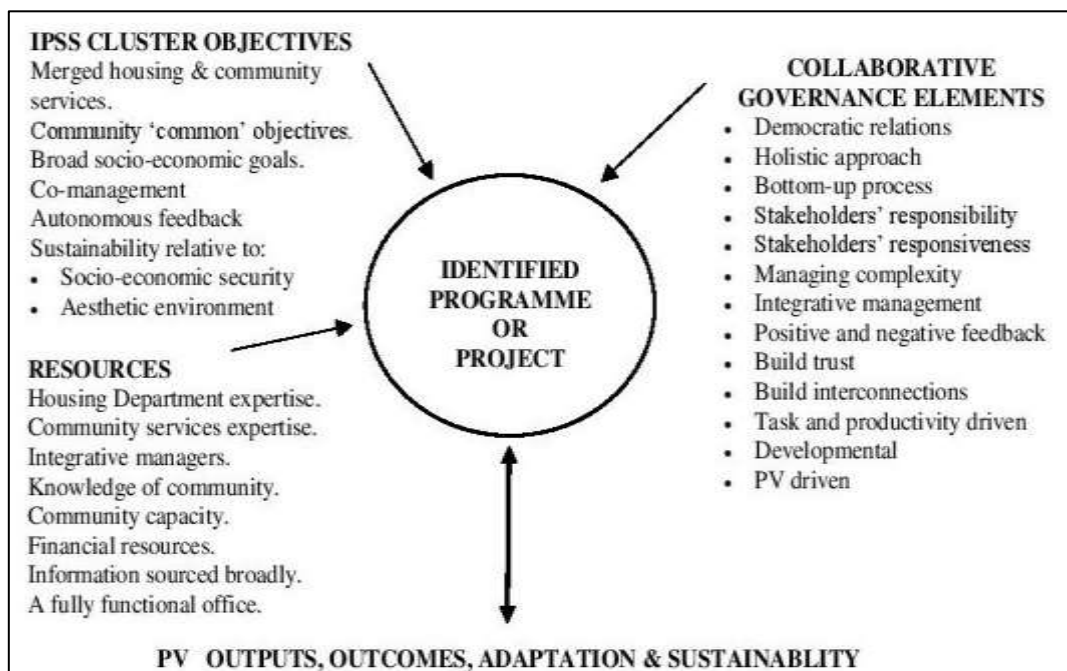
- **Network organisations (open systems) in a digital society**

It is recommended that municipalities adopt a network model and administer training for executive and senior managers in this regard, particularly in respect of the IDP, housing and community services IPSS cluster with emphasis on the digitalisation of communication. Focus groups, seminars, workshops and capacity building training sessions can be used to facilitate the stakeholder distributed networks (Figure 7.4, Chapter 7). The adoption of genuine integration implies greater insight into the limitations of transversal management, i.e. where some elements of the hierarchy are retained, in a hybrid arrangement, as in the CCT transformation model, described in section 7.4.3 of the CCT Five-Year Integrated

Development Plan (CCT 2017:31). The following advantages for municipalities stem from this recommendation: (i) the method is inclusive of all stakeholders and individual actors, (ii) a core stakeholder group is formed, (iii) knowledge, resources, capacities and information are shared and co-managed, (iv) ideas and innovations flourish, (v) decisions are collectively made, utilising digital methods for feedback, reflection and review, (vi) the essential attributes of the C2 Connecting Communities framework and model may be instituted, and (vii) the impact of the varying political differences between politicians (councillors) is curtailed with programme and project objectives.

- **IPSS operativity**

It is recommended that the IPSS (and IPSS cluster) operations model (Figure 8.8) be adopted in municipalities (explained on page 343). This recommendation involves the utilisation of a feedback mechanism for monitoring and evaluation, illustrated in Figure 8.3 below, in which the community (as a stakeholder in a network organisation) feature prominently.



**Figure 8.3: Normative IPSS cluster model for monitoring and evaluation**

Source: The author

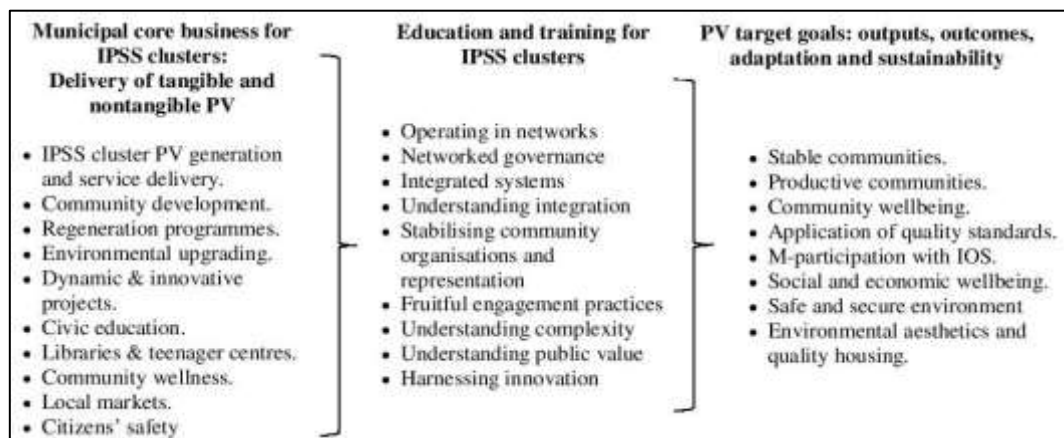
- **Adaptability and sustainability ( systemic intractability and entropy)**

It is recommended that decisions made by stakeholder teams (innovative leaders) embrace community ideas and innovations in line with common objectives and broad PV goals (section 8.2). These decisions recognise that outputs and outcomes are extended to complete a process

of adaptation (to change) and sustainability (avoidance of degeneration); it is the through this extended process that development becomes ‘intractable’, i.e. that progress made by a community cannot be entirely controlled, but one cannot dispute that it is a stepping stone to further advancement, as the properties of complexity science govern development.

### 8.4.2 Recognising equilibrium as a norm

Equilibrium should not be conceived of as a static state, but rather a state of continuity of social stability and balance, leading, with the process of growth and development, to higher states of social stability over time (given current socio-technical conditions). Figure 8.4 demonstrates the methodology (how, what and why) and basis upon which equilibrium is achieved in a community and by the efforts of the municipality as a stakeholder. It is recommended that municipalities recognise equilibrium (stability and or balance) as a norm to be attained in respect of their programmes and projects outcomes, adaptation and sustainability; it is advised that municipal executives and senior managers recognise equilibrium as an end (target) goal. IPSS cluster integrative managers should motivate stakeholders to understand equilibrium as a PV goal and as IPSS public purpose (driving factor), but not a material state per se.



**Figure 8.4: Recognising the progressive attainment of equilibrium as a norm**

Source: The author

### 8.4.3 Integration as a norm in municipalities

It is recommended that municipalities initiate and adopt a network organisation as how ‘systemic’ integration is achieved in an IPSS or IPSS housing delivery and community services cluster. Coordination, cooperation, collaboration, good governance, resource allocation, co-learning, and digital feedback are facilitated through the network organisation as a means whereby integration is secured in the context of IPSS programmes and projects (Sections 7.4.1 and 7.4.3, Table 8.9). It is further recommended that integration exercises are cognisant of the

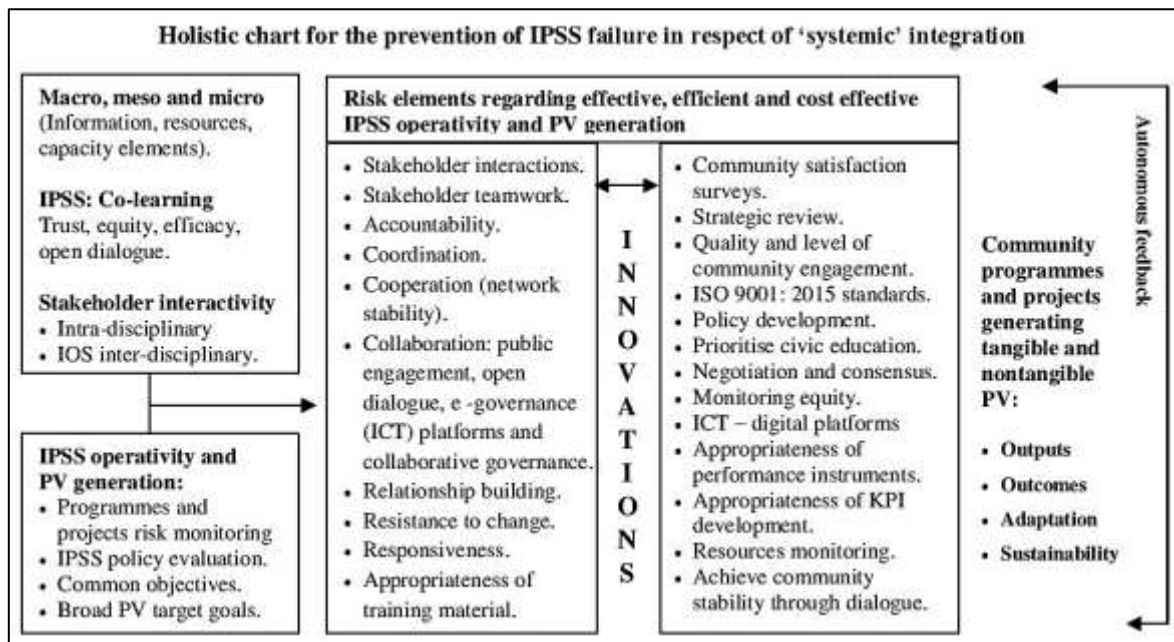
following factors:

- Education and training in respect of adopting an IPSS cluster to initiate and implement programmes and projects in a community as a pilot study to test the mode of operation for integration between aspects of the IDP, housing delivery and community services functions as a long-term exercise;
- Stakeholder teams should feature prominently;
- A municipality should maximise its democratic environment (space) in order to attain greater cohesion with communities through the adoption of an IPSS pilot study, which is designed to stimulate (i) civic education programmes to empower and enable community members, (ii) open dialogue to build trust between stakeholders, and (iii) the common objectives and broad social and economic goals set out in Figure 8.2;
- Integration demands equity in respect of sharing new knowledge arising from an IPSS cluster pilot study; and
- It would be considered normal to integrate relevant aspects of IPSS cluster programmes and projects with national priorities (for the extraction of resources from the three spheres of government) contained in:
  - Local government legislation;
  - Chapter 8 of the National Development Plan (RSA 2011a);
  - Outcome 8 (RSA 2014a); and
  - 17 United Nations Sustainable Development Goals (UN Agenda 2030).

#### **8.4.4 Prevention of IPSS failure**

It is recommended that municipalities prevent IPSS failure by adopting the following measures: (i) utilising risk-monitoring tools, (ii) continuous enhancement of stakeholder interactivity, (iii) development of trust between stakeholders, (iv) preservation of equity, (v) encouragement of efficacy (ability to perform successfully), and (vi) preservation of the democratic space in which discursive and deliberative dialogues between municipalities and stakeholders are held. Sixty-six per cent (66%) of senior managers (Item 9.1, Chapter 6), believe that co-management (with readiness stakeholders) has not been instituted in municipal departments; it is therefore recommended that co-management be formally adopted to prevent IPSS failure. In this regard, senior managers also believe that training in exercising flexibility, openness and dialogue is needed to accompany the adoption of IPSS risk-mitigation measures (Item 9.1, Chapter 6). Figure 8.5 is a tool for the facilitation of the management and monitoring of systemic risk

factors that would lead to IPSS failure if not controlled.



