



**MEASURING THE PERFORMANCE OF THE INTEGRATED DEVELOPMENT
PLAN IN A SELECTED METROPOLITAN COUNCIL IN THE WESTERN CAPE,
SOUTH AFRICA.**

by

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DECLARATION

I, Gavin John Solomons, declare that the contents of this thesis represent my own unaided work, and that the thesis has not previously been submitted for academic examination towards any qualification. Furthermore, it represents my own opinions and not necessarily those of the Cape Peninsula University of Technology.

Signed

Date

ABSTRACT

Cape Town has an extremely unequal society characterized by increased unemployment, and a lack of adequate and affordable service delivery for communities living on the Cape Flats including townships. Is the service delivery demand too big or doesn't the City of Cape Town municipality have the capacity to cater for all communities within the municipal boundaries? Or is the municipal staff not performing as they are supposed to perform? The Integrated Development Plan can be described as the pivot upon which all development activities in a municipality revolve. The research project investigates the performance of the City of Cape Town Municipality's IDP. The study further investigates the powers and duties given to people elected and appointed to implement this new South African local government vision of a free and prosperous South Africa for all to enjoy under the African sun. The most important tool in the municipality's hands is the IDP. The IDP of a municipality is a map that a specific municipality wants to travel in that five-year period while they are in control of that municipality. The vehicle that drives human beings into a specific direction must be strong and able to succeed in pursuing the municipal vision. The point of departure is the beginning of the municipal term. The destination is the completion of the IDP five-year term that runs with the political term of office. The vehicle is all the managers that need to perform optimally to enable the driver to reach their destinations. The driver of the City's vehicle is the executive mayor with the mayoral committee. The residents are the ones that maintain the vehicles with their rates and municipal taxes, therefore individuals should have a hand in organising the structures that govern them; this is normally done at the ballot box when residents cast their votes. The expectation is that the political and administrative office bearers provide them with quality services and the provision of good products. This study assumes that the failure to deliver adequate basic services to residents is the result of miscommunication relating to the COCTM IDP or the performance thereof, and other factors that fail elsewhere in the service delivery system.

The research project follows a quantitative research approach in the form of a questionnaire survey conducted amongst a sample of 95 managers across all directorates within the City of Cape Town Municipality. Based on the findings of the empirical study, specific recommendations are made that the management of the Municipality can consider addressing problem areas, as well as a recommendation for future research.

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DEDICATION

This thesis is dedicated to my family, my wife Charlotte Lorraine, and my two children, Gavin John Jr. and Nadine for their support during my entire studies.

GLOSSARY

Acronyms/ Abbreviations

ACDP African Christian Democratic Party

Ald. Alderman

AMP Africa Muslim Party

ANC African National Congress

ASGISA Accelerated and Shared Growth Initiative for South Africa

BRT Bus Rapid Transport

BURS: Botswana Unified Revenue Service

CAMA Computer assisted mass appraisal

CBP Community-based planning

CFO Chief Financial Officer

CCT City of Cape Town

CID City Improvement District

Cllr(s) Councillor(s)

COCT City of Cape Town

COCTM City of Cape Town Municipality

CORC Community Organisation Resource Centre

CONVENCO Cape Town International Convention Centre Company

CPO Community Patrol Officer

CPUT Cape Peninsula University of Technology

CSRM Catchment, Storm water and River Management

DA Democratic Alliance

DEA & DP Department of Environmental Affairs and Development Planning

DHLGTA Department of Housing Local Government and Traditional Affairs

DPLG Department of Provincial and Local Government

DWAF Department of Water Affairs and Forestry

EA Enumeration Area

ECDLGTA Eastern Cape Department of Local Government and Traditional Affairs

EIA Environmental Impact Assessment

ERP Enterprise Resource Planning System

EMT Executive Management Team

FF+ Freedom Front Plus

FOCOS Forum of Chairpersons of Sub councils

GHS General Household Survey

GALA Gauteng Association of Local Authorities

GIS Geographical Information Systems

GTI Geo Terra Image

HDA Housing Development Agency

HH Households

HOD Head of Department

I & AP Interested and Affected Parties

ID Independent Democrats

IDL Inter Departmental Liaison

IDP Integrated Development Plan

IES Income and Expenditure Survey

IGR Intergovernmental Relations

IMATU Independent Municipal and Allied Trade Union

ISC Informal Settlement Communities

LaPsis Land and Property Spatial Information System

LED Local Economic Development

LUPO Land Use Planning ordinance 15 of 1985

MAYCO Mayoral Committee

MEC Member of the Executive Council

MFMA Local Government: Municipal Finance Management Act, 56 of 2003

MFMC Municipal Facilities Management Committee

MOU Memorandum of Understanding

MIG Municipal Infrastructure Grant

MM Municipal Manager

MSA, 32 Local Government: Municipal Systems Act, 32 of 2000

MTREF Medium-term revenue and expenditure framework

MLGI Multi-Level Government Initiative

NERSA National Electricity regulator of South Africa

NDHS National Department of Human Settlements

NEMA National Environmental Management Act

NEMBA National Environmental Management Biodiversity Act

NGO Non-governmental organization

NPP National People's Party

OPM: Office of the Prime Minister

PAC Pan Africanist Congress

PAWC Provincial Administration Western Cape

PEPCO Planning & Environment Portfolio Committee

PHRA Provincial Heritage Resource Agency

PLANAP Planning Appeal Committee

PPP Public Private Partnership

PSU Primary Sampling Unit

RDP Reconstruction and Development Programme

ROD Record of Decision

SALGA South African Local Government Association

SAMWU South African Municipal Workers' Union

SAPS South African Police Services

SAHRA South African Heritage Resource Agency

SATS South African Transport Services

SCOPA Standing Committee on Public Accounts

SCM Supply Chain Management

SDBIP Service Delivery and Budget Implementation Plan

SDP Social Democratic Party

SMME Small, medium and micro-enterprises

SPD Spatial Development Framework

SPELUM Spatial Planning, Environmental & Land Use Planning Committee

SPSS Statistical Package for Social Sciences

Stats SA Statistics South Africa

UDM United Democratic Movement

UP Universal Party

WPTPS White Paper on Transforming Public Service

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CHAPTER ONE

BACKGROUND OF THE STUDY

1.1 INTRODUCTION

The delivery of public service has become one of the cornerstones of democracy in South Africa, since the inception of the democratic political dispensation in 1994. According to Van der Walt (2011) South Africa's transition to 'democracy' was a massive victory against national oppression, which was won from below. To bridge the transitional stage where local government has a fundamental role to play as deliverer of basic services, the government adopted the Local Government: Municipal Structures Act, No. 117 of 1998, to regulate the transitional arrangements the Municipal Structures Amendment Act, No 33 of 2000 followed, and to regulate the contents of notices establishing municipalities and to further regulate transitional measures when existing municipalities are disestablished and new municipalities established. The Municipal Structures Amendment Act defines a municipality as the structures, political office bearers and administration of the municipality, a geographical area, and the community of the area. In other words, a municipality has an institution of political and administrative structures, and the people who live in the local area. Chapter 7 of the South African Constitution, of 1996, states that municipalities have duties, as well as rights. These include duties to:

- exercise their powers and use their resources in the best interests of the local community;
- provide, without favour or prejudice, democratic and accountable government
- encourage participation of the local community;
- ensure that municipal services are provided to the local community in an equitable and financially and environmentally sustainable manner;
- promote development in the municipality;
- promote gender equity;
- promote a safe and healthy environment in the municipality; and
- contribute to the progressive realisation of the fundamental rights contained in the Constitution.

Essential and affordable services in the municipal sphere of government which is primarily governed by the Integrated Development Plan, which complies with Chapter 5, Section 23 to 37 of the Local Government: Municipal Systems Act, No 32 of 2000, that requires that municipalities adopt an IDP. The IDP is a service delivery strategy, which provides a framework to determine developmental priorities and identify the basic needs insofar as the delivery of municipal services is concerned. The main objective of the IDP is to eradicate the legacy of the past and progressively towards the social and economic upliftment of local communities.

The South African government adopted a developmental approach to local government (RSA, 1998). Reddy, Sing and Moodley (2003:61) state that national as well as provincial spheres of government must assist municipalities in performing constitutional functions, by; providing financial and human resources in the form of “trouble shooters” to municipalities that perform poorly. The Municipal Systems Act, No. 32 of 2000 defines the legal nature of municipalities as part of a system of co-operative government. It also clarifies the rights and duties of the municipal council, local communities, and the municipal administration. It is important that the whole City of Cape Town Municipality as an organisation is involved in deciding what their values are to ensure that they are all aligned and united in achieving our organisational goals. Section 57 the Municipal Systems Act, No. 32 of 2000 makes provision for the appointment of a municipal manager and senior managers to execute and monitor the targets and objectives, which are set by the municipal council. These executives stand at the helm of the organization and are according to section 57 of the Municipal Systems Act, Act 32 of 2000, accountable. They must ensure that HODs (Heads of Department) implement and maintain policies, project plans, strategies and programmes in conjunction with the IDP. The COCTM Organisational Development and Transformation Plan (ODTP) must aim to find ways of putting their customers at the centre of their focus (COCTM, 13b). The Municipal Systems Act makes provision for members of the local community to be informed of decisions of the municipal council, and to expect that the council discloses information about its business and finances. A municipal Integrated Development Plan (IDP) (COCTM 2011 Council overview) serves as an enabler for mutual accountability regarding the agreed priorities and allocation of resources to contribute to the long-term development of the municipality. It is, therefore, one of the most critical plans to ensure effectiveness and efficiency, as well as citizen participation at a local government level. The purpose of the Integrated Development Plan is to foster more appropriate service delivery by providing the framework for economic and social development within the municipality.

As mandated by the South African Constitution of 1996, local municipalities are required to render basic services to all communities in their area of jurisdiction, and to address existing backlogs that have accumulated over years of segregated development. National government has developed many instruments in the form of policies and plans. The main local government instrument, namely the Integrated Development Plan (IDP), was adopted to enhance the local municipality's delivery of such services. An Integrated Development Plan is a super plan for a municipal area that provides an overall framework for development.

The research project investigates at the performance of the COCTM IDP and the organisational values within City of Cape Town Municipality. The objective is to generate data to establish how the different departments and their staff in the various directorates within the City of Cape Town Municipality, fulfil the needs of the residents. To ensure that all the COCTM employees aligned and united in achieving the organisational goals.

1.2 BACKGROUND OF THE RESEARCH STUDY

According to the Municipal Systems Act, No. 32 of 2000, the executive and legislative authority of a municipality is the council of the municipality, and the council takes all the decisions of the municipality. Municipalities exercise their executive and legislative authority in various ways: developing and adopting policies, plans, strategies and programmes; establishing and maintaining an administration; promoting and undertaking development; setting targets for delivery; providing municipal services or regulating the provision of municipal services; implementing national and provincial legislation and its own by-laws; preparing, approving and implementing its budgets; and setting and collecting service charges and other fees, for instance, the recovery of traffic fines. The MSA states that municipalities must develop a system of municipal governance that complements formal representative government with a system of participatory governance. The involvement of community in participating in local matters deepens democracy by giving local citizens a direct say in a range of decisions and processes which affect them, for instance, municipal planning and budgeting. Community participation also strengthens the relationship between municipal councils and community groups, and enhances the accountability of municipal councils for local citizens. Municipalities must therefore encourage and create conditions for the local community to participate in the affairs of the municipality, including in:

- the preparation, implementation and review of the municipal integrated development plan;

- the establishment, implementation and review of the municipal performance management system;
- the monitoring and review of municipal performance, including outcomes and impact;
- the preparation of the municipal budget; and
- strategic decisions relating to the provision of municipal services

The Constitution enshrines the rights of all people in this country to dignity, equality before the law, freedom and security. It further affirms rights to freedom of religion, expression, culture, association and movement, as well as political, labour and property rights. The Constitution also commits government to take reasonable measures, within its available resources to ensure that all South Africans have access to adequate housing, health-care, education, food, water and social security. Tsatsire (2008:139) claims that the previous local government system never addressed the greatest needs of the majority of South Africans while Municipalities are unable to reverse these long-standing patterns of inequality and unmet human needs since certain communities are still geographically divided and live in dire poverty, and are isolated from services and opportunities. The IDP serves a yardstick that maintains municipal accountability for the delivery of core developmental duties and functions. This accountability has its framework amongst the legislative obligations, which are outlined below.

Section 151 of the Constitution states that municipalities in South Africa, constitute the local sphere of government that needs to provide essential, basic and affordable services. Sections 152 and 153 of the Constitution further outline the objective and developmental functions of municipalities. Chapter 3 of the Constitution (1996) goes further to established a system of intergovernmental relations, which are based on the principle of co-operative government which, together with a host of other Acts of Parliament, provide a framework for the co-ordination of government relations. The Local Government Municipal Structures Act (1998) describes the grading of municipalities and the political and executive structures within the different grades of local government. Section 73 of the Municipal Systems Act, (2000) outlines the general functions of municipalities in relation to service delivery. Chapters 4 and 6 of the Municipal Systems Act (2000) introduce community participation and performance management procedures and systems while Section 84 of the Municipal Structures Amendment Act (2000) outlines the services portfolio of municipalities with the focus on service standards that should be developed. The Local Government Municipal Finance Management Act 2003 (Act 56 of 2003) refers to accountability, responsibility

and the management of public money in the municipal public sector to guide the management of municipal funds. The Intergovernmental Relations Framework Act, 2005 (Act 13 of 2005) was passed with the objective of creating a framework to support intergovernmental co-operation and co-ordination as required by the co-operative governance, Local, Provincial and National governments to align municipal services with Provincial and National Plans. This study investigated why residents is dissatisfied with service delivery from the City of Cape Town Municipality, in line with the Integrated Development Plan.

1.3 RESEARCH PROBLEM STATEMENT

According to the Civic Protests Barometer 2007-2014, published by the Multi-Level Government Initiative (MLGI), the number of “civic protests” in South Africa reached an all-time high in 2014, at 218 protests. Cape Town was the most protest-prone municipality with 84 protests, amongst residents with regard to service delivery. Community protests, xenophobic violence, illegal occupation of RDP houses, court cases and corruption charges mark the service delivery landscape (Tissington et al., 2013:80). Section 34 of the Municipal Systems Act requires Municipal Councils to review their IDP annually, with the view to address residents’ service delivery challenges. Integrated development planning is a dynamic and continuous process, and must respond to changing circumstances, community demands and municipal functions. The IDP’s annual review ensures that the municipality remains flexible and responsive to changes, without losing sight of the vision and long-term objectives. According to section 57 of the MSA, the municipal executive management team is accountable for the successful implementation and monitoring of the IDP. Each executive directorship has departments, and each with a departmental portfolio head, known as the Head of Department (HOD). These HODs are subject to an annual performance management review of their department, as well as individual performance management reviews, that will establish if the municipal resources are directed at the delivery of services, projects and programmes, and if it meets the strategic development priorities as well as the municipal performance targets.

1.4 RESEARCH OBJECTIVES

According to Kraft, M.E (2007:109), the objective of research is the analyses of social and economic problems, which are associated with challenges of sustainable development, and to posed fundamental questions and the root causes of problems that should be addressed, rather than merely examining policy documents. In view of the research problem, the study attempts to identify whether the problem lies with the model used by the Heads of Department (HODs) in the City of Cape Town Municipality, or with the absence of a competency-based, standard setting model of performance management throughout all Departments in the City of Cape Town Municipality. These Heads of Department are individuals who have the power to change staff attitudes, while they also have an obligation to measure the performance of each and every employee under their control. Smith, M. (2002), states that “performance management is not static”. The study addresses the issue that poor service delivery is the result of the City of Cape Town’s municipal departments’ performance and individual staff performances are not fully managed to achieve the municipal objectives and targets that are set out in the IDP. The research aim is to:

- Define the phases of the IDP;
- Explain community participation in the local government;
- Explain the general duties of a municipality insofar as service delivery is concerned;
- Discuss the system of inter-governmental relations;
- Explain governance within local government;
- Describe leadership at local government level;
- Describe performance management in the City of Cape Town Municipality; and
- Conduct an empirical study within the City of Cape Town Municipality to achieve the research objective and to establish if the competency based and standard model do exist and how effective that model is.

1.5 RESEARCH QUESTIONS

The primary research question is stated as follows:

To what extent is COCTM achieving its objective to deliver services?

The secondary research question is stated as follows:

Are all departments in the City of Cape Town Municipality having a competency-based, standard setting model of performance management in line with the IDP?

1.6 PRELIMINARY LITERATURE REVIEW

Denscombe, (2002:52) points out that a critical review of literature is a creative exercise, not a mechanical chore, and an activity that “calls for judgement and insight on the part of the researcher”. Mouton, (2001:87) points out that the literature review encapsulates much more than merely reviewing the literature. He uses the term “existing scholarship” to indicate the existing body of knowledge, or the range of research products, which is produced by other scholars. According to Grinnel and Unrau (2005:45-54), Rubin and Babbie (2005:122) (2008), Kreuger and Neuman (2006:468-470), and Mouton, (2001:34-36), the most relevant use of standard reference material is computer-accessible databases, the internet, scholarly books, articles in professional journals and personal interviews with authorities. The abovementioned sources form the foundation on which this research is based, except radio and television broadcast. A literature review was completed to have a better understanding of the subjects of municipal service delivery, the IDP, and the measuring of performance management of each and every municipal employee on departmental level that contributes to the success of the municipal IDP. Primary data were collected by means of a questionnaire, which was completed by Department Heads who are employed at the City of Cape Town municipality.

1.7 RESEARCH METHODOLOGY

This research followed the quantitative approach to investigate a contemporary phenomenon within a real-life context (Yin,1994:13). To attain this goal, statistical techniques were used to generate and analyse quantitative data (Mwanje and Gotu, 2001:1-2). Data collection took place in two phases. In phase one data were collected from existing literature, while phase two consisted of a structured questionnaire survey, which comprised a section A and a section B. Section A dealt with biographical information, and section B presented the sample population’s views on performance management and the IDP.

1.7.1 DATA COLLECTION TECHNIQUE

The empirical study that was employed to conduct this study was quantitative in nature. A questionnaire was design and formulate by the researcher. The data collection for this study used a self-administered questionnaire with structured statements and no open-ended questions. The questionnaires were electronically distributed to the individual e-mail addresses of the Heads of Department in the various directorates within the City of Cape Town Municipality. The respondents returned their completed questionnaires to the researcher's email address.

1.7.2 DESCRIBING THE SAMPLING

The empirical study, which was employed to conduct this study, was quantitative in nature because the researcher was able to forecast, estimate and guarantee that each member in the population would be represented in the sample. Sample was all Heads of Department in the various directorates within the City of Cape Town Municipality with the same distribution of characteristics. The respondents were chosen by the researcher (Gravetter & Forzano, 2003:465). The sample had the same distribution of characteristics as the population from which it was selected. (Marlow, C.R. 2005:136).

1.7.3 DATA ANALYSIS

In a quantitative methodology approach, the data are analyzed statistically which enables the researcher to compile statistical charts. Quantitative research focuses on the analysis of information in order to generate quantifiable results. To attain this goal, statistical techniques are used to generate and analyses quantitative data (Mwanje and Gotu, 2001:1-2). The respondents were informed that their participation was voluntary and that they could withdraw at any time. The empirical data of the investigation into the service delivery and performance management challenges, which the City of Cape Town Municipality faces in relation to the IDP, were analyzed. The services of a qualified and registered statistician from the Cape Peninsula University of Technology (CPUT) were used to analyse data that were received from the respondents, and the Statistical Package for Social Sciences (SPSS) programme was used for this purpose.

1.8 ETHICAL CONSIDERATIONS

Research cannot simply be conducted by anyone or anywhere. According to the Helsinki Declaration of 1972 (Woodford, F.P. 1972:892) and the Bill of Rights in the South African Constitution, it is imperative to obtain clearance from an Ethics Committee when human (or animal) subjects are involved in any kind of research of

an empirical nature. This implies that whenever students or researchers develop questionnaires with a view to implementing them, ethical clearance will have to be sought. Written permission to conduct the research was obtained from the Office of the Municipal Manager of the City of Cape Town Municipality, as the accounting officer who is responsible for the Administration of the City of Cape Town Municipality.

The following sources were used in this regard:

- The researcher used policy papers on the City of Cape Town, historical documents, official statistics, official reports, records from national, provincial and local government, photographs, reports from journals, magazines, newspapers, letters, diaries, e-mails and other published literature;
- A standard questionnaire was distributed to all Heads of Department within the various directorates within the City of Cape Town Municipality;
- Respondents were made aware that they can withdraw from the research process at any time, since their participation was voluntary and;
- No harm was caused to respondents, and their responses were confidential;
- The issue of consent regarding the research study was addressed. Permission to use secondary data and primary data was granted by the City of Cape Town Municipal Manager; and
- The data from the survey can be used by the City of Cape Town senior management to improve service delivery throughout the City, and the researcher informed them of this.

1.9 POSSIBLE LIMITATIONS AND CHALLENGES OF THE STUDY

In studies there are certain constraints, which are usually associated with managers who are not willing to expose the shortcomings or challenges within their departments. A further limitation is that the Heads of Department in the City of Cape Town Municipality have scheduled strategic meetings and workshops on a daily basis; and because of the dynamics of local government, an emergency can exist at any time. However, these limitations were overcome by sending the questionnaires to each Department Head's work email address.

1.10 DELINIATION OF THE STUDY

The study is confined to the jurisdiction of the City of Cape Town Municipality, with the unit of analyses being Heads of Department within the various directorates within the City of Cape Town Municipality, and who's responsible for the implementation, to monitor and measure each individual performance relating to the IDP projects.

1.11 SIGNIFICANCE OF THE STUDY

The research project has the potential to generate information of a high quality that the management of the City of Cape Town Municipality can use to improve the quality of service delivery to people who reside in the City of Cape Town.

1.12 OUTLINE OF THE STRUCTURE OF THE THESIS

This section presents an overall composition of the study and the different components of the study, as illustrated in Figure 1.1 below:

Figure 1.1

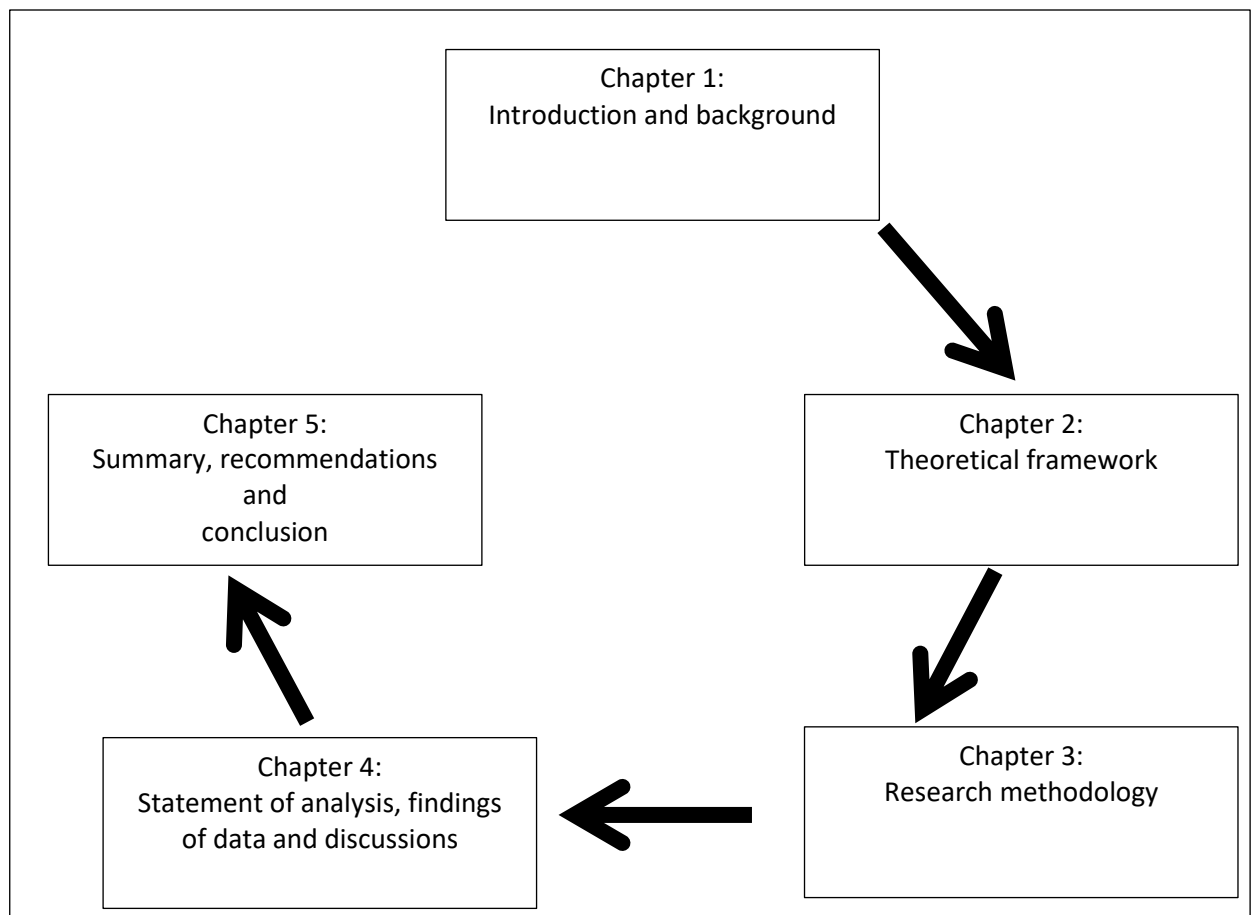


Fig 1.1 Outline of the structure of the thesis

1.13 LAYOUT OF THE STUDY

Chapter One provides an introduction to the study and outlines the concern that underpins the research.

Chapter Two includes a theoretical framework for the study by providing a literature exploration with a historical overview municipal services, IDP information on municipal strategic planning, a City of Cape Town Municipal IDP perspective, formulation of the City of Cape Town's strategic focus area, identifying the City of Cape Town's residents, and establishing customer needs and grievances.

Chapter Three describes the research process in depth, describing the sample population, data collection method, and data analysis methods.

Chapters Four presents an analysis of the data, the findings of the study and a discussion of the findings.

In Chapter Five the researcher summarises the results of the study, and presents recommendations and conclusions that were drawn from the study.

1.14 SUMMARY

This section reflects on the research problem that is defined as the community's dissatisfaction with service delivery from the City of Cape Town Municipality in line with the Integrated Development Plan. The research method that was used was in the form of a questionnaire survey, which was limited to Heads of Department with the City of Cape Town's municipal directorates (COCTM Draft, 2013a, 2013/14 Review). It is perceived that the research can generate information of high quality that can be used by management of the City of Cape Town Municipality. The next chapter provides a review of literature which pertains to the research study.

CHAPTER TWO

THEORETICAL FRAMEWORK FOR PERFORMANCE MANAGEMENT OF THE INTEGRATED DEVELOPMENT PLAN IN THE CITY OF CAPE TOWN MUNICIPALITY

“History will judge societies and governments — and their institutions — not by how big they are or how well they serve the rich and the powerful, but by how effectively they respond to the needs of the poor and the helpless.” -- Cesar Chavez

2.1 INTRODUCTION

The greatest respect that any level of government can give to their citizens or residents is to give them value for their money. Dahl (1998:88-89) maintains that the fundamental goal of a democratic system is citizen satisfaction. After two decades, the time has come that all South African public servants and masters stop blaming Apartheid for their shortcomings and failures, insofar as servicing the same people that elected and appointed them as extra-ordinary South Africans to craft a new path for all South Africans. Each and every municipal employee must be measured according to his or her portfolio. It can be observed that significant improvement in service delivery by local government in South Africa over the past 10 years was made, however most municipal councils face a widening gap between demand and supply of services. Steytler, N. 2008: 2008 10(1), state that the case in South Africa where this sphere of government is governed by a web of legislation, prompting one author to describe the phenomenon as “strangulation of local government”. The White Paper on Local Government (RSA, 1998a), identifies a number of reasons for integrated development planning. These reasons are based on acknowledgement by the White Paper (RSA, 1998a) of the fact that there are many challenges which face communities and residents. This white paper stresses the significance of formulating development plans for the short, medium and long term.

On the basis of the above, this study aims to investigate the competency based model used by the City of Cape Town Municipality, [hereafter referred to as COCTM] with the intention of addressing deficient municipal service delivery within the municipality.

2.2 BACKGROUND OF THE IDP

Since the birth of democracy in South Africa in 1994, much emphasis has been placed on the importance of involving communities and structures in the governance process at all levels of government. In South Africa, local municipalities are the structures that are in direct contact with communities and must consider communities' needs when they draw up Integrated Development Plans (IDPs). All municipalities should produce an Integrated Development Plan (IDP) every 5 years and review it annually. The Municipal Systems Act, 32 of 2000, Sections 29(1) and 42 stipulate that local communities have to be involved in the process of compiling a municipality's Integrated Development Plan (IDP) and Performance Management System. The IDP (Gesellschaft Technische Zusammenarbeit (GTZ), RSA 1998:19) is one of the key policies for municipalities to cope with their developmental role. IDPs were made obligatory under the Municipal Systems Act (2000), making it mandatory for every local government to design explicit development strategies for poverty reduction. The IDP is currently seen as a function of municipal management and part of an integrated system of planning and delivery. The IDP has a legal status and supersedes all other plans for local development (Khuzwayo, T.S. 1999:56), and is meant to arrive at decisions on issues such as municipal budgets, land management, economic development and institutional transformation in a consultative, systematic and strategic manner.

A guideline manual (DPLG, 2000,2) to Integrated Development Planning called A Practical Guide to Municipalities, provides a background of the IDP as follows: "During the past few decades, the business community realised that in order to control its destiny in a changing political, economic and technological environment, more structured formalised planning is required." The type of comprehensive planning developed for a business is known as strategic planning. Municipalities have recently adopted integrated development planning as a vital tool for planning and development. In order to ensure that available resources are optimally utilised towards the promotion of sustainable economic and social development, with the focus on viable service delivery, municipalities must implement the IDP process.

Prior to 1994, local government was mainly concerned with service provision and the implementation of regulations. However, with the introduction of the Constitution and new legislative and policy frameworks, the role of local government expanded to a large extent. Municipalities are required to constant develop communities in their approach and activities (Schmidt 2008:123). The IDP processes often reinforce

bureaucratic rather than 'developmental' thinking. The fact that a council has complied with the law by preparing a plan is far more important than the content of the plan. According to Van Donk 2008:27, it is inevitable, given the absence of any substantial benchmarking that allows municipal outputs and outcomes to be evaluated in some evidence-based way. He claimed that the value of integrated development planning for municipalities is embedded in the formulation of focused plans that are based on developmental priorities. This approach will assist with the curbing of wasteful expenditure and perceptual past spending patterns. Thus, the adoption of a more business-orientated approach is not aimed at running a municipality like a profit-bound company, but rather to ensure that scarce resources are allocated prudently and spent effectively. In addition to ensuring that all citizens have access to at least a minimum level of basic services, municipalities must now also take a leading role in addressing poverty and inherited inequities, and in promoting local economic and social development and democracy. Thus, service delivery should not merely be aimed at present demands, but municipalities are also required to make informed projections about and anticipate future demands in order to ensure effective, efficient and sustained service delivery over the short, medium and long term.

The alignment of municipal plans and strategies with the provincial and national spheres of government is to boost the delivery of national and provincial developmental programmes at local level (DPLG 2002, 5). At grassroots level, democracy entails the allocation and distribution of public goods, according to the preferences and needs of the people (Venter et al., 2007:25). The municipality should incorporate strategic business principles in its planning and management activities in order to fulfil its prescribed developmental role. Such development should be aimed at the utilization of all available resources to alleviate poverty and promote sustained economic and social development. Reddy, Sing and Moodley (2003:54) state that for local government to perform a developmental role in addressing inequalities and backlogs in social and economic infrastructures, financial resources, innovative and transformative management and leadership are required. These plans seek to promote integration by balancing social, economic and ecological pillars of sustainability without compromising the institutional capacity, which is required in the implementation, and by coordinating actions across sectors and spheres of government (Landman, K. (2000:9).

The compilation of IDPs is a legal requirement for all municipalities in terms of the MSA. Over and above the compilation of the IDP, the aforesaid Act also stipulates that

the IDP should be reviewed and evaluated annually by the municipality as of the MSA states in Section 34. Section 25 of the MSA further states that the IDP must link, integrate and co-ordinate plans, development proposals, strategies and frameworks for municipalities. Managa (2012:1), in addition, states that in spite of South Africa now being a democracy, the country still faces serious challenges of unemployment, poverty and inequality that have culminated in citizens taking to the streets to raise their dissatisfaction over poor service delivery. These plans must align the financial resources and human capacity of municipalities. Van der Walt *et al.* (2007:48) define the IDP as a plan, which is aimed at the integrated development and management of the area of jurisdiction of the municipality concerned in terms of its powers and duties and which has been compiled with regard to the general principles contained in Chapter 1 of the Development Facilitation Act No. 67 of 1995. The Development Facilitation Act 67 of 1995 sought to introduce extraordinary measures to facilitate the implementation of reconstruction and development programmes and projects in relation to land and to lay down general principles governing land development (RSA, 1995: 1). According to Craythorne (2003:150), the Constitution binds municipalities to practice Integrated Development Planning, since it requires a municipality to structure and manage its administration, budgeting and planning processes to give priority to the basic needs of the community and to promote the social and economic development of the community. It means that Integrated Development Planning (IDP) is a process through which municipalities prepare a strategic plan, which contains short, medium and long-term development objectives, strategies and programmes for the municipal area.

The concept of Integrated Development Planning was first introduced into municipal law when the Local Government Transition Act, No. 203 of 1993 was amended by green paper, by the Department of Provincial Affairs and Constitution Development (DPACD 1997b) which required a Metropolitan Council to have an IDP and, which permitted district councils to formulate and implement an IDP for a local council, a rural council or a representative council. Municipalities should, therefore, structure their functions in such a manner that a comprehensive planning process is not hampered. Each municipality is responsible and accountable for its planning process (Craythorne, 2003:153). The question is whether the COCTM (COCTM IDP 2013a) strategy is in line with its objectives. The CCTM is expected to contribute to the transformation of service delivery initiatives by focusing attention on community-felt needs and priorities. It further questions whether the process of integrated development planning in the

COCTM reflects the real needs and priorities of citizens. The local municipality must find the most cost-effective ways to provide services, within their budget. McEwan, C (2003:469) argues that the trend of entrusting local government with the responsibility of service delivery can be interpreted in two ways: firstly, as a negative withdrawal of the state from taking full responsibility for the entire societal socio-economic transformation; and, secondly, as a positive potential radical model of good governance.

2.2.1 LEGAL FRAMEWORK FOR MUNICIPAL STRATEGIC PLANNING: AN IDP PERSPECTIVE

In terms of the Constitution, local governments are in control of its own development and planning processes. The IDP finds its mandate from the following legislation:

The Constitution (1996); Municipal Structures Act 1998, Municipal Systems Act (R.S.A, 2000); Development Facilitation Act (R.S.A, 1995); the White Paper on Local Government (R.S.A, 1998); National and Provincial Regulations, and the Municipal Finance Management Bill (R.S.A, 2000). The Constitutional mandate relates to management, budgeting and planning functions for objectives, and clearly indicates that the intended purpose of the municipal IDP is to ensure: sustainable provision of services; promotion of social and economic development; promotion of a safe and healthy environment; prioritisation of the basic needs of communities; and encouragement of community involvement. In terms of the MSA all municipalities, metropolitan, district and local have to undertake an IDP process in order to produce IDPs. It is legislated by the MSA and supersedes all other plans that guide development at a local level. The MSA provides the fundamentals that give effect to the new system of local government. It establishes principles, processes and mechanisms, which are necessary for municipalities to progressively move towards the social-economic upliftment of communities, and ensures access to essential affordable services for all. Section 25 of the MSA prescribes for each municipal council to adopt a single, inclusive and strategic plan for the development of its municipality. The plan is the IDP, and it must be adopted within a prescribed period following the start of the council's selected term MSA, 2000:147.

Chapter 5 of the Municipal Systems Act deals with integrated development planning for local government. This chapter outlines, amongst other things; the adoption of the IDP, municipal planning in a co-operative government, components, and framework for the IDP up to the review stage. The MSA requires municipalities to undertake developmentally-oriented planning in order to ensure that local government strives to achieve local government objectives, as articulated in the Constitution. Certain

communities are still geographically divided and live in dire poverty, isolated from services and opportunities. The Constitution and the MSA require that municipalities should develop a system of municipal governance and providing enabling conditions for the local communities to partake in the IDP preparation, implementation and review, as well as the budget preparation process, amongst others (RSA, 2000:138-139).

2.2.2 CORE OBJECTIVES AND IMPACTS OF THE IDP

Legislation for the South African local government, determine that a Integrated Development Plan (IDP) to be compiled by each municipality in the country, in terms of Section 25 of the Systems Act, 2000, constitutes the strategic plans of municipalities.

The IDP (City of Cape Town COCTM 2013). has a number of clear objectives and intended impacts, which are outlined below:

The core objectives are that the IDP must be a consultative process, it aims to become a tool for democratic local government by ensuring that engagement is structured and community involvement is institutionalised (City of Cape Town COCTM 2011 standing committee). Bottom-up and top-down decision making processes of engagement are inter-linked while focused analysis takes place, and a forum for debate on real issues, which affect service delivery, is created. The outcomes of the IDP impacts must be short, medium and long term, in terms of a municipality's integrated sustainable human settlement, stimulating growth of robust local economy, social inclusion, social cohesion and nation building. This is to bring about non-racism, non-sexism, democratic and accountable practices, equity, as well as environment sustainability.

The impacts of the IDP will identified and detect underlying causes of community challenges and dissatisfaction, and not treat or approach all the symptoms with a blanket cover approach. The IDP implementation orientated process, is than a tool for better and fast delivery by ensuring that concrete proposals are designed, and that close planning and budget links are made, and institutional preparedness is addressed.

2.2.3 IDP PROCEDURE

The White Paper on Local Government (1998), prescribes that developmental local government

has four interrelated characteristics, namely:

- (a) Maximising social development and economic growth;
- (b) Integrating and co-ordinating;
- (c) Democratising development; and
- (d) Leading and learning.

The Department of Constitutional Development (R.S.A, 1998b:1) describes local government as “the hands and feet” of reconstruction and development in South Africa. The IDP document has a particular time span, because an IDP provides a strategic framework for democratic municipal governance, since it sets out the vision, needs, priorities, goals and strategies of a municipal council to develop the municipality during its five-year term of office (Davids, 2005: 64). Within a prescribed period following the start of its elected term, a council must adopt and set out in writing a process to guide the planning, drafting adoption and review of its IDP. The municipality must, through community participation mechanisms, processes and procedures, consult the local community before adopting the process.

An IDP must include a process plan and a strategic level, Minnaar, (2010:109) explains that institutional performance plans manifest on two basic levels, namely a strategic level, where the institutional strategies position the executing institution in relation to its policy mandate and management environment. This is where the strategic direction of the institution is determined the other level in the implementation level, which is aimed at realising the strategic direction, and should be stipulated in the strategic plan. The municipality must ensure the proper management of the planning process. This plan should outline the structures that will manage the planning process, how the public can participate, the structures that a municipality must create to ensure community participation, and a time schedule for the planning process, that allocates tasks and establish who is responsible for what part of the IDP planning process. This will make managers accountable for the success of the plan. A system of how the implementation process should be monitored, while performance reporting and auditing should reflect on the IDP success and failure.

The DPLG (2001c: 6), through its IDP Guide Pack 111, identifies stages of drafting IDPs, which are presented below.

2.2.3.1 PHASE 1: ANALYSIS

During this phase information is collected regarding the existing conditions within the municipality. It focuses on the types of problems that are faced by people in the area

and the causes of these problems.

The identified problems are assessed and prioritised in terms of what is urgent and what should be done first.

Information about availability of resources is also collected during this phase.

At the end of this phase the municipality will be able to provide:

- An assessment of the existing level of development;
- Details on priority issues and problems and their causes; and
- Information about available resources.

2.2.3.2 PHASE 2: STRATEGIES

During this phase the municipality works on finding solutions to the problems assessed in phase one.

Developing a vision

The vision is a statement of the ideal situation that the municipality would like to achieve in the long term once it addressed the problems that were outlined in phase one. The following is an example of a vision statement:

The City of Cape Town Vision: Making progress possible. Together (Draft 2013/14 Review)

Defining development objectives

Development objectives are clear statements of what the municipality would like to achieve in the medium term in order to deal with problems that were outlined in phase one.

Development strategies

Once the municipality has worked out where it wants to go and what it needs to do to get there, it should work out how to get there. A development strategy is about finding the best way for the municipality to meet a development objective.

Project identification

Once the municipality has identified the best methods to achieving its development objectives, it leads to the identification of specific projects.

2.2.3.3 PHASE 3: PROJECTS

During this phase the municipality works on the design and content of projects that were identified during Phase 2.

Clear details for each project should be worked out in terms of the following:

Who is going to benefit from the project?

How much is it going to cost?

How will the project be funded?

How long will it take to complete?

Who will manage the project?

Targets must be set and performance indicators should be worked out to measure performance, as well as the impact of individual projects.

2.2.3.4 PHASE 4: INTEGRATION

Once all projects have been identified, the municipality should check again that they contribute to meeting the objectives that were outlined in Phase 2. These projects will provide an overall picture of the development plans.

All the development plans must now be integrated. The municipality should also have overall strategies for issues such as dealing with AIDS, poverty alleviation and disaster management.

These strategies should be integrated with the overall IDP.

2.2.3.5 PHASE 5: APPROVAL

The IDP is presented to the council for consideration and adoption. The Council may adopt a draft for public comment before approving a finalised IDP.

2.2.4 RECONSTRUCTION AND DEVELOPMENT PROGRAMME (RDP)

In April 1994 the African National Congress alliance won the first democratic election in South Africa and became the government of the day. The ANC immediately emphasised that its Reconstruction and Development Programme (RDP), as part of its political manifesto and foundation of all its new public policies, would be implemented and that every effort would be made to improve public service delivery in all three spheres of government. The Reconstruction and Development Programme of South Africa (RSA, 1994), declares: *Our people, with their aspirations and collective determination, are our most important resources. The RDP is focused on our people's most immediate needs, and it relies, in turn, on their energies to drive the process of*

meeting these needs. Development is not about the delivery of goods to a passive citizenry. It is about active involvement and growing empowerment.

Through the Freedom Charter and the Reconstruction and Development Plan (RDP, 1994), a practical dispensation evolved for the delivery of services, and specifically the provision of access to basic services for all residents in South Africa. The cornerstone for infrastructure provision and service delivery is still the RDP, which clearly articulated the Government's vision upon which the current policy and legislative dispensation is founded. The RDP sets a vision, which states that an "integrated process of transformation must ensure that the country becomes a prosperous society, having embarked upon a sustainable and environmentally friendly growth and development path" (RDP, RSA, 1994). Vision 2014 is articulated in the Manifesto: "Guided by the Reconstruction and Development Programme (RDP)", which is government's vision is to build a society that is truly united, non-racial, non-sexist and democratic. Central to this is single and integrated economies that will benefit all. The African National Congress (2004) in its election manifesto in 2004 identified the following key objectives (Presidency, 2006a).

The manifesto then identifies the following key objectives for 2014 (ANC, 2004 Volume 4. No1)

- "Reduce poverty and unemployment by half";
- "Provide skills that are required by the economy";
- "Ensure that all South Africans are able to fully exercise their constitutional rights and enjoy the full dignity of freedom";
- "Compassionate government service to the people";
- "Achieve a better national health profile and massively reduce preventable causes of death, including violent crime and road accidents";
- "Significantly reduce the number of serious and priority crimes, and cases awaiting trial";
- "Position South Africa strategically as an effective force in global relations".

The Presidency, (RSA. 2007a) mentioned that the strategic objectives are broken down into targets for the first five years under the following themes: a growing economy; sustainable livelihoods; access to services; comprehensive social security; crime and corruption; and constitutional rights and governance. The first Reconstruction and Development Policy (1993) concerned "improving living conditions

through better access to basic physical and social services, health care, and education and training for rural communities”. South Africa also faces new challenges: (Presidency. 2007b), The President argued that the remaining backlogs include the fact that there are still millions of people who do not have access to clean running water, sanitation, telephones and electricity. Infrastructure must also be maintained and upgraded on a regular basis. South Africa’s socio-economic demands and environmental management requirements would be met in as effective, efficient and economical manner as possible, and equal access for all South Africans would be provided (Pienaar & Van der Schyff, 2005:263).

Poverty and unemployment mean that some people have received basic services such as access to electricity, phones and water, but are unable to pay for these services (Presidency. 2010a). To address this problem, government has introduced an indigent policy for the poorest sections of the population. Since 2001 government started a programme to provide a basket of free basic services. These are electricity, water and sanitation for every citizen. (Presidency. 2003), The Ten Year Review argued: *“The advances made in the First Decade by far supersede the weaknesses. Yet, if all indicators were to continue along the same trajectory, especially in respect of the dynamic of economic inclusion and exclusion, we could soon reach a point where the negatives start to overwhelm the positives. This could precipitate a vicious cycle of decline in all spheres. Required are both focused and decisiveness on the part of government, the will to weigh trade-offs and make choices, as well as strategies to inspire all of society to proceed along a new trail. If decisive action is taken on a number of focused areas, the confluence of possibilities is such that the country would enter a road of faster economic growth and job-creation, faster and more efficient provision of quality services, increased social cohesion and reduction of the paradigm of exclusion prevalent among sections of society.”* In terms of affordable services, if the cost of water, electricity and telephones and so forth rises, it will have implications for everyone. (Presidency. 2010b) states that poor people spend more on the basics and not to be able to afford other things. It also impacts negatively on the economy, generally, because businesses, both big and small also use these services. The more expensive the services, the more difficult it is for them to make a profit and keep going. (Presidency. 2010a) states *“that even if we cater for our future generations our population growth and changes in demographics such as people moving from rural to urban areas and smaller households mean that government must continue to provide infrastructure for more people and in new areas”*. The country’s coal, which is used to

produce electricity, will eventually run out. We need land for housing and business, but also for agricultural purposes, nature reserves and green spaces in urban areas. We must, therefore, provide and plan infrastructure development and consider alternatives in a manner that does not endanger future generations.