**Figure 8.5: IPSS elements for monitoring and managing IPSS risk of failure**

Source: The author

In this regard, it is suggested that:

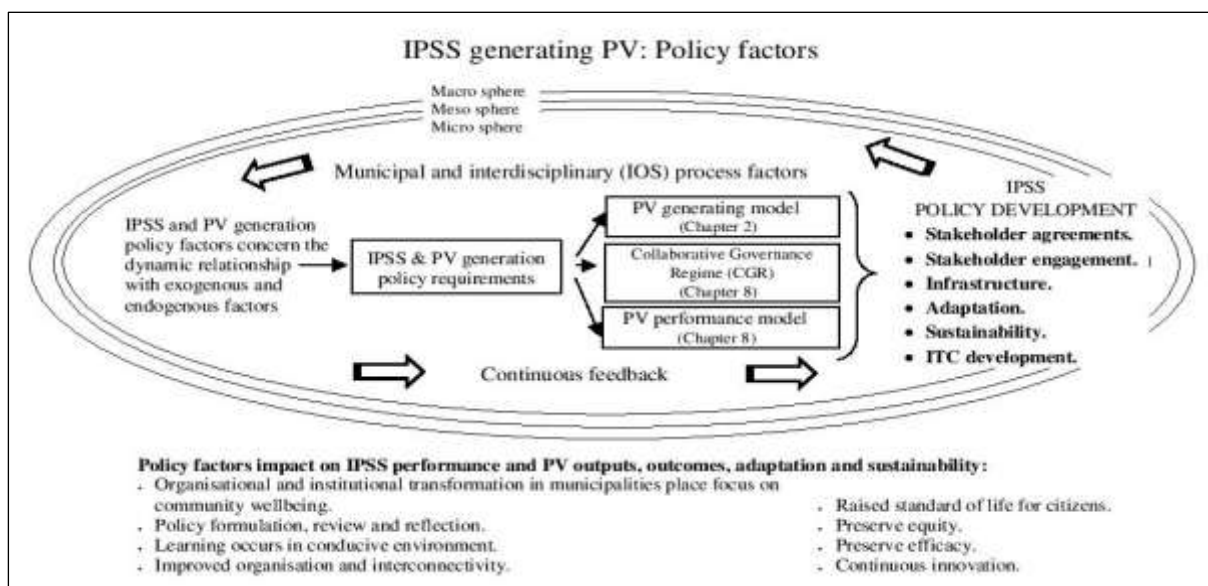
- Systemic states of IPSS implementation should not be skipped or omitted;
- Stakeholder networks are self-regulatory and self-organising;
- Integration requires high levels of interconnectivity between network stakeholders;
- Figure 8.7 (Section 8.5) is an IPSS managerial guide for achieving IPSS legitimacy, an important aspect of IPSS risk mitigation; and
- Unskilled stakeholder management, and internal and external risks, may cause IPSS failure.

### 8.5 Normative framing for IPSS legitimacy

An integrated, bottom-up formulated local government policy framework, based on legislation and regulations, is required. The normative framing of a local government policy framework should be aligned to the needs, demands and expectations of communities and IPSS common objectives. It is recommended that the municipal political and administrative stewards adhere to the local government legislative framework. It is further recommended that the practice of retaining the power distance from communities should cease and be treated instead with the values and principles of openness, flexibility, dynamism, cooperation, collaboration, accountability and effective engagement, as a means to achieve a legitimate developmental local government.

- **Managing the performance of IPSS and PV generation policy**

In terms of municipal policies, of which few are directly utilisable by communities, a municipality should implement policies concerning community involvement in the affairs of the municipality, IDP strategy and integration, public participation and BNG (RSA 2004b) as examples. There should be policies and stringent by-laws to address issues of safety, security, amenities, abuse of government houses (and in government houses), lawlessness, community services, political volatility in communities and democratic opportunities for dialogue on community-related policies. In respect of developing a normative for policy formulation and management, an IPSS or IPSS cluster is compelled, in terms of accountability, openness and flexibility, to formulate, implement and measure policy success at the local level. Policies of this nature impact upon the attainment of common objectives and broad PV target goals, relative to housing delivery and community services integrated programmes and projects. Figure 8.6 illustrates the (i) complexity of IPSS and PV policy development and maintenance, (ii) IPSS and PV connectivity with the three spheres of government as it pertains to policy formulation, (iii) IOS and interdisciplinary exchanges, in the public interest, (iv) exogenous and endogenous factors impacting on PV generation and community stability, and (v) the relationship between IPSS operativity, performance objectives and effective PV policy implementation.



**Figure 8.6: Complexity of IPSS and PV policy development and maintenance**

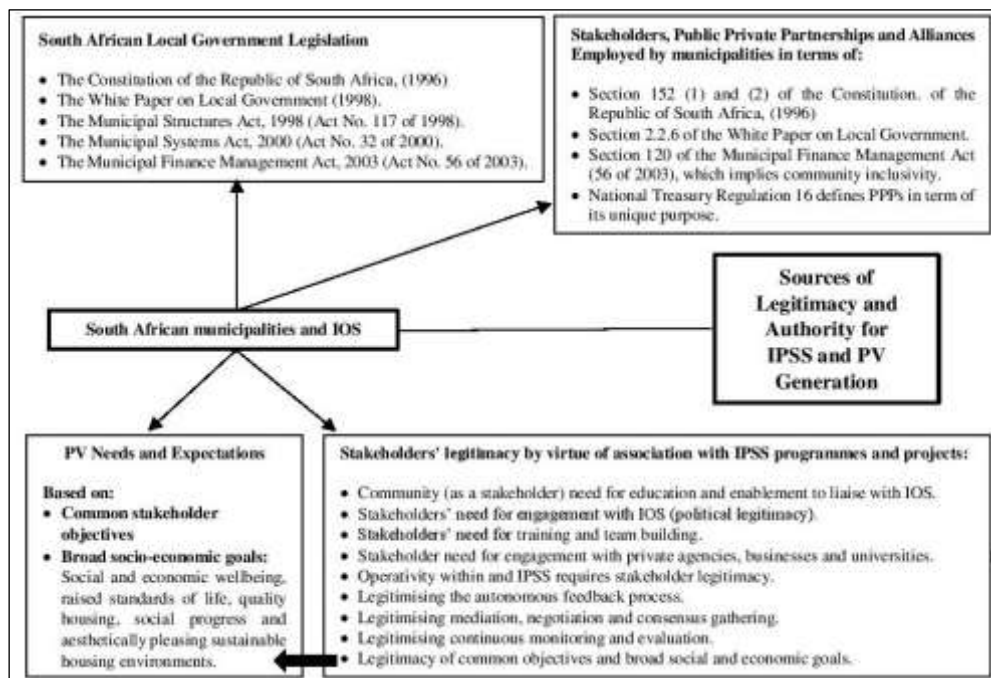
Source: The author

It is recommended that (i) municipalities adopt an integrated approach to policy formulation, implementation and maintenance as these apply to outputs, outcomes, adaptation and sustainable development, (ii) an IPSS cluster borrow from best practices on policy

implementation and maintenance from the Greater London Authority (GLA) and boroughs (local councils) in the UK, which are sufficiently integrated with national government housing agencies, Homes England, QUANGOS and advocacy groups such as the Centre for CfPS. In South Africa and Namibia, there is much less visibility of policy implementation and assessment, while problems in housing such as overcrowding, high costs in CBDs and homelessness are growing concerns. For South Africa, one may recommend urgent rescoping of IDP, SDBIP, housing and community services policies.

- **Normative framing of local government legislation: From compliance to openness, flexibility and dynamism**

A municipality should break from the literal and clinical interpretation of local government legislation to embrace interpretations driven by the support local government legislation gives to community interests and public purpose. While local government legislation does not direct municipalities to relinquish aspects of hierarchy, it also does not obligate a municipality to participate in transformation processes to end fragmentation.



**Figure 8.7: Components of IPSS stakeholder legitimacy in the developmental role of the municipality**

Source: The author

Local government legislation provides the option and opportunity for municipalities to embrace ‘systemic’ improvement and innovation, share power bases with stakeholders in the public interest, and to adopt the elements and properties of an IPSS, indicated in Figure 7.2

(Chapter 7). Figure 7.6 (Chapter 7) and Figure 8.7 indicate the sources of legitimacy for an emerging IPSS and PV generation, based on Chapters 2 and 7 of the Constitution (RSA 1996). Figure 8.7 illustrates the justification for the legitimate participation of stakeholders in the developmental role of a municipality in the implementation of programmes and projects. The benefits derived by stakeholders in expending resources in this way are (i) the social and economic wellbeing generated in communities, and (ii) stable (self-managing) communities.

- **Promoting policy dynamism, policy revision and policy effectiveness**

Sustaining policy dynamism, policy revision and policy effectiveness are continuous processes which a municipality should maintain, with community engagement. Table 8.10 is a guide for municipal policy effectiveness, its applicability, and areas needing more attention, in relation to IPSS operativity and PV generation, particularly as such policy impacts on communities.

**Table 8.10: Municipal policy effectiveness guide for IPSS operativity and PV generation**

<b>The current status quo: Citizen's expectations for PV outputs, outcomes, adaptation and sustainability.</b>	<b>Existing and required policies: In line with local government legislation authorising policy implementation.</b>	<b>Recommended areas of attention: Need for discursive and deliberative discourse on existing policies.</b>
<p>Slow response to policy implementation, monitoring and evaluation regarding housing delivery and community services.</p> <p>Backlogs in delivery of basic services; housing, water, sanitation, health facilities, electrification, poverty alleviation.</p> <p>Intransigence on effective public engagement.</p> <p>Poor response to sustainable project and programmes development regarding housing delivery and community services.</p> <p>Inflexible IDP implementation.</p> <p>High levels of political interference in municipal administration.</p> <p>Assessment of intergovernmental relations on integration and collaboration with stakeholders on housing delivery and community services.</p>	<p>National Evaluation Plan (RSA 2013).</p> <p>Public Participation Framework and Policy.</p> <p>Healthcare policies.</p> <p>'Teenager centres' policy.</p> <p>E-government policy.</p> <p>Food security policies.</p> <p>The National Housing Code, 2009 (RSA 2009) makes provision for a revised social housing policy.</p> <p>Environmental protection policies.</p> <p>Ground water quality policy.</p> <p>Urban development and inner city transport policies.</p> <p>Arts and culture policies.</p> <p>Civic education policies.</p> <p>UN Sustainable development policies.</p> <p>Policy for urban conflict analysis.</p>	<p>Integrated housing delivery and community services.</p> <p>Pleasant living environment.</p> <p>Security and safety.</p> <p>Local economic development.</p> <p>Efficient local transport.</p> <p>Poverty alleviation.</p> <p>Health facilities.</p> <p>Recreation and sport.</p> <p>Municipal responsiveness.</p> <p>Red tape reduction.</p> <p>Participatory engagement.</p> <p>Municipal accountability.</p> <p>Municipal transparency.</p> <p>Monitoring, evaluation and reporting.</p> <p>Political support for quality in development.</p>

Source: The author



It is recommended that municipalities implement dynamic and citizen-oriented policies that would promote (i) intra- and interdisciplinary integration and collaboration with IPSS stakeholders on programmes and projects generating PV, (ii) a policy for providing civic education that would educate, enable (empower) and encourage community (public) engagement with IOS, and (iii) bottom-up monitoring and evaluate policies.

### **8.5.1 The Constitution of the Republic of South Africa, 1996**

It is recommended that municipalities implement the Constitution (RSA 1996), Section 152, ‘as it should be’, thereby validating crucial municipal norms stated in this section of the Constitution (RSA 1996). Social growth and development, liveability, economic wellbeing, quality in education, health, security and personal safety of citizens are hereby legitimised.

The consequences for community needs and expectations regarding liveability is accordingly addressed by the directives in the Constitution (RSA 1996), Section 152. In respect of Sections 151 (2)(3), 152, 153, 154 and 164, municipalities need to place the emphasis on the authority of the municipal council to govern by its ‘own initiative’ to implement the ‘objects’ of the Constitution (RSA 1996) as directed and as non-negotiable norms (discussed in Chapters 3 and 7). A housing and community services IPSS cluster has the organisational apparatus (networks and stakeholders) for the implementation of these normative legislative imperatives. Figure 8.7 illustrates the links between the legislation, stakeholder-derived legitimacy and authority, and PV generation through IPSS programmes and projects, a necessary tool for the implementation of The Constitution (RSA 1996), Chapters 2 and 7. A municipality should, therefore (i) facilitate structured collaboration with communities, (ii) measure social and economic progress, (iii) community wellbeing (iv) reduce red tape in order to highlight the ‘spirit of the law’, and (v) implement innovation, digitalised communication and open discourse.

The rescoping of the IDP (defined in Table 8.7) should take account of these important determinants, which are ultimately relevant to the wellbeing of communities. It is recommended that municipalities emphasise practical knowledge and skilful application of the Constitution (RSA 1996), best attained through continuous education and training, e-governance platforms, feedback mechanisms, video conferencing, discursive and deliberative dialogue, and public engagement in terms of housing delivery and community services. Training and experiential learning are the most appropriate means to acquire ‘constitutional’

knowledge. While 97% (Table 6.5, Chapter 6) of senior managers in housing delivery and community services indicated ‘familiarity’ with the Constitution (RSA 1996), the actual implementation of Chapters 2 and 7 demands interactivity with network stakeholders.

### **8.5.2 The Housing Act, 1997 (107 of 1997)**

The Housing Act, 1997, (RSA 1997b), incorporates the principles of the White Paper on Housing (RSA 1994) and the National Housing Code (RSA 2009). The characteristics of the Act (RSA 1997b) were discussed in Chapter 5. The following recommendations may be made in respect of the application of the Act (RSA 1997b):

- The principles of community engagement and ‘people-driven’ solutions to housing should be applied and extended to include ‘bottom-up’ innovation, participatory management and public ownership (control) over their quality of life and wellbeing;
- Private and public housing delivery should be accompanied by effective and integrated community services, i.e. an IPSS cluster;
- The National Housing Code (RSA 2009) and the Breaking New Ground (RSA 2004b) may be regarded as ‘reinforcing strategies and policy’ for public housing delivery, explained in section 8.5.9, should be made citizen-friendly;
- Public-private partnerships (PPPs) and joint ventures (JVs) are sanctioned by the Act and should be pursued with an IPSS network and IPSS implementation procedures; and
- In terms of the Act, (RSA 1997b) it is recommended that a municipality address the socio-economic conditions of their communities holistically.

### **8.5.3 The implication of the White Paper on Local Government (1998) for the IPSS and PV generation**

It is recommended that the emphasis in the White Paper on Local Government on the role of the community in its own development be effected (RSA 1998a:125). The White Paper (RSA 1998a) contextualises municipal activities in the democratic space; the directive for ‘community enablement’ should be upheld. The normative legislative imperatives for corrective measures are given by Section B (1.2) on “integrated development planning”; community involvement on housing projects and programmes level, (Section 1.3), service delivery and “liveable integrated cities, towns and rural areas, adequate opportunity for social and economic development (Sections 2.1 and 2.2 and 2.2(c)) and the alignment of financial and institutional resources to community housing programmes (Section 3.1.1). These are clear bases (recommendations) for services to communities and stakeholders simultaneously.

Only seventy-eight percent (78%) of senior managers were found to be ‘familiar’ with the White Paper (RSA 1998a), (Table 6.5. Chapter 6); it is recommended that a municipality advance community purpose and PV interests in the following manner:

- Implement training for capacity building of officials of the housing and community services (IPSS cluster) to increase their familiarity with the White Paper (RSA 1998a);
- Acting dynamically and willingly to eradicate the power ‘distance’ between the municipality and the community for the co-creation of PV;
- Interpret co-creation as a means to (i) embrace an IPSS network stakeholder group as a means to establish interdisciplinary connectivity and integration, (ii) explore public-private investment in building communities, (iii) welcome bottom-up innovation, (iv) establish housing and community services programmes and projects to create jobs, skills training and mitigation of community volatility, and (v) participate in the spatial and economic integration of poor communities into the CBD.

#### **8.5.4 The Municipal Structures Act, 1998 (117 of 1998)**

The Municipal Structures Act, 1998, (RSA 1998b), provides for the institutional and organisational structures of the municipal entity. As local government legislation is directed at community development, it is recommended that a municipality institutionalise civic education as a priority, as a structure that would enable and empower communities to effectively engage IOS, stakeholders and politicians on matters of public interest and thereby circumvent community volatility. It is also recommended that a municipality endorse open, nonlinear dynamic systems (i) to enhance efficiency, effectiveness, equity and efficacy in service delivery and PV generation, (ii) to close the gap between democratic systemic operativity and hierarchy, (iii) to improve technological infrastructure (to enable effective communication with communities), and (iv) to end intransigence and perfunctory behaviour among municipal officials. The Act (RSA 1998b) requires an acceptable level of interpretation for greater flexibility and reduced fragmentation. The preamble to the Act (RSA 1998b) endorses the objects of local government set out in Section 152 of the Constitution (RSA 1996); the following recommendations to municipalities are made:

- To adopt an IPSS generating PV in housing delivery and community services in order to fulfil the requirements for internal integration and external collaboration with stakeholders. Vertical and horizontal integration remain linear and municipalities should consider ‘hybrid’ arrangements with a housing delivery and community services IPSS cluster in order to effect efficient and effective outputs and outcomes in this area of service delivery;

- To adopt sustainability measures in line with the Act (RSA 1998b) and the South African Sustainable Development Goals (SDGs), which target “sustainable, effective and efficient municipal services”, social and economic development, safe environments and ‘dignified’ housing regarding the Act (RSA 1998b), Sections 83(3)(a)(b)(c), and (d);
- To implement community involvement in the affairs of the municipality, according to the Act (RSA 1998b), Section 56(2)(g) and (h), and including, the need for civic education, enablement and engagement in line with Section 19;
- Section 19(3) of the Act (RSA 1998b) is not specific to the methodology for community consultation. It is important for a community to participate in the annual review of the municipality in order to debate and review the quality of services rendered (at the point of delivery) in respect of housing delivery and community services, as stipulated in the Act (RSA 1998b), Sections 44(2)(d)(3)(g)(h) and (4);
- To structurally implement community engagement (and open dialogue) in the affairs of ‘open committees’, i.e. ward committees and project steering committees; and
- As eighty-nine percent (89%) of senior managers were found to be ‘familiar’ with the Act, (RSA 1998b), training in this regard will serve to increase the capacity of managers to apply this Act in a flexible manner.

#### **8.5.5 The Municipal Systems Act, 2000 (32 of 2000)**

The Municipal Systems Act, 2000, (RSA 2000a), provides for community participation, the IDP, resources mobilisation, developmental local government and performance management in municipalities (explained in Chapters 3 and 7). It is recommended that the Act, (RSA 2000a), be operationalised in a manner that would result in the “active engagement” of communities in the affairs of the municipality, as directed in the preamble. The Act (RSA 2000a) contains directives to implement Section 152 (the ‘objects’ of local government) and Section 153 (the developmental duties of municipalities) of the Constitution (RSA 1996). The following recommendations regarding the implementation of the Act, (RSA 2000a), are aimed at the initiation and adoption of an IPSS cluster for housing delivery and community services in municipalities and to shift the focus from service delivery to PV generation:

- A municipality should build capacity through consolidated training of public managers on the implications of the Act (RSA 2000a), as findings reveal that 95% (Table 6.5, Chapter 6) of senior managers are familiar with the Act (RSA 2000a), with particular emphasis on effective community engagement in the IDP, housing and community services. A municipality should consider the value embedded in community engagement (inclusive

education) as being superior to public participation and thereby institute training for officials in this function (Sections 16, 17(c) and 21 of the Act refers);

- It is recommended that municipalities consider the rescoping of the IDP, in terms of the Act (RSA 2000a), Section 23, in order to (i) deal effectively and efficiently with the affairs of community development and the broad goals stated in Figure 8.7, (ii) fulfil the directive in Section 26(a) of the Act regarding the “long-term development of the municipality”, (iii) effect cooperation and collaboration with stakeholders as directed in Section 24(1) of the Act, and (iv) to embrace IPSS elements stated in Figure 7.2 (Chapter 7);
- The municipality should revisit its performance model concerning (i) the extent of community engagement, (ii) review of and reflection on a bottom-up process with a feedback mechanism, supported by Sections 5(1), 38 and 42 of the Act (RSA 2000a), and (iii) the way it measures efficiency and effectiveness regarding outputs and outcomes;
- A municipality should embrace community involvement in its affairs and matters as directed by Section 16 (1)(a)(b)(i), 42 and 44 (3) (g) and (h) of the Act (RSA 2000a), in order to enhance its participatory (collaborative) governance function. A municipality cannot effectively serve a community if it does not ratify and implement the human rights directives contained in the Constitution, (RSA 1996), Sections 152 and 154 (1); and
- It is recommended, that the community be involved in the appointment of the mayor and municipal manager through discursive, deliberative dialogue and other participatory means; it should be noted that as Section 47 of the Act (RSA 2000a) is not linked to Section 57 of the Act, hence it does not promote community involvement regarding the political appointment of the municipal manager and the mayor.

Performance management indicated in the Act (RSA 2000a), Sections 5 (1), 38 and 42, should clearly direct consultation with communities on resources utilisation, developmental standards applicable regarding housing delivery and community services, and recognition of the role of the community in the development of the municipality. The term “reasonable” appears in this Act at critical points, which demanding greater decisiveness from municipalities in respect of citizens’ wellbeing. The Act (RSA 2000a) should, therefore, be amended to take account of citizens’ needs for stable livelihoods.

#### **8.5.6 The Municipal Finance Management Act, 2003 (56 of 2003)**

The Municipal Finance Management Act, 2003, (RSA 2003), should be applied in the interest of the municipalities’ development role and not solely for the financial management of the

municipality. The statistics for item 4.10 (Chapter 6) indicate that 88% of senior managers believe that the financial resources of a municipality are ‘stretched’. It is therefore recommended that (i) municipalities encourage communities to be innovative in their participatory role with municipalities on budgeting and the expedient use of financial resources, (ii) existing infrastructure be adequately maintained, and (iii) communities insist upon quality inputs, which have a longer lifespan and which is cost-effective over the long term. Hence, it is recommended that a municipality open a community development bank account for an IPSS cluster, in Section 12(3) and sanction fundraising in the name of a community IPSS cluster. The Act (RSA 2003), Section 120 (1)(a), allows a municipality to endorse a PPP to exist as a stakeholder in an IPSS cluster, as long as the ‘value for money’ principle is dominant. PPPs are necessary stakeholder entities in the achievement of common objectives and broad community development goals.

A municipality should advocate openness, effectiveness, accountability, inclusivity and transparency following generally accepted accounting principles (GAAP) in order to promote and facilitate:

- The training officials in the importance and merits of the Act (RSA 2003), as 95% of the senior managers indicated ‘familiarity’ with the Act (RSA 2003), (Table 6.5. Chapter 6);
- Community ‘bottom-up’ involvement in the financial affairs of the municipality in order to put into practice the ‘value for money’ principle, and to ensure effectiveness, efficiency and sustainability in Sections 22(a)(ii) and 33(1)(a)(i)(bb) of the Act, (RSA 2003); and
- The economic use of resources to meet community demands and expectations. Flexibility is advised on the application of Sections 22(a)(ii) and 23(1) of the Act (RSA 2003).

The primary purpose of the financial auditing function should be to satisfy the interests of the community, as stated in the Municipal Finance Management Act, 2003, (RSA 2003). It is recommended, in respect of a normative approach to the performance management of IPSS financial auditing, that:

- That municipalities link IPSS financial auditing to public purpose, i.e. to IPSS common objectives and PV goals; and
- That malfeasance and financial mismanagement should be regarded as destabilising factors detrimental to the social and economic progress of citizens.

### **8.5.7 The Intergovernmental Relations Framework Act, 2005 (13 of 2005)**

The Intergovernmental Relations Framework Act, 2005 (RSA 2005), promotes cooperation and consultation between IOS in the national, provincial and local spheres of government. The Act (RSA 2005), should emphasise a greater degree of sanction (authority) in respect of synergy between housing delivery and community services in the interests of municipal and community development. Communities should be included in this directive as the guardians of housing delivery and community services. As the Act (RSA 2005) is applied in a feasible manner to community development, it is recommended that the municipality facilitate IPSS cluster emergence with IOS and the municipality in a meaningful way, by regarding the community as a key stakeholder and as the only beneficiary of government.

Community cooperation with political parties must be prioritised in order to contribute to joint programmes for social and economic progress, i.e. the generation of PV. In the spirit of the Act (RSA 2005), municipalities should enhance and encourage co-ordinating “effective, efficient, transparent, accountable and coherent government” in order to institutionalise collaboration, negotiation and consensus building in the generation of PV for the social and economic wellbeing of citizens (the preamble and Section 36(1)). As only 66% of senior managers were found to be ‘familiar’ with the Act (RSA 2005), (Table 6.5, Chapter 6), training of senior managers in respect of housing and community development needs and collaborative governance appears to be a requirement. Interdisciplinary connectivity (integration) should be encouraged in order to build a strong network of stakeholders to act in the public interest. A municipality should negotiate and build areas of consensus with IOS regarding housing and community services’ need for resources and link this need with the United Nations Sustainable Development Goals as a national priority.

### **8.5.8 The Public Administration Management Act, 2014 (11 of 2014)**

The Public Administration Management Act, 2014 (RSA 2014b), promotes effective and efficient governance, which may be understood as collaborative governance, the principles of which underlie the ethical behaviour of government officials. By implication, negative influences that erode good governance, such as political manipulation and malfeasance, should, according to the Act (RSA 2014b), be eradicated in municipalities. The Act (RSA 2014b), should facilitate an IPSS and PV generation. Alternatively, an IPSS Act should come into existence to compel and direct the emergence of IPSS clusters to effect network organisation, stakeholder collaboration and PV generation to effect integration and systemic transformation

in municipalities. An IPSS Act would enable an IPSS stakeholder team to implement housing and community services programmes and projects (IPSS clusters) in order to generate tangible and nontangible PV outputs, outcomes, adaptation and sustainability.