The government's mandate, as reflected in the "2004 Manifesto: A People's Contract to Create Work and Fight Poverty", (ANC, 2004:1) is based on an appreciation of progress particularly for the past 10 years to create a constitutional democracy, whilst expanding access to services and opportunities, growing the economy, improving citizens' security and locating South Africa within the vanguard of global efforts to build a caring and secure world. There must be a strong desire to work with a vision to illuminate the social backlogs. Speeding up the delivery of infrastructure and providing for its maintenance, is a major part of the government's programme for the third decade of freedom (The Presidency, RSA, 2013: 3). The objectives are to move faster towards getting rid of social backlogs; making sure that everyone has access to water, sanitation, that there are enough clinics, classrooms, and improving and giving more people access to economic infrastructure, for example, transport, telecommunications and internet access. This should be done in a way that reaches the poor and builds integrated and viable communities. Urban renewal programs must also help to change Apartheid human settlement patterns; where Whites and the rich live near to places of business, and work, while Blacks and the poor live far from their places of work and economic activity. We need to review the Batho Pele Principle to expedite the living quality of communities and to heal the imbalances the past.

2.2.5 REVIEW OF BATHO PELE PRINCIPLES

The Preamble of our Constitution states that the Constitution (RSA, 1996) aims to:

- heal the divisions of the past and establish a society based on democratic values, social justice and fundamental human rights;
- improve the quality of life of all citizens and free the potential of each person;
- lay the foundations for a democratic and open society in which government is based on the will of the people, and in which every citizen is equally protected by law; and
- build a united and democratic South Africa that is able to take its rightful place as a sovereign state in the family of nations.

Therefore, the IDP is government's tool to achieve its Constitutional obligation and to improve the quality of all who live in it. The IDP is this an extension of the Batho Pele principles and the implementation thereof.

A good point of departure in improving service delivery in South Africa is according to Luile, EresiaEke and Allenlle (2012:25-27), to review the status of the implementation of the Batho Pele policy across the governmental superstructure. Batho Pele, a Sotho translation for “People First”, is an initiative to get public servants to be service orientated, to strive for excellence in service delivery and to commit to continuous service delivery improvement. It is a simple and transparent mechanism, which allows citizens to hold public servants accountable for the level of services that they deliver (DPSA,1997, Batho Pele White Paper). Thereafter, operational plans should be developed to support the initiatives, including the use of reviews and action plans in South Africa, specifically to monitor service delivery. In monitoring national policy across the administrative landscape of South Africa, adherence to Batho Pele principles ensures that vital quality criteria are met. While striving to enforce policies across a range of sectors and spheres, government departments or agencies should ensure that they attain these outputs through the effective implementation of the government’s Batho Pele policy, the White Paper on the Transformation of the Public Service (Batho Pele Principles), 1997. In other words, the Batho Pele principles should be used as part of the quality criteria in meeting the country’s service-delivery needs. It is insufficient to apply these selectively. Every effort should be made to adhere to all these principles, because if applied in conjunction with departmental activities, they will facilitate quality delivery. Likewise, provincial and local governments are also expected to ensure that services are delivered effectively, and again the Batho Pele principles could serve as part of the quality criteria. Below is a discussion of the Batho Pele principles within the context of policy monitoring and service improvement. The enhancement of the implementation of Batho Pele through monitoring reviews and the development of action plans would enhance quality service delivery.

1. Consultation

Citizens should be consulted about the level and quality of the public services that they expect and receive and, wherever possible, should be given a choice about the services that are offered. This requires systematic and regular consultation regarding current and new services, which afford citizens an opportunity to influence decisions about policies and services (or developmental projects) that directly affect

them. A range of tools are available to determine the extent to which this principle has been met. These include customer-satisfaction surveys, community focus-group sessions, consultations with non-governmental organisations (NGOs) and community-based organisations (CBOs). Results from the consultation exercises must be reported back to the appropriate authority, and this should be considered in the decision-making process, taking into consideration the realistic capacities to deliver.

2. Service standards

Citizens should be told what level and quality of public services they will receive so that they are aware of what to expect. It is difficult to measure the quality of the service if there isn't a benchmark or standard. Standards should be set at national level, which may be termed the "national norms" and consist of the most basic of standards. However, provincial government may set additional standards after taking their specific contexts into consideration. These service standards must be relevant, realistic, precise, measureable and challenging. Service standards may also be benchmarked against other provinces or internationally. Usually such service standards may require the approval of the executing authority before they are adopted. Once approved, these should be published to ensure that the service users can hold officials accountable. Service standards are inherently related to the level of performance that is required from the department, sphere or individual, and its management. If a standard is not met it may be lowered, however, reasons may be given why it was not attained, and further processes should be established to ensure that it is attained within a new or revised target date.

3. Access

All citizens should have equal access to the services to which they are entitled. In South Africa while some citizens are able to access world-class or first-world services, many are denied or receive poor quality services. This principle seeks to rectify issues, which relate to disparities in the provision of services, with a view to

increasing access to those individuals or communities that were previously not serviced. All spheres of government should make sustained efforts; including investing in infrastructure, progressively increasing access to government services, and this includes services to people who live in remote or rural environments.

4. Courtesy

Citizens should be treated with courtesy and humane or dignified consideration. This is in line with the code of conduct that expects officials to be courteous and to treat members of the public as important clients. This includes:

- Greeting properly and addressing customers correctly;
- Clear identification of oneself when dealing with clients (including via telephone, in person or in writing);
- The use of appropriate style and tone of written communication;
- The simplification of customer forms;
- Being cognisant and sensitive to client's time spent; and
- Being sensitive when dealing with people with special needs.

5. Information

Citizens should be given full, accurate information about the public services that they are entitled to receive. This includes providing information by using various tools and appropriate languages. Every effort should be made to ensure inclusiveness and the removal of barriers that may affect various groups. Also, the extent to which the information is devoid of jargon and is reader-friendly for the targeted audience is vital. Tools such as toll-free helplines, notice boards, schools, libraries and clinics, may be useful in the dissemination of information.

6. Openness and transparency

Citizens should be told how national and provincial departments are operated, how much they cost, and who is in charge. Such information is consumed by the public, as well agencies that are responsible for oversight such as the Parliamentary Portfolio Committees that monitor the activities of these departments. This builds

trust and confidence among the public. This should be published and set out in plain language in the annual report of the delivering department or agency. Other elements that should be reported include:

- Staff numbers;
- Performance targets for improved service delivery;
- Resources allocated and consumed; and
- Contact information.

7. Redress

If the promised standard of service is not delivered, citizens should be offered an apology, a full explanation and a speedy and effective remedy; and when complaints are made, citizens should receive a sympathetic, constructive response. A number of institutions (the so-called Chapter Nine Institution of the Constitution), for example, offices of the Auditor General and Public Protector, amongst others, support this principle through their roles. It is important that these institutions are effective and autonomous as the public will not bother to use these avenues if they perceive that it is a waste of their time. The following principles should be taken into consideration when managing complaints:

- Accessibility;
- Fairness;
- Responsiveness;
- Training;
- Speed;
- Confidentiality; and
- Review.

8. Value for money

Public services should be provided economically and efficiently in order to give citizens the best possible value for money. This is against the backdrop that resources are scarce, while demands for services are increasing. Every effort

should, therefore, be made to extend services by using cost-effective strategies in delivery.

Table 1.1 The eight principles of Batho Pele (EresiaEke and Allenlle 2012:25-27)

The eight principles can be seen as set of service delivery standards that citizens can hold officials accountable and demand the quality they deserve for services render and services received. Performance management and quality management could be viewed as an integral aspect of the Batho Pele Principle. In essence it means that municipalities need to focus the IDP's towards the Batho Pele Principles.

2.2.6 CITY OF CAPE TOWN MUNICIPALITY'S INTEGRATED DEVELOPMENT PLAN FOCUS AREAS

According the Integrated Development Plan (IDP) (COCTM, 2013a:114), the IDP is the City of Cape Town's principal strategic planning instrument, from which various other strategic documents will flow. Direction pertaining to planning and development in the City is vested with the executive mayor and the mayoral committee. The COCTM, IDP is based on Five Strategic Focus Areas (SFA), which are also known as pillars on which the municipal City leadership develops Cape Town. Below is the overview of the City's five pillars, according the City of Cape Town's IDP, (COCTM, 2013b:19).

2.2.6.1 THE OPPORTUNITY CITY

The core focus of the Opportunity City is to create an economically enabling environment in which investment can grow and jobs can be created (City of Cape Town, 2012). Creating such an opportunity city involves the following:

- Using numerous levers to attract investment;
- Providing adequate support to the market via efficient regulation, planning and infrastructure support;
- Continued investment in infrastructure;
- Ongoing development and strengthening of economic partnerships;
- A focus on key projects that will promote growth and sustainability;
- Commitment to constant internal improvement;
- Leveraging City assets to aid development and growth;
- Encouraging the growth of small businesses and entrepreneurs;

- Taking care of the natural environment and managing natural resources efficiently; and
- Creating a robust and resilient city that can respond to the challenges of climate change (IDP) (COCTM, 2015a:79).

2.2.6.2 THE SAFE CITY

In order to maximise opportunities that are available to them, citizens should feel safe in their city (City of Cape Town, 2012). The City of Cape Town acknowledges that safety goes beyond policing. A truly safe city manages disasters and risks, enforces traffic regulations, and provides fire and rescue services. Safety is essential so that the public can enjoy open spaces, city beaches and nature reserves. The City's focus on building a safe city includes the following:

- The effective and efficient use of resources combined with international best policing practices;
- The design and enhancement of more effective safety solutions;
- Sound management of, and response to, emergencies and disasters;
- Continued dedication of resources and programs to ensure effective safety provision;
- Local and international partnerships to allow for training and education;
- Ongoing roll-out of neighbourhood watch programs;
- Increased public awareness of, and participation in, safety and security initiatives;
- Alignment of staffing models with national and international best-practice;
- Investment in staff training and capacity building;
- Enforcement of environmental compliance; and
- Investment in innovative safety policies, specialised units and programmes ((IDP) (COCTM, 2015a:80)).

2.2.6.3 THE CARING CITY

To be recognized as a world-class city, (City of Cape Town, 2012), Cape Town must be welcoming to all people and it must make residents feel that their government is doing everything that it can to provide for them, so that they can truly access opportunities.

Key issues that contribute to realising the vision of a caring city are outlined below:

- A clear commitment to looking after all Capetonians, but especially those who are most in need of assistance;
- Maintenance of the rates rebates policy to help to reduce poverty;
- Provision of amenities such as parks, libraries, sports and recreational facilities, and community and youth centres;
- Greater focus on more direct ways of promoting social development;
- Greater use of public-private partnerships to deliver accessible amenities for all;
- Offering effective substance abuse programmes to help to minimize the number of people who become excluded from society;
- Increased efforts to make all people feel like they are a part of their community;
- A focus on creating integrated human settlements by building communities, not merely houses;
- Helping citizens to take ownership of their homes;
- Ensuring a broader scope irrespective of resource limitations;
- Ongoing review of the provision of services to all, especially informal settlements; and
- Investment in primary health-care facilities (IDP) (COCTM, 2015a:84.).

2.2.6.4 THE INCLUSIVE CITY

An inclusive city is one where everyone has a stake in the future and enjoys a sense of belonging (City of Cape Town, 2012). Democracies require opposition, the ability to mobilize resources without private and secure property would be impossible (Louw, 1996: 27). For historical reasons, the South African society has been divided along artificial lines. While the City of Cape Town has come a long way in terms of addressing many of those divisions, there is still work to be done. Achieving the objectives of this strategic pillar relies on the proper functioning of programmes in other focus areas, but the City of Cape Town is also proactive in creating the inclusive city by:

- Developing effective public transportation programmes (as outlined in the opportunity city focus area);
- Offering events and maintaining amenities that are appealing to all;
- Allocating resources to address the backlog of community facilities;
- Proper use of resources to address the backlog of community facilities in underdeveloped areas; and
- Responding effectively to the needs of all citizens and actively monitoring service provision (IDP) (COCTM, 2015a:92)

2.2.6.5 THE WELL-RUN CITY

Citizens need to know that their government works for them, is accountable to them and answers to them at all times (City of Cape Town, 2012). To achieve a well-run city, the City of Cape Town does the following:

- Keeps Mayoral Committee (Mayco) meetings open to the public to ensure that the actions and decisions of the City's political leaders are always transparent;
- Publicly advertises all City tenders above a prescribed rand value;
- Sticks to its budgets and programmes of debt collection and revenue projections;
- Manages its staff structure to ensure service delivery;
- Maximises staff potential through effective human resources management, staff training and staff development;
- Remains open and transparent in all its dealings; and
- Working together, the City of Cape Town Municipality claims that these SFAs will take Cape Town to the next level of government and into the future that it deserves (IDP) (COCTM, 2015a:94).

The five pillars of the COCTM is the foundation the COCTM build their core objectives upon.

2.3 COMMUNITY PARTICIPATION IN LOCAL GOVERNMENT

The United Nations (United Nations. 2002) definition of participation is "the creation of opportunities to enable all members of a community and the larger society to actively contribute to influence the development process and to share equitably in the fruits of development" (Midgley, 1986: 24). According De Visser, J. 2003:201, as a result of post-apartheid institutional reform, local government has been significantly transformed into a "co-responsible" sphere of government with extensive legislative and executive powers and functions, tasked with the realisation of an expanded "developmental" mandate.

Community participation currently forms an important element of the South African government's policy on integrated development planning in local government. Tshabalala, (2006:46) points out that participation of local communities in the local government system in South Africa has its unique practices. Sustainable development calls for increased community participation and reference of local conditions are continuously made (Singh, Timothy & Dowling, 2003:175).

The rationale for sustainable development is the alleviation of poverty and the replacement of renewable natural and cultural resources (Cooper *et al.*, 1998:363). Communities must strive to seek ways within their environment to sustain themselves and create opportunities to benefit members of those communities. Local community involvement and participation in the municipal administration plays a critical role in ensuring that the principles of public administration are manifested at all times of operation (Bayat & Meyer, 1994:152). Communities need to be firm in their approach towards the municipal administration who serves them with the goal to get the best possible services for their money. Therefore, community participation and stakeholder negotiation involve a process of comprehensive engagement, as divergent opinions, needs and expectations normally exist. It is, therefore, important to correctly identify legitimate stakeholders, to know the different types of partnerships that form stakeholder units within municipalities, and where final decision-making responsibility and accountability are located in local government affairs. Masango (2002:52) argues that Apartheid policies had deprived the country of a history of community participation in the making and implementation of policies. An aspect of developmental local government means that a local government must be committed to work with citizens and groups within the community to find ways to meet their social, economic and material needs, and to improve the quality of their lives. It should target especially those members and groups within communities that are marginalized or excluded such as women, disabled people and poor people (White Paper, 1998).

2.3.1 BACKGROUND TO COMMUNITY PARTICIPATION IN LOCAL GOVERNMENT

Policy making during the Apartheid era excluded the majority of ordinary people and public policy adopted a minority perspective. The new role of local government, called developmental local government, makes local government central to development in South Africa (RSA, 1998a). Venter *et al.* (2007:25) state that democracy can materialise at a municipal level if the citizens are given some role in the processes of the municipality. Dahl (1989: 88-89) in Venter *et al.* (2007:25) maintains that the fundamental goal of a democratic system is citizen satisfaction. A central element within a democracy is the empowerment of ordinary citizens so that they can, through the ballot, replace their representatives if they are dissatisfied with their performance (Venter *et al.* 2007:25). Local government's White Paper (RSA 1998a) defines developmental local government as being committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives".

The White Paper on Local Government (RSA, 1998a) further urges municipalities to develop mechanisms to ensure community participation, including:

- Forums to influence policy formulation within local government and outside;
- Structured stakeholder involvement in certain council committees. This is particularly for issue-oriented committees that have a short lifespan, rather than for permanent structures;
- Participatory budgeting initiatives to ensure that community priorities are aligned to capital investment programmes; and
- Participatory Focus group to do action research to gather information on specific needs and values of communities. The requirement is that this function should be carried out together with NGOs and community-based organizations.

The White Paper (RSA, 1998a) suggests that this is particularly important for poor marginalised areas, where there might be a lack of skills and resources for participation. Its reasoning for this position is that, in these areas, "citizens tend to participate via associations rather than as individuals". Chapter 7 of the Constitution states that it is the objective of local government to "encourage the involvement of communities and community organizations in the matters of local government". This requires a cooperative approach, an "effective partnership", where "local authorities provide strong leadership for their areas and their communities". Therefore, the institution of local government, as stated by the Constitution, "should enhance

opportunities for participation by placing more power and resources at closer and more easily influenced level of government” (Mogale, 2005:136). The Municipal Structures Act, No.117 of 1998 Chapter 4, Sections 73–78 suggests that the local municipalities should have ward committees as one of the specialized structures to “enhance participatory democracy in local government”. Li (2006) states that it is the responsibility of the municipality to ensure that existing community participation structures are utilised effectively and sustained to ensure continuity in the practice of good practice and participatory governance. Participation by the local community in the affairs of the municipality must take place through political structures in terms of the Municipal Structures Act (No. 117 of 1998). Community participation builds a sense of ownership and the community becomes part of the development.

2.3.2 LEGISLATIVE FRAMEWORK FOR PARTICIPATORY GOVERNANCE

Before the year 2000, public participation, now a constitutional requirement was non-existent (Motshekga, 2008:1). Sections 152 and 153 of the Constitution of South Africa (RSA, 1996) state that the objectives of local government are, amongst others, “to provide democratic and accountable government for local communities and to encourage the involvement of communities and community organizations in the matters of local government”. The municipality must put mechanisms and processes in place to enable public participation (section 17(2)). The MSA, Chapter 4, talks about community participation, while Section 16(1) requires the municipality to develop “a culture of municipal governance that complements formal representative government with a system of participatory governance”. The council must decide on the kind of processes that it wants to establish. The obligation on the municipality to have someone available to assist persons who cannot write down their comments (section 21(4)), is something for which the municipal manager must take responsibility.

The executive mayor and the mayoral committee is accountable to the Council (IDP) (COCTM, 2015a:134), on the involvement of communities in municipal affairs. The executive mayor, along with the mayoral committee, is also charged with ensuring that community concerns are taken into account, and with reporting on the effects of public participation on decision-making (section 44 and 56 of the Structures Act). The Constitution and other key legislation provide a framework to encourage participatory local democracy. The Municipal Structures Act (1998) provides for ward committees to be set up in category A and B municipalities. Their primary function is to act as a formal communication channel between the community and the municipal council. They support councillors by representing the community and by building relationships

with communities. They furthermore assist in giving input to the IDPs and highlighting priorities for development. The Promotion of Access to Information Act (No 2 of 2000), which is aimed at promoting participation, gives people the right to have access to any information, which the government has if they need it to protect their rights. The municipal manager plays a specific role, which is assigned to him in terms of section 55(1)(a)(iii) of the Municipal Systems Act and, which states that the municipal management must ensure that the municipal administration is responsive to the needs of the local community, to allow them to participate in the affairs of the municipality. Local Government: Municipal Systems Amendment Act 7, 2011 make provision for the appointment of municipal managers and managers direct accountable to municipal managers and to provide for procedures and competency criteria for such appointments.

The Systems Act envisages that the municipal management should ensure that the municipal administration is open to, and facilitates the input of local communities and residents in municipal affairs. An example is that the Systems Act specifically instructs the municipal manager to devise a mechanism to assess the satisfaction of the community with the municipal services (section 55(1)(o)). Section 51 states that the administration must be structured in a way that will enable 'the municipality' to hold the municipal management accountable. The municipality consists of political structures, the administration and the community (section 2(b)). The MSA also envisages a role for the community and for the administration to hold the municipal management accountable for the performance of the administration. The Municipal Finance Management Act (No. 56 of 2003) outlines ways in which the community can be informed of the financial situation of a municipality.

2.3.3 MODES OF COMMUNITY PARTICIPATION IN SOUTH AFRICA

According to Meyer and Cloete (2000: 104 - 109), in describing public participation in the policy making process, mentioned that community participation takes place in four steps, which are outlined below.

- 1) The involvement of leaders of organizations, which represent community interests (for example, cultural, civic, religious, welfare and other organizations) – there must also be feedback from these leaders for their constituencies in order to legitimate their actions.

- 2) The involvement of democratically elected political representatives, these representatives get policy mandates in elections, or exercise their discretion as elected representatives of the community. They are also expected to report back to their voters regularly in order to obtain ratification of their decisions on behalf of the community.
- 3) The involvement of individual leaders in the community – these leaders can influence prevailing opinions if they are highly regarded and respected by the community; and the direct involvement of ordinary members of the public in mass activities (for example, attendance at public meetings, participation in protest marches, consumer boycotts and other types of direct mass action); the numbers involved in these actions are indicative of the support expressed by communities for the cause concerned (Meyer and Cloete, 2000: 104 – 109).
- 4) The importance of civic engagement. These community groups for instance your ratepayers associations and neighbourhood watches are the foot soldiers in the local communities. Robb (2002:90) states that civic involvement in the Poverty Reduction Strategies (PRS) process is important for the following reasons:
 - a) Experience has shown that widening consultation in national policymaking can build ownership of policies and actions (including both political and administrative commitment);
 - b) Participating can also contribute to more accountable government. Transparency is increased when the public has a better understanding of government processes; institutions are strengthened and accountable; the poor are more informed about government's commitment to tackle key poverty issues; and governments are held accountable to their domestic constituencies for actual performance;
 - c) Building the role and capacity of non-state institutions through participating can balance the power of the state;
 - d) In the process of consultation, civil society organizations can provide specialist and local knowledge to improve the quality of policymaking. Although not all civil society organizations are representative and some are politically aligned, some genuinely represent the views of poorer citizens and interest groups.
 - e) The poor are empowered by bringing their analysis, priorities, and voice into the decision-making process, thereby making the policy framework more relevant and responsive to their needs.

- f) Equity and social integration are promoted through appreciation of varied needs within society (by geographic region, gender, ethnic and age group, and so on). Participation can lead to creating durable, inclusive political systems (which are particularly important in ethnically diverse societies and
- g) Partnerships can be built between governments, business, and civil society groups, leading to joint actions to achieve poverty reduction goals.

The participatory nature of IDP plans has also been questioned as plans have been criticized for not reflecting community needs and aspirations (Alebiosu, 2006), hence the reason why Robb (2002:90) claims that participation is a complex political process.

2.3.4 PUBLIC CONSULTATION, MEETINGS AND HEARINGS

The South African local government system is designed to ensure participatory planning, responsive service delivery, active economic redistribution and a balance between short and long term needs. The municipal manager should ensure that the relevant information regarding public participation is communicated to the local community (Section 18). A critical responsibility of the municipal manager is the publication of various notices. The Systems Act (2000) entails quite a number of requirements, where notices must be published or communications must be disseminated. The Act mostly refers to 'the municipality' as being responsible for the communication, but sometimes the responsibility is assigned directly to the municipal manager (CTOCM 2006. Mid-year performance report):

- The municipal manager must notify to the public of the time, date and venue of council meetings (Section 19);
- The municipal manager must notify the public (as well as the Auditor-General and the MEC) of meetings at which the municipality's annual report will be discussed (Section 46(3)(a));
- Copies of the annual report must be submitted to the MEC, Auditor-General and other prescribed institutions (Section 46(4)(b));
- Copies of the annual report must be available to the public, interested organisations and the media (Section 46(4)(a));
- Proposed by-laws must be published for public comment (Section 12);
- Adopted by-laws must be published in the Provincial Gazette and in a local newspaper (Section 13);

- The municipality must keep and maintain a compilation of its by-laws (Municipal Code) (Section 15);
- Every notice that was published in the Provincial Gazette must be displayed at the municipal offices (Section 21(3))
- The community must be notified of the IDP process that the council intends to follow (Section 28(3));
- The community must be notified of the adoption of the IDP and copies and a summary must be made available (Section 25(4))
- Reporting to the public on the performance management system (Section 41(e)(ii))
- The municipality must communicate its key performance indicators and performance targets to the public (Section 44); and
- The municipal manager must ensure that those parts of the Code of Conduct for staff members that affect the local community are communicated to the public (Section 70(2)(b) of the MSA).

2.3.5 CHALLENGES AND FACTORS THAT INFLUENCE COMMUNITY PARTICIPATION

The following are challenges of public participation in local governance.

Political affiliation is one of the challenges experience and it usually create conflict in the community regarding the elected officials, especially ward representatives, in respect of someone that does not belong to the political party that is in the area, then there will be no service delivery for them. This act limits or bars the participation of certain people within the community and it becomes selected participation, hence people are deprived of their rights. If there is conflict within the community that emanates from the representative who belongs to another political party, the meetings may fail owing to being blocked or sabotaged by the other group.

No monthly ward committee meetings are delaying the delivery of services. The community will not know about the services that the government delivers to the people unless they are informed. The election of ward committees evoked mixed feelings, while suspicions are rife that ward councillors are a mere extension of the ruling party's programmes. This is caused by the ward councillors belonging to the political party that governs that municipality, and then others who belong to other political parties are not allowed to partake, even by the community in those wards. These problems should be addressed by informing the communities that this initiative of ward committees is the vehicle for an inclusive participation in local governance. The World Bank

(1996:145) indicates that reaching the poor requires working with them to learn about their needs, understanding how development decisions are made in their communities, and identifying institutions and mechanisms that acquire opportunities and resources.

2.3.6 COMMUNITY PARTICIPATION AND THE COMMUNITY DEVELOPMENT WORKERS PROGRAMME (CDWP)

In his State of the Nation Address (SONA, 2003), the president of South Africa, Thabo Mbeki, stated the following:

“Government will create a public service echelon of multi – skilled community development workers who will maintain direct contact with the people where these masses live. We are determined to ensure that government goes to the people so that we sharply improve the quality of the outcomes of public expenditures intended to raise the standards of living of our people.” (The Presidency, 14 March 2003, ‘SA: Mbeki: Community Development Workers Indaba’).

Molekane and Mothae (2009:4) explain that in a democratic country such as South Africa, citizens are involved in the manner in which they are governed and should be central to the day to day running of government. Citizens play an important role in identifying their own development priorities. The Community Development programme was anchored on the following overarching and strategic objectives:

- To assist in the removal of development and service delivery bottlenecks;
- To strengthen the democratic social contract between government and communities;
- To link communities with government services and relay community concerns and problems to government; and
- To support, nurture and advocate for an organised voice for the poor and to improve government community networks.

The Community Development Workers Programme (CDWP) was introduced by government in 2003 (The Presidency 2003). The ECDLGTA Consolidated Report on Municipal Performance (ECDLGTA 2009:52) used the following KPIs to measure performance in this KPA:

- Functionality of ward committees;
- Effective monitoring of CDW"s; and
- Implementation of IGR.

It was introduced as part of the mechanisms to support government's objective of Access Strategy. The programme was meant to supplement existing government programmes, which focused on redressing imbalances and inequalities in order to encourage development. Councillors encourage citizens to participate through Ward Committees and public meetings called by the council. Therefore, the MSA provides for a process of public participation in the affairs of local government. This promotes accountability in the IDP process, public participation in the process of analysing the spatial economy, and consensus on growth and development priorities. The CDWP is implemented in all provinces, by and large, by the provincial departments of Cooperative Governance and Traditional Affairs and Human Settlement. Community Development Workers (CDWs) were created within the programme as a new category of public servants. Gray and Mubangizi (2010:191) argue that the CDWs' brief was broad and that the work environment was politically charged. Their purpose was to work with government departments and other stakeholders to link government and community, and strengthen integration and co-ordination between services, which are provided by government, and access to these services by communities. The ideal situation is to have a norm and standard based on citizen segmentation, according to geographic accessibility to address the allocation of CDWs.

The mandate of Community Development Workers is to link citizens to resources and to bring government close to citizens by way of citizen engagement that ensures that citizens are involved in decision making. Tshishonga and Mafema (2008:361) deem that community development workers are links between municipalities and citizens. They assist communities to identify, articulate and understand their needs, and empower citizens to develop alternative ways of dealing with development challenges. The context of the CDW's work is that the working environment is complex and dynamic; and it is characterised by increasing service delivery protests. The environment is highly political, because CDWs work closely with councillors, ward committees, civic society and, therefore, tensions for turf are common; and CDWs work in a space where there are other officials or field workers from government departments and civil society, and CDWs are expected to coordinate activities at community level (Presidency 2012).

Public participation, in essence, means “people working together for a common purpose” and also refers to community participation. Sikakane and Reddy (2009:3) mention that public accountability is an important component of local governance as it promotes community involvement and participation. Local government is at the coalface of service delivery given the notion of “wall-to-wall” local government. Participation literally means to take part. Longman (1995: 1031) defines participation as “the act of taking part in an activity or event”. Taylor (2007: 297) claims that the Shift from Government to Governance in recent years has created significant new opportunities for people from disadvantaged communities to participate in the decisions that affect them. The Five Year Plan for Cape Town 2012-2017: Draft Review (2013), states, by prioritising public participation, poverty eradication and the elimination of extreme inequalities in the IDP, it is suggested that this could enhance the value and potential of IDPs in meeting the basic needs of the poor and facilitating their equal participation in socio-political life.

2.4 THE GENERAL DUTIES OF A MUNICIPALITY INSOFAR AS SERVICE DELIVERY IS CONCERNED

The cornerstone for infrastructure provision and service delivery is still the RDP, which clearly articulated the Government’s vision upon which the current policy and legislative dispensation is founded. As mentioned earlier, the RDP sets a vision, stating that an “integrated process of transformation must ensure that the country ... becomes a prosperous society, having embarked upon a sustainable and environmentally friendly growth and development path” (RSA, 1994).

The 1998 White Paper on Local Government states that: Apartheid has fundamentally damaged the spatial, social and economic environments in which people live, work, raise families, and seek to fulfil their aspirations. Local government has a critical role to play in rebuilding local communities and environments, as the basis for a democratic, integrated, prosperous and truly non-racial society. Prior to the year 2000 the municipalities were characterised by racial segregation, unequal allocation of resources and unequal delivery of basic services. Communities from previously disadvantaged areas had been subjected to discrimination and degrading living conditions. Chapter 8 of the Municipal Systems Act sets the framework for giving effect to the Constitution in the delivery of municipal services. Section 73 outlines the obligations of municipalities to service delivery by giving priority to the basic needs and promoting the development of the local community, as well as to ensure that all members of a local community have access to at least the minimum level of basic municipal services. In addition, section 73(2) sets out principles

for the delivery of municipal services. In essence, it means that municipalities have an obligation to actively seek to achieve the Constitutional objectives and developmental duties of local government with regard to how it organizes the delivery of its services and structures its administration.

Chapter 8 of the MSA addresses municipal services and outlines determinations in respect of service tariffs, the provisioning of services, and service delivery. According to Section 152 of the Constitution of the Republic of South Africa (1996): (1) The objects of local government are (a) to provide democratic and accountable government for local communities; (b) to ensure the provision of services to communities in a sustainable manner; (c) to promote social and economic development; (d) to promote a safe and healthy environment; and (e) to encourage the involvement of communities and community organisations in the matters of local government. (2) A municipality must strive, within its financial and administrative capacity, to achieve the objects set out in subsection (1). Section 153 of the Constitution of the Republic of South Africa goes further and sets out the developmental duties of municipalities as a municipality must (a) structure and manage its administration, budgeting and planning processes to give priority to the basic needs of the community, whilst promoting the social and economic development of the community; and (b) participate in national and provincial development programmes. Wilson, Kanji and Braathen (2001: 324) state that, in most cases, government actions should have resulted in better access for the less well-off to education, health-care, housing and domestic infrastructure. There is thus a constitutional requirement that municipalities should prioritise the delivery of basic services in a way that their administrations, planning and budgeting are structured and managed. The MSA has two relevant definitions namely basic municipal services, which refers to ensuring an acceptable and reasonable quality of life and, if not provided, would endanger public health or safety or the environment and to encourage the involvement of communities and community organisations in the matters of local government.

A municipality is developmental (DPLG 2001) if it is able to deliver on the following:
Provision of household infrastructure and services, which include services such as water, sanitation, local roads, storm water drainage, refuse collection and electricity; and creation of live, able, integrated cities, towns and rural areas As South Africa's past has disfigured the make-up of its cities, towns and rural areas, municipalities will have to commit various resources to uplift the poor in their areas of jurisdiction. By providing good quality cost-effective services and by making the local area a pleasant place to live and work in, the municipality will significantly contribute to the enhancement of sustainable

local economic development. Municipalities must create an environment for local economic development and job creation. According to Carrim (2001:41), basic service refers to a service that is necessary to ensure an acceptable and reasonable quality of life, and, if not provided, would endanger public health or the safety or the environment. Basic services include clean water, sanitation and refuse removal. These services can be provided by a municipality itself or by other alternative service delivery methods in terms of the MSA. This act further states that service delivery mechanisms and standards should be regularly reviewed with the intention of improving and extending them. The MSA regulates the process of assigning powers and functions to municipalities. Municipalities should have the requisite capacity-building, monitoring and evaluation capabilities. In terms of governance, Du Toit, Knipe, Van Niekerk, Van der Waldt, and Doyle. (2002:64) state that this implies that actions are taken to improve the general welfare of society by means of the services that are rendered. Section 76 of the Municipal Systems Act states that a municipality may provide a municipal service in its area or part of its area through either an internal or an external mechanism, and describes internal mechanisms as:

- (i) departments or administrative units within its administration;
- (ii) business unit devised by the municipality, provided that it operates within the municipality's administration and under the control of the council in accordance with operational and performance criteria determined by council; or
- (iii) a component of the municipal's administration.

A 2004 research document, which was issued by IDASA (IDASA, 2004:02) and which dealt with local government's powers and functions, concluded that "*service delivery can be achieved through the direct provision of a range of services to citizens and businesses and/or through the regulation of external service providers*". This relates to the provision of the full range of municipal services, regardless of whether the service is managed directly by the local municipality. Service delivery may also be achieved through activities, which are performed on behalf of other spheres of government on an agency basis. In an intergovernmental system such as South Africa's, a sector-based categorization, which is generally agreed upon across government, allows policy and legislative alignment between national, provincial and municipal departments. Such a common categorisation is found in policy and legislation (IDASA, 2004:23). According to Meyer and Ackron (2008:246, 248), communities are regarded as a nuisance when it comes to involving them in policy processes, whereas a different attitude is portrayed when the communities pay for rates and taxes.

The government not only introduced policies and plans such as the IDP to promote equity and fairness, but also engaged in initiatives such as public–private partnerships that would see the private sector joining hands with the public sector in the delivery of services. Russel and Bvuma (2001:244) state that the idea was that such partnerships would lead to community pilot projects that would enhance service delivery. The authors further stated that the partnerships would improve communication between government and communities through community consultation, and engage communities, particularly in decision-making processes in matters that directly and indirectly affect them.

2.4.1.1 STATUS OF LOCAL GOVERNMENT

Govender, J.P. (2006: 5) describes the role of local government as an encompassing role of promoting a civic, political, social, and economic justice as well as institutionalisation of democratic practice. The performance of local government is therefore seen as the genesis for promoting regional and national development. The principles of local government (RSA, 2006) define the status that underlies developmental local government as:

- (a) The Constitution grants local government original powers. It has become a sphere of government in its own right. It is part of a system of co-operative government and governance, which includes provincial and national spheres;
- (b) Local government is no longer a site for the delivery of services only, but a crucial site for social and economic development. This requires local government to have a strong developmental focus;
- (c) Local government, within its constraints, has to appropriately contribute to both economic growth and social redistribution;
- (d) Local government is a key arena for the democratic participation of ordinary citizens;
- (e) Municipalities, which constitute the new local government system, have to be financially viable and sustainable. South Africa is a society which is undergoing rapid economic, political and social transformation. Furthermore, local government executive leadership has three key roles:
 - To provide leadership and direction in policy making;
 - To administer policy, programmes and projects; and
 - To be the main initiator of economic development programmes through public spending, regulatory powers and their promotion of industrial, small business development, social enterprise and cooperatives.

2.4.1.2 SERVICE DELIVERY IN THE CITY OF CAPE TOWN MUNICIPALITY

Van der Molen et al (2002: 308) states that service delivery, in contrast to citizen oversight, which is mediated through representative bodies, bring citizens in direct contact with government. The City of Cape Town Municipality recognizes, in their Integrated Development Plan Integrated Development Plan (IDP) (COCTM, 2013a:119)., that the principles of a democratic and performance accountability overlap, since they encompass responding to citizens' needs and demands while remaining within the legal boundaries of the particular agency's mandate, and of the administrative and legal due process requirements, which govern service delivery. Wilson, Kanji, and Braathen (2001: 324) argued that policies that discriminate against the majority of the country's population resulted in a high rate of poverty. These policies prevent the poor in the communities to sustain their basic lifestyles and further prevent them to prosper. It is difficult to establish the standard of living for the poor. COCTM employees through experience understand the institutional culture of the municipality, but, importantly too, the cultures of the different customers that they serve on a daily basis. It is displayed in the way that they operate insofar as service is concerned. The City of Cape Town's Municipal heads of department of the different directorships (City of Cape Town (COCTM), 2014; SAPA, 2014), set the direction and methods of how and to whom the services are delivered, as well as what type of service residents are entitled to. Marr (2009:50-51) describes organization culture as that which can reinforce the achievements of the overall goals. Government, as well as not-for-profit organizations often suffer from a bureaucratic or hierarchical organizational culture and could benefit from a greater emphasis on change, flexibility, entrepreneurialism, outcomes, efficiency and productivity. The right corporate culture gives each person in an organization a common and distinctive method to transmit and process information; it defines a common way of seeing things, sets the decision-making pattern, and establishes the value system. COCTM employees needs to break away from their ways of serving the public as a culture and adopt the local government developmental approach in providing an essential and basic service to all communities The City of Cape Town's key to success in delivering world-class municipal services lies in their municipal employees in the different departments work towards on common goal to meet the municipal objective of service delivery.

2.4.1.3 THE KEY ROLES THAT PROVINCIAL GOVERNMENT PLAYS IN LOCAL GOVERNMENT

According to the White Paper on Local Government, 1998: 41-44, provinces have seven key roles to play in terms of local government. These roles are presented below.

- A developmental role in terms of which the provincial government should ensure that the integrated development plans of the municipalities combine to form a viable development framework across the province, which are vertically integrated with provincial growth and development strategy. This will ensure that all communities within the province will be catering for.
- An intergovernmental role, whereby the local government is included in provincial decision-making in relation to horizontal co-operation and co-ordination between municipalities in the province. The province will be able to monitor communities within municipalities that need special attention.
- A regulatory role in terms of section 155(7) of the Constitution, the exercise of municipalities' authority on Schedule 4B and Schedule 5B matters. The province will be in a position to give guidance to municipalities who struggle to meet the standards in the province.
- An institutional development and capacity-building role in terms of section 155(6) of the Constitution, whereby the province promotes the development of local government's capacity in order to perform their own functions, and to manage their own affairs. The province can assist municipalities with leadership training where efficiency lacks.
- A fiscal role in terms of which province monitors the financial status of municipalities. It is common knowledge that not all municipalities are in good financial shape. The province intervention will result in proper financial management.
- A monitoring role in terms of which province monitors local government's execution of Schedule 4B and 5B matters and performances in accordance with the objectives of section 152 of the Constitution. The municipality needs to achieve the Constitutional objective insofar as performances are concerned. The province will be in a position to identify municipalities that doesn't meet their targets.
- An intervention role in terms of section 139 of the Constitution, and in terms of Provincial-Local Intergovernmental Relations (2001:36), whereby provincial government intervenes in a municipality by sending directives, assuming responsibility or by dissolving a municipal council. This will have allowed the province to step in where municipalities become ungovernable (DPLG 2002).

2.4.1.4 QUALITY OF PRODUCTS AND SERVICES

Curry and Sinclair (2002:198) state that service quality is determined by the disparity between the expectations of the community and its perceptions of the service actually delivered. On the 31st of January 2011, at the 16th Ordinary Session of the African Union Assembly, under Article 7 relating to Efficient and Quality Service, (AU, 2011) the following was adopted:

“Public services shall be delivered in the most effective, efficient and economical manner, consistent with the highest possible standards”;

“Public Service and Administration shall establish appropriate mechanisms to periodically monitor and evaluate the effectiveness of public service delivery”; and

“Public Service and Administration shall set and respect time-frames for public service delivery. Public Service and Administration shall ensure that its services are adapted to the evolving needs of users. Public Service and Administration shall take the necessary steps to create and maintain trust among public service agents and users”.

Williams, E 2012:1 state South African citizen were freed from the shackles of an oppressive regime and experienced democratic rule. Freedom from Apartheid came with promises of a better life for all and the realisation of constitutionally protected human rights. Since 1994, South Africa has made significant progress in building the structures of a democratic state (The Presidency 2012). Minister Valli Moosa (RSA 1998a:1) stated that “local government has been given a distinctive status and role in building democracy and promoting socio-economic development”. Local government’s role has expanded from providers of public goods and basic social services, to include local economic development initiatives (LGSPA 2009:7). Despite the advances in service delivery since 1994, the pace of improvement in services and the quality of services provided do not, in many cases, match the expectations of many citizens. A definition of quality products and services on municipal service level is not easy to determine, for the poor water and sanitation will be quality service. For the well-off resident standing a while in a municipal queue will mean bad service. Due to the complexity of the residents the municipalities serve, services provided must always be of a quality good enough to meet set standards that the municipalities constantly monitor the quality thereof. Regular feedback from residents is important to improve on the delivery of quality products and services. It is a fact that services most of municipal services is only available through the municipality. This is where the challenge of quality lies, the residents is forced to except the product or services of inferior quality. Municipalities must not only ensure the provision of affordable and

accessible quality services, but it must be of a high quality and value for money. According to Rogerson (2009:51), a lack of direction from higher spheres of government has resulted in local government being unsure of what functions to prioritise. Section F of the White Paper on Local Government (1998: 94) states that value for money in local government is both a matter of the cost of inputs and of the quality and value of outputs. (DPME: 2012:8) state that result of an inability of some municipalities to deliver efficiently and effectively even a core set of basic municipal services. (Presidency, 2012) Sustained provision of basic services was also hampered by the lack of infrastructure, and by a lack of appropriate delivery models in remote rural areas, as well as general neglect of maintenance and repairs of municipal infrastructure. (Robinson, S. 1999:23) defines service quality as an attitude of global judgment about the superiority of the service. Communities require the best possible use of local resources to ensure universal access to affordable and sustainable services (Human Science Research Council, 2005: 19-21).

2.4.1.5 SETTING SERVICE STANDARDS

Many organisations are paying more attention to improving service delivery and service quality (Wang, Hing-Po & Yang, 2004:325). Kaplan, R.S. and Norton, D.P. (1996: 75-85) argued that organisations should remain sensitive towards the cost of their production while increasing performance levels and services to the customers. Service delivery in South Africa has come a long way considering the racially divided separate development model during the apartheid era. Local government should set the pace as far as service standards are concerned. The municipality can provide services, but the service must meet the expectations of the client (resident / ratepayer) who pays for the service. Integrated service delivery requires joint work across specific functional areas and organisations, as well as overall operational coordination and alignment. Integrated policy making and planning should be supported by complementary harmonised implementation strategies. Service delivery targets or standards relate to the level and standard of service that is provided to the community, and include targets for reductions in the backlogs of basic services. The municipal requirements for service delivery targets must be consistent with national government policy that requires the public sector to be able to measure service delivery outputs and outcomes in addition to inputs. Service delivery is viewed as the mechanism to activate the communication strategy. It simply means that communication with local municipalities is seen as a set of services, which is provided by the local municipality, which facilitates integrated development. Services should be understood in terms of various categories, which are presented below.

Services provided at a local level, which local residents have access to:

This refers to services that are provided jointly by the district and the local municipalities; and services that are provided voluntarily at a district level for the benefit of the local municipalities. A quarterly performance report must be published to inform the public about the performance of the municipal infrastructure programmes. Increased levels of communication will enhance the relationships between municipalities, communities and other stakeholders. Barzelay (2001:39) states that the driving force of setting service standards and measuring performance in a government-wide policy because of the attitude of operational managers and staff. Fitzsimmons and Fitzsimmons (2004:4), define services as “deeds, processes and performance”. A service is an activity or series of activities of a more or less intangible nature that normally, but not necessarily, take place in interactions between customers and service employees and/or physical resources or goods and/or systems of the service provider, which are provided as solutions to customer problems. Fitzsimmons and Fitzsimmons (2004:132) state that the assessment of quality is made during the service delivery process, for services. Each customer contact is referred to as a moment of truth, and an opportunity to satisfy or dissatisfy a customer. Customer satisfaction with a service can be defined by comparing perceptions of service, which are received with expectations of the desired service. When expectations are exceeded, service is perceived to be of exceptional quality- and also to be a pleasant surprise. When expectations are not met, however, service quality is deemed unacceptable. When expectations are confirmed by perceived service, quality is satisfactory. Gqamane (2012:32) suggests that municipalities can ensure affordability by setting tariffs, which balance the economic viability of continued service provision and the ability of the poor to access such services. The City of Cape Town Municipality should strategise their service delivery. Wixley and Everingham (2005:14-15) describe strategy formulation as the main building blocks of strategic planning, and summarise strategy formulation building blocks as follows:

- Developing a vision, a clearly articulated statement of the purpose of an organization, and who its customers are;
- Having the required knowledge of the industry, its customers and their needs, as well as the technical knowledge to supply those needs;
- Hiring competent people with the knowledge and ability to meet the challenges of the business;

- Obtaining the necessary resources, planning to obtain capital, and other resource requirements; and
- Understanding and responding to the legal and regulatory environment.

2.4.1.6 ANNOUNCE SERVICE STANDARDS AND SERVICE DELIVERY PRINCIPLES

Local government has been significantly transformed into a "co-responsible" sphere of government with extensive legislative and executive powers and functions, tasked with the realisation of an expanded "developmental" mandate (Christmas and De Visser 2009:107-119,). According to Du Plessis, 2008:461 this wide range of duties illustrate that, unlike the previous situation, where local government merely played a service delivery role, municipalities now have an expanded developmental mandate. Acceleration on service delivery at the current pace is needed in South Africa (Naidoo, 2009:104). Due to the inherent nature of its diverse functioning, local government has become the point of convergence for a barrage of legislation and regulations. The legislation is ostensibly geared towards ensuring that local government indeed fulfils its constitutional mandate of development. De Visser 2008:13) observed that all the legislation and regulations viewed in isolation are arguably necessary and important to regulate its composite functions and achieve intended outcomes.

In 2005 the Minister of Local Government, Minister Mufamadi state the following *"In designing the new system of local government, care was taken to ensure that we put in place, a framework for progressively doing away with the consequences of a system which exposed White and Black South Africans, to vastly different socio-economic environments. The continuing challenges we face therefore, is one of ensuring that all municipalities develop the requisite capacity to translate those resources into instruments with which to confront problems of poverty and underdevelopment. The interventions must make positive impact on the way we meet such challenges as: public participation, programme management as well as creating conditions for sustainable service delivery and economic development (Mufamadi, 2005:1).*

Service Delivery Plans provide a road map for the development of a system of care and a blueprint for the complex decisions that must be made about planning, developing, and delivering comprehensive municipal services in your communities.

Section 78 of the Local Government: Municipal Systems Act, No. 32 of 2000 enables municipalities to consider various institutional options through which municipal services can be delivered.

Through a process prescribed in Section 78 of the Municipal Systems Act, a municipality can choose to deliver municipal services itself, or contract an external services provider, or consider an optimal combination of both. It is essentially a process that a municipality would embark on to think about how municipal services should be delivered to its community, namely through what institutional model, with its attached costs, based on the existing infrastructure and the costs to operate that infrastructure. The options must be legally acceptable and must take into account the delivery of services to the current backlog population. The continuing challenges that municipalities face is one of ensuring that all their business function sections develop the requisite capacity to translate those resources into instruments with which to confront problems of poverty and underdevelopment. The interventions must make positive impact on the way that such challenges are met as public participation, programme management, as well as creating conditions for sustainable service delivery and economic development (Mufamadi, 2005:1). This will require government to establish basic service norms and standards, and determine and quantify service backlogs per municipal area or sub municipal area, to overcome the backlogs in the municipality. The municipality must establish mechanisms to deliver the projects; and monitor progress with implementation. Another requirement is the development and implementation of mechanisms to support each business sector or directorate where capacity is ineffective to plan, implement, and operate to maintain the municipal infrastructure projects. The municipal manager, senior managers and heads of business sector departments, at large, should get back to basics and assist and support municipal staff members to focus their IDPs on the delivery of services to all residents.

2.4.1.7 BASIC SERVICE DELIVERY

Pretorius and Schurink (2007:19), stating that post-apartheid South Africa faces a challenge in ensuring that municipalities provide optimal and professional services to citizens of heterogeneous cultures. Municipalities provide basic services such as water, electricity and sanitation, which are essential to sustain human well-being and

economic development. As a result of Apartheid, there were massive backlogs in infrastructure and services in townships and rural areas. Service delivery according to the Constitution of Republic South Africa (Act No. 108 of 1996), involves that every person has a right to a better life, shelter (house), food, water and sanitation, and anything that recognizes a person as a dignified human being, guaranteeing a good quality of life. According to Thabo Mbeki (2006):

Clearly, the matter of service delivery is central to our freedom because we cannot enjoy this freedom while our fellow South Africans have no clean water, have no sanitation and are still using the bucket system. We cannot enjoy this freedom while many among us still have no electricity and other basic services. It is therefore very important that all spheres of government combine their efforts to ensure speedy implementation of programmes around these basic services. (President Thabo Mbeki, April 27, 2006)

Therefore, government's Free Basic Service (FBS) commitment was borne out of numerous debates on ways to address the needs of the masses of impoverished South African citizens. The provision of FBS plays an important role in addressing asset and capability poverty, and in improving the ability of the poor to participate in society and the economy. The right of all citizens to have at least a basic level of service is a right that is entrenched within the South African Constitution (1996). This right has been actualised in government's commitment towards the provision of Free Basic Water (FBW), Free Basic Sanitation (FBSan), and Free Basic Electricity (FBE) to economically disadvantaged communities. The present South African government inherited service delivery backlogs from the Apartheid era, which disadvantaged millions of citizens, hence the transformation task has proved to be a mammoth one.

According to Monyai (2004:33), recipients of services generally perceive the improvement as quite minimal and service delivery as being at a snail's pace, not visible enough to the majority of the people who still live in abject poverty. Citizens should not be perceived as mere consumers or recipients of services, but as an integral part of governance and, therefore, they should to be involved in decision-making processes around services that affect them. Pollitt, C. 2001:471 gives a brief overview of the restructuring process which moves from the "debate and the formulation of reform ideas" stage, proceeding on to consensus, the adoption of reform proposals and finally implementation. As mentioned by Bouckaert, G., Peters, B.G. 2002:359 that performance related to talent and optimal usage of such talent. Dibben and Higgins

(2004:29), state that this approach is widely perceived to be one that will enable citizens to participate in the activities of government and have a say in the decision-making process, taking full control of their lives by exercising their rights in collective decision making. The question is, is there a bond between poor housing and environmental conditions in informal settlements, which also reflect poverty? Linking basic services such as water to health is viewed as a false separation, as these services are intimately related to housing (Cairncross *et al.*, 1990: 19).

2.4.1.8 GEAR UP FOR DELIVERY

The 1996 Constitution (RSA, 1996) places developmental duties on municipalities with service delivery being central to the role of municipalities (Asmah-Andoh, 2009:101). Lasserre and Schutte (1999) further states that a strong government is seen as important for the initiation and pursuit of successful development policies in order to increase levels of services for customers. Enhanced municipal administrative and financial capabilities go to the heart of an efficient and effective local government system. The Municipal managers, with their senior managers should train and develop their subordinates in their directorates, and develop action plans for the following reasons:

- to address service delivery backlogs in areas such as procurement and asset management;
- to improve revenue management through cost-reflective tariff structures and accurate billing systems to curb overspending on operational expenditure and under spending on capital programmes;
- to put in place credit control policies and measures to control debt; and
- to improve spending on repairs and maintenance and to address critical vacancies and skills gaps. (CoGTA 2009b:18)

The Constitution, the Local Government Municipal Systems Act (2000) and the Local Government Transition Act (1993) task municipalities not only to provide services to all, but to be fundamental in orientation. Brand, (2009:12-20), states that the transformative vision of the Constitution translates into a mandate which places an obligation on the three spheres of government to fulfil socio-economic rights to the benefit of impoverished people. The essential components of section 106(1) of the Municipal Systems Act read as follows:

(1) If an MEC has reason to believe that a municipality in the province cannot or does not fulfil a statutory obligation binding on that municipality or that maladministration, fraud, corruption or any other serious malpractice has occurred or is occurring in a municipality in the province, the MEC must–

(a) by written notice to the municipality, request the municipal council or municipal manager to provide the MEC with information required in the notice; or

(b) if the MEC considers it necessary, designate a person or persons to investigate the matter; and

(2) In the absence of applicable provincial legislation, the provisions of sections 2, 3, 4, 5 and 6 of the Commissions Act, 1947 (Act 8 of 1947), and the regulations made in terms of that Act apply, with the necessary changes as the context may require, to an investigation in terms of subsection (1)(b).

2.4.1.9 CONCEPT OF SERVICE DELIVERY AND PERFORMANCE MANAGEMENT

Services characteristics have implications to the service marketer concerning the manner in which services are marketed (Palmer, 2011:7). Governments are primarily concerned with serving the interests of the public, which means that the state has the obligation and responsibility of “ensuring a minimum and reasonable right of existence for all inhabitants, particularly the underprivileged section” (Roux, 2006:125). It is evident that the customer perceives services as either being of a high quality or a low quality (Ukens, 2007:119). Municipal service delivery is governed by:

(1) the Integrated Development Plan and the Performance Management System;

(2) intergovernmental relations;

(3) the Expanded Public Works Programme;

(4) Batho Pele;

(5) the budget; and

(6) policy and procedure.

Hersey and Blanchard (1993:248-249) argue that there is no single best way to solve human resource problems. Performance management provides managers with easy to use guidelines to analyse work situations, determine why performance problems exist, and choose solution strategies to fit the problems that their follower’s face.

A successful performance management system is driven by state and local needs, and is designed to closely align with a public health agency's mission and strategic plans (DPLG 2006 Local Government Municipal Performance Regulations for Municipal Managers).

Service delivery standards are a set of clear and public criteria with explicit indicators, which define the service delivery performance by which municipal services can be monitored and reviewed. A municipality must aim to: support the provision of consistently high quality service delivery; encourage continuous improvement and identify specific areas to improve service quality; assist service providers to self-audit the quality of their service; foster a collective commitment to quality through a common set of clear and measurable criteria; assist sites to know what to expect from service providers in relation to the quality of service delivery; maximise site staff satisfaction and confidence with the service; and meet reporting and accountability requirements. The question is how municipalities monitor customers or citizens, satisfaction with services delivery. Does the municipality accept that residents are happy with a service or product, or do municipalities become accustomed with the idea of service delivery protest action?

The prevalence of underdevelopment and a lack of human development have prompted people to protest and express their disappointment in the government's poor track record with regard to service delivery. (Report of the South Commission, 1090:10). The country has witnessed service delivery protests taking place in many municipalities with a new and dangerous intensity, and the City of Cape Town has had its fair share of constant protest action. Howlett and Ramesh, (2003:146) argue that the search for solutions to a problem depends not only on which actions are technically capable of solving the problem, but also on which ones are considered to be possible or feasible to achieve. This problem is further exacerbated by placing too much emphasis on policy input strategies without paying attention to the capacity of the institutions to impact on positive outcomes and output. In this regard, Van Baalen and De Coning (2006:215) purport that policy failure is frequently attributed to methodological defects that have to do with bad management and badly designed policies.

2.4.1.10 SERVICE DELIVERY THROUGH LED

Government has committed itself to a long-term infrastructure investment programme that achieves two objectives: improved service delivery and increased

investment to stimulate growth. This provides the most promising opportunity to demonstrate the practical advantages of a sustainability perspective, which could result in more affordable service, increased savings, and improved backward and forward linkages in the local economies. According to Nealer (2007:148), the municipalities' focus is on growing local economies and maintaining the provision of existing basic municipal services to areas of responsibility, which were previously neglected by municipalities. The mandate that is given to municipalities is clear insofar as service performance has been given the best municipal services. According to the White Paper on Municipal Service Partnerships (Republic of South Africa, 2000b), "substandard services are a hindrance to the investment opportunities by business and industries in which job opportunities for local residents are adversely affected. Therefore, municipalities, in their service provision, have various options to consider for sustainable service delivery. In this instance, a municipality can either provide a service by utilising internal resources or by outsourcing the provision of a service to an outside service provider". Although outsourcing could be done on the basis of public private partnerships, the White Paper on Municipal Service Partnership (Republic of South Africa, 2000b) refers to all outsourcing as municipal service partnerships (MSP). LED initiatives may include service partnerships, whereby local business is empowered by being provided with municipal services or supply contracts.

Municipalities also have the responsibility to ensure that businesses activities are generated, and people are empowered to start their own business. It is important that every IDP of a municipality is accompanied by a LED plan before approval by the council. As can be deduced from the section that follows, the realisation of LED, insofar as the generation of new business activities in the local economy is concerned, remains the most important objective for any municipality. It should also be noted that no observable impact has been seen in the area of new business generation. The local authority's role in economic development (IRI & NBI, 1998), is defined as a locally-driven process, which is designed to identify, harness and utilise resources to stimulate the economy and create new job opportunities. "LED occurs when the local authority, business, labour, NGOs and most importantly individuals strive to improve their economic status by combining skills, resources and ideas". Planact (1997:31) describes LED as focusing on the development of local areas as opposed to regional or national development. This form of development is generally undertaken by local councils, which are eager to promote the development of their area. The report continues by explaining that LED may

also involve trying to encourage entrepreneurs, the informal sector and small business, through offering, for example, low interest finance to empower community organisations and to provide skills training (RSA 2006. National Framework for Local Economic Development in South Africa 2006–2011). Further, IRI & NBI (1998:7) list nine tools and strategies that municipalities can use to support LED. They are:

- small, medium and micro enterprise development;
- regulations and by-laws;
- land, buildings and other public assets;
- public/private partnerships for infrastructure and service delivery;
- business retention, expansion and attraction;
- human resource development;
- promotion and marketing;
- regional linkages; and
- plugging the leaks.

According to Reddy *et al.* (2003:176), intergovernmental engagement to mobilise capacity and stakeholders is necessary. The following are general challenges that necessitate the need for LED activities: stabilisation of economic strategies; service delivery enhancement; transparent government; social engagement; ingenious community participation; and reviewing and forming new intergovernmental relations. The IDP process enables municipalities to work together with communities and other stakeholders to find innovative and cost-effective ways of eradicating poverty and growing the local economy. Local Economic Development's main aim is to address the inherited inadequacies and the failure of Apartheid policies, and to effectively facilitate adequate economic growth and social development. According to Mosaine (1999:5), LED represents a municipal development process that involves the mobilisation and development of local resources, which are stimulated by the need to tackle local economic and social problems, and that, anticipates managing the processes of economic restructuring. Although claims are made that very little work has been done on IDPs in South Africa with the exception of Harrison, P. (2000) and Nel, E. and Binns, T. (2003: 125-139). Bohrat and Kanbur (2005) mention that poor service delivery experiences in, amongst other things, health care, housing and basic services, hampers the South African economy.

Within the public sector leadership, reference has been made to the perceived lack of economic skills within its management. Kaniki (2007:14) refers to the challenges that public sector managers face by identifying focus areas, which should to be addressed: *The focus areas include the challenge of globalisation: distinct South African research opportunities; economic growth and international competitiveness; education and the challenges of change; and the eradication of poverty, and unlocking the future: advancing and strengthening strategic knowledge.* Spatial Development Frameworks (SPDs) draw their data for decision-making from spatial reference systems and land information systems. SPDs provide a master plan for the development of a geographical area in a municipality, and indicate where development should take place. They also determine the nature and type of development: whether it should be industrial, business or residential. In addition, they provide information that is crucial for the IDP. This facilitates rural land reform, as it leads to improved urban planning and infrastructure development (Schoeman (2003:18). also Manyathi (2006:5); Venter and Landsberg (2006:148).

2.4.1.11 KEY PERFORMANCE AREAS AND OBJECTIVES OF LOCAL GOVERNMENT

The autonomy of local government is a constitutional right. According to the Constitution (Republic of South Africa, 1996), a municipality has the right to govern, on its own initiative, the local government affairs of its community, subject to national and provincial legislation. As legislation directed at municipalities is clear, local government should:

Provide democratic and accountable government for local communities;

Ensure the provision of services to the community in a sustainable manner;

Promote social and economic development;

Promoted safe and healthy environment; and

Encourage the involvement of communities and community organizations in matters of local government. The Constitution emphasises that municipalities should strive for the above objectives within their financial and administrative capacity. It means that a municipality must ensure that the municipality services are:

Equitable and accessible;

Provided in a manner that is conducive;

The prudent, economic, efficient and effective use of available resources;

The improvement of standards of quality over a time period;

Financially sustainable;

Environmentally sustainable; and

Regularly reviewed with a view to upgrade, extend and improve. The leadership

roles placed on the political and executive leadership requires that the powers and functions of local government is exercised in a way that has maximum impact on the social development of communities, in a particular meeting the needs of the poor, and growing the local economy.

2.4.2.1 SERVICE STANDARDS AND ACCOUNTABILITY IN LOCAL GOVERNMENT

Service delivery standards are a set of clear and public criteria with explicit indicators that define the service delivery performance by which municipal services can be monitored and reviewed. The standards aim to: support the provision of consistently high quality service delivery; encourage continuous improvement and identify specific areas to improve service quality; and to assist municipal officials and service providers to self-audit the quality of their service and foster a collective commitment to quality through a common set of clear and measurable criteria. Communities must know what to expect from local government officials and service providers in relation to the quality of service delivery. Flinders (2005:232) and Fourie and Burger, (2000:718) note that the government does not want the private sector to deliver those services that they consider as being important to the public's interest. To maximise municipal staff satisfaction and confidence with the service, to meet reporting and accountability requirements, and to assist with monitoring and evaluation processes. It must be borne in mind that accountability and oversight are constitutional requirements in all spheres of government. The Municipal Structures Act (1998) and the Municipal Finance Management Act (2003) provide for the establishment of committees (Section 79 and 80 of the Act, 1998) to provide guidance, while the oversight role of Municipal Public Accounts Committees within the local sphere of government in South Africa, is new.

For sound public administration to exist there must be public trust. The public expects public officials to serve their needs and interests with fairness, and to manage public resources properly. Fair and reliable public services and predictable decision-making inspire public trust. The local sphere of government in South Africa consists of 278 municipalities, which are categorised into: Category A municipalities: municipalities that have exclusive legislative and executive authority in their area, and are called metropolitan municipalities; Category B municipalities: municipalities that share legislative and executive authority in their area with a category C municipality within whose area they fall, and are called local municipalities; and Category C municipalities: municipalities that have municipal legislative and executive authority in an area that includes more than one municipality. According to Section 152 of the Republic of South Africa Constitution Act, local governments in South Africa are established to provide

democratic and accountable government for local communities; to ensure provision of services to communities in a sustainable manner; to promote social and economic development; to promote a safe and healthy environment; and to encourage the involvement of communities and community organisations in matters of local government.

The transition to a democratic South Africa in 1994 “occurred at the time when the acquired role and functions of government were being reviewed across the globe” (Black, Calitz and Steenekamp, 2011:5). A municipality is a corporate body and has specific roles and responsibility areas, a political structure, political office-bearers and a municipal manager, and has jurisdiction in a defined geographical area as determined by the Local Government: Municipal Demarcation Act 1998, (Craythorne 2006: 119).

2.4.2.2 IDENTIFY CUSTOMER CHALLENGES AND POVERTY

The South African Constitution states, “When an organ of state contracts for goods or services, it must do so in accordance with a system which is fair, equitable, transparent, competitive and cost-effective.” Organisations that do not feel the pressure of competitors tend not to be market-orientated, because there is little incentive to invest in designing business strategies according to consumer needs if consumers will make use of the service, regardless (Doyle, 2002:7). Wilson, Kanji and Braathen (2001; 322) describe a number of problems, which are encountered by local governments, and these are outlined below.

- a) While local authorities in wealthier areas are often financially solvent and administratively competent, many local authorities where the poor resides are neither sustainable nor economically viable; this is related to many issues, including a rent boycott culture, inadequate private sector investment and the insolvency of Black authorities.
- b) The absence of local administrators in some areas, especially in rural communities.
- c) Poor service provision in townships.
- d) Community suspicion of government owing to past experience with Apartheid structures.

Massive unemployment, coupled with a high and growing social wage, has led to a dangerous distortion in the labour market: South Africa now has more people who are grant recipients (13.8 million) than working taxpayers (12.8 million) (Hazelhurst 2010: 15). Poverty in informal settlements is much more than a simple lack of income or unemployment. Since 1996 South Africa has experienced a spate of violent service delivery protests, mainly in informal settlements, which surround major cities. Persistent and extremely high levels of unemployment and income inequality have also added to the tension. The rate of job losses, the disparate impact on the working class, and the wide disparity between the pay of management and workers have drawn fierce criticism from the labour unions and fuelled the on-going industrial action in the public sector of salary increases.

The White Paper on Transforming Public Service Delivery (RSA, 1997:11) states that enhancing improving the delivery of public services means redressing the imbalances of the past, while maintaining continuity of service to all levels of society and focusing on meeting the needs of South Africans who live below the poverty line, as well as the disabled and black women who live in rural areas, and who were previously disadvantaged in terms of service delivery. Mitlin and Satterthwaine (2004:251) state that government should make it possible for those with limited incomes to get better quality housing with infrastructure and services. Mitlin and Satterthwaine further state that urban poverty is viewed as being caused by inadequate income levels, with all other deprivations being directly or indirectly caused by inadequate income.

According to the statement by ASGISA, “without interventions directly addressed at reducing South Africa’s historical inequalities, growth is unsustainable”, interventions, which address deep-seated inequalities and that target the marginalised poor, are interventions that bridge the gap with the second economy ultimately eliminating the second economy (RSA, February 2006:8). Poverty is also not a static component in development. The distribution and extent of poverty does change over time and it should be accommodated in any poverty alleviation programme. Analysis shows that the poverty burden in the metropolitan areas is rapidly increasing. This increase is accompanied by large scale migration to the metropolitan areas. This is particularly challenging for the local resource bases of the metropolitan areas, and the development support strategies of government. Infrastructure provision will not necessarily alleviate poverty, but it is necessary to create the required base conditions for economic growth and the redistribution of wealth through strong and continuous economic growth. The extent of poverty calls for realistic approaches and well planned

and tested policies.

The burden of the total system should be discounted and redistribution is not a sustainable option if it is not accompanied by continued and sustainable economic growth. It is not merely a lack of income, which determines poverty. An enormous proportion of basic needs are presently unmet. In attacking poverty and deprivation, the RDP aims to set South Africa firmly on the road to eliminating hunger, providing land and housing to all its people, providing access to safe water and sanitation for all, ensuring the availability of affordable and sustainable energy sources, eliminating illiteracy, raising the quality of education and training for children and adults, protecting the environment, and improving health services and making them accessible to all (African National Congress, 1994). Improving service delivery also calls for a shift away from inward-looking bureaucratic systems, processes and attitudes, and a search for new ways of working that places the needs of the public first, and is better, faster and more responsive to the citizens' needs. Mle and Maclean (2011: 1376) argue that administrative malpractices are characterised by constant tensions, which derail service delivery (Dzansi and Dzansi, 2010:996 and Mathekga, 2006: 88-107) and have the potential to divide an institution into camps.

The Global Monitoring Report (2013:96) illustrates in their observations that there is a need for greater efforts to improve the livelihoods of rural people. Indeed, strengthening rural-urban linkages is often motivated by the need for more balanced territorial development and to improve the living conditions of people in both rural and urban areas. Likewise, the co-existence of rural and urban spaces creates new opportunities for economic developments are being eligible for support. According to the Global Monitoring Report (2013:96), local government can play an important role in facilitating positive interactions between rural inhabitants and urban markets, thereby making markets increasingly work for the poor and spatially marginalized people in the urban-rural continuum. More specifically, local governments play an important role in promoting local economic development as part of their efforts to enhance inclusive development and social inclusion. Therefore, local governments are best placed to support integrated development. Wider alliances between formal and informal organizations; local governments, metros and cities; and institutions that produce knowledge and transfer technology can improve the performance of local governments in this regard.

2.4.2.3 AFFORDABILITY OF SERVICES

South Africa's first democratic government came to office in 1994, and was committed to move rapidly with its Reconstruction and Development Program to redress the socio-economic legacies of Apartheid. More than twenty years later, fifteen million people live in shacks in disgraceful conditions, and the economy has shed millions of jobs.

After 2015 we should move from reducing to ending extreme poverty, in all its forms. We should ensure that no person – regardless of ethnicity, gender, geography, disability, race or other status – is denied universal human rights and basic economic opportunities (UNHLP, 2013).

The Constitutional Subsection 152(1)(b) instructs local government to ensure sustainable service delivery, which means delivery in such a manner that the consumer can afford the service and the supplier can provide the service within its own means on an ongoing basis. A continued, sustainable and improving delivery of services such as water, sanitation, electricity, refuse removal and municipal health are inextricably linked to the standard of living (City of Cape Town Finance Directorate. 2007. Reporting Framework for Monthly and Annual Reporting by the Municipal Entities) (COCTM 2007, Reporting Framework for Monthly and Annual Reporting by the Municipal Entities). In speaking of the promotion of social and economic development, subsection 152(1)(c) recognises that the improvement of a standard of living through delivery of government services and through self-empowerment (employment, social upliftment) is dependent on a productive local economy and improved social conditions. Section 153(a) translates the objects of local government in a duty on municipalities to promote their social and economic development. Further, section 153 (a) instructs municipalities to prioritise their communities' basic needs. Basic needs such as access to water, health care and housing relate directly to standards of living and their prioritization, therefore, is to result in its improvement. This developmental principle relates to all three elements of the definition of development. The principle of sustaining and improving a standard of living incorporates the enlargement of choices through empowerment, the improvement of economic conditions, as well as the fair distribution of the benefits of that economic improvement. Du Plessis (2006: 95-100) proposes the following elements for successful local government:

- constructive relationship with the community – through political representatives; high standards of delivery;
- effective participation by the local government in nation and provincial initiatives – through co-operative governance;
- an integrated approach to local government – through co-operative relationships with local stakeholders and participation in the IDP;
- effective financial management – though ensuring effective revenue collection and sound management of financial resources;
- encouraging and examining alternative service delivery options – through partnerships with the private sector in order to ensure quality services; and
- dealing with challenges – such as institutional capacity building; better role classification of politicians and officials; customer care programmes; and common commitment to effective local governance.

2.4.2.4 THE CONCEPT OF SERVICE PLANNING

The quality of life can be significantly enhanced by the provision of basic needs, namely running water, electricity, decent ablution facilities, and the main provider of security, namely a decent house. Many authors in the field of local government believe that municipalities are “the last point of the service delivery chain”. In other words, to deliver a service is to plan around the different needs with the available resources that are at the municipality’s disposal. According to Steytler and De Visser (2007: 1-8), local government is supposed to be a sphere of government that is responsive to the needs of the communities, and should be able to provide services to address the glaring disparities occasioned by the unequal and racial distribution of resources. Local government must be in constant dialogue with communities to address these structural disparities and imbalances, which are inherent in society. The City of Cape Town should plan around residents’ unique needs, especially residents who live in informal settlements. The result of failing to plan around these needs has caused aggrieved groups within the communities. It is a fact that some municipalities have not been able to perform their functions of providing basic services to communities adequately. Yawa (2008:1) observes that this failure by municipalities has sparked some of the protest marches and disturbances that have been witnessed in some municipalities across the country, and especially in and around Cape Town. De Visser (2005: 69) mentions that one of the constitutional objects of local government is “to ensure the provision of services to communities in a sustainable manner”. In other words, this means constant planning towards residents’ needs, irrespective of their geographic layout. Section

151(3) of the Constitution, in conjunction with Section 4(1)(a) of the Systems Act, firmly entrenches the autonomy of local government by providing that a municipal council “has the right to govern, on its own initiative, the local government affairs of its community”.

2.4.2.5 PERSPECTIVE ON SHARED MUNICIPAL SERVICES

The two-tier system of local government, namely Local Municipality (LM) and District Municipality (DM) (DPLG 2002, Guideline document on Provincial and Local Inter Governmental Relations) is now under review, and has led to policy proposals by the African National Congress (ANC). The ANC outlined its proposals on the future of district municipalities, in its March 2012 National Policy Document. According to this, four policy proposals were made, namely to:

- *Leave the system as it is;*
- *Abolish the two-tier system with more category ‘A’ type municipalities;*
- *Create a new type of category ‘A’ municipality; and*
- *Reform the role of districts by (i) strengthening the planning, coordination and support functions, (ii) retaining districts only in certain areas, or (iii) absorbing districts into national or provincial administrations.*

The arguments here were to abolish the two-tier system, which required constitutional amendment. There are divergent ideas on how to address the issues, hence the proposals in the policy document. The scrapping of the two-tier system does not seem a viable option considering that it would require large-scale restructuring and constitutional amendment. The main focus is still service delivery, according to the Constitution of Republic South Africa (Act No. 108 of 1996), since every person has a right to better life, shelter (housing), food, water and sanitation and anything that recognizes a person as a dignified human being with a good quality of life. The municipalities are designed as the local sphere of government closest to the people and, therefore, are better to efficiently carry out many, which deal with services and community development. By implication, the ANC’s proposal in practice means that District Municipalities could retain the service authority function of setting policy and taking strategic responsibility, while outsourcing the operational function to local municipalities. Steytler, N and Baatjies, R. (2007:5) noted that the Minister’s proclamation resulted in the following:

'All local municipalities in Gauteng, Free State, Northern Cape and Western Cape would continue providing bulk water supply and sanitation. In the Eastern Cape and Limpopo, only two local municipalities would perform bulk water and sanitation functions while in KwaZulu-Natal only three local municipalities would do so. In Mpumalanga local municipalities in three of the four districts, in North West local municipalities in two districts and in Northern Cape local municipalities in only one district were authorised to perform water and sanitation functions. In sum, local municipalities were authorised to continue providing water and sanitation functions in 22 of the 46 districts.'

This will raise the debate around who is more superior, in other words, who will give the instruction and who will execute the instruction. The resident at the receiving end of the service does not understand who is responsible for their services. They do not understand the difference between a district municipality and a local municipality. All they know is which municipality they pay their rates and taxes to. They want services and they want it from the municipality, because this is the service provider that they know as service provider they know.

2.4.2.6 THE ROLE OF COMMUNICATION IN SERVICE DELIVERY

Minnaar, F. (2010:24) claims: "As the world enters the Information Age, constantly shifting paradigms are rapidly changing the rules of what it takes to be successful". There are a number of areas where these shifting paradigms will impact directly on the strategic capacity of public institutions to achieve their primary purpose. These include the following:

- The prominence gained by global competitiveness as a determinant of control over key resources that are required to succeed in the Information Age; and
- The absorption of these resources in the modern public sector organisation.

Service delivery is viewed as the mechanism to activate the communication strategy. In other words, communication with the local communities is seen as a set of services, which is provided by the local municipality, the latter facilitating integrated regional development. Alam, M. (2007:71) explains that citizens live their various community roles such as parents, homeowners, volunteers, business people, and members of political parties or senior citizens. The difficult role of government communication is to reach them in most of these community roles, and provide information that is relevant to them. The community's understanding is key to providing the information that is

required. Alam, M. (2007:72) went further and mentions that there are numerous tools that a government communication department can use in both one way and two-way communication. One-way communication tools include government publications, leaflets, notice boards, press releases and articles in council or independent media, information and marketing campaigns. Examples of two-way communication tools are surveys, public meetings, public hearings or council meetings.

The Government Communication and Information System (GCIS) was established on 18 May 1998 in terms of Section 7 (Subsection 2 and 3) of the Public Service Act, 1994, (RSA, 1994) and is a state-owned enterprise (SOE) The GCIS's prime responsibility is to provide strategic leadership and to coordinate a government communication system that ensures that citizens are informed and have access to government programmes and policies that benefit them. The Chief Executive Officer of the GCIS is also the official spokesperson for Cabinet. He or she chairs the GCIS Executive Committee, which is a strategizing body that integrates, coordinates and rationalises the work of the GCIS and government communication structures. The GCIS coordinates the Public Participation Programme and outreach events of political principals at national, provincial and local levels to reinforce dialogue and accountability to citizens. GCIS' vision in terms of section 14 of Promotion of Information Act, Act 2 of 2000, is to help to meet the communication and information needs of government and the public, to ensure a better life for all. GCIS' mission is to provide leadership in government communication and to ensure that the public is informed of government's implementation of its mandate. It furthermore assists departments with specific campaigns and events, as well as to develop departmental communication structures. The overarching strategic objective of GCIS is to enhance the government communication system and its operations in ways that contribute to the process of further consolidating our democracy and taking the country onto a higher growth and development path. To guide communication in government, the GCIS developed the National Communication Strategy, which shapes the various communication activities of departments, provinces and entities. The GCIS' strategic objective as layout in the GCIS PAIA Manual (RSA, 2000) should be achieved by including the following elements in the strategic approach:

- Providing leadership in government communications and ensuring better performance by the communication system

- Building a framework of communication partnerships informed by an encompassing vision around common development objectives
- Promoting awareness of the opportunities that democracy has brought and how to access them
- Promoting awareness of the institutions and programmes of continental and regional integration and development
- Promoting communication research and information.

2.5 THE SYSTEM OF INTER-GOVERNMENTAL RELATIONS

Chapter 3 of the Constitution describes the three spheres as being 'distinctive, interdependent and interrelated', and enjoins them to 'cooperate with one another in mutual trust and good faith'. An important element of this cooperative relationship is that there should be a clear understanding of each sphere of government's powers and functions to ensure that a sphere of government or organ of state 'does not encroach on the geographical, functional or institutional integrity of government in another sphere', according to the 2011 Local Government Budgets and Expenditure Review (2011:28). The Constitution outlines the principles of co-operative government and intergovernmental relations, which binds all spheres of government and organs of state in each sphere of government into three basic principles, which are presented below.

First, there is a common loyalty to the Republic as a whole. This means that all spheres are committed to securing the wellbeing of all the people in the country and, to that end, must provide effective, transparent, accountable and coherent government for the Republic as a whole. This is the object of cooperative government.

Second, the distinctiveness of each sphere must be safeguarded. This entails the following: the constitutional status, institutions, powers and functions of each sphere must be respected; a sphere must remain within its constitutional powers; and when exercising those powers, a sphere must not do so in a manner that encroaches on the geographical, functional or institutional integrity of another sphere.

Third, spheres of government must take concrete steps to realize cooperative government by fostering friendly relations; assisting and supporting one another; informing one another of, and consulting one another on, matters of common interest; coordinating their actions and legislation with one another; adhering to agreed procedures; and avoiding legal proceedings against one another.

The Intergovernmental Relations Framework Act (2005) provides that in conducting their affairs, the three spheres of government must: take into account the circumstances, material interests and budgets of other governments and organs of state when exercising their powers or performing their functions; consult other affected organs of state in accordance with formal procedures, accepted convention or as agreed with them, or in the absence of formal procedures, consulting them by way of direct contact or any relevant intergovernmental structures; co-ordinate their actions when implementing policy or legislation affecting the material interests of other governments; avoid unnecessary and wasteful duplication or jurisdictional contests; take all reasonable steps to ensure that they have sufficient institutional capacity and effective procedures to consult, co-operate and share information with other organs of state, and to respond promptly to requests by other organs of state for consultation, co-operation and information sharing; and participate in intergovernmental structures of which they are members and in efforts to settle intergovernmental disputes. In the publication, *Consolidating Developmental Local Government- Lessons from the South African Experience*, Menguele, Khan and Vawda (2008:191) argue that “sectoral silos and discontinuities constitute subtle breeding grounds for fruitless power games, which impact negatively on delivery capacity”. The objective of the Intergovernmental Relations Framework Act, No.13 of 2005 is to provide, within the principle of co-operative government set out in Chapter 3 of the Constitution, a framework for the national government, provincial governments and local governments, and all organs of state within those governments, to facilitate co-ordination in the implementation of policy and legislation, including-

- a) coherent government;
- b) effective provision of services;
- c) monitoring implementation of policy and legislation; and
- d) realisation of national priorities.

The South African intergovernmental relations system is intricate (Patel and Powell 2008:339-356). In addition to the Constitution, various legislation govern or organize the system of intergovernmental relations, while the legislation formalises the different spheres' roles and responsibilities with regard to various functions and provides for a range of consultative structures. The intergovernmental legislative framework can be organised in the following legislation. The Intergovernmental Fiscal Relations Act (1997) sets out the process for the division of nationally raised revenues between the three spheres of government. It establishes the Budget Forum, in which local government issues are discussed as part of the national budget process. It also requires that a Division of Revenue Bill is tabled annually, setting out the amounts that should be transferred to each municipality. The Municipal Structures Act (1998) provides for the establishment of different types of municipalities and the division of powers and functions between local and district municipalities. It also regulates the internal systems, structures and roles of municipality office bearers.

The Municipal Systems Act (MSA) (2000) sets out detailed requirements in relation to community participation, integrated development planning, performance management, administration, service provision and debt collection. It also regulates the publication of by-laws and determines the role of national and provincial government in setting standards and monitoring local government. The Act also governs the assignment of functions to a municipality from another sphere of government. The Intergovernmental Relations Framework Act (2005) provides a framework for the establishment of intergovernmental forums and mechanisms to facilitate the settlement of intergovernmental disputes.

2.5.1.1 NETWORK AND GOVERNANCE

Governance is based on four areas, namely public sector management, accountability, legal framework for development and information and transparency (Turner and Hulme, 1997:231; Tim and Allan, 2000:380). Governance in local government implies a belief that increased government/community interaction at a local level will lead to a better style of governing and delivery.

Local governance requires that institutions around local governments are engaged in the design and implementation of economic and social policy with business elites, community leaders, development corporations, training and enterprise councils, as well as voluntary groups. Local government cannot fulfil its mandate without a partnership with provincial and national governments. Establishing and maintaining sound intergovernmental relations have, therefore, become vital in ensuring the

success of local government. Molekane and Mothae (2009:5) argue that critical elements in governance include participation, rule of law, transparency, responsiveness, equity and accountability; and propose that good governance as qualified governance implies the reflection and application of these principles in the manner in which government, through public authorities, makes and implements decisions. Pidd (2012:137) describes that accountability looms large in representative democracies, which means that the measurement for accountability is also important. He describes that the main immediate beneficiaries are taxpayers, since it is they who fund the public services (Pidd, 2012:138). The main actors are likely to be the managers, frontline staff and people who are employed to publish the performance data. The Transformation publication is intended to increase the knowledge of taxpayers about the standards of public services, while the publication for taxpayers is justified by a belief that they deserve to know how well public services are provided.

2.5.1.2 THE KEY ELEMENTS AND PRINCIPLES OF INTERGOVERNMENTAL RELATIONS AT LOCAL LEVEL

The following key elements and principles underpin the intergovernmental system:

- **Accountability:** Each sphere has specific constitutionally defined powers and responsibilities, is accountable to its legislature or council, and is empowered to set its own priorities. The power of national government to intervene in provincial and local government matters, and provincial governments to intervene in local government matters, depend on whether the relevant sphere fails to carry out an executive obligation.
- **Transparency and good governance:** Accountability of political representatives to the electorate and transparent reporting arrangements within and between spheres is at the heart of the intergovernmental system. While political executives are responsible for policy and outcomes, the accounting officers are responsible for implementation and outputs.
- **Mutual support:** National and provincial governments have a duty to strengthen the capacity of municipalities. Spheres of government must also act cooperatively towards each other, for instance through avoiding legal action until all other mechanisms have been exhausted.
- **Redistribution:** The three spheres all have important roles to play in redistribution, but because inequalities exist across the country, the redistribution of resources is primarily a national function. Where provinces and municipalities undertake redistribution, the challenge is to do this in line with their fiscal capacity and not to undermine economic activity and their financial viability. Redistribution among the

three spheres is achieved through the vertical division of revenue. Redistribution among provinces and municipalities is effected through their respective equitable share formulae.

- Vertical division: Determining an allocation to each sphere of government inevitably involves trade-offs that are made in the course of a comprehensive budget process, which is driven by political priorities and which covers all aspects of governance and service delivery. Separate and ad hoc requests for funds fragment the coherence of the budget and undermine the political process of prioritisation.
- Revenue-sharing: The fiscal system takes into account the fiscal capacity and functions that are assigned to each sphere. Provinces and municipalities are funded from own revenues, equitable share allocations, and conditional and unconditional grants. The grant system must be simple and comprehensive, and not compensate provinces and municipalities that fail to collect own revenues (RSA 2004 Local Government Municipal Property Rates).
- Broadened access to services: The Constitution and current government policy prioritise broadening access to services. The responsible spheres are expected to design appropriate levels of service to meet customer needs in an affordable manner, explore innovative and efficient modes of delivery, and leverage public and private resources to fund infrastructure.
- Responsibility over budgets: Each sphere of government has the right to determine its own budget and the responsibility to comply with it (RSA 2001 Intergovernmental Fiscal Review).

2.5.1.3 INTERGOVERNMENTAL RELATIONS BY PROVINCES

The legal framework for Provincial- Local Intergovernmental Relations is found in the decentralised system of government, which is established by the Constitution, and has three basic elements. These elements make the three spheres distinctive, interdependent and interrelated. In the context of provincial-local relations, the following meaning can be given to these elements: first, the distinctive element refers to the autonomy that both the province and local governments enjoy the degree to which each sphere is the final decision-maker on a particular matter that falls within its area of competence with regard to legislation, administration and finances. Financial autonomy means that access to revenue is not subject to the sole discretion of another sphere of government. Second, local government and provinces are interdependent in the sense that the exercise of autonomy by a municipality is supervised by provincial and national government; and the national and provincial governments make final

binding decisions, which affect local government. Supervision includes four types of activities, namely:

- regulation;
- monitoring;
- support; and
- intervention.

Regulation sets the framework within which autonomy must be exercised (RSA 1995 Development Facilitation). Monitoring is necessary to ensure that legislative frameworks are complied with, and to indicate when support is required to enable local government to exercise its autonomy effectively. Intervention means that the province makes decisions for and, on occasion, acts in the place of a municipality. Third, provincial and local governments are interrelated, since each must exercise its autonomy to the common good of the province and the country as a whole by co-operating with one another. Intergovernmental relations are the sets of relationships, which are established by the three elements of decentralization. However, the relationships are far from settled and key issues are being debated and contested that have a direct bearing on intergovernmental relations in the province. In general, the absence of a structured relationship between local and provincial governments has resulted in programmes and policies in the provinces not being well coordinated or aligned. A critical shortcoming in the current IGR system is the lack of properly coordinated and structured information systems to facilitate provincial monitoring. Some of the most important consequences of these deficiencies are:

- non-alignment of policies between local and provincial governments;
- absence of early warning systems for looming crises in local government; and
- duplication of services.

The Municipal Systems Act, Municipal Structures Act, and the Municipal Finance Management Act (2003) are placed at the disposal of provincial governments to enter into these kinds of relationships with local government. Provincial governments have established intergovernmental forums that, to a greater or lesser extent, take into account some of the aspects of provincial-local relations, which include development of the IGR system, emphasis on communication, consultation, joint planning and broad co-ordination. What appears to be lacking, in most cases, is a clear identification of the goals and objectives of the established intergovernmental forums. In the Western

Cape the provincial Minister for Local Government and Development Planning wanted to facilitate the process of establishing the new local government dispensation. Measures were thus put in place to provide for the monitoring and support of local government in the province, and to promote the development of local government capacity so that municipalities can perform their functions and manage their own affairs. The measures included the establishment of a Provincial Advisory Forum (PAF) and five District Advisory Forums (DAFs) by proclamation in the Provincial Gazette in March 2001.

2.5.1.4 INTERGOVERNMENTAL RELATIONS BETWEEN DISTRICT AND LOCAL MUNICIPALITIES

District Advisory Forums (DAFs) (DPLG, 2001)

DAFs have been established for each district municipality, and comprise:

- a) the mayor of each municipality within the area; and
- b) the municipal manager of each municipality within the area.

Each municipality appoints an alternate member for each member of the forum, who may only attend and participate in their absence. Members or alternate members may not be remunerated for services that are rendered for or on behalf of the forum, but may be reimbursed by their municipality for out-of-pocket expenses.

The DAFs have the following functions and duties:

- a) advising the provincial minister on any matter relating to the process of putting the new system of local government into operation;
- b) ensuring that the process of putting the new local government system into operation is conducted in a coordinated manner;
- c) coordinating joint integrated development planning;
- d) considering matters arising from section 19 of the Western Cape municipal establishment notices;
- e) considering matters pertaining to the division of powers and functions between district and local municipalities;
- f) advising the provincial Minister on the transfer of staff, assets, liabilities and records in terms of the process of putting the new system of local government into operation;
- g) considering and coordinating service delivery continuity measures;

- h) coordinating financial arrangements to support the new local government system, among others, in terms of section 18(3) of the Western Cape municipal establishment notices;
- i) coordinating the preparation of budgets;
- j) providing a forum for sharing best-practice experiences and learning;
- k) facilitating communication on, and formulating joint responses to, national and provincial policy and legislative processes;
- l) considering any other matters referred by the municipalities to the forums; and
- m) considering any matter on request of the provincial Minister (DPLG, 2001).

The chairperson of the DAF is elected from among the mayors of the municipalities within its area. The forum may also decide to rotate the position of the chairperson among the mayors of the relevant municipalities (DPLG, 2001) sighted in Baatjie, R. 2008:15.

2.5.1.5 INTERGOVERNMENTAL FORUMS

The intergovernmental system depends on well-coordinated policy, planning, budgeting, implementation and reporting. This is necessary both within spheres and between spheres and is affected through technical, executive and legislative consultative forums. Municipalities are generally represented on the national and provincial intergovernmental structures by The South African Local Government Association (SALGA) (RSA 2003, Local Government Association). The following intergovernmental forums play an important role in cooperative governance and in shaping policy and resource allocation decisions:

- **Extended Cabinet:** This is made up of the national cabinet, premiers of provinces and the chairperson of SALGA. It is the highest cooperative governance mechanism, advising the national cabinet when it finalises the fiscal framework and the division of revenue on which MTEF budgets are based.
- **The President's Coordinating Council:** This is chaired by the President and comprises the nine provincial premiers, the chairperson of SALGA, the mayors of the metros and the national ministers responsible for cross-cutting functions such as provincial and local government affairs, public service and administration, and finance. Other national ministers may be invited to participate.
- **The Budget Council and Budget Forum:** These are established under the Intergovernmental Fiscal Relations Act (RSA, 1997). The Budget Council consists

of the Minister of Finance and the members of the executive council (MECs) who are responsible for finance in each of the provinces. The national and provincial spheres consult on any fiscal, budgetary or financial matters, which affect provinces, as well as any legislation that has financial implications for provinces. The Budget Forum consists of members of the Budget Council (COCTM Corporate Department 2011. Supply Chain Management Policy), as well as representatives of SALGA. It provides a forum to discuss financial matters, which relate to the local government fiscal framework.

- **MinMECs:** These are sectorial policy forums made up of the national ministers who are responsible for concurrent functions and their provincial counterparts. SALGA represents local government on a number of these forums.

Various technical intergovernmental forums: These consist of senior officials who provide technical support to the political forums. There are also forums that involve officials from municipalities such as the City Budget Forum.

- **The Financial and Fiscal Commission:** This is an independent constitutional institution that provides recommendations to Parliament and the provincial legislatures on the division of nationally collected revenues between the three spheres of government (Auditor-General 2000).

2.5.1.5.1 PURPOSE

The primary purpose of the overall intergovernmental relations (IGR) structure is giving effect to the constitutional obligation of fostering friendly relations through communication. An equally important goal of such a structure is reaching common goals. A critical goal would be the cohesion within a province with respect to a common economic plan. Because each province is departmentalised, a lack of coherence between departments towards local government is usually the result. An inclusive forum is then helpful if issues regarding inconsistent departmental policies or practice can be raised. Other aspects of decentralisation could also be on the agenda such as consultation on monitoring policies and procedures. Local governments would also want to meet the province to discuss issues of autonomy, including the definition of powers. These objectives could be pursued by an all-inclusive IGR body, which in essence is a consultative and not a governing body.