It is recommended that municipal officials attend training on the full implications of the Act, (RSA 2014b), as only 56% of senior managers indicated their ‘familiarity’ with the Act (RSA 2014b), (Table 6.5, Chapter 6), in order to promote (i) their understanding of collaborative governance, (ii) e-government with digital platforms for enhancing communication with communities, (iii) the adoption of quality standards such as ISO 9001:2015, (iv) effective, efficient, economic, transparent and accountable government, and (v) ethical behaviour among administrators; these measures demand a code of ethical behaviour in addressing community interests (RSA 2014b), Section 11(3)(b).

#### **8.5.9 Drawing lessons from the South African, Namibian and UK cases**

Drawing lessons from the South African, Namibian and the UK cases gives rise to many ‘normative’ legislative imperatives for housing delivery and community services to communities. These imperatives should augment local government legislation relevant to housing delivery and community services in the South African and Namibian context. The UK context is characterised by matured legislative practices, built infrastructure and socio-economic opportunities for citizens, from which lessons may be derived. The following recommendations are relevant:

- Housing delivery and community services departments should be integrated under a common vision and purpose (objectives), as is the practice in the UK (Chapter 4);
- Regeneration programmes and projects such as the C2-Connecting Communities (UK) programme should be adopted as IPSS clusters generating PV in South Africa;
- Support structures such as the CfP and QUANGOs in the UK should be initiated in South Africa;
- Citizens’ bottom-up involvement in the development of their livelihoods is crucial to the success of IPSS clusters, as is the practice in the C2-Connecting Communities programmes. The DSD and the DHS should be involved in adopting modes of operation which allow communities to be involved in their development and wellbeing;
- House construction must consider family needs for space, personal safety, privacy, warmth and family recreation as these measures have a long-term positive impact on the economy;



- Replace informal settlements with qualitatively sound, investment-driven, sustainable rental stock and ownership programmes, i.e. government-owned residential apartments and houses in order to (i) end ‘homelessness’, (ii) eradicate wasteful expenditure, and (iii) enhance social and economic opportunities for citizens in terms of the broad PV target goals set out in Section 8.2;
- Municipalities should, in terms of the Housing Act (RSA 1997b), Sections 9 and 10 of Part 4, highlight the need for tangible and nontangible PV generation, which directs ‘ongoing’ community engagement in housing delivery and responsive to this need;
- In South Africa, indigenous ‘tribal’ authorities should participate in IPSS cluster development to acquire insight into holistic ways of achieving wellbeing, housing development, community services and inclusiveness in social and economic development;
- Communities, i.e. beneficiaries, should participate in the design, spatial options, dwelling sizes and quality standards applicable to homes before they are built;
- The Act, (RSA 1997b), the National Housing Code (RSA 2009) and the Social Housing Act, 2008 (RSA 2008), should stipulate the need for bottom-up planning, public engagement, quality standards monitoring and evaluation, in order to create pleasing environments with social amenities and infrastructure in close proximity to work; such an approach would include teenage recreational centres, children’s play centres, wi-fi zones, play parks and libraries, conducive to improve the economy through social capital growth;
- The IRDP, Enhanced Peoples’ Housing Project (ePHP) and the BNG (RSA 2004b) strategy should be rescoped for ease of understanding by community members, in order to (i) limit the overlap (repetition) contained in these documents, (ii) promote one comprehensive and clear document in the interest of the public, and (iii) promote and reward innovation in the domain of liveability and sustainability; and
- Partnerships between the UK, South African and Namibian institutions are feasible, in order to (i) simplify and enhance policies, (ii) examine ‘investment’ models for housing, amenities and open spaces, and (iii) manifest strategic direction that would speed up delivery, enhance domestic economic activity and eliminate institutional intransigence.

## **8.6 Normative imperatives for systemic transformation in municipalities**

As municipalities are making attempts at ‘integration and transformation’, there are ‘systemic’ transformation imperatives to factor into the change process. It is recommended that municipal officials understand the difference between the characteristics of hierarchy and open (nonlinear) systems, in terms of their qualities and not mix the attributes of these distinct

systems. While municipalities are reluctant to partly replace hierarchy with open systems, hybrid organisational arrangements should be considered, e.g. IPSS clusters should be utilised to implement programmes and projects at the community level where housing delivery and community services can be integrated. The normative imperatives for systemic transformation in municipalities, are: (i) IPSS is driven by key stakeholders, (ii) nonlinear, open systems require training and explanation, (iii) network organisations should be operated and managed by stakeholder teams, (iv) digital communication, feedback and open dialogue are means to achieve accountability, (v) flexibility is essential, (vi) adoption of a holistic approach is important, and (vii) stakeholders build relationships and commonalities around a common set of objectives and broad socio-economic goals. The generation of PV is measured in relation to IPSS outputs, outcomes, adaptation and sustainability, while similar measures apply to collaborative governance (refer to Section 8.8). Recommendations for systemic transformation in municipalities are:

- Institutional, organisational and administrative ‘barriers’ indicated in Table 7.1, Figures 7.5 and 7.7, such as hierarchy, path dependency, power distance and ‘lock-in’, should be eliminated as these inhibit efficiency, effectiveness, equity and efficacy;
- Community engagement, utilising open dialogue, is a crucial element of an IPSS and should be initiated and implemented, particularly in community-based housing and community services programmes and projects;
- PV outputs, outcomes, adaptation and sustainability should be directly linked to (i) the interdisciplinary needs of communities, (ii) inter- and intra-departmental integration, (iii) the formation of IPSS clusters to ensure efficiency and effectiveness, (iv) the optimisation of resources, and (v) cooperation, collaboration and consensus with stakeholders; and
- A robust feedback system is essential for PV generation and should be implemented.

### **8.6.1 Municipal transformation as an innovation**

Systemic transformation in a municipality, from hierarchy to open systems (where applicable), should be regarded as an innovation as the change process assumes IPSS and PV attributes given in Figure 7.2 (Chapter 7) and those listed above (in Section 8.6). A municipality should remain open to new ideas, new learning and a new vision for the developmental role of the municipality. Municipalities should be guided by the following recommendations:

- The adoption of an IPSS cluster as a prototype, i.e. pilot exercise, allows for the induction of the IPSS mode of operativity and incorporation of bottom-up innovations;

- The elimination of silos will encourage responsibility, responsiveness, self-management, flexibility and dynamic interactivity with IPSS cluster stakeholders;
- The outcomes of engagement with communities as a result of utilising discursive and deliberative dialogue, cooperative and collaborative processes, will engender new knowledge for housing and community services programmes and projects; and
- Feedback aims to enhance connectivity between the municipality and its stakeholders.

### **8.6.2 Utilising feedback, deliberation and reflection as ‘systemic’ tools**

Effective feedback, deliberation and reflection may be grouped together as essential attributes of community engagement, i.e. satisfying the democratic expectations of communities in an operating IPSS cluster. It is therefore recommended that:

- A digital means of communication, set up by the municipality, is used for this purpose;
- Public and private managers and stakeholders are trained in the purpose and operation of effective feedback, deliberation and reflection;
- The measurable IPSS elements illustrated in Figure 7.2 should be subject to deliberation, reflection and review to elicit feedback from stakeholders involved in local housing and community services programmes and project implementation.

### **8.6.3 A normative view of municipal institutional culture, attitudes and behaviour from an IPSS perspective**

A normative view of municipal institutional culture, from the IPSS perspective, entails that the attitudes and behaviour of municipal stewards, i.e. the top executive managers, should be directed at the development of citizens’ wellbeing. The inward focus, fragmented and authoritarian nature of municipal stewards erode this position. It is therefore recommended:

- That IPSS clusters, i.e. network stakeholder teams for housing delivery and community services fulfil the role of establishing citizens’ wellbeing through achieving the common objectives and the broad PV target goals; and
- That IPSS clusters, located within a community and the municipality, apply (i) openness, (ii) flexibility, (iii) a holistic sense of community development, (iv) dynamic systems of government and governance (v) accountability to stakeholders and colleagues, (vi) prevent duplication and streamline work activities in order to focus on PV generation, and (vii) operate in an inter- and intra-departmental way in order to procure resources, information and capacity to community programmes and projects.

#### **8.6.4 Harnessing synergy in municipal systemic transformation**

A cognitive shift from hierarchy to open systems and collaborative governance implies that with systemic transformation comes higher levels of synergy between (i) the actors, (ii) the tasks and (iii) the means (tools and techniques) which generate reduced levels of resistance to change, i.e. positive impact upon the constraints on municipal transformation. Figures 7.2 and 8.3 indicate the various IPSS components (elements) that are meant to operate in synchrony and which are inseparable. It is recommended to municipalities, when embarking on integration and transformation exercises, to (i) utilise IPSS elements, (ii) build synergistic relationships with stakeholders, and (iii) ensure that the focus remains on PV target goals.

The recommendations relative to reducing resistance to change in the municipal context are:

- Education and training for top managers is required on the topics of systemic change, global socio-technological advancements impacting on municipalities, and the democratic expectations of citizens;
- Education and training for top managers on (i) IPSS, (ii) synergistic relationships with network stakeholders and (iii) PV generation;
- Co-management and co-regulation of housing and community programmes and projects by IPSS stakeholder teams create greater PV advantages than fragmentation and power distance from communities, as currently evinced in municipalities;
- The training in political astuteness to aid synergistic relationships, which was discussed in section 8.3.6, applies here as well. Politicians should not exploit the political divisions in communities for gain or positioning. Politicians should cooperate and collaborate with IPSS stakeholders in the interest of the public good; and
- The strategic rescoping of the IDP should promote collaboration, cooperation and effective communication with beneficiaries as crucial to systemic transformation and as a means to an end, intended to satisfy the public purpose and the generation of PV.

The recommendations for a housing delivery and community services IPSS cluster are:

- Municipalities should consider the social, political and economic (financial) position of the inhabitants of townships and informal settlements prior to the allocation of houses as ‘breaking up’ established communities leads to resentment and community volatility. The varying financial positions of beneficiaries of houses should be a significant consideration in respect of (i) family security, (ii) contribution to the economy, (iii) consideration of children’s schooling, (iv) raising the standards of living and the quality of life, and (v) social

cohesion (Jordhus-Lier 2014:169-172);

- Communication and effective engagement with communities is essential and should be taken seriously; statistics indicate that the Western Cape DHS reports the housing backlog at 575,000, while the CCT reports the number at 320,146 (Payi 2017). It is recommended that quality rental and ‘for ownership’ housing stock be constructed, implementing innovations from communities and various stakeholders; and
- It is recommended that investment models be employed regarding affordable housing. Poor quality mass housing schemes (inferior quality walls, doors, floors, windows, damp proofing, etc.) lower the living standards of citizens and generate ‘sunk costs’ for the fiscus.

### **8.6.5 A governance model appropriate for an IPSS generating PV**

Collaborative governance is appropriate for an IPSS and PV generation, which municipalities should adopt if they are in the process of transformation. The measures for efficiency, effectiveness, equilibrium, efficacy, equity, adaptation and sustainability may be considered as the norm; however, this condition is subject to dynamic change, owing to technological advancements in the future and academic research findings. It is recommended at this point that municipalities adopt the CGR, devised by Emerson and Nabatchi (2015:723), appropriate for open, nonlinear, flexible and dynamic systems, i.e. an IPSS.

### **8.6.6 Evaluating effective community engagement**

Communities are diverse in composition and therefore have specific and general needs, which an IPSS cluster for housing delivery and community services can address. It is recommended that municipalities acknowledge community engagement as different from public participation, as the former requires direct involvement in (i) civic education, (ii) discursive and deliberative dialogue with stakeholders and IOS to formulate common objectives, (iii) the planning of their liveability, i.e. housing and community services based on needs, expectation, and (iv) the formulation of KPIs for programmes and projects at the local level and hence the IPSS cluster feedback process. It is recommended that municipalities acknowledge the communities’ direct involvement in measuring (i) efficiency, (ii) effectiveness and (iii) efficacy as it relates to PV outputs, outcomes, adaptation and sustainability, as per collaborative governance requirements.

### **8.6.7 Transformation at the City of Cape Town (CCT)**

The transformation process at CCT was discussed in sections 7.6.6 (Chapter 7). The CCT case demonstrates the most comprehensive transformation process in the Western Cape province

thus far. The following recommendations to the CCT are:

- The CCT should study the research developed on integrated systems and PV generation;
- The CCT should re-examine the complicated hierarchical design initiated by the Organisational Development Transformation Plan (ODTP); the Area-Based Service Delivery Directorate contains ten sub-directorates in a complicated arrangement;
- Housing delivery (vested with the Transport and Urban Development Authority (TDA) should adopt community engagement, integrated with community services, into an IPSS cluster. The CCT should be transparent in respect of achieving ‘customer centricity’, ending silos, creation of transport hubs, digitalisation, economic inclusion and governance reform (CCT 2017:12, 30-31, 121);
- The CCT should engage the dynamic of bottom-up collaboration, consultation and discourse with communities (as equal stakeholders of the municipality); and
- The CCT should consider utilising IPSS network organisation, i.e. IPSS clusters in the implementation of local CCT programmes and projects.