2.5.1.5.2 DUAL APPROACH

In some provinces a dual approach to IGR structures is followed and two complementary institutions have been created. One is broad and all-inclusive, meets once or twice a year, and deals with broad policy issues. The other, drawn from the first, is mean and lean and deals on a more regular basis with the concrete questions of service delivery. Gauteng has created two such structures, for instance, the Gauteng Intergovernmental Forum has a broad membership (provincial political and administrative executives, chairpersons of the legislative standing committees, and all mayors and municipal managers) and meets twice a year to facilitate greater understanding among its members. The Gauteng Premier's Co-ordinating Forum, in contrast, comprises only the Premier, the MEC for Local Government, the Head of the Department of Local Government, three metro mayors and their managers, and the three district mayors and their managers. The focus is on the co-ordination of service delivery. A similar policy underlies the moribund Eastern Cape Provincial Intergovernmental Relations Conference and Committee. The former includes the entire Provincial Legislature and the Executive Committee of the Provincial Association of Local Government and should meet once a year. The Provincial Intergovernmental Relations Committee, conversely, comprises only MECs, an MPL and a few local government representatives.

2.5.1.5.3 POLITICIANS/OFFICIALS

The dominant pattern is that a clear distinction is made between political and technical structures. Where the top bureaucrats sit with the politicians, the political structures sit as such and are supported by technical structures, which are drawn from officialdom.

2.5.1.5.4 LOCAL GOVERNMENT POLITICIANS

Three basic approaches are identifiable. First, local government politicians are represented through the provincial associations of local government (South Africa 1997b). The argument for including only provincial associations is that they represent the voice of municipalities in intergovernmental forums, and that they are generally recognised by national and provincial governments as being the representative and consultative body in respect of local government. Second, municipalities are directly represented through their respective mayors. Mayors represent their municipalities in both the IGF and the Premier's Co-ordination Forum. It should be further noted that for the smaller Premier's Co-ordinating

Forum, only the mayors of the three metros and three district municipalities are represented. The argument of the provincial government is that all mayors are part of GALA, and hence GALA is indirectly represented. The arguments, which are articulated for direct representation of municipalities in IGR forums are presented below. First, as bodies of political office holders, issues are also subject to the prevailing political discourse. Where no consensus can be reached, no decisions are taken. Second, municipalities generally prefer to negotiate themselves as opposed to negotiating through provincial associations, as their needs may differ. Third, the existence of organised local government requires mandates and representatives, which are not always obtained in practice. Fourth, on issues regarding service delivery, an IGR forum, which is representative of the implementing authorities in provincial departments and municipalities would be the best structure to ensure that decisions that are taken collectively are actually implemented in practice. A third approach is a combination of the previous two, resulting in the direct representation of municipalities, with organised local government as an additional member.

2.5.1.5.5 SECTORAL STRUCTURES

All-inclusive structures and focused local government structures do not exclude sectoral structures, which could include transport forums, IDP forums, health forums, (City of Cape Town Strategic Development Information & GIS Department.2010) As with the overall structure, the central question is the representation of local government. Three options present themselves:

- The relevant MEC meeting with district mayors;
- The relevant MEC meeting with the provincial association; or
- The relevant MEC meeting with district mayors and the provincial association.

Whatever the composition, the linkages between the sectoral structures and the overall IGR structure are important. An important issue is whose function it should be to ensure that the sectoral structures do not work at cross-purposes. If the sectoral structures were seen as integral parts of the all-inclusive structure, then co-ordination would ideally lie with the Premier's Office.

2.5.2.1 GOVERNANCE IN LOCAL GOVERNMENT

“Governance is the exercise of economic, political and administrative authority to manage a country's affairs at all levels. It comprises the mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their

obligations and mediate their differences” (UNDP, 2000). Gildenhuis and Knipe (2000: 91) and Hodgins (2005:40) explain that “governance is only good when governments attained its goal of creating conditions that guarantee satisfactory quality of life for each citizen”. Hodgins (2005:40) went further in defining democratic good governance and refers to a political regime that is based on liberal- democratic polity which protects humans and civil rights, whilst linked to a competent non-corruptible and accountable administrative system. Johnson and Minis (1996:2) define governance as the use of political authority and exercise control over a society and the management of resources for social and economic development. Governance is a multi-disciplinary concept that has been defined and interpreted in a variety of different ways. In simple terms, governance has to do with the manner in which a country or tier of government is governed, the way politics operates, and how power is exercised. Governance is no other than the role of an oversight mechanism in ensuring successful service delivery, and suggests what role communities can play in such monitoring functions. Policy implementation should be carefully monitored and entrenched in a society’s fabric via effective oversight. Ogul and Rockman (1990:5) define oversight as the legislative monitoring and supervision of the executive. State leadership in South Africa is constitutionally vested in Parliament, which is in turn mandated to develop systems, which ensure that public institutions perform their respective functions properly and within a clear policy and legislative framework. Schmitter (2002: 53) regards governance as a mechanism, which deals with a broad range of problems or conflicts in which participants regularly arrive at mutually satisfactory and binding decisions by negotiating with each other and cooperating in the implementation of these decisions.

In terms of the new developmental mandate assigned to local government in South Africa and section 16(1) of the Local Government: Municipal Systems Act 32 of 2000, the following culture of community participation (mandates and values of stakeholders) must be pursued by municipalities: 16(1) A municipality must develop a culture of municipal governance that complements formal representative government with a system of participatory governance, and must for this purpose (a) encourage and create conditions for the local community to participate in the affairs of the municipality, including in the preparation, implementation and review of its integrated development plans, the establishment, implementation and review of its performance management system, the monitoring and review of its performance, including the outcomes and impact of such performance; the preparation of its budget and strategic decisions relating to the provision of municipal services; and (b) contribute to building the capacity of - (i) the local community to enable it to participate in the affairs of the

municipality; and (ii) councillors and staff to foster community participation and use its resources and annually allocate funds in its budget, as may be appropriate for the purpose of implementation.

2.5.2.2 GOVERNANCE AND ACCOUNTABILITY

“Governance will be good if government attains its goal of ‘good life for all through creating enabling conditions for individuals and groups to lead a good and satisfactory quality of life. In the South African context, it is prudent to mention the ‘Ubuntu’ way of life as accentuating good governance because of its emphasis on sharing, solidarity, compassion, collective brotherhood and collective morality” (Sindane, MA. 2009a:9).

Van der Walt *et al.* (2007:8) describe governance as being able to encourage co-ordination among government “silos” so that they will look beyond the functional horizons of a particular sphere of government to consider the interacting effects of their actions. It also implies policy depth and sensitivity through engagement with government stakeholders and role-players. Accountability has become a critical part of public governance. Accountability is central to good governance, as it compels the state to focus on results with clear objectives, which are linked to effective strategies to monitor and report on performance. As a concept that originally emerged as an element of public finance management (giving account for the expenditure of public funds), the concept of accountability now goes beyond the domain of public finance and applies to a wide array of important decisions and authorities that are responsible for making those decisions. Sindane (2009a:10), identifies three pillars of good governance as accountability, ethics and trust; and argues that the best political system for good governance is the democratic political system with its purported transparent, accountable and representative features.

Achieving good governance within a participatory system requires transparency and accountability. Abedian and Biggs, (1998:25) and Ribot (2001:6) argue that new standards of governance have emerged in line with global extension of democratic norms, where administrators are expected to comply with the principles of political transparency and administrative accountability, which emphasis higher efficiency, efficacy and a customer orientation of public-sector delivery programmes. At the centre of the concept of accountability is the checking and balancing of potential abuse of power by public officials, with the objective of limiting the potential for corruption of public offices and officials. Van der Waldt (2004:3) states that ‘bad’ governance is regarded as one of the root causes of all ‘evil’ in our society. The Constitution provides

that local government has a duty to pursue the object of providing “accountable government for local communities” (Section 152(1)(a) of the Constitution of the Republic of South Africa, 1996).

The Municipal Systems Act emphasises the above by providing that the council has the duty to provide, without favour or prejudice, accountable government (Section 4(2)(b) of the Municipal Systems Act (2000). Similarly, it provides that members of the local community have the right to demand that the proceedings of the council and its committees are conducted impartially, without prejudice and untainted by personal self-interest, according to Section 5(1)(e) of the Municipal Systems Act. The domain of accountability has, however, expanded, through time, from the proper exercising of power to include accountability to improve the efficiency and reduction of waste in carrying out public programmes. The mechanisms through which locally elected representatives can be accountable to the public include, amongst other things, elections, public meetings and formal grievance procedures. Three types of accountability can be identified within the context of local government in South Africa. First is the accountability of the municipal council to local citizens. The second type of accountability relates to the horizontal accountability of municipal executives to the elected representatives (political leaders). The third form of accountability pertains to the accountability of the local bureaucracy to the municipal council. An essential feature of municipal accountability to local communities is that residents play a direct role in holding decision makers to account. Elections are a key mechanism of vertical accountability. The assumption, which underlies a decentralised system of government that establishes local democracy, is that local elections will enhance accountability, while there is evidence that underscores the potential of local democracy in enhancing accountability. An important key tool of governance with regard to IDPs is the (IDPNC) IDP Nerve Centre, (IDPNC, 2004). (DPLG, 2004). The IDPNC’s aim is to assist all spheres of government to work together. It aims to oversee the processing, procedures, strategic direction and standards of IDPs. It has been developed as a tool to support inter-governmental planning.

The IDPNC consists of:

- An Internet-based information system that enables municipalities and their provincial departments to communicate key planning, programme and project-based information to one another.

- Facilities and processes to ensure that the service functions effectively including training, online support and dedicated personnel.
- A council representing the interest of all three spheres of government, overseeing the strategic direction, processes, procedures, standards and change requests of the IDPNC.
- Its aim is to strengthen the link between local, provincial and national priorities and objectives, resource allocation and implementation, and.
- To provide a means whereby municipalities can maintain and communicate key IDP information, thereby supporting ease of access and use by stakeholders across government.

Fuhr (2000) purports and proposes that governance embraces four key features, namely accountability (building government capacity), predictability (foundation: rule of law), participation, and transparency (disclosure of information). Minogue and Carino (2006:91) identify three key elements, all of which are required for effective regulatory governance and accountability:

- a) The duty to explain;
- b) Exposure to scrutiny; and
- c) The possibility of independent review.

2.5.2.3 OVERSIGHT AND POLITICAL OVERSIGHT

A key component of this framework for local accountability is the Code of Conduct for councillors, which is contained in the Municipal Systems Act. The Code's preamble makes clear that the Code of Conduct is not only concerned with the integrity of councillors, but also with their accountability towards local communities, according to the Preamble Schedule 1 of the Municipal Systems Act. It provides that councillors are elected to represent local communities on municipal councils. They must ensure that municipalities have structured mechanisms of accountability to local communities, and must meet the priority needs of communities by providing services equitably, effectively and sustainably within the means of the municipality (COCTM Council overview. 2011). It is essential that councillors must perform their duties in good faith, honestly, in a transparent manner, in the best interest of the municipality, and without compromising the municipality's credibility or integrity, according to item 2(a) and (b) Schedule 1 of the Municipal Systems Act. It is hence of utmost importance that local councillors may not use their position, privileges or confidential information for private gain for themselves or to improperly benefit another person, according to item 6 (1) Schedule

1 of the Systems Act. The use of council facilities, properties, vehicles and allowances naturally falls within this provision. A councillor may not be party to or a beneficiary under a contract for:

- a) the provision of goods or services to the municipality; or
- b) the performance of any work other than as a councillor for the municipality according to item 6(2)(a) Schedule 1 of the Systems Act. The Code further prohibits councillors from interfering in the administration of the municipality, unless the council has given the councillor a mandate according to Item 11(a) Schedule 1 of the Systems Act. Item 11(b) Schedule 1 of the Systems Act, prohibits councillors insofar as giving instructions to any employee of the council without authorization. According to (Self 1972) conflict arises when the political control versus administrative delegation. Councillors may not obstruct the implementation of any council or committee decision, or behave in such a way that would contribute to maladministration in the council, according to Items 11(c) and (d) Schedule 1 of Systems Act. According to Fourie (2000:22), a municipality refers to a local institution comprising councillors who function within a specific geographical area to provide services to their local community.

2.5.2.4 THE ROLE OF MUNICIPAL COUNCILLORS IN DRIVING SERVICE DELIVERY

According to the Councillor Induction Programme: Handbook for Municipal Councillors (2006:54), there are two broad categories of councillors: ward councillors and PR councillors. The PR councillor is elected through the Party lists and is primarily accountable to the party. The PR Councillor may interact with local and provincial party structures and may sometimes serve as a substitute chairperson on Ward Committees in cases where Ward Councillors cannot be present. PR Councillors are also allocated to wards to improve their accountability to communities (Jossel, 2005:38). Ward Councillors are elected by a specific, geographically-defined ward, are expected to make sure that the concerns related to the wards in which they serve in, and are chairpersons of, are represented in Council. Apart from the articulation of residents' needs in council, Ward Councillors are responsible for:

- giving ward residents a progress report, explaining the decisions of the council in committing resources to development projects and programmes affecting them;
- assessing whether the municipalities' programmes and plans are having their intended impact;

- assessing whether services are being delivered fairly, effectively and in a sustainable way;
- determining whether capital projects are being committed in accordance with the IPD;
- staying in close contact with their constituencies to ensure that council is informed of all issues on the ground; and
- conveying important information from council to residents.

Councillors, therefore, serve as the interface between the citizens that they represent and the municipal officials who design and implement development policies. The councillor's job is not merely to serve as the voice of the people for the expression of their community needs, but also to act as a watchdog and ensure that the municipality implements policies to address the needs of citizens. The Ward Councillor, as chairperson of his or her ward, must also raise concerns to council on behalf of ward members when residents experience problems, which relate to the financial management of a council in terms of the Municipal Finance Management Act, Section 17 (f). Councillors are also required to make recommendations to municipalities for the improvement of policies and programmes within the broad framework of developmental local government.

2.5.2.4.1 COUNCILLORS' ROLES IN COMMITTEES AND OVERSIGHT

Councillors also serve as members of committees within Council. These committees are usually charged with the development of new policies. Committees include the Executive Committee, which decides what policies and proposals are brought before Council to be discussed and subsequently enacted as municipal policy. Section 33 of the Municipal Structures Act provides that a municipality may establish committees, which detail the specific powers of such committees and the need for delegation and commitment of resources to such committees. Section 79 Committees are established by the Council and its members for the efficient and effective performance of the Council. Members of the Committee comprise members of the Council who determine the powers and functions of these committees. Municipalities are not obliged to establish Section 79 Committees and the general trend is for municipalities to establish Section 80 Committees rather than Section 79 Committees, as stated in De Visser, Steytler, and May (2009:28). In terms of section 60(1) of the Local Government: Municipal Structures Act (Act 117 of 1998), the Executive Mayor should appoint a Mayoral Committee. The

Mayoral Executive System (MES), combined with a Ward Participatory System (WSP) has become the instrument for representative and participatory government. Section 80 Committees are also established by the Council, specifically to support the Mayor. The Executive Mayor may appoint a person from the Mayoral Committee or Executive Committee to chair each committee (Section 79 Committees), and may also delegate powers and duties to these Committees, if necessary, according to the Municipal Structures Act of 1998: Section 80.

2.5.2.4.2 ENFORCING COUNCILLOR ACCOUNTABILITY

A local accountability framework has been established to ensure that municipalities are accountable to their citizens. This framework is enshrined in the Code of Conduct, which is incorporated into the Municipal Systems Act (2000) that is meant to ensure that councillors and Council abide by the principle of accountable local government. Briefly, the Councillors' Code of Conduct stipulates that councillors must: perform their duties in good faith, honestly and in a transparent manner; attend meetings of Council or Committees of which they are members, and if they do not attend such meetings, they are required to obtain leave of absence; not stand to acquire any direct benefit from a contract concluded with the municipality; not engage in any other paid work without the consent of council if they are full time councillors; not use their privilege or confidential information for private gain or for themselves; not request, solicit or accept rewards, gifts or favours for voting (or not voting) in a particular manner; to persuade Council or any committee "to act in a certain way" and "without consent to disclose privileged or confidential information of the Council to unauthorised persons" in terms of Schedule 1, of the Municipal Systems Act, 2000. Finally, councillors are also prohibited from interfering with municipal administration, and not to enforce an obligation in terms of the Systems Act, Section 6 of the Municipal Systems Act (2002).

The Code of Conduct is enforced through the intervention of a number of parties including the Speaker. The Speaker is a councillor who is elected by the Municipal Council to preside over Council meetings, the Council and the MEC for local government. The Speaker plays a key role in the enforcement of the Code of Conduct. Where alleged breaches to the Code of Conduct have occurred, the Speaker must ensure that these are investigated. Council meets at least four times a month and the Speaker is responsible for the maintenance of discipline in the Council in terms of Section 37, of the Municipal Structures Act, 1998. Despite the provisions in the Structures and Systems Acts, de Visser (2006) notes that there

may be weaknesses around, which body investigates councillor misconduct, as well as to whom councillors are actually accountable, with respect to the Code. These issues are important when there is a need to ensure rapid action, following a contravention of the Code by a councillor. Since councillors are the first point of contact with citizens, when there is a suspicion that a councillor does not perform his or her duties in accordance with the Code, this may fuel further discontent amongst citizens, especially when they believe that the municipality is not addressing their needs adequately. There are a number of potential problem areas with respect to the legislation concerning the Councillor Code of Conduct misdemeanors and subsequent disciplinary action. De Visser. (2006:57) summarised the following in this regard:

- While investigations of councillor conduct rest with the local Council, the MEC for Provincial Government also has the authority to investigate misconduct amongst councillors, especially in cases where Council proceedings following an enquiry, appear to be inadequate. Communities may believe that this is an unsatisfactory solution, since accountability should be at a local level, and local internal disciplinary procedures at Council level should be where cases of this nature rest, rather than at provincial level.
- The organizational hierarchy within a municipality can also cloud the disciplinary procedure and the action that should be taken against councillors who contravene the Code. The Speaker is the guardian of the Council, and is tasked with protecting its integrity and is accountable to Council. The Speaker and Mayoral offices should, therefore, respect each other's authority in relation to the upholding of the Code. All councillors (including the Speaker, Mayor and Executive Mayor) must abide by the Code (RSA, SALGA 2009, Handbook for Municipal Councillors). The Speaker is tasked with being responsible for the actions and behaviour of the councillors and is responsible for the monitoring and compliance with respect to the Code of Conduct. However, in reality, within many municipalities, the Mayor heads the organizational hierarchy and in such instances the Speaker may ultimately be accountable to the Mayor and not the Council.

2.5.2.4.3 COUNCILLOR PERFORMANCE AND SERVICE DELIVERY DISSATISFACTION

In a case study research, conducted by Atkinson (2002) regarding the performance of councillors in the Northern Cape and Free State, a number of issues that negatively impact on the performance of councillors were identified. These include high councillor turnover on the one hand, and work-overload on the other, as councillors attempt to meet the requirements of their positions, as specified in the Municipal Systems Act (2000). Another issue is a virtual collapse of municipal administration, with key posts not being filled, which make it impossible to continue with the daily functions of the municipality. This affects things like the implementation of development projects in municipalities. The research further revealed a range of problems between the Executive Structure (decision-making structure) in the municipality and ordinary councillors. These included poor channels of communication from the municipal administration, non-functional ward committees, and the centralisation of decision-making to the Executive Committee under the Mayor and the lack of meaningful mechanism for councillors to influence decision-making, amongst others.

A specific subset of problems that further affects the performance of councillors is the dysfunctionality of Ward Committees in many municipalities. Ward Committees are beset with a number of practical infrastructural problems such as a lack of constituency offices from which to operate, as well as a lack of administrative support. Some Ward Committees also experience a spill over so that members begin to take over some of the work that poorly-staffed municipalities should otherwise be doing. Some Ward Committees can also be used by councillors for political patronage purposes. Booysen's (2009) research revealed that community protests from 2007 onwards, highlighted the poor performance of public representation as well as the dysfunctionality of local government administrative structures as being the main focal points of anger, directing community protests over service delivery. The author argues that it was a sense of desperation over the disconnection of local councillors, as well as a dearth of hearings from public officials that were the main causes for service delivery protests during this period. In this period, protest reasons concerned not only local issues, but broader national ones, overlapping with the national government jurisdiction, including policies such as addressing the needs of the poor, and their desperation and failure to change their poverty-stricken circumstances. During the period preceding the 2006 local government elections, protests were used as the main instrument to focus

government's attention on poor service delivery. These protests bore fruit because a large number of new candidates were brought into the elections to replace the under-performing incumbent councillors. In addition, the ANC candidates were required to sign a pledge of service and representation, and the ANC election campaign promised to make local government work. However, in spite of these pledges, the campaign was not effective and problems persisted after 2006 with poor representation of citizens' interests and poorly-performing municipal bureaucracies, which featured as the main reasons for community protests in 2007 and 2008.

2.5.2.5 LEADERSHIP AND NETWORK GOVERNANCE

The King Report (2002), cited in Fourie (2009b:5), identified the following seven primary characteristics of good governance:

- Discipline, which means a commitment by the organization's senior management to standards of correct and proper behaviour;
- Transparency, where an outsider can meaningfully analyse the actions and performances of the organization;
- Independence, in which the conflict of interests is avoided;
- Accountability, where communities' rights to receive information relating to the stewardship of the organization's assets and performance are addressed;
- Responsibility, where all the consequences of the organization's behaviours and actions in relation to the commitment for improvements are accepted; and
- Fairness in terms of the acknowledgement of, respect for, and balance between the rights and interests of the various stakeholders of the organization.
- Social responsibility is where the organization demonstrates its commitment to ethical standards and its appreciation of the social, environment and economic impact of its activities on the society in which it functions. Leadership with strong emphasis on innovation, communication, skills transfer and development in enhancing service delivery, are qualities that are needed to improve service delivery in local government, adjust to the ever-changing demands of local authority as well as address the inequalities of the past.

2.5.2.6 MUNICIPAL FINANCE MANAGEMENT ACT (MFMA) AND REGULATIONS

The principal instrument to regulate municipal finances is the MFMA, which includes expenditure and procurement. Chapter 2 of the MFMA (RSA 2003) deals with supervision of local government by the National Treasury. The City of Cape Town restates the legal requirement of annual reporting as provided by the MFMA (*City of Cape Town System of Delegations 56*) (COCTM 2011, Standing Committee on Public Account Minutes). It stipulates the general functions of the National Treasury towards municipalities, which include the following:

- a) Section 5(1)(b), which promotes the object of the MFMA within the framework of co-operative government set out in Chapter 3 of the Constitution;
- b) monitoring and assessing compliance by municipalities with Section 5(2)(c)(i) of the MFMA;
- c) taking appropriate steps if a municipality commits a breach of the MFMA, including the stopping of funds to a municipality in terms of section 216(2) of the Constitution if the municipality commits a serious or persistent material breach of any measures referred to in that section, according to Section 5(2)(e); and
- d) taking any other appropriate steps necessary to perform its functions effectively in terms of Section 5(2)(f) MFMA.

2.5.2.6.1 MUNICIPAL REVENUE

The two main sources of local revenue are service charges for electricity and water and property rates. The definition of property in the South African context: “property” means a person in whose name the right is registered (RSA, 2004: 14). The financial crisis has impacted on these revenue sources in two direct ways. The decline in household income owing to increased unemployment and rising inflation has resulted in increased levels of non-payment for municipal services. Section 74(2) of the Municipal Systems Act (2000) prescribes that a municipal council must adopt and implement a tariff policy on the levying of fees for municipal services: a tariff policy must reflect at least the following principles, namely that:

- a) users of municipal services should be treated equitably in the application of tariffs;
- b) the amount that individual users pay for services should generally be in proportion to their use of that service;
- c) poor households must have access to at least basic services through:
 - (i) tariffs that cover only operating and maintenance costs;
 - (ii) special tariffs or life line tariffs for low levels of use or consumption of

- services or for basic levels of service; or
- (iii) any other direct or indirect method of subsidization of tariffs for poor households;
 - d) tariffs must reflect the costs reasonably associated with rendering the service, including capital, operating, maintenance, administration and replacement costs, and interest charges;
 - e) tariffs must be set at levels that facilitate the financial sustainability of the service, taking into account subsidization from sources other than the service concerned;
 - f) provision may be made in appropriate circumstances for a surcharge on the tariff for a service;
 - g) provision may be made for the promotion of local economic development through special tariffs for categories of commercial and industrial users;
 - h) the economical, efficient and effective use of resources, the recycling of waste, and other appropriate environmental objectives must be encouraged; and
 - i) the extent of subsidization of tariffs for poor households and other categories of users should be fully disclosed. Tariffs must reflect the costs reasonably associated with rendering the service, including capital, operating, maintenance, administration and replacement costs, and interest charges. This is particularly important in relation to water, electricity, sanitation and refuse removal. These trading services are expected to operate according to good business principles and be largely self-financing. To facilitate this, municipalities are required to ring-fence these functions where appropriate.

The Electricity Regulation Act (RSA 2006) empowers the National Energy Regulator of South Africa (NERSA) to issue electricity distribution licenses to municipal distributors. Such licenses may be made subject to conditions relating to, amongst other things, the setting and approval of prices, charges, rates and tariffs. Section 15 of the Act sets out tariff principles that must be adhered to when NERSA approves municipal electricity tariffs. These principles are fully aligned with those in the Municipal Systems Act (2000). Of specific importance is section 21(5) (c), which provides that a municipality may terminate the supply of electricity to a customer if that customer has contravened the payment conditions of that licensee (municipality). In other words, if a municipality wants to use electricity cut-offs as a debt management tool, its tariff policy or debt collection policy must specify that this is permitted. This has been tested in court on a number of occasions, and each time the

courts have ruled in favour of municipalities, provided that they have the necessary policies in place.

The Water Services Act (1997) empowers the Minister of Water Affairs to issue regulations, which set norms and standards in respect of municipal tariffs for water services. This means that there is no oversight of municipalities' water tariffs. The concern is that in many instances municipalities are getting their water tariffs wrong, usually by significantly underpricing the service, thus placing its sustainability at risk. Section 229 of the Constitution deals with municipal fiscal powers and the functions of municipalities. The Constitution provides that municipalities may impose rates on property and surcharges on fees for services, which are provided by the municipality or on behalf of the municipality. It also provides that a municipality may impose other taxes, levies and duties, if authorised by national legislation.

The new tax regime is a system for the provision of water and electricity profits on these services and therefore municipal revenues will be adversely affected according to Slack, (2002:2). Municipalities may charge for the services that they provide to their customers, namely service fees and administrative fees. When the municipality sets property rates, service charges and other fees, municipalities should have regard for two key principles of taxation, namely the benefit principle, which captures the idea that payments should be related to benefits. Customers should have the sense that they are getting 'value for money' for the taxes and charges they pay. In this regard one should distinguish between individual benefit and general benefit. Individual benefit means that the amount that an individual is required to pay for a public service should be more or less equal to the benefit that the individual derives from the consumption of that service. General benefit refers to a situation where beneficiaries of a particular public service do not necessarily derive individual benefits, which are equal to individual costs; rather, the benefits of all beneficiaries are equated with the cost to all beneficiaries.

2.5.2.6.2 PROPERTY RATES

According to De Soto, (2000: 164), property is not the assets themselves but a consensus between people as to how these assets should be held, used and exchanged. The levying of property rates is governed by the Municipal Property Rates Act (2004). Only metros and local municipalities may raise revenue through property rates. In terms of the Act, they are required to adopt property rates policies. They must also establish and maintain a property valuation roll. Franzsen (2000: 2) outlines the reforms with regard to property taxes in order to inform national legislation:

- property tax was levied in terms of four outdated provincial ordinances retained from the apartheid era, it is not presently possible to utilize computer-assisted mass appraisal (CAMA) because physical inspections of each ratable property was legally required;
- property tax is presently levied only by urban municipalities;
- the future amalgamation of urban and rural councils (i.e., the structural changes to date and those still to be effected) necessitates change;
- the amalgamation of racially segregated urban municipalities has resulted in a number of constitutional challenges; and
- it is the most important own-tax instrument at the local government level, accounting for 19 percent of total local government operating income.

The Municipal Property Rates Act (2004) provides that the Minister of Cooperative Governance and Traditional Affairs, after consulting with the Minister of Finance, may regulate various aspects of property rates, including the provision of exemptions, maximum levels of rates, and rates ratios between categories of property. Property is a process that involves acquisition of the prerequisites for production and services (Klein and Rilling, 2004: 2). The aim is to ensure that property rates are equitable, do not stifle economic growth, and that they support certain national policy objectives. A municipality is expected to charge for the services that it provides to specific, identifiable customers that derive 'individual benefit' from the consumption of those services. Examples include water, electricity, and sanitation, refuse removal, planning and building permissions, and the hiring out of municipal facilities. The Municipal Fiscal Powers and Function Act (RSA, 2007) regulate municipal surcharges and municipal taxes, other than property rates. Only the Minister of Finance may authorise a municipal tax by

issuing regulations in terms of the Act. The Act also requires municipalities to obtain authorisation for all existing municipal taxes – which process still has to be concluded. The Act also empowers the Minister of Finance to prescribe norms and standards for municipal surcharges. The Minister of Finance, acting on his initiative, may authorise new municipal taxes, or a municipality may apply for a new tax to be authorised.

The Local Government: Municipal Rates Act (RSA, 2004) is the culmination of a drawn out process to bring consensus and structure to reforming local government finances. The new system brings conformity to local valuation (tax) rolls; it updates previous local valuation rolls; restructures the rating system uniformly across the municipality; and spreads the tax net to areas previously not subjected to property taxes. Local property taxes will very likely play an increasingly significant role in financing the post-apartheid municipality Bell and Bowman, (2002a: 5). There is the possibility of extending property taxes to these areas in terms of the Municipal Property Rates Act, 2004, but there will be relief for improvements Grote, (2007: 6).

2.5.2.6.3 THE LOCAL GOVERNMENT FISCAL FRAMEWORK

Government in all three spheres requires money to facilitate development. The questions about who receives the money, where it is raised, and how the state's revenues are divided between the different spheres and sectors of government are, therefore, a critical matter. Municipal rates in the South African context is a property tax which is imposed by the Municipality, as envisaged in Section 229 (1) (a) of the Constitution. Section 229 headed 'Municipal fiscal powers and functions' states that "a municipality may impose -

(a) rates on property and surcharges on fees for services provided by or on behalf of the municipality" (RSA, 2006: 76). According to Bell and Bowman (2002a; 10), the South African local government taxation system must possess the following characteristics (borrowed from the principals of the American system of property taxation):

- Legitimacy: Taxpayers must believe that the tax is a legitimate levy, i.e. it must be accepted. Therefore, administrative outcomes must be in accord with accepted legal requirements.
- Openness: Taxpayers should understand the workings of the tax (it must be transparent) and complaint resolution must be simple and inexpensive.

- Technical proficiency: The tax must be administered professionally. This requires appropriate administrative structures, tools, and personnel.
- Relief from extraordinary tax burdens: The Division of Revenue Act (RSA 2014) published annually by The National Treasury, sets out the allocations between national, provincial and local government, and details the various conditional grants to provinces and municipalities.

Section 214(2) of the Constitution provides that when determining the equitable share of a municipality, government must give consideration to, among other things, 'the fiscal capacity and efficiency of the municipalities'. The local government fiscal framework should provide municipalities with access to revenue sources that are commensurate with the services they are responsible for. In essence, municipalities must management their own revenue and need to checks and balances in place. The constitutional assignment of powers and functions to local government has a direct bearing on the Municipal Fiscal Powers and Function Act (RSA, 2007) that regulates municipal surcharges and municipal taxes, other than property rates. Ideally, the local government's fiscal framework should provide municipalities with access to revenue sources that are commensurate with the services that they are responsible for to provide. The fiscal arrangements set out in Chapter 13 of the Constitution provide that local government is 'entitled to an equitable share of revenue raised nationally', and may also receive additional conditional transfers from national and provincial government. The Constitution also requires that municipalities should raise their own revenues from service fees, property rates, surcharges and other taxes, levies and duties. Section 227(2) of the Constitution spells out the relationship between a municipality's entitlement to an equitable share, other transfers and its obligation to raise their own revenues. The Constitution expects municipalities to show fiscal effort to raise revenue, which is commensurate with their fiscal capacity. Section 214(2) of the Constitution provides that when determining the equitable share of a municipality, the government must give consideration to the fiscal capacity and efficiency of the municipalities. The following criteria are used when determining a municipality's equitable share of nationally collected revenues in national government:

- must have regard for the fiscal capacity of a municipality: municipalities with low fiscal capacity should get a more generous share than municipalities with high fiscal capacity;
- may not favour a municipality that does not raise own revenue commensurate with its fiscal capacity and tax base, and municipalities that fail to show fiscal effort cannot look to national government for additional funding; and
- may not discriminate against a municipality that shows fiscal effort, and collects own revenues in line with or even exceeding normal evaluations of its fiscal capacity.

The Constitution differentiates between actual 'revenue raised' and 'fiscal capacity'. Local Government is also entitled to an equitable share of national revenue, including transfers to allow people to receive a minimum basket of free basic services such as water and electricity. In addition, there are capital transfers that are made to local government, for example, via the allocation of the Municipal Infrastructure Grant (MIG) as indicated in the DPLG programme induction guide, (2004). MIG funding due to a municipality each year is calculated by a formula and published in the Division of Revenue Act (DORA), Act 10 of 2014. The equitable share is unconditional: provinces and local government can spend it as they need, within national guidelines, plans and priorities, while the conditional grants require specific monitoring provisions, specifications, which relate to the purpose for which the grants should be used and timelines for implementation. The Division of Revenue Act (DORA), (R.S.A 2015), followed who now allocate funding for specific funding in the different provinces. The Municipal Finance Management Act (2003) spells out the necessary interaction between the three spheres and the need for assistance and capacity building. It regulates the timing for intergovernmental grants to assist municipalities to prepare multi-year budgeting. The following concepts are often mistakenly conflated when discussing whether a municipality or group of municipalities has access to sufficient funding. Section 214 (2) of the Constitution provides that when determining the equitable share of a municipality, government must give consideration to, amongst other things, 'the fiscal capacity and efficiency of the municipalities'. It is important to note that fiscal capacity does not include the local government's equitable share of nationally collected revenues or other transfers from national and provincial government, but rather the own revenue potential of the municipality. This emphasis on 'own revenue potential' is found in section 227 of the Constitution, which differentiates actual own revenue

rose from fiscal capacity. Fiscal capacity does not equal actual own revenue increase.

2.5.2.6.4 THE FOUR COMPONENTS OF MUNICIPAL FISCAL CAPACITY

Shende, (2002:2), state that the road map towards the implementation of the UN Millennium Declaration; is clearly pointed that the mobilization of domestic resources forms the foundation for self-sustaining development. The idea is that domestic resources become the main source for domestic investment and social programmes, which will produce the next step for economic growth and eradicating poverty. The fiscal powers and functions of the municipality: A municipality is only allowed to raise own revenues from the revenue sources that are given to the municipality by the Constitution and national legislation. It follows that any nationally imposed restrictions on municipalities' fiscal powers and functions reduce municipal fiscal capacity. Subsection 2 states that "The power of a municipality to impose rates on property, surcharges or fees for services provided by or on behalf of the municipality, or other taxes, levies or duties (a) may not be exercised in a way that materially and unreasonably prejudices national economic policies, economic activities across municipal boundaries, or the national mobility of goods, services, capital or labour; and (b) may be regulated by national legislation." (RSA, 2006: 76).

The own revenue potential of the municipality is given a specified set of fiscal powers and functions. A municipality can only raise revenues, which are commensurate with the incomes of the individuals, households, businesses and other institutions that fall within its area of jurisdiction. The municipality's customer bases' ability to pay is thus a critical variable when evaluating municipal fiscal capacity. The Auditor-General has constitutional powers to operate independently in exercising oversight over fiscal performance.

The powers and functions of the municipality: A municipality may only raise service charges and surcharges in relation to the functions that it is empowered to deliver. Metros, districts and local municipalities have all been allocated different sets of powers and functions – therefore, they do not have the same service delivery responsibilities, or the same fiscal capacities taxation in terms of the Municipal Fiscal Powers and Functions Bill, (RSA, 2007). The Bill serves to regulate the exercise and power by municipalities to impose surcharges on fees for services under Section 229(1)(a) and to provide for the authorization of taxes, levies and

duties that municipalities may impose under Section 229(1)(b) of the Constitution of South Africa. The Bill is concerned with municipal surcharges and municipal taxes other than rates on property regulated in terms of the Local Government: Municipal Rates Act, 2004.

The community's demands for services that the municipality is responsible for funding: Municipal property rates are set, collected, and used locally. Revenue from property rates are used to fund services that benefit the community as a whole as opposed to individual households. These include installing and maintaining streets, roads, sidewalks, lighting, and storm drainage facilities; and building and operating clinics, parks, recreational facilities and cemeteries.

- The second component in the relationship is between the local government's fiscal framework and the actual revenues that are collected by a municipality. The key issue is whether municipalities use the 'fiscal space', which is available to them to raise their own revenues. The three main revenue streams for municipalities are own revenue; equitable share (national government allocation); and condition grants (from national government or special funds). The Municipal Finance Management Act also provides that in order to raise funds, municipalities can issue so called "paper bonds" on the Bond Exchange of South Africa without national or provincial government guarantees. Municipalities can also take out loans from external public or private agencies, such as the Development Bank of Southern Africa (public), or the Infrastructure Finance Corporation (private) (RSA, 2006: 59).
- The third component of the relationship relates to how each municipality chooses to use its available resources. This is generally reflected in the municipal budget. Key questions in this regard are: does the municipality prioritise the delivery of basic services? What functions and services does the municipality prioritise? What is the balance between the operational budget and the capital budget? Does the municipality budget sufficiently for repairs and maintenance? How much is allocated to nonessential, non-priority items?
- The fourth component in the relationship relates to the municipality's governance and management systems to implement the budget and manage service delivery. Are these systems effective and efficient?
- The fifth component relates to what is actually delivered by the municipality. Do ratepayers get value for their money? Which communities benefit most from

the services that are provided by the municipality? Is there an equitable distribution of services? Is the level of service that is provided taking into account the 'benefit principle', and are any cross-subsidies sustainable? It is recommended that councillors, mayors and municipal managers are encouraged to use this framework to examine the performance of their municipality in the course of their oversight duties. The concluding argument in this chapter is assessing the relationship between the service delivery responsibilities of municipalities, and the local government's fiscal framework, where issues of good governance are exceptionally important. Mayors, councillors and municipal managers have fiduciary responsibilities to ensure that public funds are safeguarded and only used for the benefit of the community.

2.5.2.7 GOOD GOVERNANCE AND A DEVELOPMENTAL STATE

In 1997 two major reviews of the performance of the public service were conducted, namely the Provincial Review Report (PRR) and the Presidential Review Commission (PRC). At the time the PRR said that the public service was not performing efficiently and effectively. The PRC report argued that the system of governance did not work well in many respects. South Africa is a constitutional state. The Constitution enshrines the separation of powers, and outlines the powers and duties of the executive, legislative and judicial arms of government. It provides a framework for intergovernmental relations and prescribes basic values and principles for public administration. It establishes various independent institutions to exercise oversight over aspects of the administration. The Constitution provides for a public service, which consists of administration in the national and provincial spheres, and executive government and administration in the local government sphere. Citizens' rights including socio-economic rights, are enshrined in the Constitution. The Constitution of the Republic of South Africa, section 27(2) (1996), requires that the state should take "reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of these rights" (RSA, 1996).

The relative absence of fiscal constraints and the strong policy framework, which was developed in the first decade of freedom, contribute significantly to the supportive environment. A strong developmental state should concentrate on what should be done to promote wealth creation and social protection in an era of globalisation. A strong developmental state is, therefore, one that is dynamic and characterised by changes that generally reinforce or strengthen its capacity and capability domestically,

while asserting its international autonomy. The character of the institutions of the State determines the capacity and capability of the State to become a developmental engine for revolutionary growth and redistribution. Maserumule (2007:212) observes that a “strong state capacity is critically important as distinguishing feature of a developmental state.” The Public Service, therefore, stands at the centre of efforts to accelerate and share growth and to deliver social services to citizens. The Presidential Review Commission (PRC) was appointed in 1998 to conduct a review of the operation, transformation and development of the South African public service, and in particular to create a new culture of governance with regard to whether it had been able:

- To protect and enhance representative and participatory democracy;
- To support civil society and its interaction with government;
- To promote economic and social development and the advancement and empowerment of disadvantaged people and communities;
- To shift power and authority from central government to provincial and local government within a framework of national norms, standards and values;
- To locate responsibility to achieve efficient and effective delivery of services to the lowest possible level;
- To ensure that ethical and professional standards are developed and maintained throughout the public service and all other organs of state;
- To ensure that the functions and records of government are open to public view and appraisal;
- To secure accountable and transparent stewardship of public resources so as to build the kind of society envisaged in the 1996 Constitution; and
- To reward achievement, acknowledge failure and give redress to grievances.

2.5.2.8 SOUTH AFRICAN LOCAL GOVERNMENT ASSOCIATION (SALGA)

According to Kroukamp, (2006: 216) an action plan to support local governments by the national and provincial governments, with the support of the South African Local Government Association (SALGA) was devised. The Constitution also positions local government as an independent sphere of government, interrelated to and interdependent with the national and provincial governments. To give it a collective voice, local government speaks from a position of strength through organised local government, as embodied in the South African Local Government Association (SALGA). SALGA was established in terms of the Organised Local Government Act

(Act No. 52 of 1997) to assist in the “*wholesale transformation of local government*”. Key services and products include policy formulation, advocacy, negotiations, international representation and supporting and strengthening municipal capacity. Salga is a listed public entity, which was established in terms of Section 21 of the Companies Act, 1973 (Act 61 of 1973), and is recognised by the Minister of Cooperative Governance and Traditional Affairs in terms of the Organised Local Government Act, 1997. Salga represents local government on numerous intergovernmental forums such as the PCC, Minister and MECs (MinMec) forum, the Budget Forum, the NCOP and the Financial and Fiscal Commission. Salga aims, among other things, to:

- transform local government to enable it to fulfil its developmental role;
- enhance the role of provincial local government associations as provincial representatives and consultative bodies on local government;
- raise the profile of local government;
- ensure full participation of women in local government;
- act as the national employers’ organisation for municipal and provincial member employers; and
- provide legal assistance to its members by using its discretion in connection with matters that affect employee relations. SALGA (2006) has expressed concern that there appears to be a lack of common understanding, both within and outside local government, of what developmental government really means. It argues that being developmental means that local authorities need to shift their focus from infrastructural services to social and economic development. This implies a shift from an emphasis on service delivery to the impact of service delivery outputs on the quality of life of communities. This approach, SALGA argues, necessitates the formulation of a corporate development strategy that is not merely the sum of the service delivery objectives or individual functions, but that represents a set of decisions or choices about what interventions should be made within a municipality’s external environment to produce the desired development impact. Salga is funded by a combination of sources, including a national government grant, membership fees from provincial and local government associations that are voluntary members, and donations from the donor community for specific projects.

2.5.2.9 GOVERNANCE AT MUNICIPAL LEVEL

Venter *et al.* (2007:159) postulate that governance, as distinct from government, is a relatively new concept, which emerged as an important policy idea during the 1990s. According to Venter *et al.* (2007:159), the concept of governance flows from the recognition that power exists both inside and outside the formal structures of government, and the interrelationship among government, the private sector and civil society is a critical factor, which affects the performance of cities, regions and countries. The term 'corporate governance' refers to the set of laws, processes, customs, policies and institutions, which affect the way that an organisation such as the City of Cape Town is directed, administered or controlled. It also includes the relationships among the many stakeholders who are involved, and the goals by which the City of Cape Town is administered. Hertting and Vedung (2012:30) state that co-ordination between various stakeholders is an important tool to bring together different expertise, experience and perspectives. Sorensen and Torfing (2005:195) describe 'governance networks' as a relatively stable horizontal articulation of interdependent but operationally autonomous actors who interact through negotiations that involve bargaining, deliberations and intense power struggles. Mentzel (2000:3) describes intergovernmental relations (IGR) as interactions and mechanisms for multi- and bi-lateral, formal and informal, multi-sectoral and sectoral, legislative, executive and administrative interactions, which entail joint decision-making, consultation, co-ordination, implementation and advice between spheres of government at both vertical and horizontal levels, and affecting every sphere of governmental activity.

The City of Cape Town (City of Cape Town, 2012) claims to be one of the first municipal entities to have taken several important measures to ensure such governance, including:

- the formation of the Municipal Public Accounts Committee (MPAC);
- the institution of an anti-corruption hotline;
- the formal adoption of the King Code of Governance Principles for South Africa, King, M. (RSA, 2009); and
- the development of a combined assurance framework.

The recommendations contained in the King Report are considered to be among the best codes of governance worldwide, and King III has broadened the scope of governance to one where the core philosophy revolves around leadership, sustainability and ethical corporate citizenship. King III has been written in accordance

to comply or to explain principle based approach of governance, but specifically to apply or explain regime. One of the legal duties of a board of directors is to act in good faith. Without co-operative leadership at all business sector levels of the City of Cape Town, the City of Cape Town will never achieve its objectives as described in its vision and mission statement. The IDP is the City of Cape Town's is the major or master project to achieve its goals and objectives, with each business sector in the different directorates having their own projects that have been initiated, and in agreement relationships towards the final IDP project as participants in the delivery of services (City of Cape Town (COCMT), 2013).