Municipalities in the UK, Namibia and South Africa have not displayed any intention or need to shift from the hierarchical organisation structures to open, nonlinear, dynamic and flexible systems. However, the need to adopt an open, integrated, dynamic and flexible municipal system, which embraces community engagement and stakeholder accountability, is necessary for municipal sustainability in a rapidly changing socio-technological environment.

### **8.7 A normative approach to IPSS implementation and PV generation: A model, operating tools for an IPSS framework and recommendations**

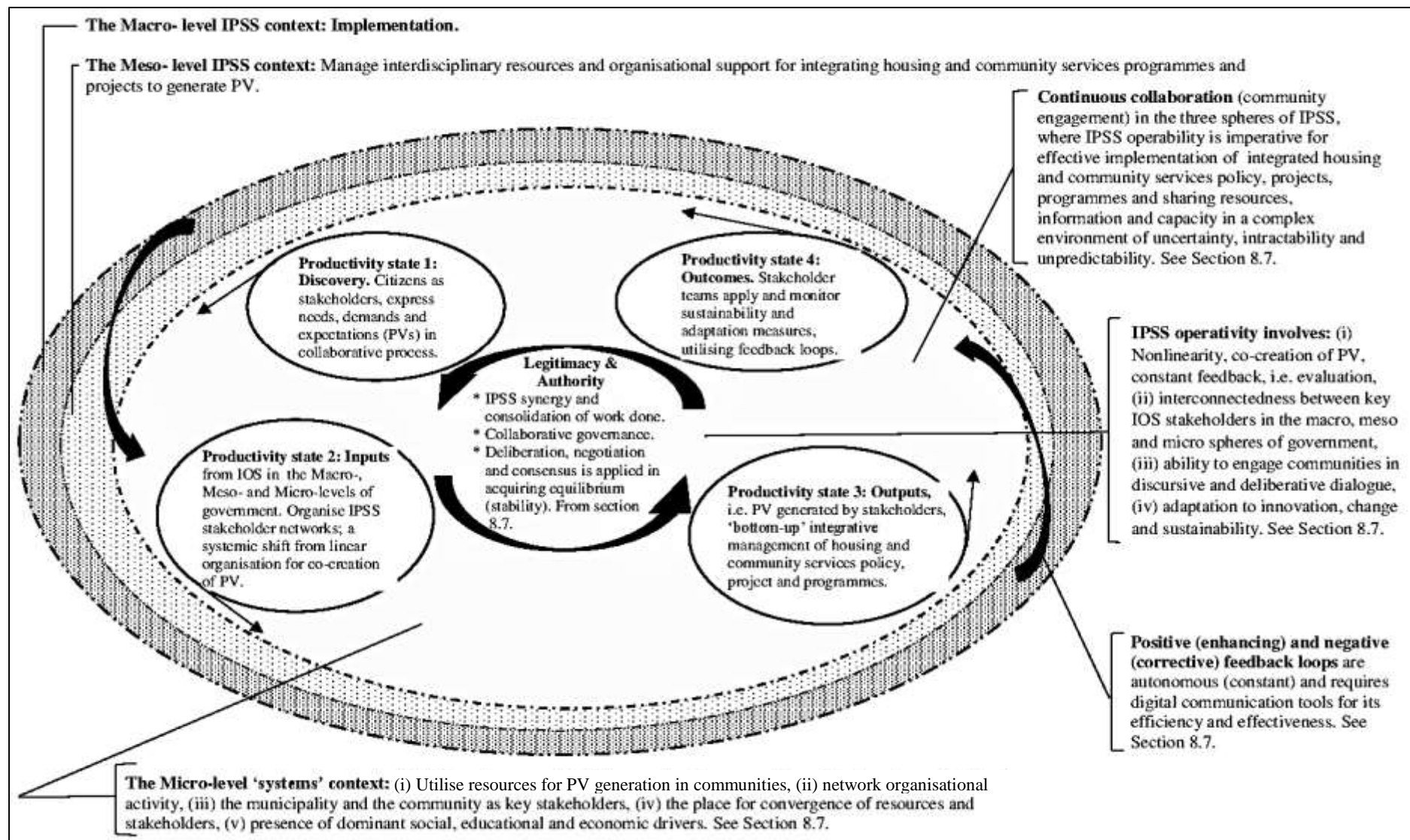
The implementation of an IPSS generating PV is feasible only upon gaining the support of the envisaged key stakeholders, which should include the municipality and the community; their willingness to participate in a change process is vital for the implementation of an IPSS generating PV. Dialogue should follow in respect of the (i) required resources, information and capacity that would satisfy stakeholder common objectives and broad PV target goals, (ii) municipality, as a key stakeholder and network ‘hub ’ in the IPSS (or IPSS cluster), and (iii) the adoption of collaborative governance as the appropriate type of governance for an IPSS. The IPSS operations model (Figure 8.8), explained in Figure 2.6 (Chapter 2) and further elucidated in Table 8.11 and Figure 8.8, is recommended for (tangible and nontangible) PV generation by municipalities. The model is also recommended for IPSS cluster operativity, in

parallel with the municipal hierarchy. The elements presented in Figure 7.2 (Chapter 7), should be applied synchronously, driven by the common stakeholder objectives and the broad PV goals stated in sections 7.2 (Chapter 7) and 8.2. Table 8.11 outlines seven imperatives (also instruments for IPSS operativity linked to Figure 8.8) for effective IPSS operativity and is dependent on (i) the utilisation of feedback loops, for reflection and corrective actions, (ii) stakeholders' exponential learning as an outcome of the IPSS process and (iii) stakeholders' co-regulation of the open system. The IPSS operations model is explained in Figure 2.6, Section 2.5.1 (Chapter 2), Section 7.7.1 (Chapter 7) and illustrated in Figures 8.8, 8.9 and 8.10.

**Table 8.11: Requirements for the effective implementation of an IPSS operations model**

<b>IPSS Requirements</b>	<b>Explanation</b>
<b>Community needs and expectations analysis</b>	Establish community needs and expectations utilising discursive and deliberative dialogue and community steering (stakeholder) team.
<b>Network stakeholder team</b>	Organise the stakeholder team, which includes the municipality and the community inclusively.
<b>Resources, information and capacity</b>	A critical task is to secure resources, information and capacity specific to much-needed community programmes or projects.
<b>Implementation mode of operativity</b>	Long-term housing and community services programme and projects tasking involve the co-creation of PV; setting in motion a holistic and inclusive developmental agenda, reduced uncertainty, a focus on quality standards, adaptivity, sustainability, social progress and general wellbeing (Figure 8.8).
<b>Digital feedback system</b>	A digital autonomous feedback system, required for feedback, monitoring, evaluation, review, reflection, adaptation and sustainability (Figure 8.9).
<b>Strategy and policy</b>	Clear policies and strategy for housing and community services are required as guiding documents. PV generates tangible (objects) and nontangible PV such as socio-economic wellbeing, a raised standard of life, quality housing, social progress and aesthetically pleasing sustainable environments (Figure 8.10).
<b>Collaborative governance regime (CGR) (Emerson and Nabatchi (2015))</b>	A collaborative governance instrument to measure and enable the evaluation of stakeholder behaviour in the achievement of effectiveness, efficiency, efficacy, equity, adaptation and sustainable development.

Source: The author



**Figure 8.8: A nonlinear IPSS implementation model for PV generation**

The author



Stakeholders should be cognisant of: (i) synergy between the four states of PV generation, i.e. discovery, inputs, outputs and outcomes, (ii) liaison with the three spheres of government, (iii) implementing nonlinearity, integration, collaboration, co-creation, innovation, shared objectives and feedback, (iv) effective and inclusive community engagement, and (v) the legitimacy of the process, collaborative governance practice and open dialogue in the pursuit of equilibrium (community stability). IPSS operativity is contextualised in a complex environment, characterised by uncertainty, unpredictability and emerging unintended patterns of behaviour which demands stakeholders’ resilience and commitment to achieve success.

The following recommendations for IPSS operations are both educative and facilitatory:

- IPSS stakeholders derive strategic direction from community engagement, discursive and deliberative dialogue, stakeholder composition, leverage ability and network organisation;
- While ‘stages of production’ implies linear operations, IPSS ‘productivity states’ imply nonlinear engagement between stakeholders, flexibility, co-creation and co-regulation;
- An IPSS stakeholder team (integrative leaders) ensures policies for political, municipal and IOS accountability to communities and capacity building for network stakeholders; and
- Table 8.12 provides a list of tangible and nontangible PV indicators (KPIs) necessary for the implementation and subsequent performance appraisal (Figures 6.10, 6.11 and Table 6.12).

**Table 8.12: Tangible and nontangible PV housing delivery and community services needs and expectations**

Measurable tangible PV	Measurable nontangible PV
<ul style="list-style-type: none"> <li>• Houses delivered as per community expectations.</li> <li>• Improved physical and psychological health.</li> <li>• Improved physical environment.</li> <li>• Improved school attendance.</li> <li>• Learning experience derived from civic education.</li> <li>• Application of sustainability measures.</li> <li>• Poverty alleviation through organised community-based projects.</li> <li>• Opportunities arise for building social relationships, i.e. social cohesion.</li> <li>• Upgraded transportation nodes.</li> <li>• Continuous community regeneration programmes and projects.</li> <li>• Increase in economic opportunities. Reduction in unemployment. Small-scale entrepreneurial projects (shops, craft, food vendors, cultural activities).</li> <li>• Rapid response from emergency services.</li> </ul>	<ul style="list-style-type: none"> <li>• Improved family security.</li> <li>• Improved personal safety.</li> <li>• Wellbeing</li> <li>• Community stability owing to reduced poverty.</li> <li>• Recognition of quality standards.</li> <li>• Improvement in quality of life.</li> <li>• Comfort derived from a clean, pleasant environment.</li> <li>• Recognising social cohesion.</li> <li>• Raised awareness owing to civic education programmes.</li> <li>• Improved wellbeing.</li> <li>• Restored human dignity, in general.</li> <li>• Restored human dignity, through participation in programmes and projects.</li> <li>• Resolved issues relating to women, minorities and anti-social behaviour.</li> <li>• Social happiness.</li> </ul>

Source: The author

- Stakeholders should build interdependent alliances, associations, PPPs, utilising bottom-up integrated planning, feedback methods, and co-evaluation of outputs, outcomes, adaptation and sustainability;
- A study of the C2-Connecting Communities programmes in the UK (Fujiwara *et al.* 2016), should serve as educative material to IPSS stakeholders;
- Since IPSS clusters generating PV do not exist in South Africa, it is recommended that municipalities initiate and adopt the system as a ‘hybrid’ arrangement, heralding in a new approach to integration, transformation and stakeholder collaboration; and

The following recommendations are specific to micro-level the implementation of an IPSS and PV generation. The suggestions for transformation in Table 7.1 (third column) and IPSS authorisation (Figure 8.7) should be regarded as motivational factors for IPSS and IPSS cluster formation (for example, the integration of the housing delivery and community services functions).

- Initiate and adopt an IPSS or IPSS cluster generating PV

The municipal executive leadership should adopt and initiate an IPSS housing delivery and community services cluster utilising the IPSS functions (tools and techniques) indicated in Figure 6.12 and Table 6.13 (Chapter 6). Such a measure would entail (i) acknowledgement of common stakeholder objectives, (ii) utilisation of discursive and deliberative dialogue, (iii) utilisation of feedback loops, (iv) a holistic and integrative approach utilising interdisciplinary support and resources for an IPSS housing delivery and community services cluster, (v) co-regulation and co-creation of PV, and (vi) negotiating with a municipality to implement a ‘hybrid’ organisational arrangement IPSS cluster as a pioneering exercise for housing delivery and community services in the shift from hierarchical to open, nonlinear systems.

- Initiate an IPSS stakeholder network management team

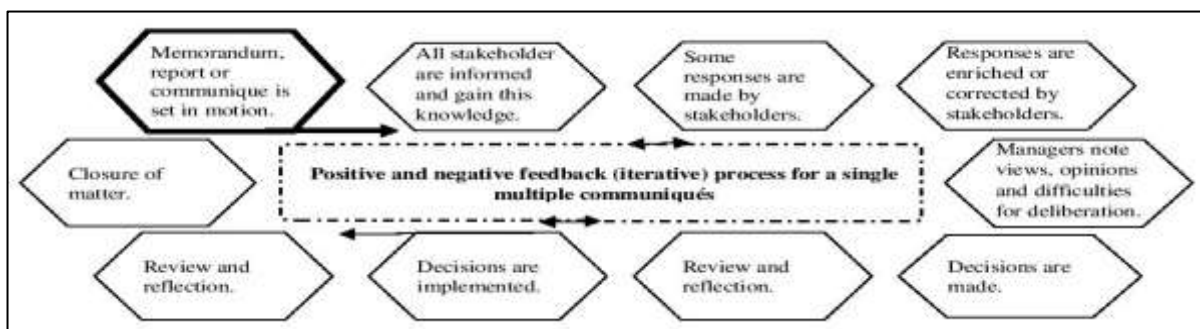
An IPSS network stakeholder team, i.e. integrative leaders operating in a collaborative governance regime (CGR), should include the municipality as an organising ‘hub’ and the community as the beneficiaries of PV generated by the IPSS (Table 8.6 holds reference). It is recommended that civic education be instituted in communities to engender the means whereby communities are enabled to engage with trained actors from IOS and other organisations in bottom-up approaches to development, i.e. to ultimately attain the broad PV target goals.

Community enablement implies that communities are able to effectively engage housing delivery and community service processes that will lead to community stability, i.e. realising the shift from complexity and volatility to equilibrium. Community enablement also implies that community stakeholders involved in housing delivery and community services are able to utilise a feedback system, monitor and evaluate IPSS outputs, outcomes, adaptation and sustainability. Stakeholders should be trained in the skills required for negotiation, compiling agreements, visioning, adaptation and sustainable development.

An example of these applications is found in the C2-Connecting Community’s programmes, were successfully implemented regeneration programmes in the UK have occurred (Fujiwara *et al.* 2016). In the UK there are established ties between social housing organisations, the police services and QUANGOs. Mechanisms such as these should be regarded as a step towards achieving community inclusiveness and stability.

- Implementing an effective IPSS feedback mechanism

An IPSS stakeholder team (CGR) should be responsible for initiating an effective and efficient positive (where an issue, concern or matter is identified and communicated to stakeholders) and negative (where possible solutions are given by stakeholders) feedback system, illustrated in Figure 8.9. Positive and negative feedback loops ensure (i) digital communication between stakeholders in a defined network, (ii) review of deliberative dialogue, (iii) a vehicle for collaborative governance, (iv) a monitoring and evaluation conduit for programmes and projects, (v) reflection and review of issues, matters and concerns, (vi) cost-benefit and (vii) cost-effectiveness reporting.



**Figure 8.9: Feedback system for a single communication in IPSS operativity**

The author

Municipalities require an efficient and effective feedback system to communicate effectively with communities. A feedback mechanism facilitates consensus formation in programme and

projects matters so that stakeholder relationships are developed based on trust and accountability. On a cautionary note, strong stakeholders (network hubs) might dominate network relationships which should be curtailed to avoid the development of power bases. Garrett, Thoms, Soffer, and Ryan (2007) formulated the Elgg social network system as a suitable feedback mechanism and which may be applied to IPSS operativity at the micro-level.

- Utilising quality standards

The utilisation of quality standards such as ISO 9001:2015, building regulations and national and provincial treasury guidelines should be a priority for stakeholders in the IPSS. Poor quality outputs erode PV, adaptation and sustainability. It is recommended that quality measures guide the implementation of housing and community services programmes and projects in communities. In the UK quality expectations are high as a result of their citizens' prevailing high quality of life in comparison to developing countries such as South Africa and Namibia. Housing in the UK is managed and owned by 'social landlords'. There is a close partnership between the landlord's organisations (Table 4.2, Chapter 4), Homes England (a public-private entity), the CfPS and QUANGOs representing citizens' interests. These organisations protect public interests. Housing delivery and community services quality measures should evaluate liveable space, privacy, recreation areas inside homes, built-in cupboard space, quality fixtures and workmanship (Sections 7.2 and 8.2 refers).

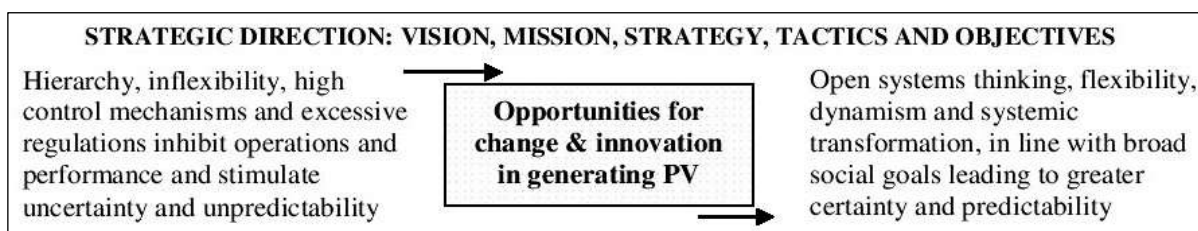
- Stakeholder composition and leveraging

Stakeholder composition is dependent upon the formulation of common housing and community services objectives as well as programme and projects requirements that would enable community stability. Stakeholders should be capacitated to leverage resources, information and capacity from the IOS, NGOs, universities, South African Police Services (SAPS), nursing staff, social workers and interested academics at universities and the private sector. For a housing delivery and community services IPSS cluster, a stakeholder team, (operating in a CGR), trained in consensus building, negotiation and drawing up contracts, should include, among others, municipal IDP, planning and finance departments, the Provincial Education Department (WCED), the DSD, the DHS, the South African Police Services (SAPS), the Provincial Treasury Department, universities, schools and healthcare institutions. The outline given here, of programme and project procedure from an IPSS perspective, approaches the C2-Connecting Communities model (Fujiwara *et al.* 2016).

- Innovation, strategy and policy for IPSS and PV generation success

IPSS strategy should be driven by a common vision, common agenda and common objectives. IPSS strategy should aim to (i) generate PV, (ii) preserve the inclusivity of the stakeholders, (iii) be organised to achieve common objectives (regarding programmes and projects) and broad PV goals, (iv) maintain accountability and transparency, and (v) formulate policy in respect of achieving these ends. IPSS strategy should be future-oriented, holistic and geared to the social and economic wellbeing of citizens. It is recommended that IPSS strategy and policy be aligned with municipal strategy and policy for effective collaboration.

Innovation, strategy and policy in the IPSS and PV context, should be applied in terms of the outline given in Figure 8.10, in order to engender fresh ideas and alternatives from community engagement regarding housing delivery and community services, financial savings, use of alternative materials and more efficient and effective ways of operating. Housing and community services programmes and projects should aim to be (i) transformative, (ii) regenerative, and (iii) geared to achieve equilibrium (community stability). Figure 8.10 illustrates IPSS strategic direction, consolidating stakeholder consensus relative to end goals.



**Figure 8.10: IPSS strategic direction utilising innovation in PV generation**

Source: The author

The areas in housing delivery and community services requiring innovative measures are numerous but determined by the needs and expectations of communities. Communities may draw on their experience, human capital and presentations regarding innovation in new rental stock or homeownership designs. Stakeholders should receive training in aspects of innovation, in respect of (i) understanding the place of innovation in society, (ii) applications to housing delivery and community services, (iii) how quality is injected into designs to raise the investment value of the houses and PV, and (iv) how innovative design can change one’s perception of one’s surrounding, at marginal cost, in respect of lighting, shade, greening, winter water troughs and recreation spaces for children. It is recommended that the IPSS performance functions listed in Table 8.13 (extracted from Figure 6.12, Chapter 6) and IPSS performance measures (KPIs) listed in Table 8.14 (extracted from Figure 6.10 and 6.11, Chapter 6) be

applied with the aim of stimulating innovation that would enhance community development and stability, i.e. PV and public purpose (See column 4 in Tables 8.13 and 8.14).

- Training to enhance capacity and quality in service delivery

Training of municipal and ward committee officials in the enhancement of capacity and quality in service delivery should adopt aspects of IPSS and PV elements, as the application of these elements leads to increased efficiency and effectiveness. It is recommended that the IPSS elements in Tables 6.20 and 6.21 (Chapter 6) be utilised as training areas for municipal and community entities in the interest of PV generation and public purpose.

- Utilising collaborative governance

Collaborative governance (explained in Section 2.6.2, Chapter 2) and the collaborative governance regime (CGR) (Emerson and Nabatchi 2015:723) role, will be discussed in the next section, in relation to IPSS performance management. Collaborative governance is dependent on stakeholders' commitment to the democratic process, trust between actors, cooperation, coordination, collaboration and negotiation and reaching consensus, as a mode of operation. The survey results (Chapter 6) revealed overwhelming support for collaborative governance practices among senior managers (Table 6.6, Chapter 6). Training in flexibility, participatory decision making, i.e. co-regulation, strengthen collaborative governance application.

- IPSS cluster implementation in South Africa, Namibia and the UK

With the existing housing and community services support structures in the UK, one could justify elements of a hybrid system for South Africa and Namibia based on (i) the existence of organisations supportive of the public, working closely with communities and government departments concomitantly, such the Homes England, The National Housing Federation, the CfP and QUANGOS, (ii) the legitimacy manifested by the Public Services Act 2012, Chapter 3, also known as the Social Value Act, (GUK 2012), (iii) support to the UK government from the Business Schools at Cardiff and Warwick University regarding PV generation, and (iv) the UK's utilisation of democratic imperatives, which is at most times lacking in South Africa. In South Africa, the place of NGOs are diminished by IOS owing to their inward focus, fragmentation and slow pace of implementation.

## **8.8 A normative approach to IPSS operational performance**

Digital communication, i.e. digitalisation, with support infrastructure for e-governance and e-government, a collaborative governance regime (CGR) and a feedback subsystem, are three components of a modern, open, nonlinear communication system, crucial for the effective and efficient functioning of municipal performance, in respect of moving towards an IPSS and IPSS clusters at the municipal and community levels. An IPSS performance management system is therefore reliant on these (three) criteria in order to establish a nonlinear IPSS performance mechanism as a norm. The following recommendations are therefore made to municipalities:

- To implement digital communication centres in communities to serve the community, an IPSS network stakeholder group and the municipality; Thusong centres should be utilised as qualitatively sound communications centres; and
- To initiate, adopt and utilise a CGR to measure IPSS performance and PV generation. A CGR provides a holistic account of programme and project outputs, outcomes, adaptation and sustainability in an open and nonlinear manner (Emerson and Nabatchi 2015:723).

The CGR performance model and framework (Emerson and Nabatchi 2015:723) is designed to measure (i) stakeholders' organisational behaviour, (ii) operational capacity, (iii) IPSS operational elements, and (iv) the measurement of 'target goals' achieved. Training continuously, is required in respect of CGR utilisation.

A normative approach to IPSS operational performance, i.e. a systems approach, would involve the assessment of IPSS elements in terms of the degree of success achieved regarding implementation and PV generation. Multiple IPSS factors (indicators) may be measured, giving rise to effective evaluation reports on outputs, outcomes, adaptation and sustainability of programmes and projects at community level. The performance management of IPSS operativity would also include and place emphasis on the performance areas (subsystems) discussed below. Efficiency, effectiveness, equity efficacy, adaptation and sustainability are focal performance measurement areas in a normative evaluation of IPSS operativity.

### **8.8.1 Identifying IPSS performance management imperatives**

The performance imperatives (discussed in 8.8.2 and demonstrated in Figure 8.11) are relevant to IPSS and PV generation performance outcomes. An IPSS stakeholder team (having adopted the CGR), should be cognisant of (i) the various instruments that are available to measure performance, as one instrument alone cannot offer a well-balanced and complete assessment,

(ii) stakeholder behaviour, which influences outcomes, (iii) unintended results emerging from uncertainty and complex conditions, (iv) effective risk management as a continuous process, (v) interdisciplinary factors, (vi) the diversity within the community having a positive or negative influence, and (vii) the critical success factors for community stability.