2.5.2.10 SPEAKER'S DUTY TO INVESTIGATE BREACHES

Any municipality can have the best IDP or performance management plan possible (COCTM 2012, Creating a High Performance Organisation) but if that institution fails in their oversight duties, that same plans and objectives are useless. Municipalities have structures to control the executive of a municipality. Hornby (2010) describe oversee as a duty to watch over a person or something and to make sure that that someone or something does things correctly. If the thing or someone does not do what he or the thing was intended to do, it must be rectified by the overseer. The speaker of a municipal council has oversight authority. If the speaker has a reasonable suspicion that the Code of Conduct for councillors (Councillors Handbook, 2006), has been breached, he or she must:

- a) authorise an investigation into the facts and circumstances of the alleged breach;
- b) give the councillor a reasonable opportunity to respond in writing; and
- c) report to a council meeting, according to Item 13(1) Schedule 1 of the MSA.

Importantly, Item 13(2) Schedule 1 of the MSA states that the report must be open to the public. The speaker must report the outcome of the investigation to the MEC for local government. The Code does not provide clarity regarding the moment of reporting to the MEC for local government in terms of whether it must be done before or after the report to the council. In light of the principles of cooperative government, the MEC is informed after the council has had an opportunity to discuss the report.

2.5.2.10.1 COUNCIL INVESTIGATIONS INTO A BREACH OF THE CODE OF CONDUCT

It is common knowledge that the public eye is set on public office bearers. The conduct of every political and administrative member of a municipality is important for the public image of the municipality. Municipal staff has a code of conduct that regulates them. Councillors have a code for councillors. Any negative publication or conduct put municipal services under the spotlight. The municipal council can investigate and reach a finding on an alleged breach of the Code. It can also establish a special committee to investigate and propose recommendations to the council. Any investigation by the Council or a special committee into a breach of the Code by a councillor or traditional leader should be in accordance with the rules of natural justice. This means that a fair hearing must take place. The councillor concerned should be notified of the intended action to be taken against him or her, and should be given a proper opportunity to be heard.

2.5.2.11 ROLES OF THE PUBLIC PROTECTOR, MUNICIPAL OMBUDSMAN AND PUBLIC SERVICE COMMISSION

The Constitution provides citizens with a platform to air their grievances if they feel aggrieved about the handling of their service needs and administrative matters. These institutions are the watchdog that must ensure that all tiers of government fulfill its Constitutional obligation. According to the Public Protector Act, No. 23 (RSA 1994), the mandate of the Public Protector focuses on strengthening democracy by ensuring that all state organs are accountable, fair and responsive in the way that they treat all persons and deliver services. The mandate includes ensuring integrity and general good governance in the management of public resources. The Ombudsman, conversely, is a mediator between the public and the public service. She or he is the protector of the public's right to receive fair, equitable and competent public service. The Ombudsman is also the protector of public servants who are unjustly criticized but unable to speak out. The argument is that the Ombudsman is a sword that can cut both sides. The Ombudsman can bring the lamp of scrutiny to otherwise dark places, even over the resistance of those who would draw the blinds, (RSA, 1994). It can be viewed that the municipal ombudsman role and responsibility is like a referee, which regulate the municipal administration between the municipality and the community members.

2.5.2.11.1 THE PUBLIC PROTECTOR

The word public protector in itself means to protect the public at all levels of government. It takes the role of guardian of the public that is vulnerable against the unjust public administration. If a municipality fails to perform its Constitution obligation, members of the community have access to the public protector's office (De Vos, P. 2012:160). The Public Protector is a constitutional institution. It is one of several institutions, which was established by Chapter 9 of the Constitution (RSA, 1996) to support and strengthen constitutional democracy. We ordinarily refer to these institutions as Chapter 9 institutions, (RSA, 1994). However, each of these institutions plays a distinct and unique role in supporting and strengthening constitutional democracy, hence the Public Protector is both an institution and a person. The person, who holds the same rank as a judge of the Supreme Court, is appointed on the basis of a parliamentary selection process, which culminates in a National Assembly vote, followed by a Presidential appointment of whoever is recommended by Parliament. The Public Protector has the most general mandate of all the Chapter 9 institutions. There are two key pieces of legislation that regulate the operations of the Public Protector. These are the Public Protector Act of 1994, and the Executive Members' Ethics Act. The powers under the Public Protector Act cover the conduct of all public authorities, except court decisions. The Executive Members' Ethics Act empowers the Public Protector to investigate all allegations of violations of the Act and Code by the members of the executive, that is, Ministers, Premiers, and MECs. Any decision made by the Minister of local government, a MEC or a Premier of a province those negative effect communities in those municipalities can be report to the Public Protector.

2.5.2.11.2 FUNCTIONS OF THE PUBLIC PROTECTOR

Communities must be educated about the various institutional oversight bodies to their disposal. Most of these protest action relating to poor municipal services can be avoided if members of the public are aware that these bodies will investigate and give proper feedback with remedial action if warranted.

De Vos.P (2012:160) stipulates the following functions of the Public Protector's office.

(1) The Public Protector has the power, as regulated by national legislation-

- a) to investigate any conduct in state affairs, or in the public administration in any sphere of government that is alleged or suspected to be improper or to result in any impropriety or prejudice;
 - b) to report on that conduct; and
 - c) to take appropriate remedial action.
- (2) The Public Protector has additional powers and functions which are prescribed by national legislation.
- (3) The Public Protector may not investigate court decisions.
- (4) The Public Protector must be accessible to all persons and communities.
- (5) A report, which is issued by the Public Protector must be open to the public unless exceptional circumstances, to be determined in terms of national legislation, require that a report be kept confidential, (1994).

2.5.2.11.3 MUNICIPAL OMBUDSMAN

The fundamental roles of the Municipal Ombudsman are ensuring that the performance of municipal staff is in line with the objectives of the municipal IDP. Mpabanga, D. (2009:25), mentioned the importance of governments in promoting the effectiveness of democracy protection institutions in Southern Africa, because of Africa's history of abuse of power and authority. Members of the public must always feel free to approach the Municipal Ombudsman for local affairs and matters. There are four universally accepted criteria that are fundamentally necessary for a municipality to say that it does have an ombudsman any contravention of item 2, 4(1)(a) or (b); 5, 6(1), 7, 8, 9 or 12 of the Code of Conduct for Municipal Staff Members contained in Schedule 2 to the MSA; and *in terms of section 5 (1)(b), (c), (f) or (g) of the MSA*; the municipal ombudsman has the following powers:

the power to investigate; enter facilities; review documents; compel witnesses; and decide whether and how to take on an investigation; the ability to offer services without charge; to be accessible to all parts of the public; to keep confidentiality by, for example, being exempt from access and privacy legislation; and the imperative of ombudsman procedures that are transparent and conduct that is fair, impartial and objective independence from both government and legislature, financially and politically, usually guaranteed by a statutory base to establish permanence and freedom from functional control.

According to the City of Cape Town, the main objectives of the office of the Ombudsman, (City of Cape Town. 2009. System of Delegations), are to:

- a) ensure that all complaints relating to alleged acts of maladministration, where members of the public are alleged to have suffered an injustice as a result of such maladministration by the administration or any of its employees, and where such acts allegedly infringe upon the Constitutional rights of an individual, are investigated and dealt with in a proper manner;
- b) ensure that the complaints relating to the actions of the administration, including its employees, where such alleged acts allegedly result in a contravention of the rights of the public to efficient and courteous service, dignity, honesty and integrity in the public administration of the municipality, are investigated properly and dealt with;
- c) ensure adherence to the principles of procedural fairness and administrative justice;
- d) assist in preserving and promoting compliance with all resolutions, policies and by-laws, which govern the municipality and, which detail the direct or indirect services as rendered to members of the public and, therefore, ensuring that the rights of the public are protected;
- e) provide for reporting on the possibility of amending the processes or policies of the municipality, including those of the Office;

2.5.2.11.4 CITY OF CAPE TOWN OMBUDSMAN

Kuye, J.O. & Kakumba, U. (2008:156) highlights the importance of legal responsibilities in government and stretch the importance of redress. On a daily basis the COCTM is confronted by protest action relating to service delivery or the lack thereof. With all of these protest action activities resources are been utilize to assist with the safekeeping of marches and members of the public. If members are aware that the COCTM Ombudsman is there first middleman for complaints most of these protest action activities will be eliminated and resources will be available to service them. Acting in terms of section 59 of the Systems Act, COCTM delegates the powers, functions and duties of the City Manager to the City Ombudsman. It further recognizes the impartiality and neutrality of the Office of the City Ombudsman. The City is empowered to give recognition to the operational parameters of that office by virtue of section 8(2) of the MSA, as well as section 59(1) of the Act, which is aimed at maximizing “administrative and operational efficiency and providing for adequate checks and balances”, and hence the City

gives effect to the objects of local government, as embodied in section 152 of the Constitution. Acting in terms of section 59 of the Systems Act, Council delegates the following powers, functions and duties to the City Ombudsman, including the power to sub-delegate any of his or her delegated powers, functions and duties:

- (1) To conduct a preliminary investigation for the purpose of determining the merits of any complaint and establishing whether such complaint falls within or outside the City Ombudsman's jurisdiction, and re-directing or referring the complaint to the correct or relevant institution or department and notifying the complainant accordingly;
- (2) To investigate and/or facilitate the resolution of public complaints, pertaining to alleged maladministration, injustice, poor service by or gross negligence of any City employee, in an independent, impartial, unbiased, non-prejudicial and apolitical manner, after the complainant has tried unsuccessfully to have the matter resolved. This delegation would exclude any other matter such as labour relations and must not detract from any internal appeal that might exist;
- (3) To demand reasonable access to any book, record, file or other documents or record of the Council for the purposes of such investigations;
- (4) Subject to paragraph (3) above, to enter any premises owned, controlled or managed by the council, and to examine any record or thing in the course of such a visit for the purpose of any investigation that he/she is authorized to undertake;
- (5) To require an official to appear at the Ombudsman offices for the purpose of providing information in relation to any investigation;
- (6) To exclude from any meeting any person whose presence, in the circumstances, is not desirable;
- (7) To institute, should the parties consent thereto, informal mediation or other facilitative processes which are aimed at addressing the complainant's complaint;
- (8) To recommend corrective action to the relevant Executive Director, should the Ombudsman deem it necessary, after having completed an investigation or mediation of other facilitative process; and
- (9) To refer any matter to the City Manager, where an Executive Director has failed within a reasonable time to consider the Ombudsman's recommendation.

The City of Cape Town Ombudsman must strive amongst others to:

- a) develop awareness of human rights among the residents of the City of Cape Town;
- b) make recommendations to the City Manager in order to enhance the promotion and implementation of human rights;
- c) undertake studies and report to the Executive Mayor and the City Manager on matters relating to human rights; and
- d) investigate complaints of violations of human rights by the administration of the municipality and to seek appropriate redress, according to the City Ombudsman policy (2014:5-6)

2.5.2.11.5 THE PUBLIC SERVICE COMMISSION (PSC)

Performances in all public sector's needs a holistic body to oversee the various policies especially at grassroots level where services are needed the most. The IDP is a municipality's service delivery tool and government service delivery vehicle. Public administration is an instrument of the State which is expected to implement and serve the policy decisions made from the political and legislative processes to the best of the servant's ability, (Zinyama 2014:53). A critical review provided by Kalema (2009: 546) on the evolution of the South African Public Service, prior to the 1994 elections. He mentioned the shortcomings in the Public administration as ungovernable, unaccountable and full of secrets. The Public Service Commission's (PSC) objectives are to promote and maintain effective and efficient public administration with a high standard of professional ethics. Its functions are:

- To promote the values and principles described in the Constitution, including the professional ethics of public administration and the efficient use of resources;
- To investigate, monitor, and evaluate the organisation, administration, and personnel practices of the public service, and advise government departments on their personnel practices;
- To propose measures to ensure effective and efficient performance within the public service;
- To give directions to ensure personnel procedures' compliance with the Constitution; and
- To investigate the grievances of employees in the public service.

The core business of the Commission is investigating, monitoring, evaluating, and advising on strategic public service issues. The Commission is a knowledge based organisation, which produces and uses information to contribute to a participatory and developmental public service.

The key performance areas of the Public Service Commission are:

- Building professional ethics and risk management;
- Investigating allegations of corruption;
- Monitoring and evaluating service delivery and improving its management;
- Monitoring labour relations and improving human resource management and development;
- Developing policy on the conditions of service of senior management in the public service; and
- Promoting sound institution-building in the public service.

These activities are organised into three programmes:

- Administration provides for general and financial management, personnel and provisioning administration, and the provision of legal and other support services that are used to formulate policy;
- Human Resource Management and Labour Relations enable the Commission to perform its human resource management and labour relations functions effectively; and
- Good governance and service delivery monitors and evaluates management, service delivery, the professional ethics of civil servants, and risk management strategies in the public service.

2.6 LEADERSHIP AT LOCAL GOVERNMENT LEVEL

“The ability of leaders to communicate organisational goals clearly and guide employees to focus their attention on achieving these goals is crucial to success”, Henry (2008: 338). The Draft White Paper on the Transformation of the Public Service (RSA, 1995:22) states: *The public service has a need for managers who not only should have organizational and technical skills, but also the leadership and vision to innovate policies. Thus, loyalty to the government of the day should not preclude creativity and visionary thinking on the part of public service managers.* Strodl (1993:2) articulates that leadership, within the context of local government, refers to the influence that an individual has on the voluntary behaviour of others to work together and to encourage

cooperative efforts. The department heads together with municipal staff members are responsible to execute the IDP to its full potential in order to obtain optimal results from all. In the case of the heads of department whose contracts are performance based, they can hold officials and municipal workers responsible and can expect optimal results. It is evident that many South African municipalities lack adequate capacity to plan strategically, to translate strategic plans into budgets, to engage civil society effectively in the strategic planning process, and to manage the implementation of strategic plans. In this regard many councillors require capacity-building initiatives to further strengthen their leadership roles and so improve their governance functions. Councillors, as community leaders, should play a pivotal role in building a shared vision with the community by mobilising local government resources for the improvement of basic services. People elect leaders to present their needs and wants.

Developmental local government requires that local authorities should become more strategic, visionary and influential in the manner in which they operate. Coetzee, J. (2010: 18-28), claims that despite the country's developmental aspirations, it is worth quoting in this context because it highlights that despite its challenges, the relevant generic features discussed above increase the relevance and potential of IDPs as a local governance instrument in the pursuit of social justice. Kumar, K., Moodley, S. & Reddy, P. S (2003:72- 74) further state, that councillors and officials must be fully aware of the IDP, strategies, action plans and objectives of the council so that they can fulfil their roles in the IDP. Municipal councils and officials also have a crucial role to play as policy makers and advisors, as thinkers and innovators, and as custodians of the principles of local democracy. There are two broad categories of councillors: ward councillors and PR councillors. The PR councillor is elected through the Party lists and is primarily accountable to the party (Councillor Induction Programme). The PR Councillor may interact with local and provincial party structures and may sometimes serve as a substitute chairperson on Ward Committees in cases where Ward Councillors cannot be present. PR Councillors are also allocated to wards to improve their accountability to communities (Jossel2005:8). Ward Councillors, conversely, are expected to make sure that the concerns related to the wards in which they serve, and are chairpersons of, are represented in Council. Apart from the articulation of residents' needs in council, Ward Councillors are responsible for: giving ward residents a progress report; explaining the decisions of the council in committing resources to development projects and programmes, which affect them; assessing whether the municipalities' programmes and plans are having their intended impact; assessing whether services are delivered fairly, effectively and in a sustainable way; determining whether capital

projects are committed in accordance with the IPD Plan; and staying in close contact with their constituencies to ensure that council is informed of all issues on the ground and conveying important information from council to residents. Leaders need to be honest with their constituencies and inform the communities what the municipality can offer them or if the budget allowed projects or not. Leaders must be frank and cut to the bone what the community can expect in a financial year.

Councillors, therefore, serve as the interface between the citizens that they represent and the municipal officials who design and implement development policies. The councillor's job is not merely to serve as the voice of the people for the expression of their community needs, but also to act as a watchdog and to ensure that the municipality implements policies to address the needs of citizens, and if the municipality fail to provide services, the councillor needs to demand an answer relating to the failure. The Ward Councillor, as chairperson of his or her ward, must also raise concerns to council on behalf of ward members when residents experience problems, which relate to the financial management of a council (in terms of Section 17 (f) Municipal Finance Management Act). Councillors are also required to make recommendations to municipalities for the improvement of policies and programmes within the broad framework of developmental local government. In terms of the Local Government Turnaround Strategy (LGTAS) which was approved by the South African Cabinet on 2 December 2009, Presidency. (2009), municipalities are required to formulate and implement their own turnaround strategies to, *inter alia*, improve basic delivery and also the capacity of their administration and political functionaries.

2.6.1 LEADERSHIP AND GOVERNANCE

Political leadership is critical for effective implementation of the IDP within the City of Cape Town and its marketing thereof to all residents. Pardey (2007: 61) identifies five main sets of leadership skills, which are:

- Communication skills;
- Planning and organizing skills;
- Personal management skills;
- Thinking and learning skills; and
- Decision-making skills.

The COCTM Executive Mayor together with the Mayoral Committee Members (Mayco) are the leading champions of the IDP (COCTM 2012, Creating a High Performance Organisation). At an administrative level, this coordination role will be played by the City Manager and his Executive Management Team. Mafunisa (2002:192-193), alludes to the fact that public functionaries are expected to act in an acceptable, effective, efficient, accountable, proper, fair and equitable manner in the execution of their official duties. Sindane (2009a:2) concurs with this definition by stating the following:

“the concept of ‘governance’ refers to the process of decision-making and the process by which decisions are implemented (or not implemented). A process includes elements from within society that possess power and authority to influence public policy and decisions concerning public affairs. Thus governance signifies the existence of stakeholders and cannot be conceived of as the preserve of government alone”.

Fourie (2009b:3) opines that governance is fundamentally a political imperative and cannot be reduced to a purely public administrative function owing to the conflation of the political-administrative roles that should be fulfilled. Government leaders are increasingly turning to Strategic Planning as a technique to equip members of their workforce and community to translate the forces for change into new opportunities. An organization's approach to strategic planning must blend the experience and insight from key internal and external stakeholders along with a reliable process to prepare the plan and the capable facilitation and consulting services from a group of seasoned leaders.

The following essentials combine for an effective, strategic planning process that will meet desired outcomes, and are what ratepayers are seeking:

- Leads to action;
- Builds a shared vision;
- Is an inclusive, participatory process in which policy makers and staff take on a shared ownership;
- Accepts accountability to the community;
- Is externally focused and sensitive to the organization's environment;
- Is based on quality data;
- Requires an openness to questioning the status quo; and
- Is a key part of effective management.

As Day, Zaccaro and Halpin (2004:3) correctly point out, that involvement of the people has resulted in “a pervasive need for people at every level to participate in the leadership process”. The authors further state that since no single leader has all the answers to all problems, all members or employees of an organization, as far as possible, need to be leaders. The respective roles and areas of responsibility of each political structure and political office bearer and of the municipal manager must be defined in precise terms by way of separate terms of reference, in writing, for each political structure or political office bearer and the municipal manager; these will be acknowledged and given effect to the rules, procedures, instructions, policy statements and other written instruments of the municipality. Terms of reference may include the delegation of powers and duties to the relevant political structure or political office bearer or municipal manager.

When defining the respective roles and areas of responsibility of each political structure and political office bearer and of the municipal manager, the municipality should determine: the relationship between those political structures and political office bearers and the municipal manager, and the manner in which they interact; appropriate lines of accountability and reporting for those political structures and political office bearers and the municipal manager; mechanisms, processes and procedures to minimize cross-referrals and overlap of responsibilities between those political structures and political office bearers and the municipal manager; mechanisms, processes and procedures to resolve disputes between those political structures and political office bearers and the municipal manager; and mechanisms, processes and procedures for interaction between those political structures, political office bearers the municipal manager and other staff members of the municipality, as well as councillors and the municipal manager and other staff members of the municipality.

2.6.2 ORGANISATIONAL LEADERSHIP

“The ability of leaders to communicate organisational goals clearly and guide employees to focus their attention on achieving these goals is crucial to success”
Henry (2007: 338).

The National Development Plan (RSA 2011) recognises that its objectives can be realised only if "there is strong leadership and focused implementation" (The Presidency, 2011) According to Schermerhorn (2002:336), leadership has to do with the process of inspiring and influencing others to work hard to accomplish important tasks. It is for this reason that Cleg *et al* (2006:231) mention the blurring boundary between leadership and followership by arguing that leadership should be about

'inspiring and fostering positive change'. Any organization needs leadership who fulfills its targets and objectives. Municipalities need to recruit the best visionary leadership to lead the municipality into the future as Schermerhorn (2002: 337) associates 'leadership with vision', where a clear direction is forged through visionary leadership, thus bringing to the situation a clear sense of the future and the understanding of how to get there.

2.6.3 LEADERSHIP FOUNDATION

The primary role of the COCTM leadership must be developing a shared vision in line with the CCT municipal vision. Effective strategies and plans to implement the vision cannot be emphasised enough. Leadership is a collective responsibility between political, administrative and operational management at all levels of the organisation. Strengthening this collective's responsibility is an important enabler for the CCT municipal vision, combined with the mission. A strong leadership foundation will bring along strong followers. Leader strength is determined how well he can lead others. Leadership in the COCTM must be robust to achieve the targets and indicators in the IDP.

Van der Molen, van Rooyen and van Wyk (2002:128) define creative leadership as leadership within a "chaos" environment as visionary, initiatory, charismatic, innovative, strategic and productive of change. Management is defined as the maintenance of momentum, balance of interest, stabilisation of forces, implementation of tactical plans, and production of predictability and order (Dominguez, 1991-2:18). A combination of new leadership and management skills is essential, as the dynamic driving force of the leader should be maintained over a period of time in order to establish performance management within the institution. Leadership in the COCTM must have certain attributes to manage the challenges associated with the category municipality. Dessler, G. (2000:28) found that successful leaders are not like other people who significantly contribute to a leader's success, and mostly differ from non-leaders such as drive, desire to lead, honesty, integrity, self-confidence, cognitive ability and knowledge of a specific programme in which such a person participates. These core traits are summarised in the following paragraphs.

Drive: The leader should be action orientated with a relatively high desire for achievement. A leader obtains satisfaction from successfully completing challenging tasks and by attaining standards of excellence. He/she is ambitious and displays high energy. The White Paper on Transforming Public Service Delivery (1997), provides, *inter alia* for statements of public service commitment. National and provincial departments are required to publish their service standards in a Statement of Public Service Commitment. A leader should drive towards adherence to standards, which is required for efficient and effective public service delivery.

Desire to lead: A leader is an individual who has the desire to lead and is motivated to perform. He/she prefers to be in a leadership rather than a subordinate role.

Honesty and integrity: If a person is not trustworthy how can one aspire to assume leadership? Followers will prefer a leader on whom they can rely.

Self-confidence: Good leaders have confidence in their own decisions. They are sure of their own decisions. They are sure of themselves. It is questionable if a leader has a tendency to withdraw well considered statements that he made. Followers will not have confidence in such a leader who continuously changes direction by inconsistency.

Good decisions: A leader must be able to pick the right direction and then establish the mechanisms, which are required to get there. He or she must have a cognitive ability, while non-leaders also need to be more capable.

Knowledge of programme: Effective leaders are knowledgeable about programmes to which they have to give direction. The information that they have about the programme allows them to make informed decisions, and to understand the implications of those decisions. It should be established if leaders who take charge of service delivery do have the necessary expertise to manage the programme for which they are responsible. If they have the required knowledge, service delivery will be affected positively. Service delivery has become complex, as a number of programmes have to run concurrently within the policy framework of public participation to ensure accountability and transparency. Within this framework the constitutional principle of developmental public administration is adhered to.

2.6.4 LEADER EMPOWERMENT DEFINED

The outcome of a research study, which was conducted by Pretorius and Schurink (2007:28) resulted in the development of a model, namely the Retro Advanced Leadership Model, with the objective to meet the organization's goals. These goals include the following: good governance; developing human resources; environmental stability; inter-municipal co-operation; economic development; public participation and programme management. The Retro Advanced Leadership Model presents key components to enhance service delivery in local government, which were identified in the study, namely: (1) management of leadership performance; (2) legislative imperatives; (3) achieving realistic goals; and (4) continuous maintenance and monitoring of achievements in line with the performance management in the COCTM.

This model was derived from the participants' viewpoints and experiences of service delivery in local government and how it can be enhanced. The model is a modest theoretical contribution, since it places focus on the following aspects of service delivery: the creation or strengthening of a culture of performance excellence amongst employees; Naidoo and Reddy (2006:877) observe that municipal management impacts directly on the efficiency of all activities within a municipal boundary; leadership qualities must lead to service excellence; the contribution of internal systems (policy, procedures, budget, integrated development planning and the performance management system) to intergovernmental relations and infrastructure development; legislation that stipulates local government's responsibility and accountability in terms of service delivery; the importance of human capital, good governance, environmental stability and economic growth to achieve realistic service delivery goals; and the need for continuous monitoring to maintain and enhance the quality of service delivery. The model should assist any Municipality to address management and leadership performance; adhere to and incorporate national and provincial legislation and utilize and meet all legislative requirements that drive external and internal delivery systems; set clear, realistic goals to meet the service needs of the people; link, integrate and co-ordinate all programmes and take into account proposals for the development of the municipality; align the resources and capacity of the municipality with implementation of the Integrated Development Plan; form the policy framework and general basis on which annual budgets must be based; make provision for continuous monitoring of achievements; comply with national and provincial development plans and planning requirements; establish a performance management system that would set appropriate key performance indicators and measurable performance targets with regard to each of the development priorities and

objectives; evaluate progress against the key performance indicators; review its performance and take steps to improve performance with regard to those development priorities and objectives that were not met; and establish a process of regular reporting to the Council, other political structures and political office bearers.

Strong leadership qualities are required to monitor municipal staff performances, as well as all external service providers and contractual staff and contractors. They should also monitor the management of the municipality's administration in accordance with the directions of the Council. It was evident from Pretorius and Schurink's (2007) research study that performance on a local government level depends, to a large extent, on the quality of leadership, which is provided by the executive and senior management.

2.6.5 LEADERSHIP ROLES OF THE MUNICIPAL MANAGER

The Municipal Manager is the administrative head of the municipality (RSA 2001). The Municipal Manager's legal powers, duties and obligations are contained in the Local Government: Municipal Structures Act 117 of 1998 (the Structures Act), and the Local Government: Municipal Systems Act 32 of 2000 (the Systems Act). Powers and duties vested in the municipal manager are specific and his or her duties lay directly on the municipal manager's shoulders. One duty of the municipal manager is that the Structures Act instructs the municipal manager to call a by-election when necessary, while the Systems Act designates the municipal manager as being responsible for submitting a report and recommendations to the newly elected council concerning delegations. These powers reside with the municipal manager and can only be exercised by him or her. A municipality's administration is governed by the principles of section 195(1) of the Constitution (Batho Pele principles). Section 6(2) specifies these further and instructs the Municipal administration to take measures to prevent corruption, to give members of the community full and accurate information about the level and standard of service, which they are entitled to receive, and about the municipal management.

The municipal manager must see to the implementation of these principles in his or her administration. As head of the administration, the municipal manager is responsible, subject to the policy directions of the council, for the formation and development of an economical, effective, efficient and accountable administration, which is equipped to implement the IDP, operates within the municipality's performance management system, and is responsive to the needs of the local

community to participate in municipal affairs (Section 55(1)). Section 51 further states that the municipality must hold the municipal manager accountable for the overall performance of the administration (Section 51(i)). The Systems Act instructs the municipality to hold the municipal manager accountable; the onus is on the council to hold the municipal manager accountable. Section 55(1) makes the municipal manager's responsibility subject to the policy directions of the council: the municipal manager is not responsible for the policy, but for its implementation.

2.6.5.1 MUNICIPAL MANAGER'S ACCOUNTABILITY

Section 51(i) contains a paramount principle that should determine the municipality's course in moulding the role of its municipal manager. It states that the municipality must organise its administration in a manner that enables it to hold the municipal manager accountable for the overall performance of the municipality. This has two consequences, which are presented below:

- The council must have the tools to hold the municipal manager accountable, and demand explanation and to review his or her performance; and
- The municipal manager must have the tools to answer to that accountability: the administration must be managed so that the municipal manager can account for the performance of the entire administration.

The legal provisions pertaining to the duties and responsibilities of the municipal manager, which are described in The Systems Act speaks of three crucial functions that spell out a municipal council's expectations of a municipal manager, which are outlined below:

- the performance agreement, which is concluded each year by the municipal manager and the mayor or executive mayor on behalf of the municipality (Section 57(1));
- the employment contract, which must include "details of duties" (Section 57(3)); and
- the municipal manager's terms of reference - the council must define in precise terms the specific role and area of responsibilities of the municipal manager in a written document (Section 53).

2.6.5.2 PERFORMANCE AGREEMENT

The performance agreement must include the performance objectives and targets that the municipal manager must reach together with the timeframes within which this must happen (Section 57(4) (a). These are based on the municipality's integrated development plan (IDP) (Section 57(5) of the MSA. A system for the evaluation of the municipal manager's performance, together with the consequences of unsatisfactory performance, must also appear in the agreement (Section 57(4) (b) and (c). It is within the council's discretion to determine; which consequences apply to substandard performance of the municipal manager.

2.6.5.3 EMPLOYMENT CONTRACT

The employment contract is for a fixed term. The maximum term that is permitted stretches until two years following the election of the next council (Section 57(6), which is around May 2016. The employment contract must include a provision for cancellation of the contract in the case of non-compliance with the employment contract (Section 57(6) (b). No municipal manager can be appointed without him or her signing the performance agreement (Section 57(1) (b). This does not mean that the employment contract and the performance agreement must be concluded at the same time. The performance agreement is separate from the employment contract, and must be concluded within a reasonable time after the appointment (Section 57(2) (a) of a municipal manager. This means that municipalities are not legally bound to wait to appoint a municipal manager until the IDP process has resulted in the formulation of key performance indicators, strategies and targets. The employment contract can be concluded before this, provided that it caters for the consequences of substandard performance in terms of the performance agreement, and it is concluded within a "reasonable time after appointment". The employment contract must, where applicable, provide for cancellation of the contract in reaction to substandard performance in terms of the performance agreement (Section 57(6)(b). The Systems Act does not compel a municipality to include cancellation of employment as a consequence of failure to fulfil the performance agreement. Providing if a clause of cancellation of employment has been included in the performance agreement as a consequence of unsatisfactory performance, the employment contract must make that cancellation possible. If no cancellation is included, then Section 51 of The Municipal Systems Act has no effect on the powers of the council to hold the municipal manager responsible for non-performance, or his or her failure to meet the target objectives. And the cancellation would have to comply with the relevant provisions of the Labour Relations Act (1995).

2.6.5.4 TERMS OF REFERENCE

The City of Cape Town council must define the relationship between the political structures, office bearers and the municipal manager and determine the manner in which they must interact, for example the establishment of an internal memo or reporting system, The Municipal Systems Act, (Section 53). Bayat and Meyer (1994:4), define public administration as “a system of structures and processes operating within a particular society as the environment, with the objective of facilitating the formulation of appropriate governmental policy and the effective and efficient execution of the formulated policy”. The lines of reporting and accountability must also be determined in that document. The question is: does the municipal manager report to the council, to portfolio committees, or to the (executive) mayor? In the case of the City of Cape Town’s municipality the Municipal Manager reports to the Council. The terms of reference must provide a process to resolve disputes between the municipal manager and the political structures and office-bearers. The terms of reference may include delegations.

2.6.5.5 THE MUNICIPAL MANAGER’S ROLE RELATING TO INTEGRATED DEVELOPMENT PLANNING

The executive mayor of the City of Cape Town, the Mayoral committee, and the public participation committee manage the drafting of the IDP (City of Cape Town (COGMT), 2013). Part of that duty is the assignment of responsibilities to the municipal manager, The Municipal Systems Act, (Section 30). Section 30 clearly identifies the two primary actors in the IDP management. The executive mayor with the mayoral committee, in conjunction with IDP committees, is under a legal duty to ‘manage the IDP processes’. Duties can only be assigned to the municipal manager. The municipal manager acts within the scope of these assignments. The initiative lies within the executive mayor with the mayoral committee in conjunction with IDP committees, which decide which responsibilities should be delegated to the municipal manager. If a municipality decides to work with an IDP manager, the municipal manager will have to delegate to the IDP manager: the municipal manager remains accountable to the council.

2.6.5.6 THE DUTIES AROUND THE IDP FOR ASSIGNMENT TO THE MUNICIPAL MANAGER

The preparation of the IDP ‘Process plan’, (COCTM. 2013a. Integrated Development Plan 2012-2017) the process that the council intends to follow in drafting the IDP is presented below:

- day-to-day management of the drafting process, including the ‘enforcement’ of

time-frames;

- co-ordination and overall management of the planning process;
- communication to all relevant role-players;
- identification of other (sectoral) planning requirements and ensuring alignment with those (Section 26(d) read with 29(1)(c) and 27(2)(a) of the Municipal Systems Act;
- response to public comments on IDP;
- establishment of the mechanisms for public participation; and
- documentation of the results of the IDP process (COCTM 2010, Strategic Development Information and GIS Department).

Once the IDP has been adopted or amended, the municipal manager must ensure that, within 10 days, a copy of the IDP, together with other relevant documentation (Section 32(1) (b), in terms of the MSA is submitted to the MEC.

2.6.6 LEADERSHIP STYLES AND SUBORDINATE DEVELOPMENTAL LEVEL

Rowe (2007:126–127) describes leadership behaviour as being when one tries to influence others. Pardey, D (2007:9) defines leadership as something that people see or experience, personally. It is above all about the relationship between the leader and those who are being led. A leader without followers is about as meaningful as a bicycle without wheels, because it may possess most of the necessary components but without wheels it cannot do the one thing that it is intended to do. The authors describe four styles based on being directive and supportive, which are suggested by the situational leadership approach, namely directing, coaching, supporting and delegating. Raffel, Leisink, and Middlebrooks (2009:49) state that, at best, management reforms are believed to lead to higher citizen trust in government agencies. Pardey, D. (2007:143-144) summarises leadership as follows:

- Leadership, especially at first line and middle management level, is all about understanding people as individuals in an incredibly diverse society. This means recognising that each person is different and understanding those individual differences, whether it is owing to personality, ability or some other characteristic.

- Some aspects of our differences are hard-wired, whether it is our personality or our physical or mental abilities; others are learned from birth and throughout our lives. Leaders should be alert to what is fixed (and work with those features), and what can be changed (and take advantage of opportunities to develop people);
- Objectives and targets can be used to help people achieve their personal and the organizational goals and fulfil their potential. Leaders have a responsibility to agree to goals with people, and to ensure that these goals reflect what is important, and not merely what can be easily measured and fits into formal systems. Regular feedback and review of performance and progress are essential if people are to perform consistently to the highest standards;
- Feedback should be understandable, specific, timely, accurate and relevant to the individual and will only have these characteristics if leaders know the people that they lead well, and suit their feedback to the person; and
- Leaders should understand what motivates individuals and use this to get the best out of them. Because we are all different, we respond differently to different things, and leaders should tailor their behaviour to motivate each person individually.

2.6.6.1 DIRECTING LEADERSHIP STYLE

This above-mentioned style is directive and non-supportive. Leader communications are focused on getting the job done with little or no communication effort focused on supportive behaviours. The communication effort is one-way and emphasizes instructions that give subordinates direction about what to do and how to do it. This style is associated with close and careful supervision (Northouse, P.G. 2007:3). This style is most supportive when subordinates are most committed, but least competent in what to do and how to do it (Northouse, P.G. 2007:4).

The reason for the lower level of competence is generally because subordinates are new to the job or task that should be accomplished (DuBrin, A.J. 2007:25). According to Judge, Stoker and Wolman (1995:97), leadership challenges arise when difficulties surface. When challenges in any organization surface, the entire look upon the organization leaders to solve matters. This is when true leadership needs to come to the fro.

2.6.6.2 COACHING LEADERSHIP STYLE

The above-mentioned style is highly directive and highly supportive. Communications from the leader to followers focus on getting the job done and on employees' emotional and social needs. Communication is two-way, since leaders communicate to subordinates and encourage input from subordinates. Leaders still decide on what should be accomplished and how it will be accomplished (Northouse, 2007:7).

This style is most appropriate when subordinates have some competence but a lower level of commitment. They are learning their job but losing some of their commitment towards, and motivation for the job. In this situation the leader should still be directive, but also should be supportive (DuBrin, A.J. 2007:27).

2.6.6.3 SUPPORTING LEADERSHIP STYLE

This style is highly supportive, but relatively low on direction. The leader focuses on supportive behaviours in his or her communications to subordinates to bring out skills that are required to accomplish the task. Subordinates have control over day-to-day operations, but the leader is still available for problem solving, if required. These leaders give deserved recognition to subordinates in a timely manner and support subordinates socially when required (Northouse, 2007:11).

This style is most appropriate when subordinates have the required job skills, but lack the necessary commitment because they are uncertain as to whether they have the necessary skills. Direction is not required in this situation, but a lot of encouraging support is required to support subordinates in using their well-developed skills set (DuBrin, A.J. 2007).

2.6.6.4 DELEGATING LEADERSHIP STYLE

The delegating style is best described as low direction and low support. In this approach, employees have more confidence and motivation when leaders are less directive and less supportive. Leaders agree with subordinates on the end result, but then back off and allow subordinates to be responsible for accomplishing the desired result. In essence, the leader gives the employees control, and avoids any unnecessary social support (Northouse, 2007:38).

This approach is appropriate when subordinates are skilled and highly committed. In this situation, giving subordinates more control and less social support is best because of their seasoned skills and motivation to do their best for the organization.

Being even a little directive or supportive may cause subordinates to work less skillfully and with less commitment, as they sense a lack of trust on the part of their leaders (DuBrin, A.J. 2007:36).

Heywood, A (2000: 136) posits that leadership has a political value, and hence serves to provide guidance and inspiration, and the capacity to mobilise others through moral authority or ideological insight.

2.6.7 SECTION 57 EMPLOYEES IN THE CITY OF CAPE TOWN MUNICIPALITY

The aforementioned described ideal leadership qualities that can benefit any public institution to achieve its objectives. The City of Cape Town municipality has 12 directorates (Draft 2013/14 Review), each with its own executive director. Nengwekhulu (2009:344) argues that it is important that an organisation's recruitment, selection and appointment of public officials should be based on merit, while prospective employees should be subjected to 'competitive examinations and interviews'. Nengwekhulu (2009:344) further says that in order for the public service to perform optimally, there should be competencies in the employment and placement of public servants in the higher echelons of public institutions. Political affiliation should not be used as the only criteria in such appointments. It is important that competent leaders drive the institutional plans. Institutional performance plans manifest on two basic levels, namely:

- A strategic level, where the institutional strategies position the execution of the institution in relation to its policy mandate and management environment. This is where the strategic direction of the institution is determined by the political leadership that is elected and appointed is which for example, the Mayco members;
- An implementation level, aimed at realising the strategic direction that is stipulated in the strategic plan, as stipulated in the executive directors' (section 57 employees) performance contracts.

Employment contracts for municipal managers and managers, who are directly accountable to municipal managers, are explained in Section 57 (1) of the Municipal Systems Act, Act 32 of 2000 that states:

- (1) A person to be appointed as the municipal manager of a municipality, and a person to be appointed as a manager directly accountable to the municipal manager, may be appointed to that position only:

- a) in terms of a written employment contract with the municipality complying with the provisions of this section; and
- b) Subject to a separated performance agreement concluded annually.

(2) The performance agreement referred to in subsection (1) (b) must –

- a) be concluded within a reasonable time after a person has been appointed as the municipal manager or as a manager who is directly accountable to the municipal manager, and thereafter, within one month after the beginning of the financial year of the municipality;
- b) in the case of the municipal manager, be entered into the municipality as represented by the mayor or executive mayor, as the case may be; and
- c) in the case of a manager who is directly accountable to the municipal manager, be entered into with the municipal manager (RSA 2006, Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers).

(3) The employment contract referred to in subsection (1)(a) must include, subject to applicable labour legislation, details of duties, remuneration, benefits and other terms and conditions of employment.

(4) The performance agreement referred to in subsection (1)(b) must include –

- a) performance objectives and targets that must be met, and the time frames within which those performance objectives and targets must be met;
- b) standards and procedures to evaluate performance and intervals for evaluation; and
- c) the consequences of substandard performance.

(5) The performance objectives and targets referred to in subsection (4)(a) must be practical, measurable and based on the key performance indicators set out from time to time in the municipality's integrated development plan.

(6) the employment contract for a municipal manager must –

- a) be for a fixed term of employment, not exceeding a period of two years after the election of the next council of the municipality;
- b) include a provision for cancellation of the contract, in the case of non-compliance with the employment contract or, where applicable, the performance agreement;

- c) stipulate the terms of the renewal of the employment contract, but only by agreement between the parties; and
- d) reflect the values and principles referred to in section 50, the Code of Conduct, and (acceptable) management standards and practices.

Institutional performance plans eventually become the reference point for the activation of performance management. The performance of managers that function on an outcome level in the executing institution (strategic and tactical levels) must be aligned. The performance of the manager that functions on a strategic level must be aligned to the institutional single-year operational plan, which relates to the five-year strategic plan. The performance of managers that function on a tactical level must be aligned with the performance:

- Budgeting – “a process of setting priorities for a limited amount of resources”
- Performance budget – “(a) budget presentation and plan that clearly links performance goals with costs to achieve a target level of performance. In general, a performance budget links strategic goals with related long-term and annual performance goals, as well as with the costs of specific activities to influence those outcomes about which budget decisions are made” (Makakane, M. 2007:44).

Performance budgeting implies compiling and managing the institutional budget in terms of the requirements of the performance plan. This type of budgeting represents a move away from the traditional budgeting systems and methodologies, which are practiced in the South African public sector. It represents a paradigm shift away from input-based, single-year budgeting practices towards outcomes-based, medium-term budget practices.

2.7 PERFORMANCE MANAGEMENT IN THE CITY OF CAPE TOWN MUNICIPALITY

The basis for the implementation of the performance measurement approach is to get line-managers competent in their tasks and committed to performance (COCTM 2013b, Organisational Performance Management System Implementation Guidelines Version 6). Minnaar, (2010:48) describes performance management as the provision of the methodologies that are required to gear the organisation towards service delivery priorities, which are identified during the strategic planning phase of the process.

The leadership of the City of Cape Town municipality's public administration comprises two of the integrated components, which Minnaar (2010:102) defines as the political process in terms of which government policy is formulated, and a management process in terms of how this policy must be implemented. A third component can be added to complete the picture, which is the governance function that links government and management together government being the political decision-making structures and processes that lead to the formulation and authorisation of government policies, and governance, which relate to how a political officer, for example, a councillor, supervises the activities of the specific executive agency. This governance function is similar to that of governing boards in public companies, and entails determining strategic direction and supervising the execution of selected strategies to ensure that government policies are properly implemented.

According to (The Presidency 2012), synergy of government's four core components (environment, government, governance and management) stands at the heart of achieving the ultimate aim of government, which is to promote general welfare in a sustainable manner. The approach shown below reflects the implications of this distinction. The approach can be explained as follows:

- The outer circle represents the management environment. This consists of the people and influences, which exercise a determining impact on whatever government decides and the policies that it will pursue. However, it also establishes a framework of influence that must be taken into account with the governance and management of public institutions;
- The second circle represents the government function, where a political process plays itself out, and where official government policy-making bodies such as the legislature and the political executive refine the mandate of government organisations into manageable fragments;
- The next circle represents the governance function, namely the function where a political head directs the activities of a specific agency in a certain strategic direction, and makes sure that government's policies are properly implemented; and
- The inner circle represents the government organisation, where a purely management process takes place. The three outer layers become determinants of its ultimate (institutional) mandate, and management influences that must be administered to ensure optimal performance.

2.7.1 PERFORMANCE MANAGEMENT: AN OVERVIEW

According to the Scottish Government publication (2008:1), the term performance management is commonly used today to describe a range of managerial activities, which are designed to monitor; measure and adjust aspects of individual and organisational performance through management controls of various types. Performance management integrates the management of organisational performance with the management of individual performance.

The Scottish Government publication (2008:1) further states that organisational performance management can serve two distinct functions which are outlined below.

- Intra-organisational performance management: To ensure that there are appropriate internal controls to monitor the extent to which the organisation and its executive directors achieve what is supposed to be achieved. This requires organisational management to periodically review and evaluate performance standards attained and performance trajectories, taking corrective action, as appropriate where deviations from the desired standards are detected. Pidd (2012:24) mentions that performance management for public agencies has three E's to measure performance in the public sector. Economy, which is a focus on cost, is often relatively simple to measure, but is an input rather than an output, and tells us nothing about how well a public programme meets its aims. Efficiency, which is usually defined in a straightforward manner as the number of units of output produced per unit of input. Effectiveness, which is rather trickier to define since it relates to the social objectives of the programme, and is thus a measure of how well a programme meets those objectives.

- Extra-organisational performance management: To communicate performance for the purposes of governance and accountability to organisational stakeholders, including Provincial and National Government, funding bodies, audit agencies and the wider public.

Minnaar, (2010: 44) claims that the integrated model of management for South African government organizations is performance focused. Standards or requirements are determined during the strategic planning process, and then pursued during the implementation (performance management) phase. This requires an institution to do the following:

- Manage around its core functions;

- Determine what it wants to achieve based on careful analysis of the management environment;
- Analyse organisational capacity (or ability) to give an indication of what could be done;
- Design organisational strategies that reflect the preceding two steps;
- Prepare an action plan detailing how the organisation is going to achieve the performance targets spelled out in the strategic plan; and
- Resource the action plan. This eventually links the organisation, its structures and resources to its strategies.

The primary orientation of performance management is developmental in nature. It also provides for effective feedback to inadequate performance and for recognising outstanding performance. The overall objectives of performance management are outlined by Armstrong (1998:42) as follows:

- to align organisational and individual goals;
- to foster organization-wide commitment to a performance-oriented culture;
- to develop and manage the human resources needed to achieve organisational results;
- to identify and address performance inefficiencies;
- to create a culture of accountability and a focus on customer service; and
- to link rewards to performance.