### **8.8.2 Presenting an IPSS cluster performance model**

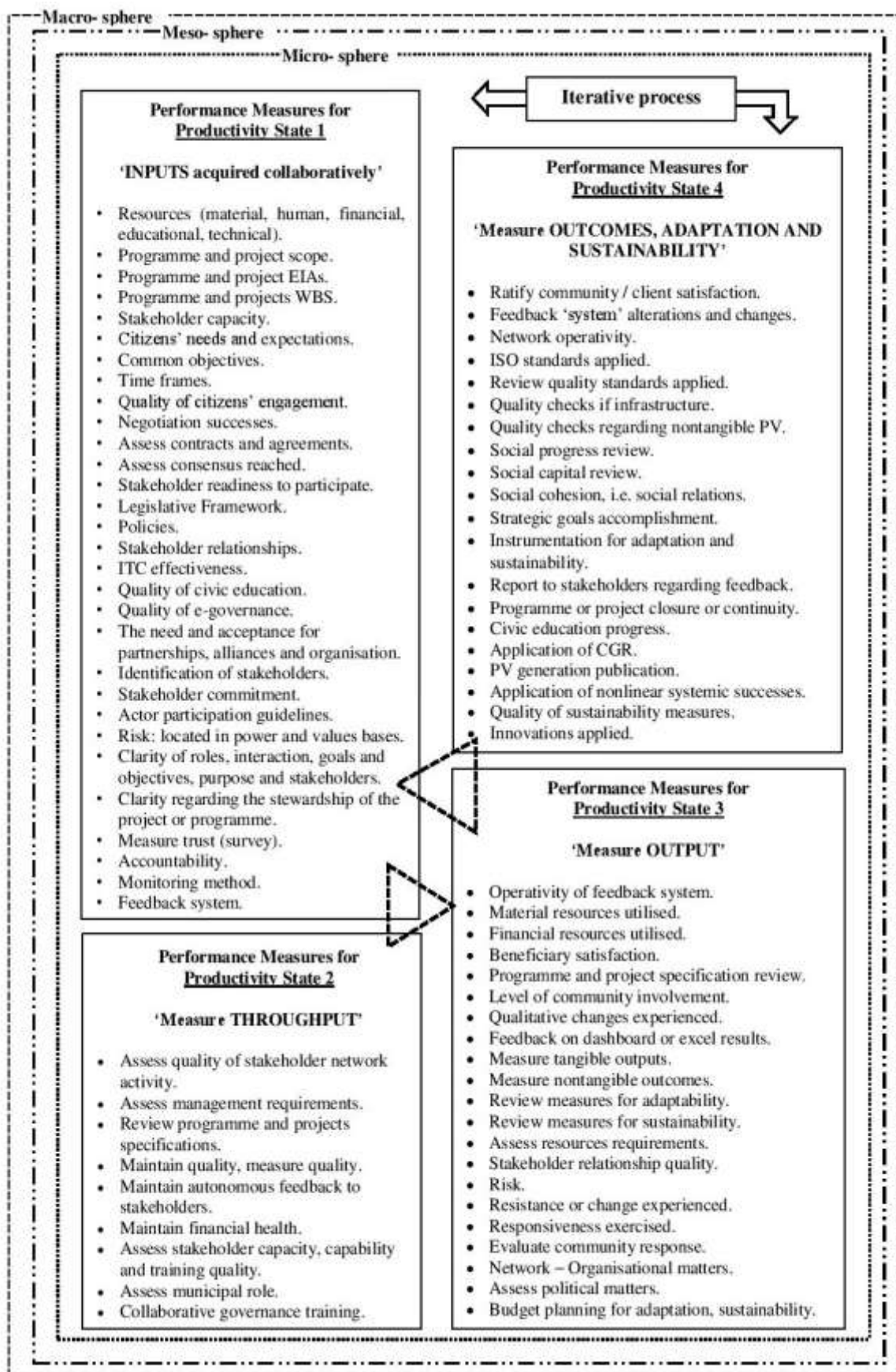
The recommended model for IPSS and IPSS cluster performance is given in Figure 8.11. IPSS and PV performance measures are provided for each of the four ‘productivity states’ indicated in Figure 2.6 (Chapter 2) and Figure 8.8. These measures (specified for the four ‘productivity states’ and applied interconnectively) are utilised to measure (evaluate) programme and project-specific tasks and activities on a continuous basis and communicated to stakeholders via positive and negative feedback loops. The IPSS performance model (illustrated in Figure 8.11) is designed to measure (i) KPI relevance, (ii) stakeholder interaction with the macro-, meso- and micro-level IOS, (iii) resources, information and capacity procurement and utilisation, and (iv) community engagement. The IPSS performance process is nonlinear and does not seek to measure stages, but rather ‘states’ of PV generation. A full account of the IPSS performance indicators, composed by the author, are detailed in Annexures E and F (and in Figure 8.11).

It is recommended that municipalities employ:

- Key performance indicators (KPIs), in respect of IPSS and IPSS cluster common stakeholder objectives and broad socio-economic goals, specified in Chapters 6, 7, 8 and Annexures E and F;
- KPIs for effective stakeholder (network) engagement, business planning and strategic direction relative to IPSS (and IPSS cluster) programmes and projects; and
- Measures for the evaluation of outputs and outcomes, i.e. PV generation, in line with MCA methodology.

The system should be open and accountability should be assured. Citizen’ needs and expectations should be made clear in the common objectives and broad IPSS social and economic goals, against which IPSS and PV performance are measured. The performance outcomes should be communicated via feedback loops to stakeholders, who subject them to the process of open (deliberative) dialogue, which invariably produces ‘new’ indicators, relevant to further development.





**Figure 8.11: The IPSS performance management model**

Source: The author

Community organisations are directed by legislation to be involved in a meaningful way in municipal matters prescribed by the Structures Act, (RSA 1998b), Section 44(3)(g), and the Systems Act, (RSA 2000a), Section 16(1) and 17(2)(d). Annual community satisfaction surveys should be ‘bottom-up’ and empirically treated to add value and detail to pending reports. Community consultation (engagement) should be continuous utilising discursive and deliberative dialogue. It is recommended that South African municipalities apply the Multi Criteria Analysis (MCA), (GUK 2009), decision and performance tool, in order to improve the validity of the annual municipal performance reports, thereby obtaining ‘weighted’ feedback from communities; the end goal should be to raise the standard of living in South African communities through the issuing of valid, citizen-centred reports as a catalyst for change.

- Systemic value of open, nonlinear IPSS performance management

A nonlinear systems approach to performance management has many advantages. Primarily, unlike traditional and conventional performance systems, the performance process is open, transparent and accountable, made possible by involved network stakeholders. The information and new knowledge generated is distributed to all stakeholders in line with its democratic nature and for the purpose of learning. The performance model (Figure 8.11) aims to reflect the progress made in terms of housing delivery, community services and the wellbeing generated as a nontangible PV. The reflection and review obtained from feedback invites more dialogue and the process of development may be regarded as autonomous. For this reason, an IPSS cluster should maintain (i) stakeholder reviews as performance outcomes, (ii) information sharing, (iii) ongoing civic education, (iv) inter- and intra-disciplinary collaboration, (v) innovation that is catalytic in community development, (vi) community satisfaction surveys, (vii) contributions to the annual IDP and SDBIP reports from an IPSS cluster perspective, and (viii) raising living standards by achieving quality standards in the construction of houses and community services.

- IPSS performance management measures, functions and areas of concern

During the IPSS implementation process, areas of concern arise pertaining to whether or not common objectives and broad PV goals ‘are on track’, and whether performance outcomes relate directly to what IPSS stakeholders deemed ‘expected’ or ‘desired’. An (unexpected, highly relevant) ‘emergent’ position may arise based on decisions taken by stakeholders and beneficiaries (Bititci 2015:206).

It is recommended that municipalities adopt IPSS-appropriate performance tools and techniques, which is facilitatory to IPSS formation. The performance model utilised is able to indicate critical areas for training, strategic direction, programme and project management. An open system performance model is designed to achieve common objectives and goals, without the impositions from the hierarchy. Stakeholder commonalities and the achievement of common stakeholder objectives should drive an open system performance model; it is therefore recommended that the following instruments be utilised:

➤ The Public Value Score Card (PVSC)

The Public Value Score Card (PVSC) (Figure 2.19, Chapter 2) has the advantages of measuring (i) the relationship between PV, operational capacity and legitimacy, and (ii) the optimisation of resources utilisation. The PVSC may be tailored to include the measurement of stakeholder behaviour and attitudes as well as the communities' concerns regarding social and economic factors that may impact upon the achievement of PV.

➤ The Competing Values Framework (CVF)

The Competing Values Framework (Figure 2.20, Chapter 2) is a matrix that locates stakeholder values (regarding PV choices) in terms of 'choice', i.e. what and how value factors may contribute to housing delivery and community services programmes and projects. The instrument requires tailoring to the conditions in the community regarding public choices and scarcity relating to financial and material resources. The CVF is appropriate for integrative managers and communities to use after some training is done.

➤ Gephi network assessment

Stakeholder network ties and structural holes (addressed in Chapter 2, section 2.4.1.1) are measurable, utilising graphic visualisation and analysis of the IPSS stakeholder network; the Gephi 0.8.2 beta software programme (Yang *et al.* 2017:169-172) produces a variety of network representations (data analysis) in a range of different colours, for each of the network performance elements, such as degrees of distribution, density, network diameter, hubs, betweenness centrality (closeness), connectivity and nodal overview (Chapter 2, section 2.4). It is recommended that municipalities train officials in the use of Gephi software, given that an IPSS cluster is adopted and initiated by the municipality. The instrument also displays the data relating to the growth, i.e. expansion, of the IPSS network over time.

### ➤ Multi-Criteria Analysis

The Multi-Criteria Analysis (MCA) manual (GUK 2009), mentioned in Chapter 4, Section 4.4.4.2, is (i) a decision-making tool, when faced with strategic and complex choices that could affect quality, such as building design, and (ii) a performance-assessment tool when utilising measurable key performance indicators (KPIs). The tool is flexible and best administered in a bottom-up process, as it demands open consultation with programme and project stakeholders operating at the micro- level. The MCA methodology should be an advantage to IPSS and IPSS cluster stakeholders as it demands open, inclusive and accountable interaction. MCA is unique in the sense that it can assign a decision-oriented weighting to each of the criteria (KPIs). A ‘sensitivity analysis’ may be applied when stakeholders decide to change any of the decisions.

The MCA model may be tailored for utilisation in South African conditions and contexts. An example of an MCA decision would be to decide to have more houses built in a cheaper and inferior way or to build ‘investment’ homes, with superior quality and numbering fewer units. The DSD, DHS, the municipality and stakeholders such as the DAG (Chapter 5 has a full list of stakeholders) require capacity building and orientation to IPSS systemic performance management mode of operation. This recommendation allows for interdisciplinary ratification and support for the IPSS performance methodology regarding (i) acknowledgement of successes and failures regarding achievement of common objectives and broad social and economic directives, (ii) acknowledgement of successes and failures regarding achievement of outputs, outcomes, adaptation to change and sustainable development, (iii) assessment of the activities related to the developmental role of the municipality, and (iv) beneficiary satisfaction.

- Recommendations for utilising IPSS functions and measures (from Chapter 6)

It is recommended that municipalities apply the elements contained in Table 8.13 (IPSS performance functions) and Table 14 (IPSS measures, KPIs) as facilitatory in achieving realistic PV performance outcomes geared to transformative change. Important IPSS indicators are contained in Annexures E, F and Figure 8.11 which, when utilised, provide a comprehensive normative account of IPSS performance functions and measures.

Table 8.13 is based on Figure 6.12 and Table 6.13 (Chapter 6); 16 IPSS and PV performance functions were assessed by senior managers. Column 1 and column 2 indicate the Item and the combined mean obtained for ‘strongly agreed and ‘agreed’, from which column 3 is formulated. Column 4 contains recommendations for effective and efficient PV generation.

**Table 8.13: IPSS performance functions and recommendations for achieving efficiency and effectiveness in PV generation**

<b>IPSS performance functions indicated in Figure 6.12</b>	<b>Combined score for ‘strongly agreed’ and ‘agreed’ for the Items indicated</b>	<b>Accompanying IPSS performance functions</b>	<b>Recommendations</b>
Item 7.10	90%	Formulate efficiency and effective levels regarding resources utilisation.	Monitor and manage resources utilisation aligned to common objectives and target goals.
Items 7.1, 7.9 and 7.11.	81.5%	Establish a shared understanding with stakeholders on the evaluation of social wellbeing, co-learning and community engagement.	Develop indicators (KPIs) to evaluate IPSS functioning.  Implement co-learning measures and civic education for the encouragement of enabling citizens through learning.
Items 7.2, 7.5, 7.6 and 7.15	74.3%	Implement community satisfaction surveys to measure (i) quality of life objectives, (ii) current programmes and projects outputs (iii) manage feedback from stakeholders on current programmes and projects and (iv) outputs linked to common objectives.	Implement a community satisfaction survey and align with common stakeholder objectives.  Implement performance evaluation teams where there are none.  Implement performance evaluation of integrated housing delivery and community services with the measurement of client satisfaction.  Monitor quality of feedback.
Items 7.3, 7.7, 7.8, 7.14 and 7.16	64%	Review strategy with stakeholder participation; utilise visual performance tools at community engagements; put sustainability measures in place to preserve community assets (PV generated).	Raise community morale through inclusiveness on programmes and projects.  Align PV needs to common objectives.  Utilise visual performance tools at community meetings.  Verify utilisation and evaluation of sustainability measures.
Item 7.4	43%	Effect municipal performance evaluation.	Set up an integrated municipal performance evaluation team(s).
Item 7.13	32%	Utilise ISO 9001:2015 quality standard for ensuring quality in service delivery.	Implement ISO 9001:2015.
Item 7.12	25%	See 7.1, 7.9 and 7.11.	Utilise MCA methodology for manifesting public engagement.

Source: The author

Table 8.14 is based on Figure 6.10 and 6.11 and Table 6.12 (Chapter 6), where 25 IPSS and PV performance measures were assessed by senior managers. Column 1 and column 2 indicate the Item and combined mean obtained for ‘most’ important and ‘important’. The accompanying

performance measure (column 3) is derived directly from the questionnaire Items. Column 4 states the recommendations for measuring PV generation efficiency, effectiveness, efficacy and equity.

**Table 8.14: IPSS and PV performance measures (KPIs) and recommendations for measuring (evaluating) PV generation and public purpose**

IPSS performance measures given in Figures 6.10 and 6.11 (Chapter 6)	Combined score for 'most important' and 'important'	IPSS performance measures	Recommendations
Items 6.1.1 - 6.1.5	88.6%	Knowledge sharing, co-management, building trust, effective dialogue and involvement of politicians.	Develop key performance indicators (KPIs) for knowledge sharing, co-management, building trust, effective dialogue and involvement of politicians.
Items 6.2.1 – 6.2.5	91.8%	Participatory planning, alignment of outcomes to expectations, common objectives and capacity building regarding PV.	Develop key performance indicators (KPIs) for participatory planning, alignment of outcomes to expectations, common objectives and capacity building for PV comprehension.
Items 6.3.1 - 6.3.5, and Items 6.5.2 – 6.5.5.	90.6% and 92.4% respectively.	Quality outputs, efficiency, effective resources allocation, sustainability and innovations.  Small transformative changes observed in the community, adaptability over time, the effectiveness of value created, equity in value created, community stability.	Develop key performance indicators (KPIs) for outputs, outcomes, adaptation, sustainability (programmes and projects), efficiency, effective resources allocation and innovation (see CGR Emerson and Nabatchi 2015:723).
Items 6.4.1 – 6.4.5	89.4%	Community satisfaction, equity created, e-government effectiveness and efficiency, operational and organisational effectiveness and monitoring on sustainable programmes and projects.	Develop key performance indicators (KPIs) for community satisfaction, equity, digitalisation, and programme and project monitoring and feedback from stakeholders.

Source: The author

## 8.9 Consolidated recommendations for implementation over the short, medium and long term

Table 8.15 presents a summary of core recommendations, for an IPSS normative framework and PV generation, applicable to Western Cape province municipalities in particular and to other IOS in general. Table 8.15 also serves as a quick view of what is required from municipalities to successfully achieve common and broader social goals at a local level.

**Table 8.15: Consolidated recommendations for implementation over the short, medium and long term**

Reference	For immediate implementation	For implementation over 5 years	For implementation over 10-15 years
<b>Table 8.1</b>	Current municipal purpose and vision should be synchronised to stakeholder common objectives aligned with IDP strategic intention to initiate IPSS cluster.	Set up stakeholder networks where the community and the municipality have equal status in the achievement of common objectives and socio-economic goals.	Set up IPSS cluster on sustainable platform comprising of the housing delivery unit and the accompanying community services department.
	Distinguish between service delivery and PV generation, Section 6.11.	Set up civic education programme alongside adult basic education, i.e. integrate resources, expertise and information from IOS.	Implement municipal management education and training (PSETA) to community integrative leaders.
		Direct resources, information and capacity from meso and macro IOS to effect recommendations.	
<b>Table 8.2</b>	Open dialogue on integration, networks, collaboration and dynamic approaches to programmes and projects with PSETA, i.e. open dialogue with stakeholders on IPSS and PV.	Initiate IPSS and PV education and training; digitalise community engagement (dialogue) and feedback. Implement digital portals for communication with municipality.	Measure inputs, outputs, outcomes, adaptation and sustainability. Utilise IPSS KPIs. Feedback stakeholders.
	Replace ‘good’ and ‘corporate’ governance with collaborative governance. Mitigate path dependency, managerial inertia and perfunctory behaviour of officials.	Initiate and employ bottom-up performance measuring instrument, based on collaborative governance regime, in-line with IPSS principles.	Measure organisational and social progress.
<b>Table 8.3 and Table 8.4</b>	Mitigate all forms of fragmentation through connectivity, self and co-regulation. Effect mind-shift, i.e. adaptation to new work mode.	Implement understanding and assimilation of content in Tables 8.3 and 8.4.	
<b>Table 8.5</b>	Initiate training on new learning fields indicated in Table 7.1. <ul style="list-style-type: none"> <li>Formulate KPIs to enhance strategic intention and direction.</li> <li>Effect community engagement.</li> <li>Develop visual materials for community engagement.</li> <li>Measure community satisfaction.</li> <li>Open dialogue regarding budgeting collaboration.</li> </ul>		
<b>Table 8.6</b>	Formulate community common objectives aligned to broad socio-economic goals.	Initiate and sustain training in the following management enhancing areas of operation: the pace of effective transformation, building stakeholder and intergovernmental relations, encourage bottom-up innovation in local projects and programmes, focus on social progress, co-regulation and stakeholder networks.	

<b>Table 8.7</b>	Rescope the IDP to absorb network stakeholders, local programmes and projects.	Build stakeholder network organisation in local communities to facilitate winnable projects.	
<b>Table 8.8</b>	Train public managers and Councillors in political expediency, relative to IPSS cluster stakeholder needs and expectations.		
<b>Table 8.9</b>	Build community organisations (and integrative leaders) to establish local organisational stability, through short and long-term local projects and programmes.	Implement IPSS operation, performance and PV norms with network stakeholders over the middle to long term. Table 8.9 is important as it outlines norms for systemic transformation. An IPSS may exist in parallel with or as a hybrid within the Weberian system. However, the irreconcilability of the two 'systems' will have to be managed. Section 8.5 applies.	
<b>Table 8.10</b>	Examine IDP, housing, community services and other policies in relation to IPSS and PV criteria and measure effectiveness.	Implement policy effectiveness guide (formulated by stakeholder team with open dialogue) to enhance existing policies and propose new ones in line with stakeholder common objectives.	
<b>Section 8.6</b>	Train network stakeholders on the topic of systemic transformation and benefits thereof for community wellbeing.	PSETA training with additional experts from universities' public administration and other departments.	Social, political and economic interdisciplinary training. Reduce community volatility. Build stability and sustainability.
<b>Section 8.7, Table 8.11, Figure 8.8.</b>  <b>IPSS Implementation</b>	Hold a series of 'discursive' discussions on IPSS, systemic transformation and PV generation. As an example, Table 8.12 is recommended, i.e. examples of tangible and nontangible PV for discussion. Topic example might be 'Sustainable teenager centres'.	Initiate IPSS cluster operativity in communities with digital feedback system (Figure 8.9 refers). Training and digital portal utilization is required.	Embed the need for (i) community needs and expectations analysis, (ii) organise the network stakeholder team, (iii) secure resources, information and capacity, (iv) digital feedback system, (v) integrated strategy and policies, (vi) a collaborative governance regime and PV generation framework.
<b>Section 8.7 and Figure 8.11.</b>  <b>Tables 8.14 and 8.15</b>  <b>IPSS Performance Management</b>	Hold a series of 'discursive' discussions on IPSS performance management indicators as measures of a nonlinear system, on topics such as digital communication tools, trust, effectiveness, efficiency, equity, efficacy, adaptation, sustainability, bottom-up decision making, holistic approach to performance, political viability and explain collaborative governance regime (GCR).  Implement performance evaluation teams representative of the network stakeholders. Utilise standards such as the ISO 9001: 2015.	A gradual utilisation of IPSS and PV KPIs detailed in Figure 8.11 and Annexures E and F.  Implement community satisfaction surveys with measures formulated collaboratively, with the focus on local projects and programmes, i.e. tangible and nontangible PV generation; introduce and maintain the use of visual performance tools and community engagement guidelines. Also, measure civic education success and failure.	Implement IPSS operations and performance models in a bottom-up fashion with relevant measures formulated by stakeholders collaboratively.

Source: The author



### **8.10 Contribution to new knowledge**

This study has made a contribution to public management (municipal) knowledge and practice and particularly the creation of new knowledge for effecting municipal systemic transformation, relative to integration and public value implementation:

- A normative framework for an IPSS and PV generation was clearly defined and expounded, in the interest of both municipal and civic development;
- An opinion survey was executed and the results were shown to be supportive of an IPSS and PV conceptualisation, in relation to outputs, outcomes, adaptation and sustainability;
- Linear (hierarchical) systems were highlighted as exclusionary while open, nonlinear bottom-up systems were inclusive and participatory;
- The thesis demonstrated the meaning of effective and efficient integration, i.e. systemic integration, as opposed to managerial transversalism pertinent to the current 'linear' municipal mode of operating; and
- This thesis demonstrated the systemic incorporation of civic education, public engagement, an electronic method of 'open' feedback, accountability, transparency, stakeholder equity, bottom-up innovation and methodology for overcoming (mitigating) intractable socio-economic problems.

### **8.11 Suggested further research**

Further research is suggested in respect of IPSS implementation and PV generation. Municipalities in the Western Cape province are lagging behind in the adoption of 'systemic transformational' methodologies that would bring about effective and efficient service delivery. The following areas are deserving of further research:

- How municipalities in the Western Cape province are implementing integration and transformation, in terms of benefits for citizens and the municipality;
- The complete digitalisation process in municipalities regarding IPSS implementation and PV generation in terms of benefits for citizens and the municipality;
- The implementation of network organisation regarding performance measurement in municipalities in terms of the models produced in this study. The objectives of equilibrium, innovation, adaptation and sustainability would be key features of such research;
- The implementation of community regeneration programmes in the Western Cape province utilising the C2-Connecting Communities model would be valuable to citizens. In this

regard, the creation of quality community engagement opportunities should be researched; and

- The way that municipalities exercise their ‘autonomy’ in terms of local government, in terms of (i) cutting down on red tape, (ii) transformation and integration, and (iii) raising funds for community development and the establishment of wellbeing.

## **8.12 Conclusion**

The research objectives set out in Section 1.6.2 were achieved. Exploratory theoretical and prevailing situational knowledge in respect municipal management (in South Africa Western Cape, Windhoek, Namibia and London, United Kingdom) and its relation to the emergence of an IPSS and PV generation, were assimilated and expressed in Chapters 2 to 8, and in Annexures B to F. Objectives 1 to 3 was thereby fulfilled. Objective 4 was satisfied in respect of the critical evaluation presented in Chapter 7 regarding the challenges and problems associated with IPSS and IPSS cluster feasibility, adoption and implementation by municipalities in the Western Cape province. Objective 5 was satisfied through the provision of recommendations (empirically-based solutions) for the initiation, adoption and implementation of an IPSS (or IPSS clusters) in Western Cape province municipalities, contained in Chapter 8.

Chapter 8 presents a normative account of an IPSS generating PV, relevant as an alternative (or complementary) mode of operativity and evaluation in municipalities to the hierarchical organisational system which prevails at present. Chapter 8 also presents a solutions-driven compilation of IPSS and PV elements and principles as recommendations particular to IPSS implementation, operativity, performance, governance and PV generation, motivated by the achievement of common stakeholder objectives and broad socio-economic goals.

Municipalities in the Western Cape province have experimented in various ways with the processes of integration, transversalism (vertical and horizontal integration) and transformation, with little success. The driving principle in the rationale for an IPSS generating PV is that systemic change is required to accommodate effective and efficient transformation in municipalities. The benefits derived from this collaborative process, driven by the community, municipalities and IOS, are in agreement with the developmental role of

governmental IOS, the development of the democratic environment of municipalities and communities, and the provision of quality services to communities.

Chapter 8 promotes the IPSS, the IPSS cluster, collaborative governance and a PV generation framework for effective transformation in municipal operations and measurement (monitoring and evaluation), with regular feedback by all interacting stakeholders, with the latter regarded as a prominent feature of an IPSS. It is understood that as systems age, become stale and break down, new, modern, and more effective and efficient systems will replace them, in the interest of sustaining citizens' wellbeing, economic growth and holistic development.

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