The purposes of a performance management agreement are to:

Specify objectives and targets that are defined and agreed upon by the employee, and to communicate to the employee. The employer's expectations of the employee's performance and accountabilities, in alignment with the Integrated Development Plan, Service Delivery and Budget Implementation Plan (SDBIP) (COCTM 2015 Draft 2015 – 2016 Service Delivery and Budget Implementation Plan) and the Budget of the municipality;

- Specify accountabilities as set out in a performance plan, which forms an annexure to the performance agreement;
- Specify and plan for gaps as set out in an individual development plan (InDP), which forms an annexure to the performance agreement (a PDP to address developmental gaps, which have been identified during the previous financial year must form part of the annual revised performance agreement);

- Monitor and measure performance against set targeted outputs. Use the performance agreement as a basis to assess whether the employee has met the performance expectations that are applicable to his or her job.

In the event of outstanding performance, the City of Cape Town Municipality must appropriately reward the employee; and

- Give effect to the employer's commitment to a performance-orientated relationship with its employee in attaining equitable and improved service delivery.

According to Mutahaba (2006:274), "the way governments organise themselves to undertake their functions has been changing in response to the changing needs and demands" of society. Performance management systems which ensure that all sections of the municipality co-operate to achieve the goals and targets that are set. Performance management is of critical importance to ensure that plans being implemented, that they have the desired development impact, and that resources are used efficiently. Planning is now integrated and developmental, and municipal performance must be measured and judged by the municipality itself, by residents, and by both the provincial and national governments. Other added responsibilities and requirements include the need for local government to be self-sustaining so as to be developmental.

2.7.2 PRINCIPLES OF PERFORMANCE MANAGEMENT

Esterhuysen (2000:61) states that the term governance is multi-dimensional and covers, for instance, the obligation of supervising and monitoring management performance. The Amathole municipality (Amathole municipality 2014:6) describes the six principles of PMS in its Performance Management Framework; which are presented below.

1. Simplicity

The system must be simple and user-friendly, and enable the municipality to operate it with its existing resources with the involvement of external stakeholders.

2. Politically driven

The legislation requires the PMS to promote a culture of performance management in the political structures. It further states that the municipal Executive Committee (EXCO), in the case of The City of Cape Town municipality, its Mayoral committee (Mayco) members, must manage the development of the PMS and assign responsibility in this regard to the Municipal Manager. Once developed, Mayco must submit the PMS to Council for adoption. This means that the municipal Council is the owner of the system and must, therefore, oversee the implementation and improvement of the system, and in the process inculcate a culture of performance improvement which is required by the MSA.

3. Incremental implementation

One of the most important lessons learnt by municipalities that have developed and implemented successful PMS, is that it is an incremental process. The White Paper on Local Government (1998) points out that the most important thing to do is to start measuring and reporting performance, and not to carry on developing the „best“ system – start with a basic system, implement it and then improve it incrementally. It is not possible to transform overnight from close to non-compliance to international best practice. In practice, it is only possible to move gradually towards a high performance organisation.

4. Transparency and accountability

The process of managing performance should be inclusive, open and transparent. The community should know how the municipality operates, how resources are spent, and who is in charge of particular services. Similarly, all information on the performance of departments should be available for other managers, employees, the public and interest groups.

5. Integration

The PMS should be integrated into other management processes in the municipality, so that it becomes a tool for a more efficient and effective integral part of the IDP process. It should be seen as a central tool to manage the performance related assignments of the municipality such as individual performance and it should form part of the Section 57 employee performance contracts.

6. Objectivity

Performance management must be founded on objectivity and credibility. Both the processes of managing performance and information should to be objective and credible.

2.7.3 THE RELATIONSHIP BETWEEN PERFORMANCE MANAGEMENT AND MUNICIPAL LEADERSHIP COMPETENCIES

Performance contracts for managers are implemented to enforce commitment towards performance at all required levels of the post that is occupied (COCTM 2013b. Organisational Performance Management System). Leaders are required to be strategic, to lead beyond boundaries, and, importantly, to keep sight of the vision ahead with their feet firmly on the ground. Vil-Nkomo (1997: 201) states: “South African cities are faced with tremendous development challenges. There is, however, a critical institutional developmental challenge, which constitutes the crux of the success or failure of municipal leadership”. The Municipal Systems Act places the ‘development of the performance management system’ in the hands of the executive mayor, mayoral committee and the portfolio committees (Section 39(b). They must assign responsibilities to the municipal manager (Section 39(c). Similarly, sections 44(3)(a) and 56(3)(a) of the Municipal Structures Act place the responsibility for the development of criteria for evaluation, including key performance indicators, on the mayoral committee (Mayco) and the executive mayor respectively. The challenges, which leaders face in the public service today includes; “a need exists to develop new skills of leadership; top management involvement would help to promote the restructuring of the business organization and to expedite the management of change that would also occur in the organization” (Chakrabarty and Tan, 2007).

An important part of the development of the performance management system is the establishment of a process of regular reporting to council, other political structures, office bearers, staff, the public, and appropriate organs of state such as the provincial government (Section 41(1)(e). The municipal manager must implement and manage this reporting system and can advise the council on what kind of reporting system would be best to adopt. The caliber of leaders that are needed in local government is leaders with strong emphasis on innovation, communication, skills transfer and development to enhance service delivery on ground level. These leadership qualities should help local government to make the much needed transformation from an institutional to a developmental organization. Hicks and Gullett’s (1981:54) framework makes use of Pre-control, Concurrent Control and Post-Control to differentiate

between the timing and scheduling of different modes of control and the tools and techniques that are utilised by the various controls. Holbeche (2009:313) describes the trend of leadership development as follows: “The trend is to develop leaders with a broad range of leadership competence in addition to any specific business experience they may offer”. Leadership is highlighted as an area of competence in itself because of the changing requirements of business leaders to be able to provide focus, and to bring people with them in times of change.

2.7.4 PERFORMANCE MANAGEMENT SYSTEMS

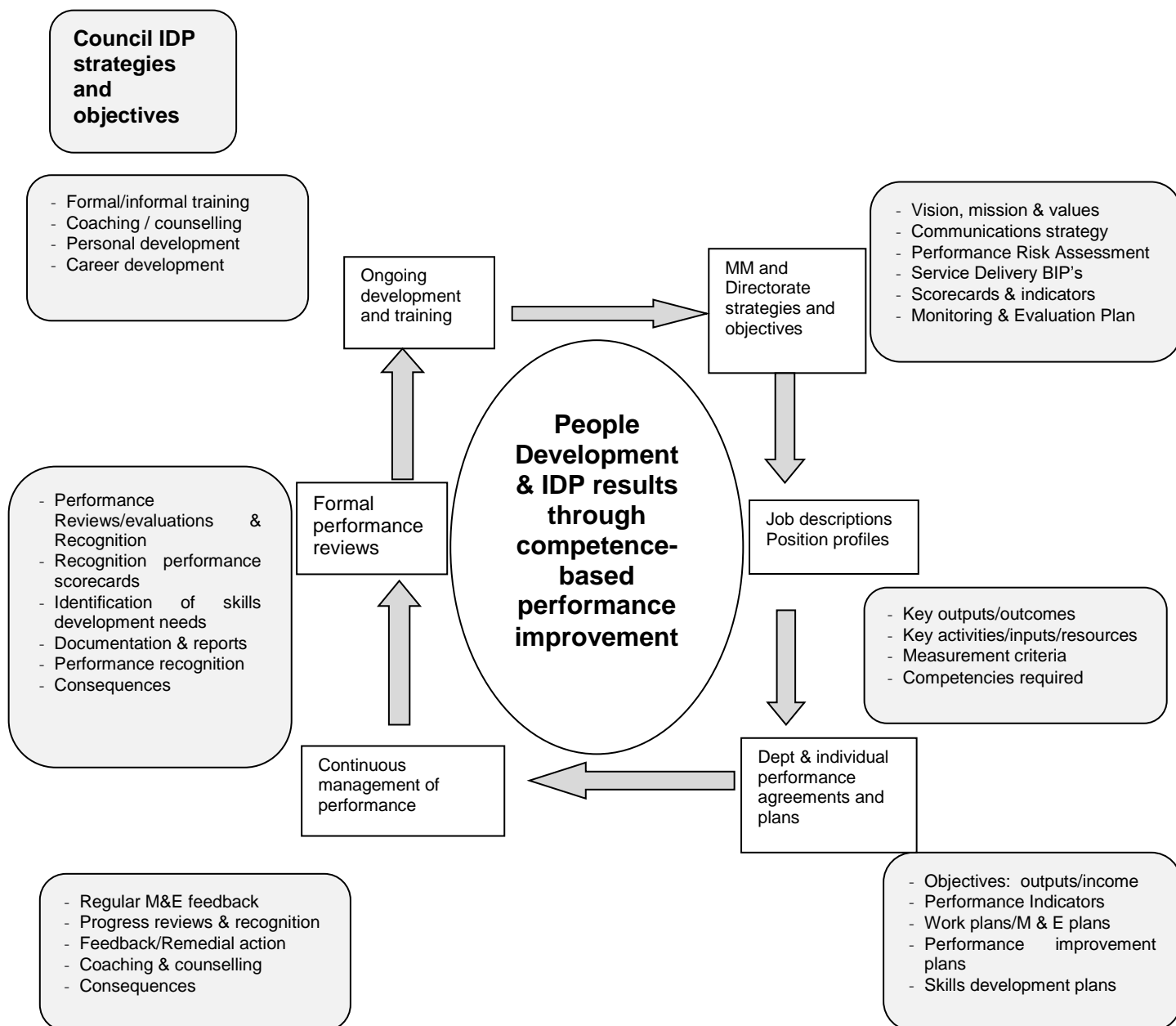


Figure 2.1 Stellenbosch Municipal Performance Management Systems (Stellenbosch Municipality (2005))

The above Performance Management System illustrates the flow of Stellenbosch municipal IDP. The institutional and strategic goals, the resources allocated to it and the planning and administrative stages and it halt at training and development. The training and development level is the stock taking level. At these level methods that are outdated can be amended and new methods can be though. This is extremely important to close the gap where efficiency lacks in the PMS.

2.7.4.1 CORE COMPONENTS OF A PERFORMANCE MANAGEMENT SYSTEM

The key steps in a municipal performance management system are setting performance targets and performance indicators, monitoring performance against these indicators, taking steps to improve performance, and reporting on performance. Every municipality must set performance targets with regard to each of the development priorities and objectives in their integrated development plan, and set appropriate key performance indicators as a yardstick to measure performance towards achieving those priorities and objectives. The performance indicators must allow for measurement of outcomes and impact. An example of Stellenbosch Municipal performance system is illustrated in figure 2.1 (Stellenbosch 2005 policy).

Every department in the various directorates of municipal services set performance targets, for example, to provide 100 new water connections in each informal settlement, and to ensure that refuse is collected on a weekly basis. These are output indicators, which measure the municipality's outputs for example, 100 water connections. The municipality may also wish to measure their efficiency, or how much it costs them to install the new 100 water connections. It is important that the municipality also sets impact or outcome indicators. These indicators will help the municipality to work out if it adopted the right strategy towards addressing health problems in informal settlements. So, for example, the municipality may monitor infant mortality in informal settlements as a measure of the impact of their strategy. Once they have chosen key performance indicators and targets, municipalities must make their indicators and targets known, both internally and to the general public. The municipal council must decide how to disseminate this information.

It is advisable that each municipality must monitor its performance against the indicators, which it set for each development priority and objective, and measure and review its performance at least once a year. Municipalities must consider taking steps to improve performance with regard to those development priorities and objectives,

where performance targets are not met. Municipalities must establish a regular process of reporting. The process of reporting must make information of performance available to the council and specific structures and political office bearers of the municipality; as well as to the public and appropriate organs of state. Reports on municipal performance should act as an early warning system for underperformance. In other words, performance reports should point to potential problems, inefficiencies and a lack of implementation strategies before they become crises.

2.7.4.2 THE ROLE OF INSTITUTIONAL STRUCTURE RELATIONS TO STRATEGIC PERFORMANCE IN LOCAL GOVERNMENT

Structure must relate to strategy. Strategy is an institutional response to the requirements of a policy mandate within a specific environmental reality (performance requirements vs institutional capacity).

2.7.4.3 STRUCTURE

Organisational structure defines the hierarchical and functional division of authority and responsibility, which are required to (1) perform the activities required to achieve goals and objectives; and (2) achieve the outcomes that are required to add value in terms of the institutional mandate. It involves, amongst other things, departmentalisation, span of control, centralisation and decentralisation.

- **Authority** – “the formal, legitimate right of a manager to make decisions, give orders and allocate resources” (Strauss & Attner, 1994:193);
- **Power** – (organisational context) – “the ability to affect the behaviour of others” (Griffin, 1999:515);
- **Line functions** – those functions that are directly related to the core functions of the executing institution, as derived from its policy mandate; and
- **Staff functions** – those support functions that enable the line functionaries (officials in jobs responsible for tasks that relate directly to executing activities required for performing the core functions of the institution) to perform their duties.

2.7.4.4 INSTITUTIONAL AUTHORITY

Institutional authority is characterized by the following factors:

- Delegation of authority –
 - “Downward transfer of formal authority from one person to another” (Straub & Attner, 1994:197);

The transfer of authority from a person in an institutional hierarchically superior position to one in a subordinate position;

- Responsibility – the “obligation to carry out one’s assigned duties to the best of one’s abilities” (Strauss & Attner, 1994:198);
- Accountability – being “answerable to others for the results of one’s actions” (Straub & Attner, 1994:198);
- Centralisation – “the process of systematically retaining power and authority in the hands of higher-level managers” (Griffin, 1999:340); and
- Decentralisation – “the process of systematically delegating power and authority throughout the organization to middle and lower-level managers” (Griffin, 1999:340)

2.7.4.5 CONTEXT OF INSTITUTIONAL DESIGN

The business environments constantly change and businesses need to keep track with this changing environments to stay abreast. Public Institutions are not different and need to change with the business environment to fulfil the needs of the customers they serve. Municipalities must constantly look at a change management programme to stay on par with this changing business environment and constantly reviewing their institutional designs.

The context of institutional designs is presented below:

- Classical or mechanistic organisational design – “view of organisational design, characterized by heavy reliance on rules and regulations, job simplification, adherence to the chain of command, and the objective of efficiency” (Cunningham, Aldag & Block, 1993:169);
- Organic approach towards organisational design – “view of organisational design characterized by flexibility of structure so as to ensure maximum adaptability to a changing environment and free communication among all levels of the organisation” (Cunningham *et al*, 1993:169); and

- Network organisational structure – “(a) structure in which a small central organisation relies on other organisations to perform manufacturing, marketing, engineering, or other critical functions on a contract basis” (Straub & Attner, 1994:207).

2.7.5 STRATEGIC PLANNING AND PERFORMANCE MANAGEMENT

Minnaar (2010:132) mentions that there are basically four types of performance plans in an organization: two on an institutional level and two on an implementation level. These are presented below.

1. Institutional level: a strategic plan which contains the strategies of the institution, and reflects the anticipated or planned performance of the entire institution over a long-term period. This would normally be five years in the public sector context, because it runs concurrently with the term of office of government and, specifically, the political executive authority.
2. Institutional level: a single-year operational business plan (OBP) that exposes the anticipated performance of the institution for a specific financial year within the five-year circle of the strategic plan. This enables the institution to set up a performance management system (PMS), because a PMS is always bound, and focuses on annual performance periods, which are subdivided into quarterly performance cycles.
3. Implementation level: a tactical plan for each of the secondary business units. The main aim with these plans is to distribute or allocate implementation responsibility to the different branches, regions, directorates or departments. A tactical plan is aligned with the responsibilities of individual senior managers. In some sophisticated planning systems, the planning term for tactical plans is three years, to run concurrent with the medium-term revenue and expenditure framework (MTREF) of government.
4. Implementation level: an operational business plan (OBP), which is developed by the operation sections and divisions of the institution. It contains particulars of activities that are linked to performance indicators and targets to serve as a single year (in-year) performance plan for the specific operational business unit.

Performance management is an iterative process of setting targets, monitoring performance against those targets, and taking steps to improve performance. It can help municipalities to work more effectively towards meeting development challenges, because it allows them to assess the impact of the various strategies that they are pursuing. It can also enhance accountability, because it allows municipal councillors and staff, as well as local communities to monitor whether they are receiving value for money spent on various services. Every municipality must establish a performance management system. The performance management system must be suited to the municipality's circumstances. It must also be in line with the priorities, objectives, indicators and targets which are contained in the municipal Integrated Development Plan.

It is a fact that municipalities with more capacity will probably decide to measure their performance against more indicators than municipalities with less capacity. Performance management is not only about monitoring and measuring. It is also about organisational culture- the attitudes and practices, which inform how municipal staff work on a daily basis. Municipalities must promote a culture of performance management in their structures, political offices, and administration. In other words, municipalities must encourage working practices which are economical, effective, efficient and accountable. Sangweni and Balia (1999:11) emphasise that it is the prerogative of government to ensure that there are strategies in place, and that strategies are implemented successfully in order to prevent both officials (the corruptee) and some members of the public who are corrupt (the corruptor) from engaging in activities that undermine and eradicate ethics and values in the workplace.

2.7.5.1 PRE-CONTROLS: STRATEGIC MANAGEMENT AND STRATEGIC AND OPERATIONAL PLANNING

A strategy is a decision or series of decisions that are made within an organization, which determines its medium to long-term objectives, priorities and overall direction. It re-positions the organisation in relation to its external environment, including the availability of key resources. Strategic management refers to a set of processes, which comprises strategy formulation, strategy implementation, monitoring and control.

The strategic management process is cyclical and ongoing. In Public Management it is not uncommon for strategic plans to be submitted by publicly funded organisations to government for scrutiny and approval on an annual basis. Strategic plans are pre-controls and formalise the longer term strategic aspirations of the organisation. Operational plans are also pre-controls and provide detailed guidance on ways in which the organisational sub-units will contribute to the achievement of the strategic aspirations in the short to medium term. Planning is an essential pre-requisite for effective organisational performance management. It is of utmost importance that the City of Cape Town Municipality aligns its strategic vision of management insofar as the organizational requirements are concerned, and made clear to all employees of the municipality. This will enable the performance management system to measure the outcome of the strategic vision of the organization.

The organization must also attract top quality talent. The old saying is that you get what you pay for, which means that top salaries and benefits and a decent work environment attract talented staff. When staff is happy they will stay with that organization as long as possible, even if they are recruited by other organizations with bigger salaries and benefits. This is what is needed in the local government as a profession. People with a passion for service delivery should be developed and trained, from top management to grassroots level, to enable the municipality to build talent pipelines. David (1986:67) and Smit and Cronje (1992:117) argue that strategy implementation is an operational process to translate a strategy into actions. It also involves the establishment of objectives and the allocation of resources. Wheelen and Hunger (1987:229) further argue that the implementation of strategy involves management functions, which consist of planning, organising, staffing and directing. This relates to the organisational re-engineering of municipalities, for instance, expanding directorates and finalising the appointment of strategic positions to enable administrative leadership. It can be concluded that the success of implementing a strategy is based on business plans and organisational management structures.

2.7.5.2 CONCURRENT CONTROLS

There are a number of different types of concurrent controls, including dashboards, traffic lighting and balanced scorecards.

2.7.5.3 DASHBOARDS

(Edwards and Thomas (2005: 369-376), pointed out that Dashboards are concurrent controls. provide an example of a performance management tool that the City of Atlanta uses to track the effectiveness of its city services and to hold its managers accountable for service delivery. It is known as the Atlanta Dashboard. Under the leadership of Mayor Shirley Franklin, the City of Atlanta introduced a new operating model for municipal government in early 2002. A central component of that effort has been a performance-measurement system the “Atlanta Dashboard” designed to assess various aspects of municipal performance and, through that assessment, to improve the efficiency and effectiveness of municipal services. Each year the city develops a strategic plan based on input from citizens and other stakeholders. Based on this plan, performance targets are established for all operating divisions. The Atlanta Dashboard allows the tracking of performance against those targets on an ongoing basis. The city’s Mayor holds weekly meetings with her senior management team to review progress against those targets, and to make operational adjustments, if they are required.

The Atlanta Dashboard is organised around the four major strategic goals of the Mayor: A safe city; a strong infrastructure; an efficient and effective government; and a financially stable government. Within each of the four major strategic goals there are supporting strategies that help to achieve those goals. The dashboard “cascades” downward through the supporting strategies to the performance measures.

Dashboards are commonly colour coded by using a ‘traffic light system’ (RAG: Red-Amber-Green) to help to quickly identify problem areas. Boxes that are green indicate that it is on plan, while red means that it is off plan and intervention is required, and yellow boxes alert management to measures that are off plan, but not to the point where an intervention is required. Dashboards help to make the performance of an organisation and its subunits more transparent and accountable to the public. Dashboards help to accomplish this by making the performance goals known to everyone, and to make progress against those goals, which are publicly available. The Atlanta Dashboard omits all aspects of internal business processes in favour of the exclusive concern for outcomes.

A recent study of pilot schemes in Scotland by Sharp *et al* (2006) concluded that Citistat has worked in the United States as a consequence of its combination of review, enhanced use of data and its accountability process. The key elements in Citistat are:

- Active leadership, which promotes improvement, scrutiny, accountability, prioritisation, partnership and the challenge process;
- Enhanced data quality and analysis to ensure that the performance information facilitates concurrent control with as much real-time data as possible;
- Ownership of the indicators and subsequent actions;
- 'Hot spots and whole system working'; and
- Cultural and organisational change.

2.7.5.4 TRAFFIC LIGHTING

Many public service organizations find this to be a helpful tool, particularly with respect to those performance indicators, which are crucial to the success of the organisation in achieving its strategic objectives. In the UK, for example, traffic lights are used in a strategic direction context to show how 'headline indicators' are changing. Headline indicators are those indicators, which focus on the broad strategic direction, which the organisation hopes to achieve. They show only the direction of travel and, not necessarily whether progress is fast enough. But it should be borne in mind that there are time lags between the action and movement of an indicator, so traffic light judgments are not necessarily a good gauge of a strategy's effectiveness. A common approach is:

- Green for success;
- Yellow for mixed results; and
- Red for unsatisfactory results.

There should also be a note of caution when acting on traffic light data, as it is a 'snap shot' and identified sub-standard performance may be short term with the performance improving shortly thereafter without the need for a 'knee jerk' rapid response to a perceived deviation in the level of performance expected. Carter *et al* (1991) used the terms 'dials' and 'tin-openers' to describe different uses of performance indicators. Traffic light systems are 'dials', since they indicate current status and organisations must use traffic light performance information as a 'tin opener', which prompts further analysis of trends and reasons for performance levels achieved. A common approach when using concurrent controls is known as

'management by exception' and involves managerial action only when a deviation is detected, which takes performance out with previously determined performance parameters. If performance is within the agreed parameters, then no action is required.

2.7.5.5 BALANCED SCORECARDS (BSC)

The Balanced Scorecard (Kaplan & Norton. 1992:71-80) is a set of measures that is directly linked to the organisation's strategy. The scorecard allows managers to evaluate the organization from four perspectives: financial performance; customer knowledge; internal business processes; and learning and growth.

Inside the Balanced Scorecard (Kaplan R.S. and Norton D.P. 1996:75-85), is a concise definition of the organisation's vision and strategy. Surrounding the vision and strategy are four additional boxes; each box contains the objectives, measures, targets, and initiatives for one of the four perspectives. A properly constructed scorecard is balanced between short- and long-term measures; between financial and non-financial measures; and between internal and external performance perspectives. The scorecard is a management system that can be used as a central organising framework for key managerial processes.

Managers determine what is required to deliver and sustain the strategy and how to monitor progress in terms of the four dimensions regarding:

- Finance;
- Customer;
- Process; and
- People.

The respective measures within these dimensions are used to communicate the strategy, allocate responsibilities and time frames, and monitor progress. The Balanced Scorecard focuses all parts of the organisation on critical success factors and shows how each part becomes a determinant of the eventual strategic outcome.

The Balanced Scorecard was designed for the private sector as a strategic management tool by Kaplan and Norton (1996:75-85), and places financial results at the head of the strategic hierarchy. In the Public and Voluntary Sector there is a different focus, with the overarching mission or long-term objective of the organisation sitting at the head of the hierarchy. Within this context, funders represent the 'finance' aspect of the framework. They are on an equal footing in the hierarchy with the people

that the organisation helps, for example, service users (the 'customer' element). The internal processes must be identified that will deliver the desired outputs and outcomes for both groups. The objectives within the scorecard can then be orientated towards the achievement of the high level mission.

Kaplan and Norton introduced the BSC in 1992 after conducting a study entitled "Measuring Performance in the organisation of the Future", (Kaplan & Norton. 1992:71-80) which was then motivated by the "belief that existing performance measurement approaches relying on financial accounting measures were becoming obsolete". Using the Balanced Scorecard as a strategic management system will enable the management's strategy and vision to be translated into realistic and achievable goals. It is a system, which creates a "balance" among various development factors to be considered when the focus is on performance outcomes.

The BSC (Kaplan and Norton 2005: 172-180), places strategy and vision at the center of the system, establishing goals and expecting employees to adapt their behaviour in order to achieve those goals. It is arguably the best known and widely utilised performance measurement system. The BSC has been the most comprehensive, because the BSC can combine both quantitative and qualitative measures, and can also acknowledge the expectations of stakeholders in the public sector. Malina and Selto (2001) argue that the Balanced Scorecard is an effective tool to align business strategy and performance management, and to focus on improvements.

The financial perspective for public sector models differs from that of the private sector, because in the private sector the key financial objectives relate to profitability and returns on investment. In the public sector financial considerations will have an enabling or restraining role, but this will not be the only criterion to assess strategic options. Success for local authorities and health boards can be measured in terms of how effectively and efficiently they meet the requirements of their key stakeholders. The client and customer perspective focuses on the ability of the organisation to provide quality goods and services. It includes issues about the effectiveness of service delivery and overall client and customer service and satisfaction. In general, the customer perspective is the primary focus for a public service. Public bodies are also more likely to have a duty of care perspective than private-sector organisations.

The internal business process perspective covers the internal business results that lead to financial success and satisfied customers. The people perspective covers the competence of staff, and the capacity of organisational members to develop individually and collectively to enhance organisational effectiveness. Griffiths, M.D. (2005:23) states that the New Zealand experience of using balanced scorecards in Government and Crown entities resulted in modification to the original Kaplan and Norton (1996:75-85) model. The key use of the balanced scorecard was not as a strategic management tool, but as a tool to clarify and translate the organisation's strategy (operational).

2.7.5.6 IMPLEMENTATION OF PERFORMANCE MANAGEMENT

According to Armstrong and Baron (1998), performance management is both a strategic and an integrated approach to delivering successful results in organizations by improving the performance and developing the capabilities of teams and individuals to achieve high levels of organisation performance. According to Performance Management Guideline for Municipalities draft report (DPLG 2001:16), municipalities should develop an implementation strategy. The strategy should also be linked to the IDP implementation framework and should entail planning, implementation, monitoring and review. The Institute of Personnel Management in 1992 (IPM, 1992) produced the following implementation suggestion: that performance management in its broadest sense would be carried out when the following activities were apparent:

- communication of a vision to all employees
- setting departmental and individual performance targets that are related to wider objectives
- conducting formal reviews of progress towards these targets
- using the review process to identify training, development and reward outcomes
- evaluating the whole process to improve effectiveness
- expressing performance targets in terms of measurable outputs, accountabilities and training/learning targets
- using formal appraisal procedures as ways of communicating performance requirements that are set on a regular basis
- linking performance requirements to pay, especially for senior managers.

(Armstrong and Baron 2005:51), conclude by saying: *'Overall there has not been a great deal of movement in the kind of practices employed by organisations to manage performance since the 1997 survey was carried out. Practices such as team appraisal and 360-degree appraisals had become more popular, and it appeared that more*

organisations had become more sophisticated in their approach and in the integration of performance management with other HR practices. However the vast majority still relied heavily on the tried and tested practices of objective setting and review, accompanied by development plans and performance appraisal.'

2.7.6 MONITORING PERFORMANCE AND EVALUATING DEVIATIONS

Chabane (2012:3) with reference to *The Green Paper on Improving Government Performance* states the following: *'The transition to democracy fostered hope for a society where all citizens would have the opportunity to realise their full intellectual, physical, social and spiritual potential. This vision was captured in the Constitution, which spells out each citizen's entitlement to adequate housing, basic education, health care, food and water and social security. Although the rights are to be realised progressively over time within the available resources, the gap between vision and reality remains large. To improve service delivery standards ...we must do more with less. The focus has to be on value for money. Wasteful and unproductive expenditure and corruption cannot be afforded. This part of the process is about improving our efficiency; it is about reducing the unit cost of the service we provide. Ensuring that the outputs deliver the outcomes that have been politically chosen, is a measure on whether government is being effective. Genuine change based on critical self-reflection is required. That means changes in how we behave not just superficial adjustments to existing processes, systems and formats.'*

Bussin (2014:152) defines two aspects to determine at what level of performance variable pay should materialize. He warns of a practice to guard against awarding variable pay for performance that does not at least meet the criteria or requirements: From a behavioural point of view, this can serve only to upset the high performers, because why should they walk the extra mile to achieve great results when those who have under-achieved are also awarded incentives? This can easily lead to a "passenger" culture creeping into the organization, where all performance gravitates towards mediocrity. He warns from a legal perspective that an employer could find him/herself in the Labour Court after he/ she dismisses an employee for under-performance, and the employee argues that he or she had received a performance incentive, tacitly implying that they had performed. Efficiency and effectiveness are broad descriptions of performance management. Radnor and Lovell (2003) refer to performance management systems (PMS) by using the term for combined systems that involve both performance measurement and performance management. The dictionary (Thompson Ed. 1995:1015) definition of performance is as follows:

1. *“the act or process of performing or carrying out”*;
2. *“the execution or fulfilment (of a duty)”*;
3. *“a person’s achievement under test conditions”*; and
4. *“the return on an investment, especially in stocks and shares”*.

Performance measurement and performance appraisals are relevant and critical components of the complete process and a much broader concept of performance management (Armstrong and Murlis, 1994). This is supported by Nel *et al* (2008:506) who argue that “the performance evaluation process can no longer stand on its own and must become an integral part of a holistic PMS that adds value to the organisation.” In this project, therefore, literature, which relates to performance measurement and performance appraisal and evaluation, also forms a significant component of this research. According to Johnson and Scholes (2002:10), strategy “is the direction and scope of an organisation over the long term, which achieves advantage for the organisation through its configuration of resources within a changing environment and to fulfill stakeholder expectation”. For purposes of this study, the researcher defined performance management as the process by which The City of Cape Town municipality, as an organization, defines its IDP purposes and sets its objectives and the targets that it undertakes to ensure that its goals are consistently met in an effective and efficient manner by focusing on the performance of the organisation, its departments or functions, employees, and its processes in delivering services to its residents.

2.7.6.1 PERFORMANCE MANAGEMENT PROCESS

Performance management can at best be seen as a process that supports the achievement of business strategy through the integration of corporate, functional, departmental, team and individual objectives. Within this process, the organisation establishes an environment that allows for clear communication of its mission and goals to employees, and in which they are also encouraged to contribute to the formulation of these objectives (Armstrong and Murlis, 1994). In this respect, performance management integrates both a top-to-bottom and a bottom-up approach to strategy formulation and implementation. As noted by Bratton and Gold (2007:278), “the adoption of a PMS (therefore) represents an attempt by an organisation to show a strategic integration of HRM processes, which can together be linked to the goals and direction of an organisation”. This is similar to the Performance Management Framework which is presented by Armstrong and Murlis, (1994).

The performance management framework is aligned to the PMS processes by Nel *et al*, (2008:493), and summarised into four main categories, which cover (i) performance planning, (ii) performance coaching and mentoring, (iii) performance measurement and evaluation, and (iv) performance feedback and documentation.

Within these categories, the organisation performs the following activities (Nel *et al*, 2008:493) in respect of clarification and communication of organisational objectives:

- The alignment of individual and group goals with organisational objectives;
- The monitoring and measurement of individual and group performance;
- The early identification and reporting of deviations;
- The development of action plans to correct the deviations;
- The coaching and mentoring of individuals and groups; and
- The review of individual and group performance, and the re-evaluation of organisational processes.

2.7.6.2 USE OF PERFORMANCE MANAGEMENT

According to Hogue (2010), a performance measurement system highlights whether the organisation is on track to achieve its desired goals. Bratton and Gold (2007:282) highlight the purposes of being in control and administrative in nature, as follows:

- The making of administrative decisions concerning pay, promotions and careers, and work responsibilities – the control purpose; and
- The improvement of performance through discussing development needs, identifying training opportunities and planning action – the development purpose.

Otley (1999) proposed that there are two major roles for the PM, which are outlined below.

- Firstly, Performance Management (PM) must ensure that the employees usually follow the policies and procedures at all times in order to protect the interests of the organisation all the time.
- Secondly, the new PM must have the ability to motivate employees to act in accordance with the organisational goals. The basic aim of a PMS should be to create an organisation within which the actions of its managers and employees are coordinated and directed towards the organisation's provision of services and products that meet customer needs through continuous improvement of that organisation's processes and its employees and management's skills and

competencies (Armstrong and Murlis, 1994). Thus, PMS represents an organisation's drive towards competitive advantage and achieving high performance. Bennet and Minty (as cited by Nel et al. 2008:494) identify three major purposes of a performance management process, which are shown below:

- It is a process for strategy implementation;
- It is a vehicle for culture change; and
- It provides input to other HR systems such as development and remuneration.

PMS focuses on both organisational and personal development. In this regard, it is an effective tool to develop a Learning Organisation, empowering employees and enhancing employee accountability and motivation through management by agreement, in line with McGregor's management by integration and self-control (Armstrong and Murlis, 1994). Learning Organisations are organisations where people continually expand their capacity to create the results that they desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people continually learn to see the whole, together. Reward and compensation has a potential to motivate performance amongst staff in organizations.

2.7.6.3 PERFORMANCE APPRAISAL

Bragelien (2003) states that individual performance based rewards are becoming more and more common in today's businesses. Kohn (1993) argues that incentive plans only result in temporary compliance, because the internal commitment of the organization's members will not be influenced. Brynard *et al* (1997) state that management gives direction, leads, controls, governs, and rules over, while a manager is an official who manages or controls a person who has the general leadership of an enterprise or of a division. BURS (2010) states that the PMS success is dependent on the development of an environment of mutual trust and respect between managers and supervisors, and their staff at all levels. Performance can be rated in different ways. It can be measured on the basis of whether the type of judgement called for is relative or absolute evaluation (Nel et al, (2008:498). Relative judgement relates to comparisons of employees who do the same jobs against each other and provide the supervisor with superior subjective influence, which may be seen as unfair and lacking credibility. Maila (2006) states that performance implies the action of doing things, using things, attending to conditions, processing, communicating and achieving results.

2.7.6.4 PERFORMANCE MEASUREMENT SYSTEM

Simons (1995:200) defines management control systems as the formal, information-based routines and procedures that managers use to maintain or alter patterns in organizational activities. The OPM (2005) defines performance as actions, behaviour and inputs by a staff member who contributes to the achievement of results. According to Shields (2007), performance goals should be measurable. The aim of the control system is to make these levers of control act together in a balance in order to effect strategic planning. Budgets and plans account for strategy, management control and performance management; a full-scale control system, which ranges from organizational strategy to individual performance. Performance measures are essential to assure that everyone pulls in the same direction and focuses their attention on the right activities (Locke and Latham, 2002). Performance and measurement results and evaluation are critical for any organization. Traditional performance measures that are developed from purely a financial outcome have been criticised for encouraging short-termism (Banks and Wheelwright, 1979, as cited by Bourne, *et al*, 2000). Swanepoel *et al*, 1998 as cited in Maila, (2006:8) state that the performance management process is important as it entails planning employee performance, facilitating the achievement of work related goals, and reviewing performance as a way of motivating employees to achieve their full potential in line with the organisation's objectives.

Systems and interactive control systems are based on culture and values, and are used to support innovation, creativity and double-loop learning (Simons, 1995; Tuomela, 2005).

Friestad (2008) identifies four requirements for performance measures that are useful for a final evaluation of the performance measurement system, which is presented below:

- The set of performance measures that are used should be relevant;
- Performance measures are precise if they measure what they are supposed to measure;

- The set of performance measures is complete with an ideal number of measures;
- The performance measures should be responsive.

It is useless if an organization has all the systems and policies in place and they cannot measure their progress insofar as their targets and objectives are concerned. Hence, O'Neill (2006) describes a performance management system as using performance measures to determine whether performance improvements are made.

2.7.6.5 IMPLEMENTATION PROCESS OF A PERFORMANCE MANAGEMENT SYSTEM

Flanagan and Finger (1998:154) state that most performance improvement processes consist of agreeing on the standards or expectations by managers and staff: monitoring progress; recognising; and achieving and reviewing the performance displayed, with recognition and review featuring in the maintenance plan. Williams 2002 as cited in Maila, (2006:13) describes performance management as a system for integrating the management of organisational and employee performance. Performance management is defined by the United States Office of Personnel Management (2001) as “the systematic process by which an agency involves its employees, as individuals and members of a group, in improving organisational effectiveness in the accomplishment of agency mission and goals”. Performance is the actual work that is done to ensure that an organisation achieves its mission. In addition, and as observed by Bourne *et al* (2000), a lot has been achieved in providing alternative performance measurement systems that are more “balanced”, but little has been done to provide guidance to implementers on how to go about introducing a new PMS. Bouwmeester, M. (2011: 66) states that the major problem of evaluating the work performance of the government bodies around the world has been to determine the performance criteria in relation to the objectives set by their agencies.

2.7.6.6 IMPLEMENTATION PROCESS

The main purpose of the performance management process is to develop people and improve performance by clarifying goals and coaching regularly. ‘Most governments around the world have adopted some sort of performance management in the light of the weakening economy and the rise of public voices towards transparent and accountable government’ (Niven 2002:143). Merchant and Van der Stede (2003:46) describe management controls as processes, which ensure that employees do what is best for the organization. The techniques in the PMS might be applied to one setting, but might be difficult to implement in another setting (Hofstede, 1993:11). Davies (2006) proposes that the creation of benchmarks for year-to-year improvement has contributed to better service provisions, as they are a way of informing the public via published performance indicators, on how government funds have been spent.

2.7.6.7 CORPORATE STRATEGY DEVELOPMENT AND GOAL SETTING

An effective PMS is anchored on an organisation’s purpose, vision and strategy. Defining the purpose, mission and vision, therefore, forms the first and essential step in the implementation of a PMS. Government, especially local government, has implemented Performance Management Systems (PMS) that are based on Critical

Success Factors (CSF) and Balanced Scorecards (BSC) (Armstrong, M. and Baron, A. 2005).

2.7.6.8 ORGANISATIONAL DESIGN

Once the corporate strategy has been defined, it is important that the organisation reviews its structure to ensure that it supports the delivery of the strategic objectives. All employees in the municipality must be aware of the Macro, Micro design of the municipality and to whom each of them report to. The administrative and political structures and how the chain of command is structured, must be defined. It is vital that the reporting lines and command structures be defined to avoid confusion in the municipality.

2.7.6.9 SETTING FUNCTIONAL PLANS AND OBJECTIVES

Municipal employees should strive for superior results, and the goals should be ambitious (Lock and Latham, 1990, 2002). Corporate strategy is cascaded down and translated into functional or departmental plans. This process involves all the key people within that particular function so that they can understand the goals of the organisation and contribute to the design of the function's objectives. People by nature will support any concept or programme if they understand the logic and goals of the concept or programme.

2.7.6.10 PERFORMANCE CONTRACTING – INDIVIDUAL AGREEMENTS

Each municipal employee should have an Individual Development Plan. It means that each individual will have a specific plan, listing his or her development priorities to enhance competence in a person's current job. The employment contract of the employee must indicate the job description and what performance is expected from the specific employee. The objectives agreed for each function with senior managers are communicated to the rest of the team, spelling out the contributions that are expected to enable the achievement of the function, division or departmental targets.

2.7.6.11 PERFORMANCE MEASUREMENT

Performance measurement involves determining the extent to which objectives are achieved through developing indicators and linking them to targets and related standards. During the implementation phase, systems and procedures are established to collect and process the data that enable the measurements to be made regularly. Organisations explore and utilise available and new information

technology capabilities to manage data and report information in a more meaningful manner.

2.7.6.12 INDIVIDUAL PERFORMANCE AND DEVELOPMENT REVIEW

Performance management is a regular on-going engagement between employees and management on performance, resource allocation, coaching and development. Regular formal periodic reviews are built into the process and help to provide systematic engagement. These reviews, whilst looking at an employee's past contribution, are more progressive and focus on competence and continuous development. Scheepers in Craythorne, D.L (2006: 140-141) posits ten steps for the development process which (paraphrased) are:

1. Awareness: People became aware that development can make a difference to their lives.
2. Education and training: Through education and training people develop an understanding of options; develop new skills; and become empowered to make informed decisions.
3. Community involvement: People with skills and abilities use them in their communities to develop people and organisations. The more people become involved in the development process, the greater the changes of success.
4. Networking: Linkages and synergy (interaction) bring community organisations into existence that will secure functional systems and procedures for the well-being of the community. Resources and institutions of civil society are harnessed so as to grow into a people-driven network to support a community-based development process.
5. Leadership: Without leadership there cannot be development, because leaders influence people to achieve goals in their best interest. Because leaders are trusted, they can facilitate transformation in the minds and hearts of people. This is a prerequisite for meaningful and lasting development.
6. Management: Managers and management teams are needed to harness resources and strengths, to plan development, to involve people and communities, to solve problems and to strategise so that projects and programmes can be successful.
7. Projects, plans and transformation: Development projects and programmes change the physical environment by building houses, developing land and establishing infrastructure and facilities. This leads to people changing their

perceptions, attitudes and ideas as they adapt to their new environment and transform to new paradigms (patterns).

8. Growth: Growth takes place as people, organisations and communities become materially and mentally empowered. The transformation process results in new institutions and laws being established to deal with the social, environmental and economic challenges of growth and globalisation.

9. Allocating and distributing resources: Scarce resources have to be managed and distributed to achieve sustainability, equality and an empowered society.

10. Monitoring and maintenance: Development is a continuing process which has to be monitored to ensure that the process and the outcomes are in line with the needs and best interests of the people. Policies, plans, strategies and implementation must also be monitored so as to adapt to changing needs and circumstances. It is pivotal that continuous development is considered from both an individual point of view and organisational process improvements.

2.7.6.13 REVIEWING TARGETS AND STRATEGY

It is noted that the PMS should be used to challenge targets and the strategy for it to add more value to the organisation. Thus, the organisation should use the measures and outcomes of the performance reviews to reconfirm the performance measures and make changes to strategy, where appropriate. All municipal employees must be made aware if targets and goals are not met. Constant evaluation of the targets and objectives is necessary. Strategies that is unachievable must be change or review and faultfinding approach is necessary to illuminate shortcomings.

2.7.6.14 CHALLENGES OF THE PERFORMANCE MANAGEMENT SYSTEM

According to Sparrow and Hiltrop (1994:56), there are a number of reasons for the failure of performance management systems, including the following:

- The system is not used and supported by top management;
- Line managers view the system as an administrative burden and do not see the benefits of energy invested in making the system work;
- Performance objectives are written so subjectively that measurement is not possible;
- Performance objectives set at the beginning of the year seem less important by the end of the year if linked to certain projects that were not deemed critical success factors; and

- Managers are unable to give feedback and deal effectively and constructively with the conflict, which is generated by the assessment of employees' performance.

2.8 SUMMARY

In order for the City of Cape Town Municipality to function optimally, it is important to have staff expertise at all levels throughout departments to fulfill its constitutional mandate. The powers, duties and functions of any organization can be determined, but you need to implement what you penned on paper. The City of Cape Town municipality, as an organization, needs a strong team of individuals to carry forward the mission. The vision must be understandable for all employees to take ownership of the vision. Measuring performance management of a local government can have potential problems. Heads of Department will not be honest to reveal the true state of affairs in their respective departments. Measuring performance management must be linked directly to the City of Cape Town Municipal Strategies. It is important to measure the municipal IDP against the departments that drive and implement the strategies in the direction that the City of Cape Town Municipality wants to go. There must be a linkage between the IDP, the Department objective, and the individual performance management plans. These plans and objectives must be aligned to achieve the City's objectives. Management must be loyal and committed to drive the staff and processes to achieve the required outcome, as planned in the IDP document. The qualities of the workforce contribute to improving satisfaction amongst residents within the municipal area.

The next chapter outlines the research methodology that was used for the research. It begins by describing the mode and procedure of the research that was developed for this study, and will outline the acquisition of data in order to refine the data. It also describes the population that was represented in the sample.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1. INTRODUCTION

The previous chapter described the legislative framework, which governs the IDP and the IDP process, while this chapter provides an overview of how the requisite data were collected during the study.

3.2. RESEARCH METHODOLOGY

This research has used mainly primary data that were collected from the respondents to make accurate assertions, as a survey research design was used and in-depth content analysis of the IDP for municipalities, with the main focus on the Performance of the COCTM, IDP. Babbie and Mouton (2012) define the same concept as a research method which examines words or phrases within a wide range of texts (IDPs in this case). (Myers, & Newman, 2007:2) define research methodology as the research method or strategy of enquiry, which moves from the underlying assumptions to research design, and data collection. Rubin and Babbie (2005:666) state that the worth of the findings of a study depends on the validity of the study's design and data-collection procedure. It can be a scientific method, ethnography, or action research (O'Leary, 2004:85). This study involved the world of scientific research because it takes phenomena from one world, according to Mouton (2005:137), and then formulates it to real life problems and translates them into objects of inquiry (Mouton, 2005:138). Surveys are "studies that are usually quantitative in nature and aim to provide a broad view of a representative sample of a large population" (Mouton, 2005:152). The study concerned learning whether the officers of the City of Cape Town Municipality have a competency-based, standard setting model of performance management that exists throughout all Departments in the City of Cape Town Municipality, and, which is in line with the City of Cape Town's IDP. According to Leedy (1997: 9), the methodology controls the study, dictates the acquisition of the data, arranges them in logical relationships, and sets up a means of refining the new data. Leedy (1997: 9) further states that the methodology contrives an approach so that the meanings that lie below the surface of that data become manifest, and finally issues a conclusion or series of conclusions that lead to an expansion of knowledge. Leedy (1997: 9) identifies two primary functions of research methodology, namely:

- to control and dictate the acquisition of data; and
- to correlate the data after acquisition and extract meaningfulness from them.

The study followed a quantitative research approach with pre-set response choices, to produce results that can be quantified or enumerated (Fink, 2007:175). In a quantitative approach the data are analysed by a statistician who enables the researcher to compile statistical charts. Quantitative research focuses on an analysis of information in order to generate quantifiable results. To attain this goal, statistical techniques are used to generate and analyse quantitative data (Mwanje and Gotu, 2001:1-2).

3.3. RESEARCH DESIGN

The research was conducted using a self-administered questionnaire with structured statements and no open-ended questions. Babbie and Mouton (2001:76) describe the research design as the particular approach that the researcher follows in conducting the research project. It was assumed that the measuring technique employed, namely, a five-point Likert scale, would presuppose that a particular test item had the same meaning for all respondents, and thus a given response was scored identically for everyone making it.

RATING VALUE

1 = Strongly agree

2 = Disagree

3 = Undecided

4 = Agree

5 = Strongly agree

The interpretation of the research findings was divided into two sections, namely: section A (personal data of respondents), B (statements) (perceptions of the performance of the IDP in the COCTM)

3.4. SAMPLE POPULATION

The target population included 95 officials were used as the sample in the study. This group was selected because it is strategically situated across the COCTM and the participants take key administrative decisions and are knowledgeable about the topic under investigation (Leedy, 1997: 204). The survey achieved a response rate of 44%. The research findings are based on 42 completed questionnaires of the target research population of 95.

3.5. DATA COLLECTION METHOD

The empirical study, which was employed to conduct this study, was quantitative in nature. The quantitative approach is also identified as the positivist approach to research (Welman *et al.*, 2005:7). Quantitative research relies on measurement to compare and analyse different variables (Bless *et al.*, 2006:43). Quantitative research emphasises measurement and analyses casual relationships between variables within a value free context (Welman *et al.*, 2005:8). The primary data for this study were collected by using a survey based on a questionnaire, which comprised closed statements. After the survey, the questionnaire was referred to a statistician so that the data contained in the questionnaire could be quantified and subjected to statistical analysis. The secondary data were used as a tool to conduct primary data collection.

3.6. QUESTIONNAIRE

A self-administered questionnaire was used for the collection of data as the respondents were adequately literate and would be able to complete the questionnaires themselves (De Vos, et al., 2011:188). The questionnaire was divided into two sections, namely section A: biographical data, and section B: technical knowledge.

The interpretation of the research findings was divided into two sections, namely: section A (personal data of respondents), and B (statements regarding perceptions of the performance of the IDP in the COCTM).

The researcher distributed the questionnaires to all the respondents' work e-mail addresses and they were asked to return the completed questionnaires within two weeks to the researcher's e-mail address. According to Babbie and Mouton (2001: 259), this method of electronic mail delivery and collection of questionnaires seems to have a higher completion rate than that of a mail survey, and it also reduces costs. The advantage of using an electronic self-administered questionnaire is that it is cheaper and quicker to administer. This is important for a student who does not have funding and who wishes to undertake a survey for a thesis. (Monette *et al.* 2008). The data also established whether the target population understand their duties and obligations and have the expert knowledge and techniques, which are required to occupy the positions. According to Zimbardo and Ebbeson (1969:125), it is possible to measure subjective attitudes by using quantitative techniques, so that each individual's opinion can be represented by some numerical score.

3.7. DATA ANALYSIS METHODS

A statistician from the Cape Peninsula University of Technology (hereinafter referred to as (CPUT) utilised the computer programme “SPSS” to process the collected data and to generate the various statistical results. The relative values pertaining to the set statements that emerged from the survey were transferred in codified form to a computer database. The advantage is that the SPSS is a codebook, which organises data, while its template supplies a preliminary visual picture of the researcher’s overall investigation and the process that is followed to analyse data (Fox and Bayat, 2007: 105). The process of gathering, modelling, and transforming data with the goal of highlighting useful information, suggesting conclusions, and supporting decision making, was conducted. The findings were dependent on the self-administered questionnaires, which were analysed together with secondary data that were available from other literature. Interpretive narratives were constructed from the data (Leedy, 1997:106). Statistical charts are used to display statistical information, because they are useful in this regard. The most frequently used statistical charts in analysis are the pie chart and the column chart. The magnitude, which is usually expressed in percentages, is represented by several slices of a pie chart (Mwanje and Gotu, 2001:23). The research used the Likert scale, which is also called summated- rating scales, because a respondent’s score on the scale is computed by calculating the number of responses that the respondent gives (De Vos, *et al.* 2011:212).

3.8. SUMMARY

This chapter focused on the methodology that was employed in the study. A self-administered questionnaire was divided into two sections- Section A for biographical data and Section B for technical knowledge. It was cited that the questionnaire used a Likert based scale, which has unambiguous ordinary response categories, while its advantages and disadvantages were also specified. Analysis and discussion of the research findings are discussed in Chapter Four, which follows.

CHAPTER FOUR

DATA COLLECTION, STATEMENT OF FINDINGS, ANALYSIS OF DATA AND DISCUSSION

4.1 INTRODUCTION

Chapter Three discussed the research methodology as a survey questionnaire amongst the sample population of 95 Heads in Departments of the City of Cape Town. This chapter presents the data that were collected, analysis and discussion of the data.

4.2 DATA COLLECTION

The target population included 95 officials was used to conduct the study because This group was selected because it is strategically situated across the COCTM and the participants take key administrative decisions and are knowledgeable about the topic under investigation (Leedy, 1997: 204). The survey achieved a response rate of 44%, the research findings are based on 42 completed questionnaires of the target research population of 95 which is considered as above average in the field of research. One questionnaire was spoiled, which makes the valid response 41 with a percentage rate of 43%.

4.3 DATA ANALYSIS

A statistician from the Cape Peninsula University of Technology (hereinafter referred to as (CPUT) utilised the computer programme "SPSS" to process the collected data and to generate the various statistical results. The relative values pertaining to the set statements that emerged from the survey were transferred in codified form to a computer database.

4.4 DEMOGRAPHIC PROFILE OF THE RESPONDENTS

For the purpose of this analysis, the following variables, namely gender, annual income, age of respondents, home language, years of experience in the COCTM, highest education and any other qualification, were used.

4.4.1 FREQUENCIES OF RESPONDENT'S BIOGRAPHICAL INFORMATION

In this study, the empirical survey of selected senior municipal officials in managerial positions were to test responses to personal data aspects of respondents such as gender, annual income, age distribution home language years of services and their qualification, and to have a holistic view of the leadership within the COCTM.

4.4.2 GENDER OF RESPONDENTS

This section identified the gender distribution of Department Heads in The City of Cape Town Local Municipality (COCTM). The findings are indicated in Figure 4.1 below.

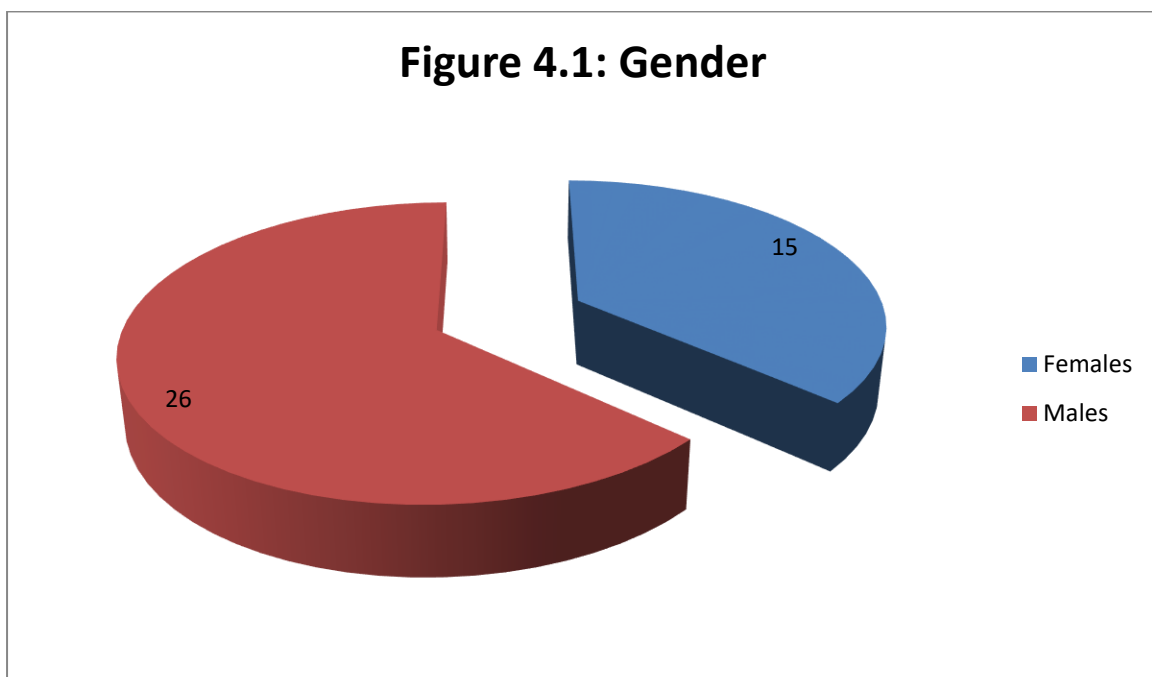


Figure 4.1: Gender of respondents

Figure 4.1 above indicates the gender of respondents, which saw a majority of males, namely 26 in total (63%) with the remainder being females namely 15 (37%) in total. This shows that males still occupy the majority of senior positions in the municipality.

4.4.3 THE ANNUAL INCOME OF RESPONDENTS

This question was designed to determine the different salary scales amongst the Heads of Department in the City of Cape Town municipality. The findings are shown in Figure 4.2 below.

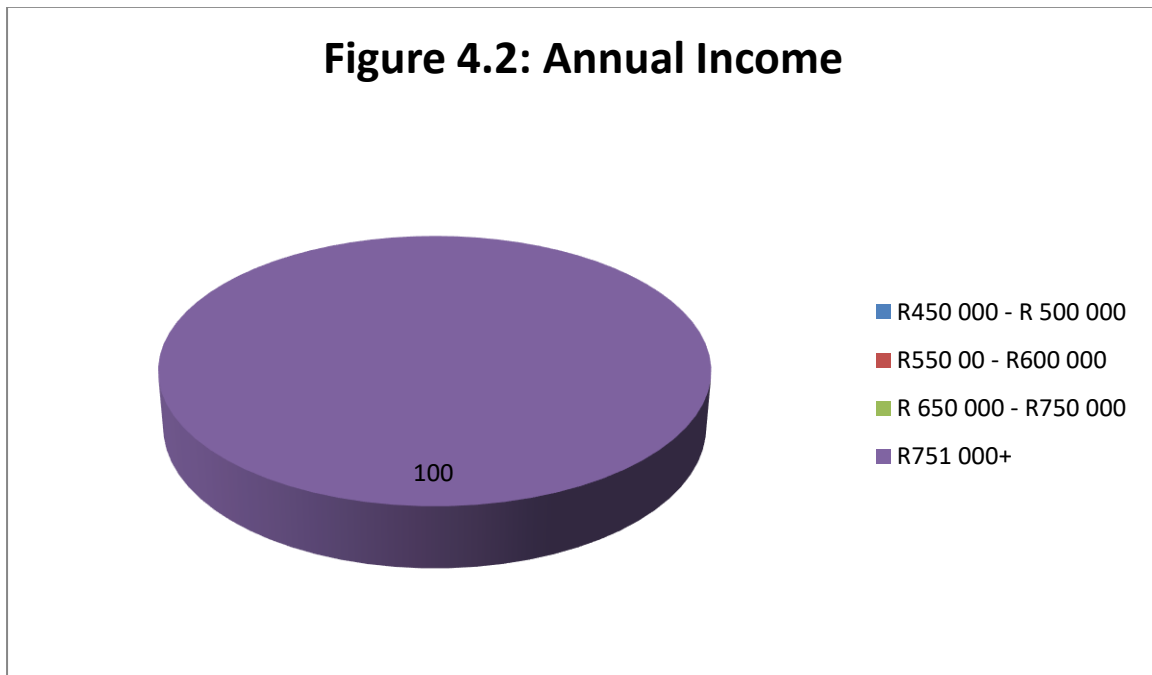


Figure 4.2: Annual income of the respondents

Figure 4.2 above reveals that all of the respondents (100%) earn salaries of more than R750 000.00 per annum, which means that the City of Cape Town municipality pays top salaries to people on this level, and that there is fairness between male and female respondents as far as pay is concerned.

4.4.4 AGE DISTRIBUTION

Figure 4.3 below illustrates the age distribution of the Heads of Department. It is important to have succession plans in place in case of retirement. The age distribution of the municipality is important in terms of how the knowledge and experience of this senior management can be passed on to future senior managers.

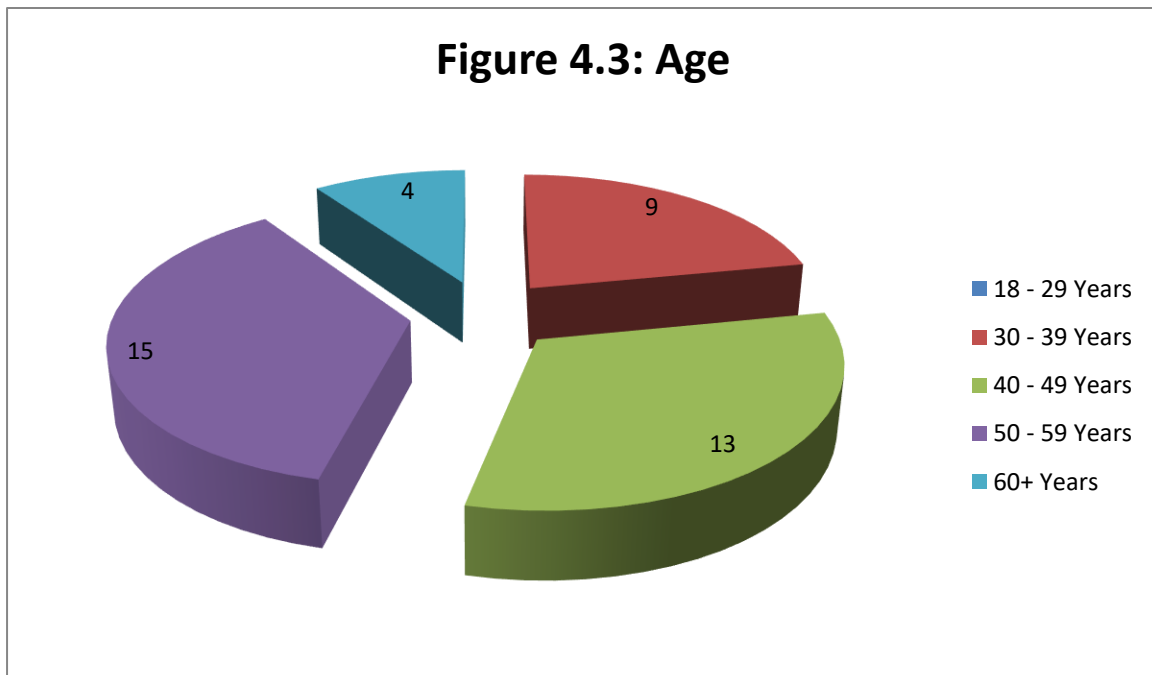


Figure 4.3: Age distribution of respondents

Figure 4.3 above reveals that 4 of the respondents (10%) have already reached retirement stage of 65 years (60+ years), and will retire soon owing to their age. It is also concerning that 15 (37%) of the respondents is in the age group of 50 – 59 years. This means that in the within 5 years, this municipality will lose 37% of its senior managers. It is pleasing though that 13 (32%) of the senior managers in the 40- 49 years' age group will still work for between 15 to 25 years for the City of Cape Town, while another 9 respondents (22%) in the 30 – 39 years' age group can still give loyal service of between 25 to 35 years. The researcher was not surprised with the zero % response rate in the 18 – 29 years' age group because of the lack of experience and the levels of responsibility that accompany these positions.

4.4.5 HOME LANGUAGE

Figure 4.4 below illustrates the home language of the respondents. It is important to know the home language of the respondents in order to understand how they best serve the residents of this city.

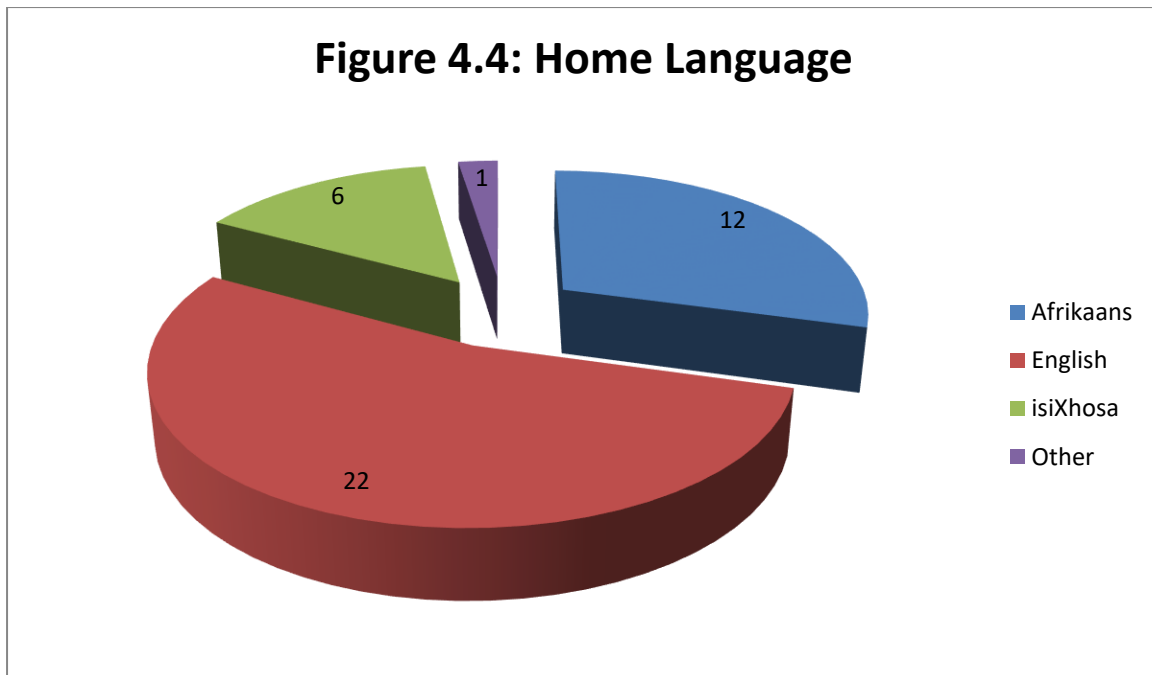


Figure 4.4: Home language of respondents

Figure 4.4 above reveals that the majority of respondents, namely 22 (54%) has English as their home language; 12 respondents (29%) are Afrikaans speaking; and 6 (15%) respondents has isiXhosa as their home language. The other 1 is Zulu speaking. These figures don't represent the language representatives of the population and only cater for less than 50% of the nation languages.

4.4.6 RESPONDENT'S YEARS OF SERVICE WITH THE CITY OF CAPE TOWN MUNICIPALITY

Figure 4.5 below illustrates respondents' years of service with the City of Cape Town municipality. Here the concern was to correlate the age distribution figure with their years of service at the City of Cape Town municipality with a view to gauge the experience of Hod's in COCTM.

Figure 4.5: Years of service in the City of Cape Town

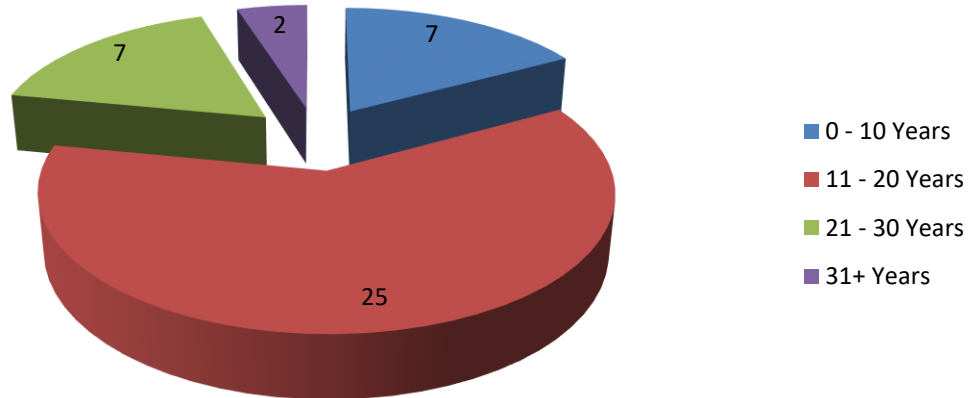


Figure 4.5 Respondents' years of service with the City of Cape Town Municipality

Figure 4.5 above illustrates the number of years that respondents have worked in the City of Cape Town municipality. A total of 25 (60%) of the respondents worked between 11 and 20 years for the City of Cape Town, it means that most of the HODs have work for the COCTM since the new municipal dispensation and was promoted or appointed in this period, while 7 respondents (17%) worked for the City of Cape Town for 0-10 years, mostly appointees that work at other municipalities or public sectors and 7 respondents (17%) had worked there for 21- 30 years, these respondents have worked from the old dispensation into the new municipal dispensation and bring along most needed knowledge at municipal level. 2 of the respondents had (5%) 31+ years of service with the City of Cape Town.

4.4.7 RESPONDENTS' EDUCATIONAL QUALIFICATIONS

Figure 4.6 below illustrates the different qualifications, which the Heads of Department in the City of Cape Town hold. It further illustrates the formal training of the HODs compared with the salary scale, which showed what they earn.

Figure 4.6: Highest Qualification

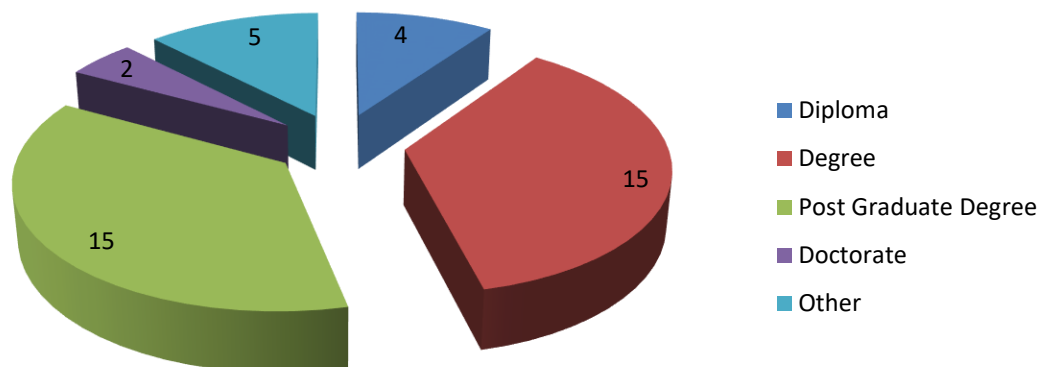


Figure 4.6: Qualifications of respondents

Figure 4.6 above illustrates that 15 respondents (37%) have degrees, while another 15 respondents (37%) have post graduate degrees. A total of 4 respondents (10%) have National Diplomas and Higher National Diplomas, while 2 respondents (5%) have doctoral degrees, and 5 respondents (12%) have technical qualifications such as N4, N5 and N6. Senior managers appointed in terms of Section 56 of the Local Government Municipal Systems Act, 2000; requires specific minimum competency levels. MFMA sections 83, 107 and 119 of the Local Government: Municipal Finance Management Act 56 of 2003 and Municipal Regulations on Minimum Competency Levels (RSA, Government Gazette 29967, 2007) outline the competency levels of financial officials as indicated in Regulation 16(2) of the Competency Regulations. Senior managers and chief financial officers in high capacity municipalities must have more than just a bachelor's degree as demanded by the DPLG's regulations; they must also have an honours degree in a relevant field. The alternative for the chief financial officers is that they must be chartered accountants in South Africa.

4.5 OVERVIEW OF EMPIRICAL STUDY

The purpose of this analysis is to discuss the following technical statements pertaining to the respondent's knowledge of the IDP and its management and performance management.

4.5.1 STATEMENT B1: MY DEPARTMENT ADHERES TO LOCAL GOVERNMENT LEGISLATION

Figure 4.7 below illustrates how the department adheres to legislation, which governs the local government's responsibility in terms of service delivery. It is important to establish if the department HODs understand their legislative obligation.

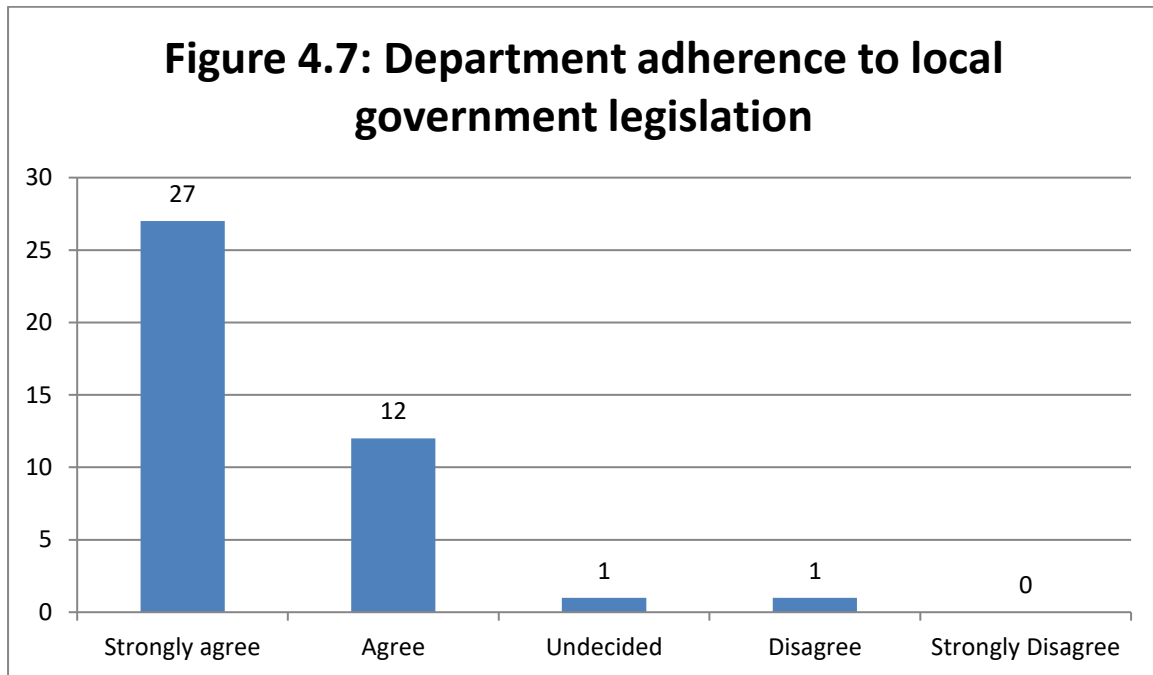


Figure 4.7: Department adheres to local government legislation

Figure 4.7 above illustrates how the Department Heads in The City of Cape Town adhere to legislation that stipulate local government's responsibility in terms of service delivery. A total of 27 (67%) responses to this statement indicate of the respondents strongly agreed with the statement; (29%) of the respondents agreed with this statement; 1 (2%) respondent was undecided; and (2%) respondents disagree with the statement.

The results indicated the senior managers is strongly in agreement and agree what The Municipal Systems Act states that the MSA makes provision for the national Minister for local government the power to issue guidelines and make regulations on a range of issues mentioned in the Municipal Systems Act.

4.5.2 STATEMENT B2: MY DEPARTMENT UNDERSTANDS THE IMPORTANCE OF THE COUNCIL'S IDP STRATEGIES AND OBJECTIVES.

Figure 4.8 below illustrates the departments' levels of understanding of the City of Cape Town Municipal Council's IDP strategies and objectives.

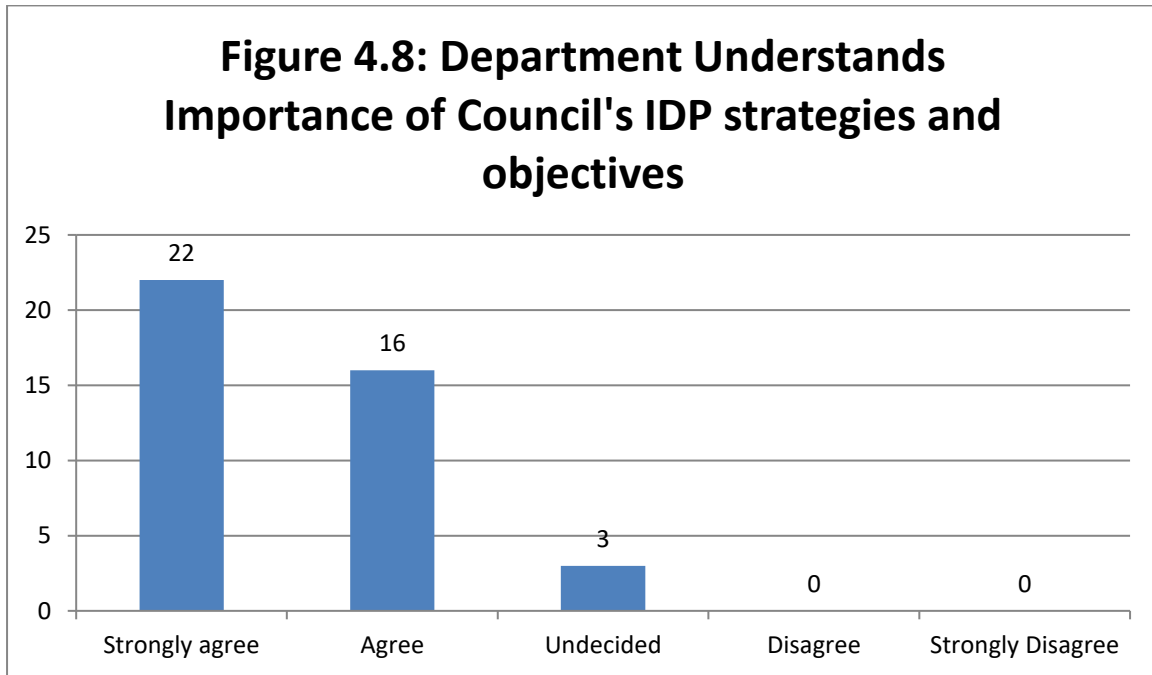


Figure 4.8: Department understands the importance of the Council's IDP strategies and objectives.

Figure 4.8 above illustrates how the Department Heads understand the City of Cape Town Municipal Council's IDP strategies and objectives.

The responses to this statement indicate that a total of 22 respondents (54%) strongly agreed with the statement, while 16 respondents (39%) agreed with the statement and 3 respondents (7%) were undecided.

The MSA gives the national Minister for local government the power to issue guidelines and make regulations on the municipal IDP.

Integrated development planning: The Minister may provide incentives to ensure that municipalities adopt their integrated development plans within the applicable prescribed period, and comply with the provisions of this Act concerning the planning, drafting, adoption and review of those plans. National guidelines may also address issues such as the detail of integrated development plans; the details of the planning process; a process for amending integrated development plans; the details of the process for dealing with objections through

an ad hoc committee; and any other matter which will facilitate the drafting of integrated development plans.

4.5.3 STATEMENT B3: THE DEPARTMENT CONTINUOUSLY MONITORING TO MAINTAIN THE QUALITY OF SERVICE DELIVERY

Figure 4.9 below determined the quality of services that were delivered, and if the departments monitor the maintenance of quality services to communities. Figure 4.9 illustrates responses that were received from respondents in this regard.

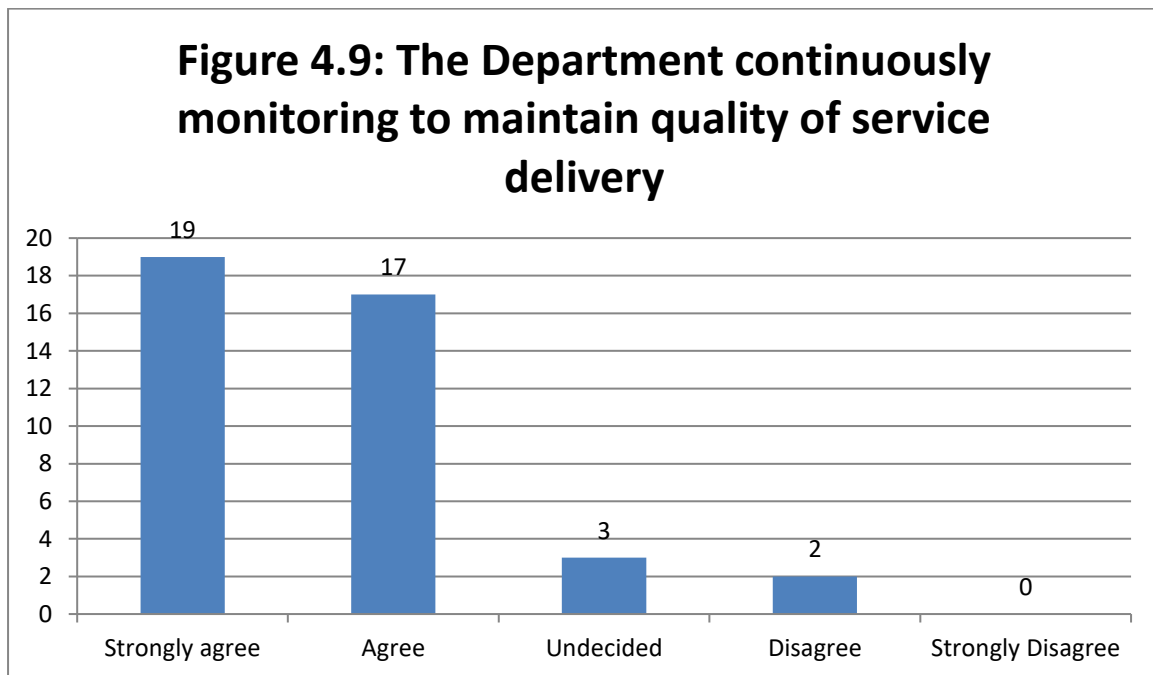


Figure 4.9: Continuously monitoring to maintain the quality of service delivery

Figure 4.9 above was designed to establish if management of the quality of services to communities takes place. The responses to this statement indicates that a total of 19 respondents (46%) strongly agreed with the statement; 17 respondents (41%) agreed with the statement; 3 respondents (7%) were undecided; and 2 respondents (5%) were in disagreed with the statement.

The above result indicated that continuously monitoring the quality of service enriches service delivery.

4.5.4 STATEMENT B4: IMPORTANCE OF THE VISION, MISSION AND VALUE STATEMENTS OF THE COCTM

Figure 4.10 below illustrates the responses that were received from respondents regarding the importance of the vision, mission and value statements of the City of Cape Town municipality.

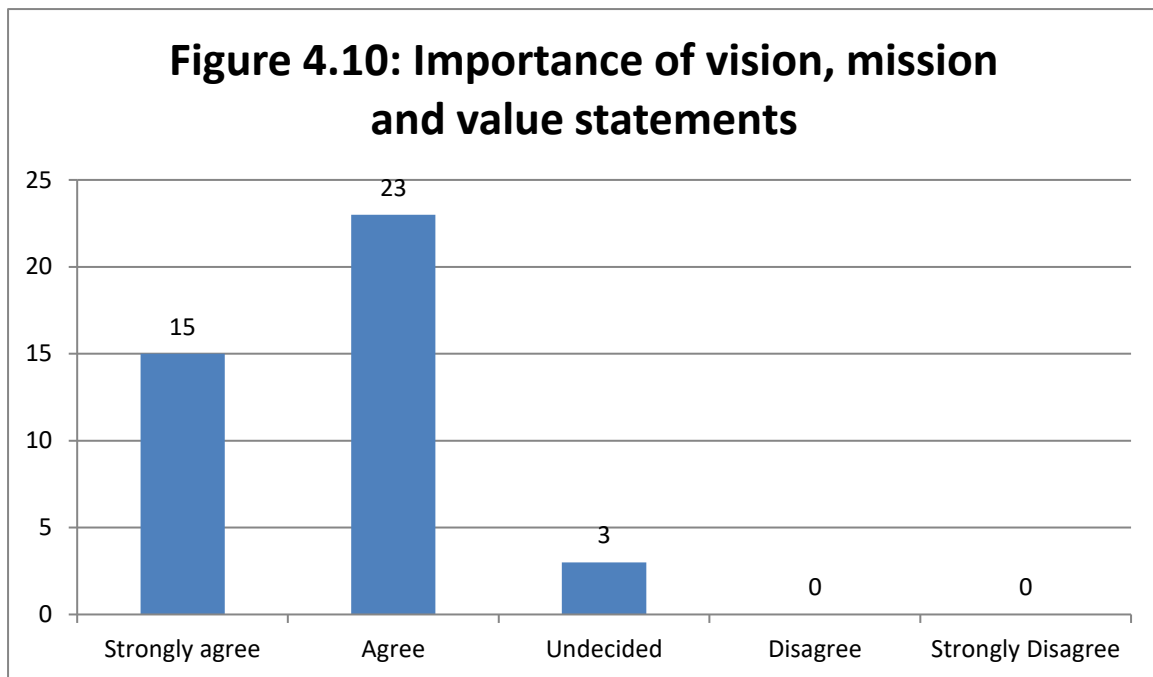


Figure 4.10 Importance of the vision, mission and value statements of The City of Cape Town municipality

Fig 4.10 above was designed to establish the importance of the vision, mission and value statements of the City of Cape Town. A total of 15 respondents (37%) strongly agreed that they understand the importance of the statements, while 23 respondents (56%) agreed that they understand the importance of the municipal statements, and 3 (7%) was undecided about whether or not the above statements are important.

Most of the respondents agreed with the statement that the vision and mission statement of the ideal situation that the municipality would like to achieve in the long term once it addressed the problems and challenges faced by the municipality.

4.5.5 STATEMENT B5: THE CITY OF CAPE TOWN HAS AN EFFICIENT COMMUNICATION STRATEGY FOR ALL INTERNAL DEPARTMENTS AND EXTERNAL ROLE PLAYERS.

Figure 4.11 below illustrates how respondents relate to communication within the City's directorates and to external role-players.

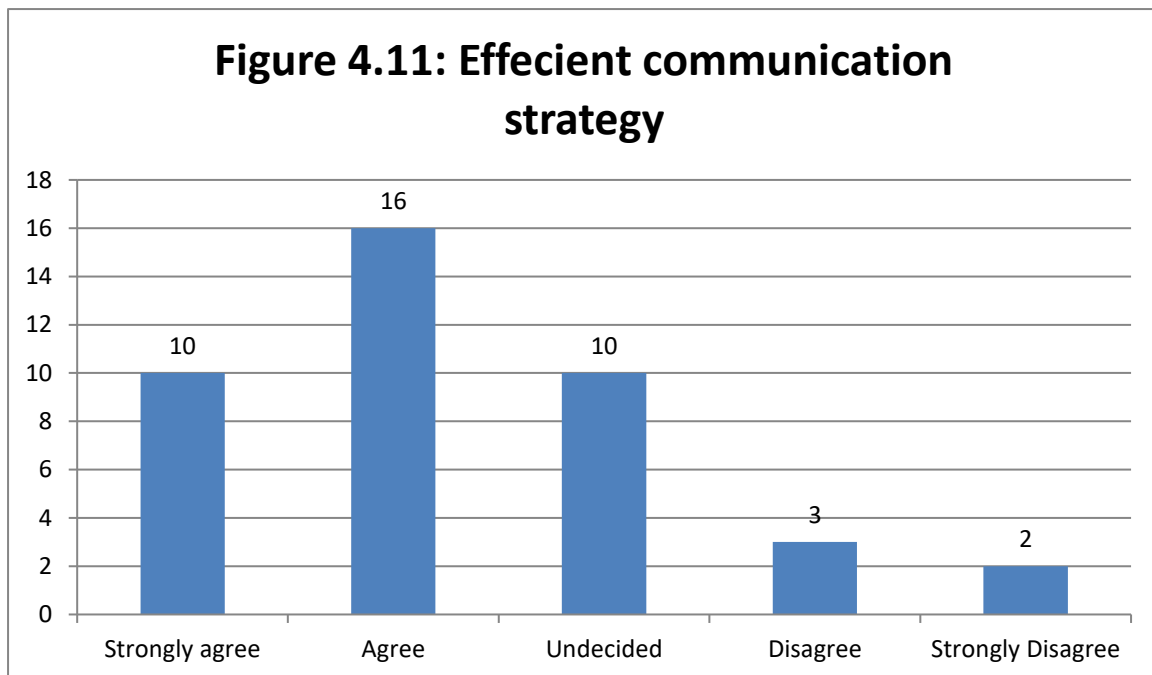


Figure 4.11: The City of Cape Town has an efficient communication strategy for all internal departments and external role players

Figure 4.11 above was designed to establish the efficiency of communication within the City of Cape Town for its internal departments, as well as its external role players. Communication is the most important tool for residents to express what they expect from the City of Cape Town both in terms of what has been done thus far, and what to expect in the future. In terms of the above percentages, the respondents indicated that there was a lack of communication between departments and with other role players, for instance, the provincial government, the media, the South African Police Services, and the Courts. A total of 10 respondents (24%) strongly agreed that the City of Cape Town municipality does have an efficient internal and external communication strategy, while 16 respondents (39%) agreed with the statement. It is interesting to note that 10 respondents (24%) were undecided, and 3 respondents (7%) disagreed with the statement, while 2 (5%) strongly disagreed that the City of Cape Town has an efficient communication strategy. The latter three statistics show that 36% of the respondents doubt communication within the City's directorates, and with external role-

players. According the MSA, a municipality must establish and organise its administration in a manner that enables it to establish clear relationships, and facilitate co-operation, co-ordination and communication, between political and administrative structures, and; the municipality and the local community; maximise efficiency of communication and decision making within the administration.

4.5.6 STATEMENT B6: THE SETTING OF CLEAR, REALISTIC GOALS FOR DEPARTMENTS TO MEET THE SERVICE NEEDS OF THE PEOPLE

Figure 4.12 below illustrates whether the City of Cape Town sets clear and realistic goals for departments to meet the service needs of the City’s residents.

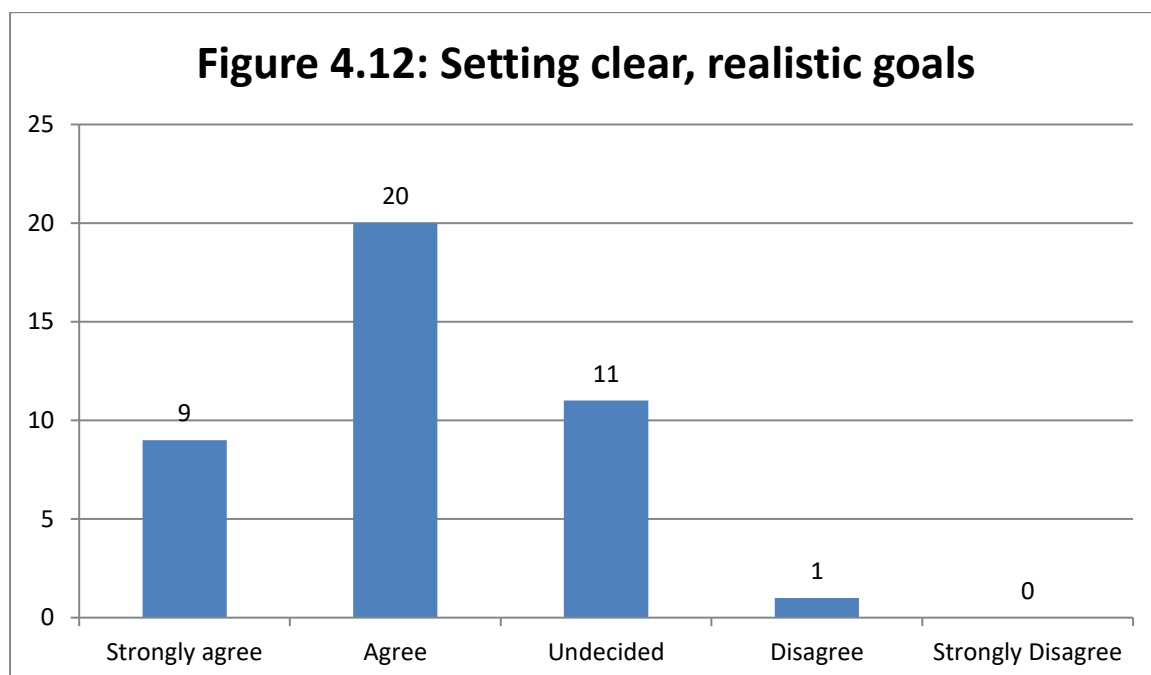


Figure 4.12: Setting clear, realistic goals for departments to meet the service needs of the people.

Figure 4.12 above illustrates how the respondents responded to the statement that the City of Cape Town sets clear and realistic goals for departments to meet the service needs of the City’s residents. A total of 9 respondents (22%) strongly agreed with this statement, while 20 respondents (49%) were in agreement with this statement, and what is significant that 11 respondents (27%) were undecided and doubtful that the City of Cape Town sets clear and realistic goals for its departments. It is an area of concern if senior managers on this level doubtful about departmental goals of service delivery. A mere 1 respondent (2%) disagreed with the statement. Hence, it should be noted that the majority (49%) of respondents agreed with the statement that the City of Cape Town sets clear and realistic goals for its departments.

The policy review process for local and provincial government (2007) provides the following reason regarding the statement:

South Africans expect more responsive, accountable, efficient, equitable and affordable government and a better quality of service.

4.5.7 STATEMENT B7: THE CITY OF CAPE TOWN TAKES INTO ACCOUNT DEPARTMENTAL PROPOSALS FOR THE DEVELOPMENT OF THE MUNICIPAL IDP

The aim of the statement in Figure 4.13 was to determine if the City of Cape Town takes into account the proposals, which are given by the departments. After all, the departments do the implementation or groundwork. Figure 4.13 below illustrates respondents' responses, in this regard.

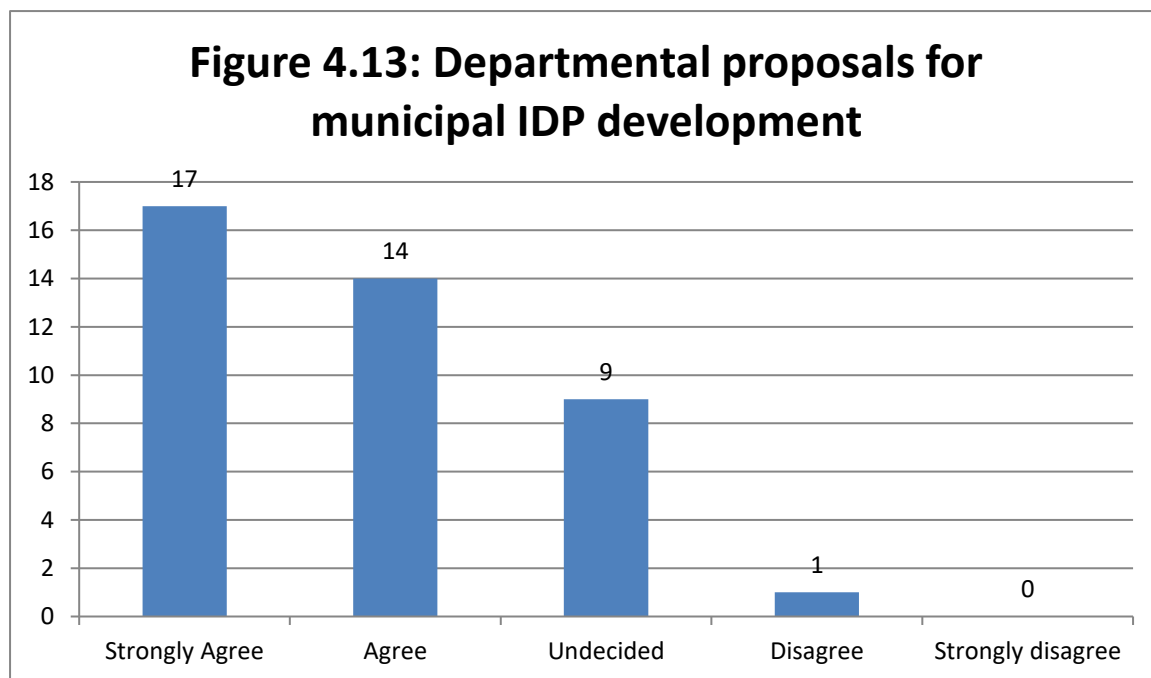


Figure 4.13: The City of Cape Town takes into account departmental proposals for the development of the municipal IDP

Figure 4.13 above illustrates responses, which relate to internal consultation with the proposed IDP, and if departmental proposals were considered. It was a fairly good overview with 17 respondents (41%) strongly agreeing and 14 respondents (34%) agreeing that their proposals were taken into account when developing a new IDP document. The negative responses 9 (22%) doubted present the worrying reality of the respondents, that the City of Cape Town

didn't took their proposals into account, while 1 (2%) totally disagreed that the City took into account their input.

4.5.8 STATEMENT B8: THE MUNICIPALITY ALIGNS ITS RESOURCES AND CAPACITY OF THE MUNICIPALITY WITH THE IMPLEMENTATION OF THE INTEGRATED DEVELOPMENT PLAN

Figure 4.14 below illustrates respondents' views regarding whether the resources and capacity were aligned with IDP implementation.

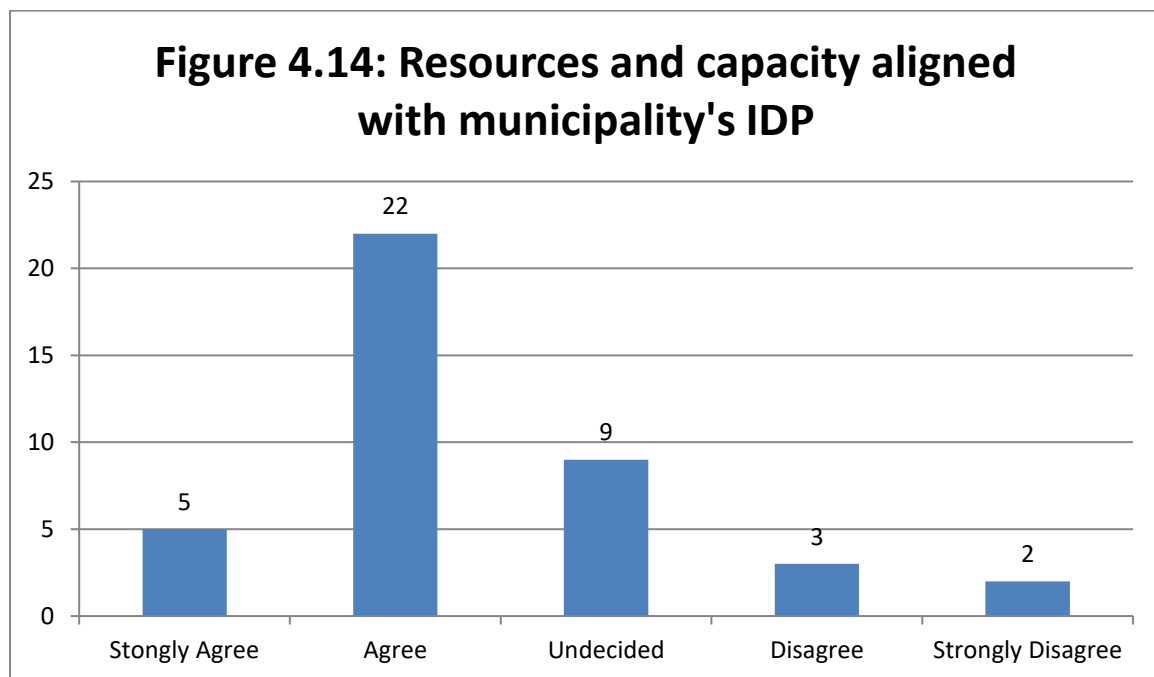


Figure 4.14: The municipality aligns its resources and capacity with implementation of the Integrated Development Plan

Fig 4.14 above illustrates the positive responses present that majority respondents agree 22 (54%) that the municipality aligns it resources and capacity with the IDP, while 9 respondents (22%) were doubtful, and 5 respondents (12%) strongly agreed. A total of 3 respondents (7%) disagreed with this statement, and 2 respondents (5%) strongly disagreed.

The MSA obligates municipalities insofar as municipal council's duties as well as their rights is concern. These include the duties to: exercise their powers and use their resources in the best interests of the local community.

4.5.9 STATEMENT B9: THE MUNICIPALITY HAS ESTABLISHED DEPARTMENTAL AND INDIVIDUAL PERFORMANCE AGREEMENTS AND PLANS

Figure 4.15 below illustrates respondents' views in terms of whether the municipality has established department and individual employee performance agreements and plans.

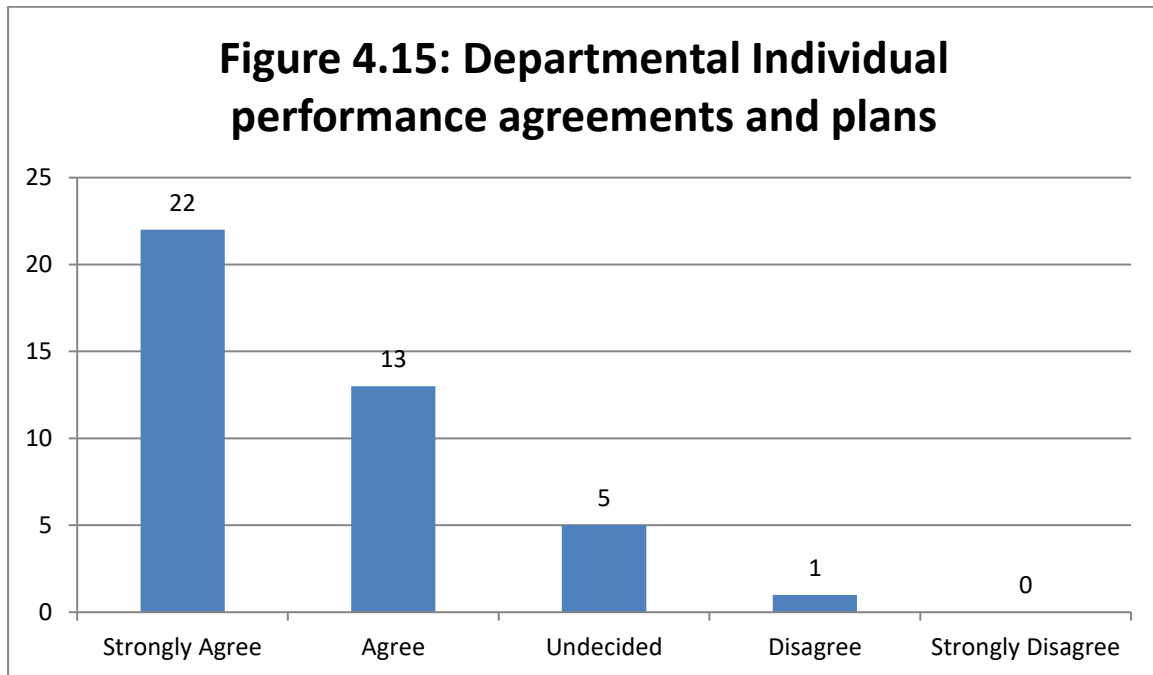


Figure 4.15: The municipality has established departmental and individual performance agreements and plans

Figure 4.15 above illustrates that altogether 86% of the respondents either agreed or strongly agreed with the statement; a majority of 22 respondents (54%) strongly agreed with the above statement, followed by 13 respondents (32%) who agreed that the municipality established department and individual employee performance agreements and plans, while 5 respondents (5%) were doubtful, and 1 disagreed (2%) with the statement.

The majority of the respondents 86% felt that the departmental and individual performance agreements and plans, was established in the COCTM. The departmental and individual performance agreements and plans are linked to the performance management system, managing the performance of a plan that is realistic and measurable.

4.5.10 STATEMENT B10: EXERCISING OF GOOD GOVERNANCE BY THE CITY OF CAPE TOWN

Figure 4.16 below illustrates respondents' views regarding whether or not the City of Cape Town exercises good governance.

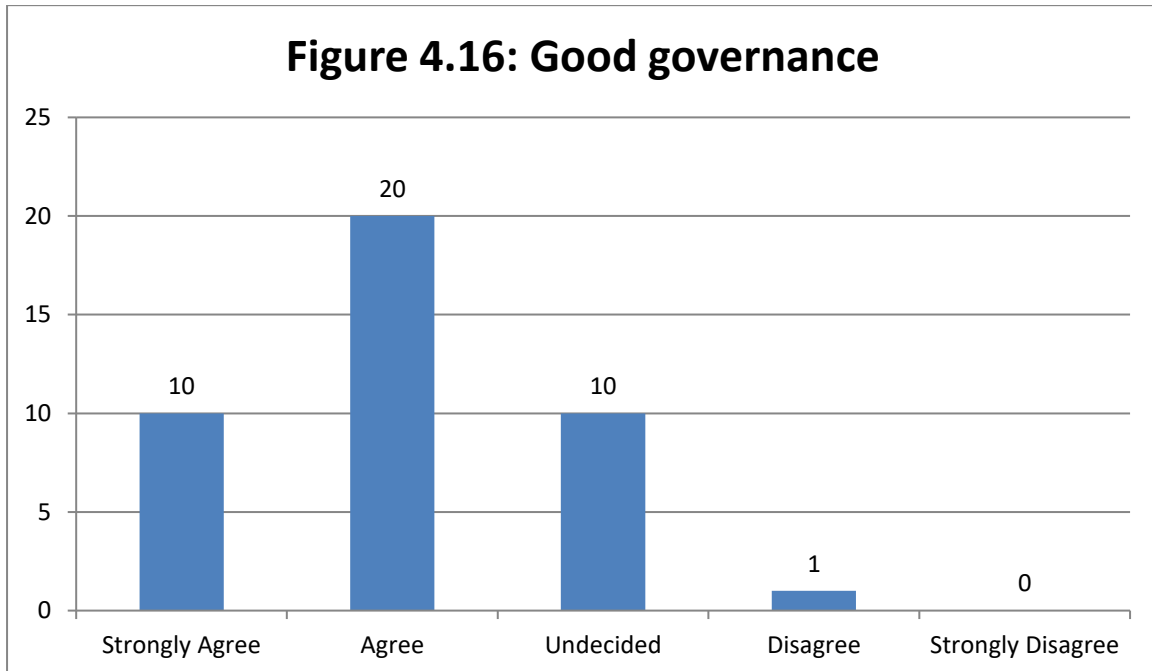


Figure 4.16: The exercising of good governance by the City of Cape Town

Figure 4.16 above illustrates respondents' views regarding whether or the City of Cape Town exercises good governance. A total of 10 respondents (24%) strongly agreed that there is good governance in the City of Cape Town, while 20 respondents (49%) agreed with the statement, and 10 (24%) were doubtful. A further 1 person (2%) disagreed with the statement. What is worrying is that 24% of respondents is doubtful that the COCTM exercise good governance.

Molekane and Mothae (2009:5) argue that critical elements in governance include participation, rule of law, transparency, responsiveness, equity and accountability; and propose that good governance as qualified governance implies the reflection and application of these principles in the manner in which government, through public authorities, makes and implements decisions.

4.5.11 STATEMENT B11: THE MUNICIPALITY EXERCISES EFFICIENT FINANCIAL MANAGEMENT OF NATIONAL AND PROVINCIAL MIG GRANTS

Figure 4.17 below illustrates respondents' views regarding the statement that the municipality exercises efficient financial management of national and provincial MIG grants.

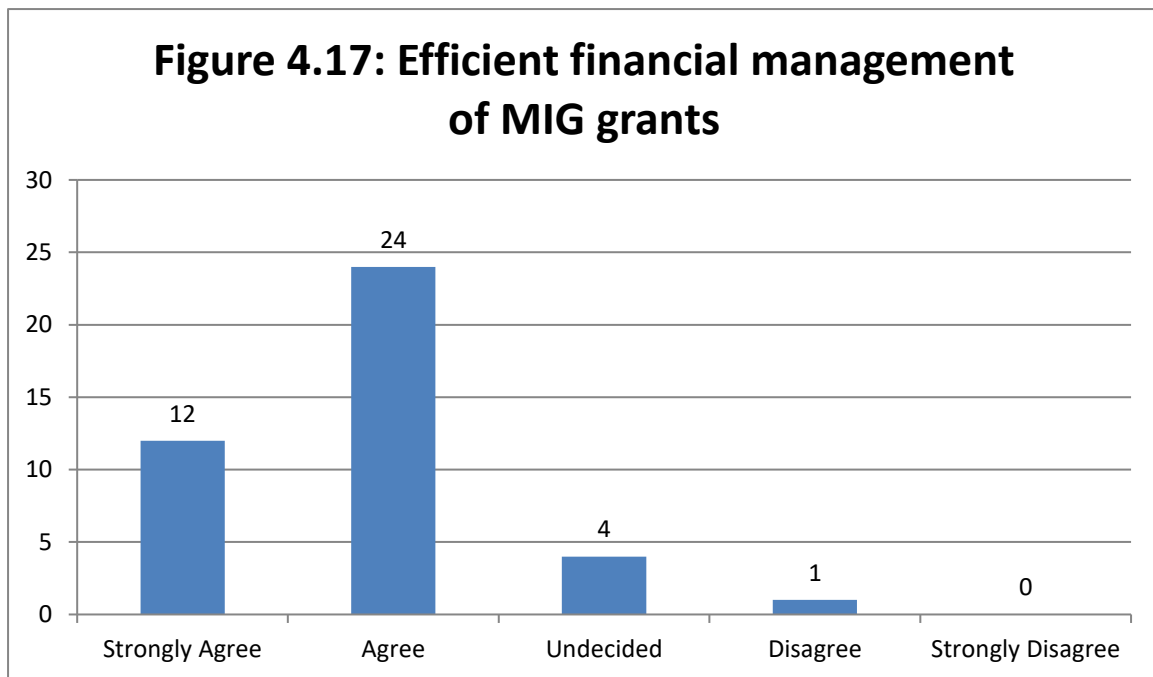


Figure 4.17: The municipality exercises efficient financial management of national and provincial MIG grants

Figure 4.18 above illustrates that 24 respondents (59%) agreed with the above statement, while 12 respondents (29%) strongly agreed, 4 respondents (10%) doubt that there are financial controls. A further 1 person (2%) does not believe that there is control over provincial and national MIG grants.

The aim of the Local Government: Municipal Finance Management Act 56 of 2003 is to secure sound and sustainable management of the financial affairs of municipalities and other institutions in the local sphere of government, to establish treasury norms and standards for the local sphere of government and to provide for matters connected therewith. It is pleasing that 89% of respondents respond positive to the statement.

4.5.12 STATEMENT B12: IDP AND DEVELOPMENTAL DIRECTORS OF THE CITY OF CAPE TOWN MUNICIPALITY MONITORING THE PROGRESS OF THE IDP PROCESSES.

Figure 4.18 below illustrates respondents' views regarding whether or not IDP and developmental directors of the City of Cape Town municipality monitor the progress of the IDP processes.

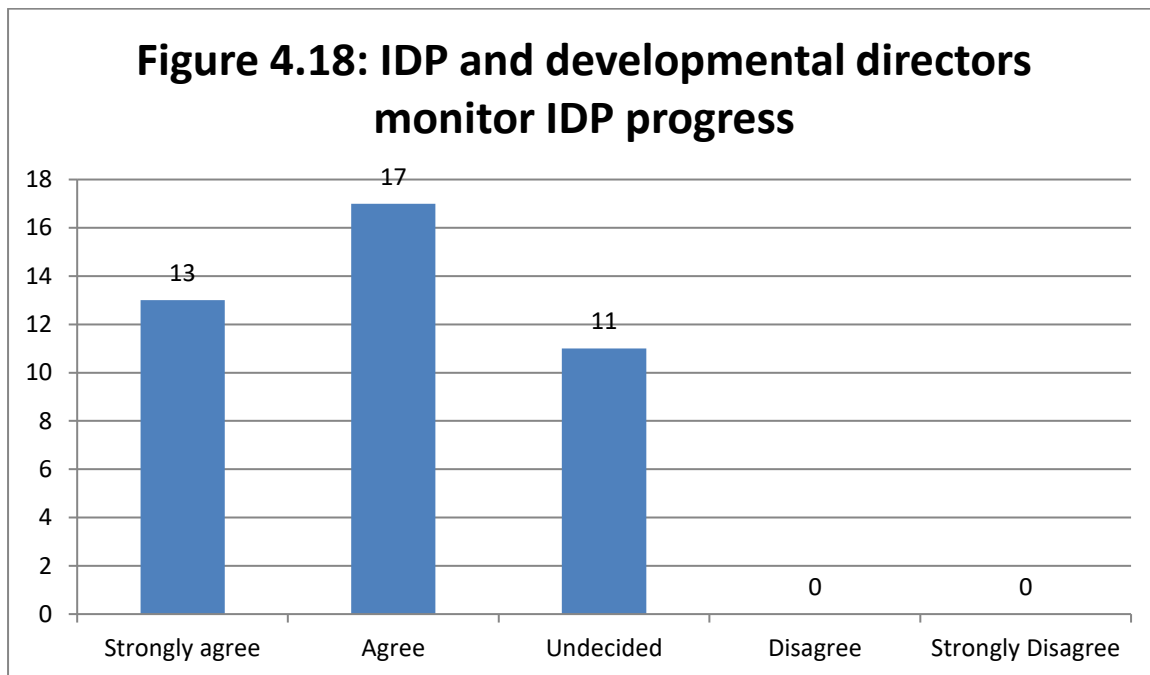


Figure 4.18: IDP and developmental directors of the City of Cape Town municipality monitor the progress of the IDP processes.

Figure 4.19 above illustrates responses regarding whether or not the IDP and developmental directors of the City of Cape Town municipality monitor the progress of the IDP processes. A total of 13 respondents (32%) strongly agreed with this statement, while 17 respondents (41%) agreed that these directors monitor the IDP process, and negative side is that 11 respondents (27%) were doubtful in this regard. Even if the COCTM has IDP Directors the MM is ultimately responsible according the MSA.

Section 55 (1) of the MSA states, as head of the administration, the municipal manager is responsible, subject to the policy directions of the council, for the formation and development of an economical, effective, efficient and accountable administration, which is equipped to implement the IDP, operates within the municipality's performance management system, and is responsive to the needs of the local community to participate in municipal affairs. Section

51 further states that the municipality must hold the municipal manager accountable for the overall performance of the administration (Section 51(i)).

4.5.13 STATEMENT B13: CONSTANT PUBLIC PROTEST ACTION WITHIN THE CITY OF CAPE TOWN MUNICIPALITY IS REASON FOR CONCERN

Figure 4.19 below illustrates the respondents' views concerning constant public protest action by communities over services, which affect them, since they head the service delivery departments.

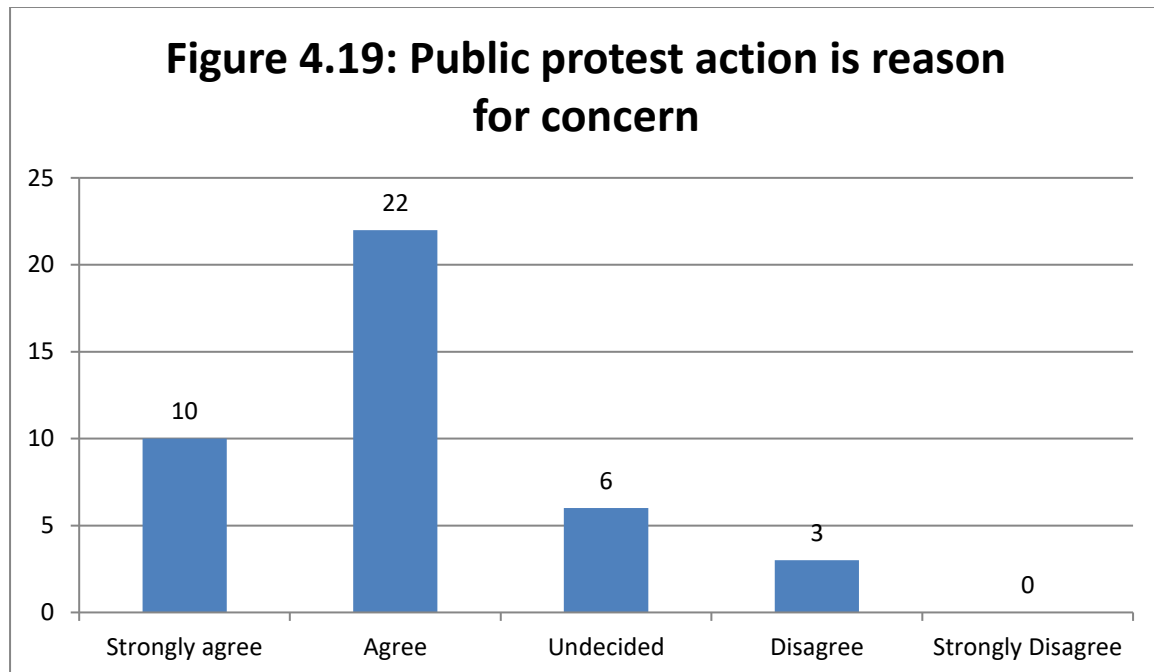


Fig 4.19: The public protest action within the City of Cape Town municipality is reason for concern

Figure 4.19 above illustrates the respondents' responses regarding constant public protest action by communities over services. A total of 22 respondents (54%) agreed with the above statement, while 10 respondents (24%) strongly agreed, and 6 respondents (15%) were doubtful if it was a concern. A further 3 respondents (7%) disagreed and do not see public protest action as something to worry about.

What is worrying is that 78% of the respondents agree and strongly agree with the statement because the Local Government: MSA requires municipalities to give priority to the basic needs of the local community, promote its development, and ensure that all residents have access to at least the minimum level of basic services.

4.5.14 STATEMENT B14: INDIVIDUAL PERFORMANCE MANAGEMENT PLAN (IPM)

Figure 4.20 below illustrates the responses regarding whether or not each and every employee in his or her department has an Individual Performance Management Plan to continuously monitor of achievements.

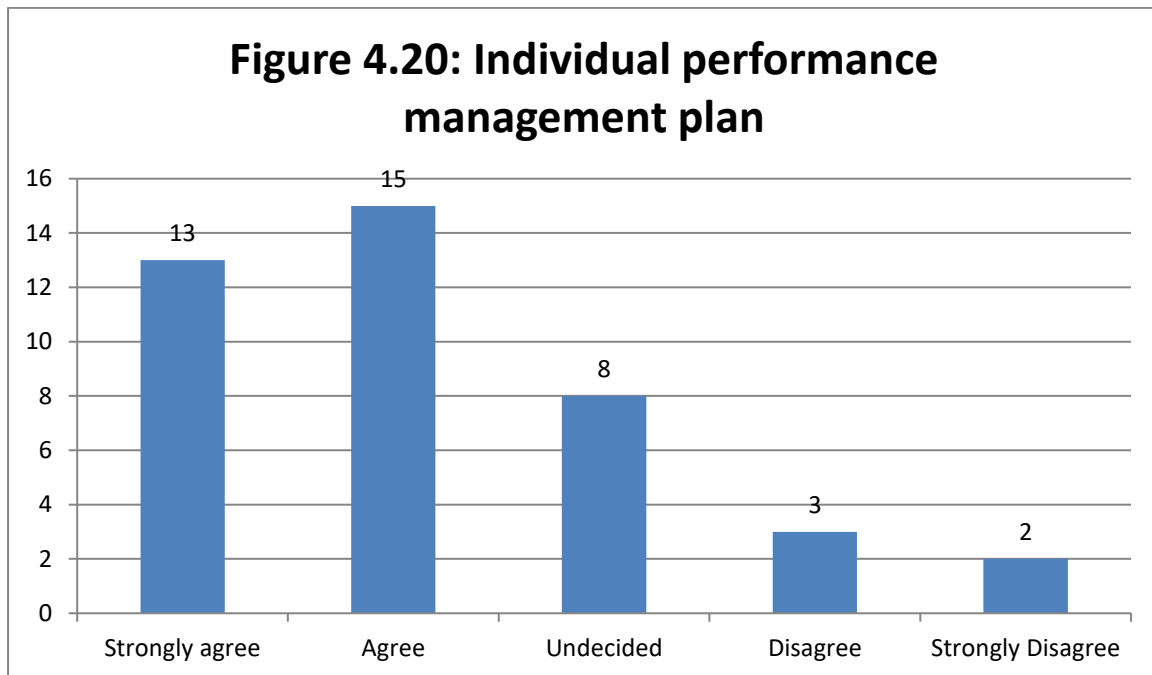


Figure 4.20: Individual performance management plan

Figure 4.20 above illustrates respondents' views whether or not individual employees in their departments has an Individual Performance Management Plan to continuously monitor achievements that will benefit their departments and the municipality. A total 15 respondents (37%) agreed with the statement, 13 respondents (32%) strongly agreed that each individual has an IPM, an area of concern is that 8 respondents (20%) were doubtful. A further 3 respondents (7%) disagreed and 2 (5%) strongly disagreed with the statement that individual employees in their departments have an Individual Performance Management Plan. A total of 32 % has a negative respond to this statement.

Mackay and Johnson 2000:17, suggest that a typical management system would include: the organization communicates its mission/strategies to its employees; the setting of individual performance targets to meet the employees individual team and ultimately the organization's mission /strategies; the regular appraisal of these individuals against the agreed set targets; use of the results for identification or development and/ or for administrative decisions; and

the continual review of the management system to ensure it continues to contribute to the organizational performance, ideally through consultation with employees.

Performance management aligns the management of organisational performance with the management of individual performance and targets. The overall objectives of performance management are outlined by Armstrong and Baron. (2005:41) as follows:

- to align organisational and individual goals;
- to foster organization-wide commitment to a performance-oriented culture;
- to develop and manage the human resources needed to achieve organisational results;
- to identify and address performance inefficiencies;
- to create a culture of accountability and a focus on customer service; and
- to link rewards to performance.

4.5.15 STATEMENT B15: DEPARTMENT BUSINESS UNITS COMPLY WITH MUNICIPAL AND PROVINCIAL DEVELOPMENT PLANS

Figure 4.21 below illustrates the respondents' views concerning whether or not their business units comply with the municipal and provincial development plans.

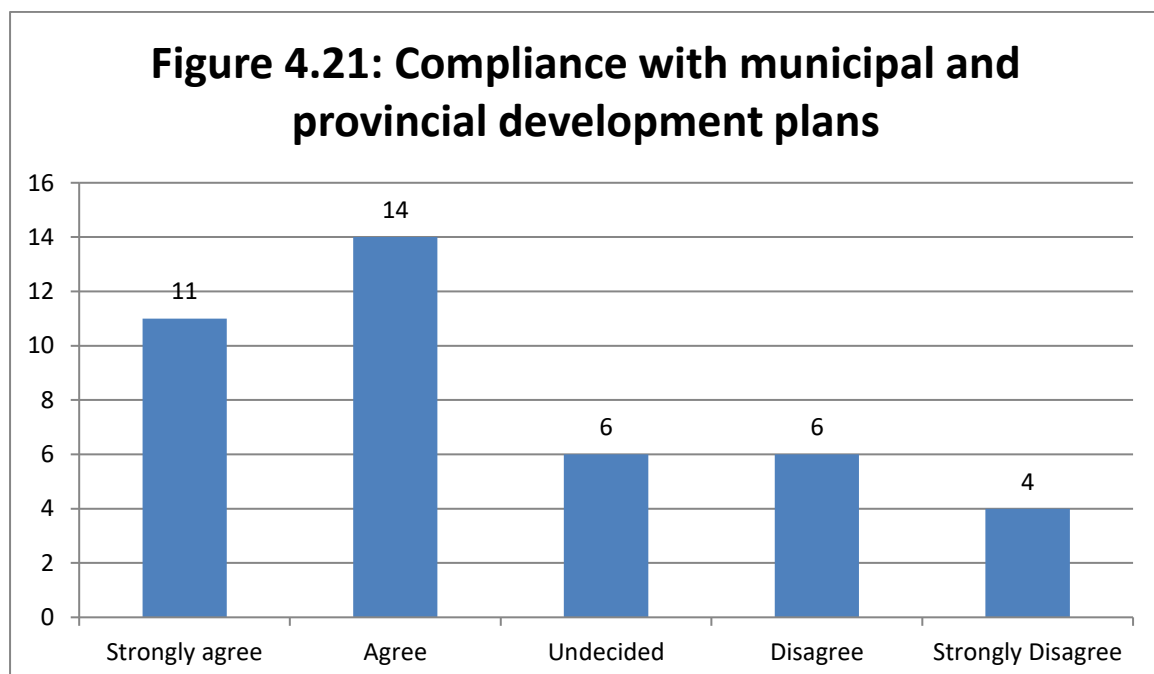


Figure 4.21: Department business units comply with the municipal and provincial development plans

Figure 4.21 above illustrates the respondents' views regarding their business unit's compliance with municipal and provincial development plans. A total of 14 respondents (34%) agreed that they comply with municipal and provincial developmental plans, while respondents (27%) strongly agreed with the statement, and 6 respondents (15%) were doubtful. A further 6 respondents (15%) disagreed, and 4 (10%) strongly disagreed that their business units comply with municipal and provincial development plans. A worrying factor is that a total of 34% has a negative respond to this statement.

Ntombela, M.H. (2009:56), state the challenges and shortcomings of municipalities: these include the following:

- (a) Poor quality and unrealistic development objectives.
- (b) Lack of inter-governmental co-ordination, as IDPs are not align with provincial and national plans; and
- (c) Inability of IDPs to alter past planning methods, especially spatial planning and socio-economic inequalities.

4.5.16 STATEMENT B16: DEPARTMENT BUSINESS UNITS HAVE ESTABLISHED A PERFORMANCE MANAGEMENT SYSTEM

Figure 4.22 below illustrates the respondents' views regarding on the question of whether or not the department's business units have established a performance management system that sets appropriate key performance indicators.

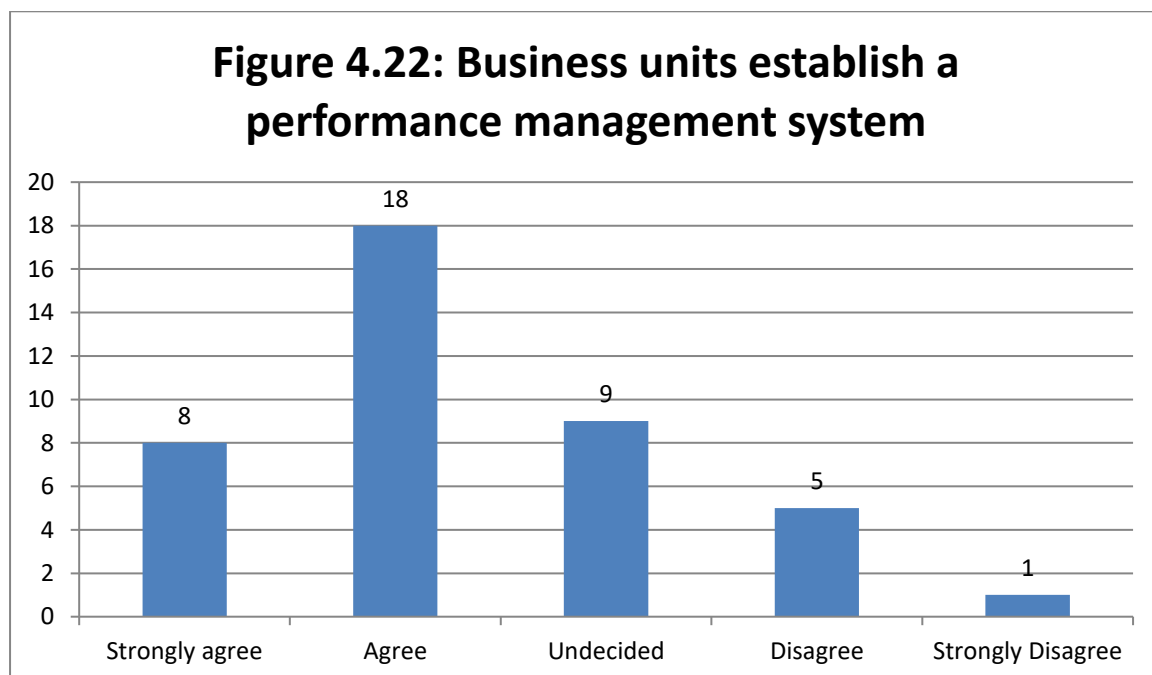


Figure 4.22: Department business units establish a performance management system

Figure 4.22 above illustrates the respondents' views regarding the statement on whether or not the department business units have established a performance management system that set appropriate key performance indicators. A total of 18 respondents agreed that their business units had established a performance management system, while 8 respondents (20%) strongly agreed to the statement, and 9 respondents (22%) were doubtful. A further 5 respondents (12%) disagreed and 1 respondent (2%) strongly disagreed with the above statement. It is notable that 34% of respondents responded negative to the statement.

According the MSA, every municipality must establish a performance management system. The performance management systems of departments must be suited to the municipality's circumstances. It must also be in line with the priorities, objectives, indicators and targets contained in the municipal integrated development plan.

4.5.17 STATEMENT B17: DEPARTMENT BUSINESS UNITS MEASURE PERFORMANCE TARGETS

Figure 4.23 below illustrates on the respondents' perceptions regarding whether or not departmental business units measure performance targets with regard to each of the development priorities and objectives.

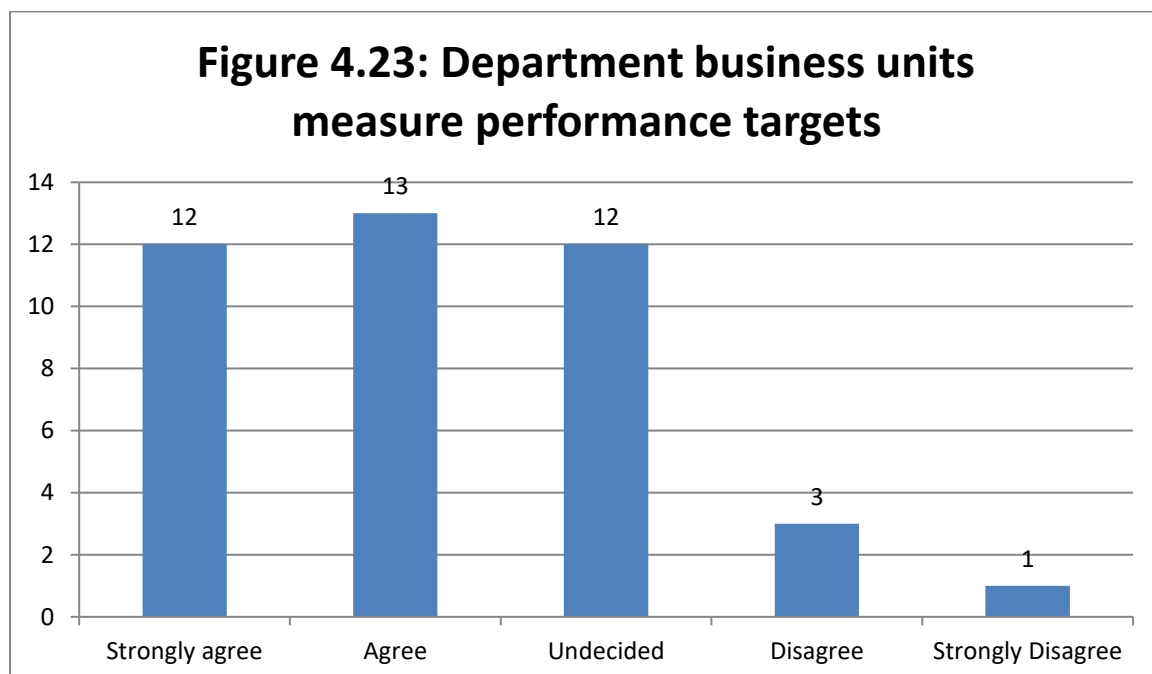


Figure 4.23: Department business units measure performance targets

Figure 4.23 above illustrates respondent's responses' perceptions regarding departmental business units that measure performance targets in terms of the development priorities and objectives. A total of 13 (32%) respondents agreed that they measure targets, while it is

interesting to note that 12 (29%) respondents strongly agreed, and a further 12 (29%) was doubtful. A total of 3 respondents (7%) strongly disagreed and 1 respondent (2%) strongly disagree with the statement. Although 61% agreed and strongly agreed to the statement, the concern is the remaining 39% that respond negative to the statement.

The MSA obligates the municipality to sets impact or outcome indicators and targets. These indicators and targets will help the municipality to work out if it adopted the right strategy towards addressing problems.

4.5.18 STATEMENT B18: EVALUATION OF PROGRESS AGAINST THE KEY PERFORMANCE INDICATORS

Figure 4.24 below illustrates the respondents’ views regarding whether evaluation of the progress against key performance indicators, exists. The focus is on consistency throughout the municipality to measure key performance indicators.

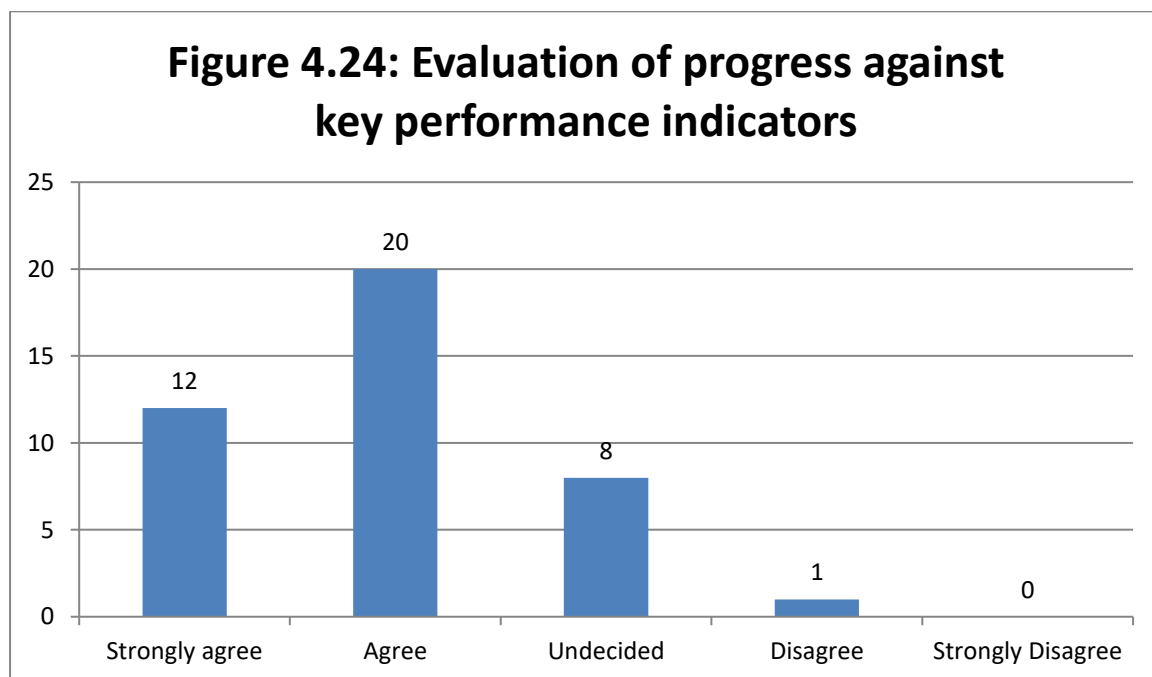


Figure 4.24: Evaluation of progress against key performance indicators

Figure 4.24 above illustrates the responses concerning whether or not evaluation of the progress against key performance indicators exists. The focus is on consistency throughout the municipality to measure key performance indicators. A total of 20 respondents (49%) agreed that evaluations of progress against key performance indicators exist, while 12

respondents (29%) strongly agreed, and 8 respondents (20%) were doubtful. A further 1 respondent disagreed with this statement.

The MSA went further and state, once the municipality have chosen key performance indicators and targets, municipalities must make their indicators and targets known, both internally and to the general public. The municipal council must decide how to disseminate this information. Municipalities must monitor their performance against the indicators which they have set for each development priority and objective, and measure and review their performance at least once a year. Municipalities must take steps to improve performance with regard to those development priorities and objectives where performance targets are not met.

4.5.19 STATEMENT B19: ONGOING MONITORING OF INDIVIDUAL EMPLOYEE DEVELOPMENT AND TRAINING

The question, which relates to Figure 4.25 was designed to investigate whether individual employees' development and training is constantly monitored. The findings are presented in Figure 4.25 below.

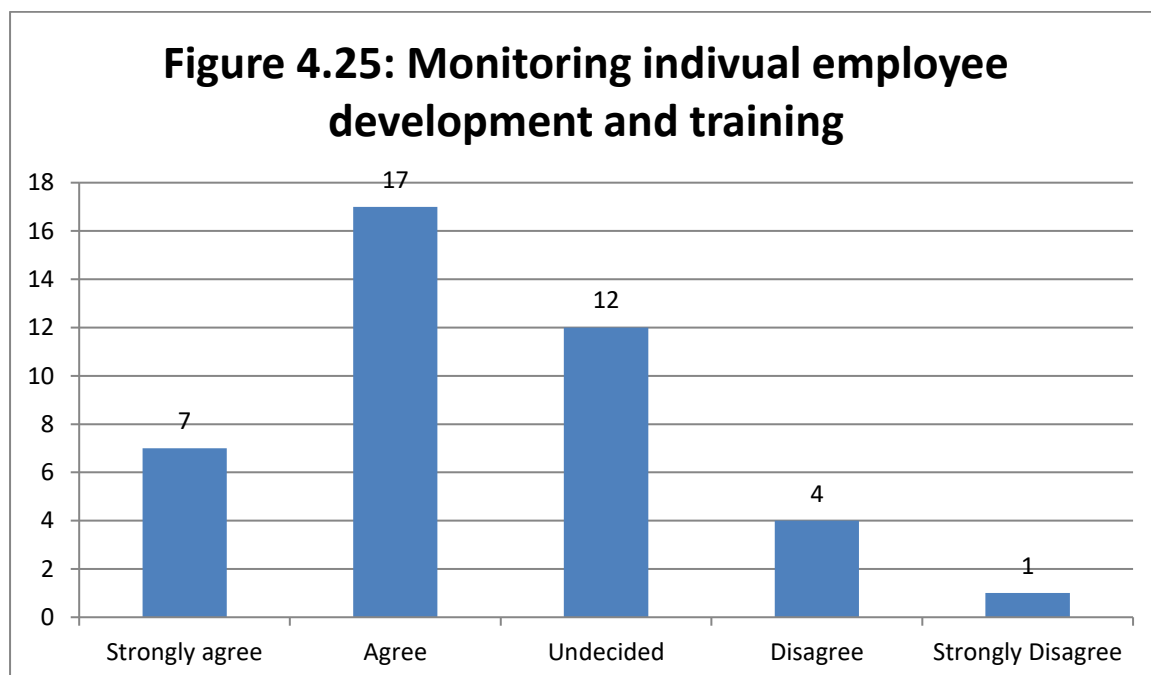


Figure 4.25: Ongoing monitoring of individual employee development and training

Figure 4.25 above illustrates responses in relation to constant monitoring of individual employee's development and training. A total of 17 respondents (41%) agreed that individual employees' development and training is constantly monitored, while 12 (29%) were

undecided, and 7 respondents (17%) strongly agreed. A further 4 respondents (10%) disagreed and 1 (2%) respondent strongly disagreed with the above statement. The 41% negative result means that the COCTM has not achieved its human resource capacity development.

The MSA specific states that a municipality must develop its human resource capacity to a level that enables it to perform its functions and exercise its powers in an economical, effective, efficient and accountable way. Municipalities must comply with legislation which applies to human resource development, such as the Skills Development Act, Act no.97 of 1998, the Skills Development Amendment Act, Act 37 of 2008 and the Skills Development Levies Act, Act no. 9 of 1999.

Municipalities may fund their human resource development programmes through a training levy (in terms of the Skills Development Levies Act), or by making provision for training in their own budgets, or by applying for funding to the Sector Education and Training Authority for local government

4.5.20 STATEMENT B20: MANAGEMENT REVIEWS EACH EMPLOYEE’S PERFORMANCE

Figure 4.26 below illustrates whether respondents monitor each departmental employee’s performance.

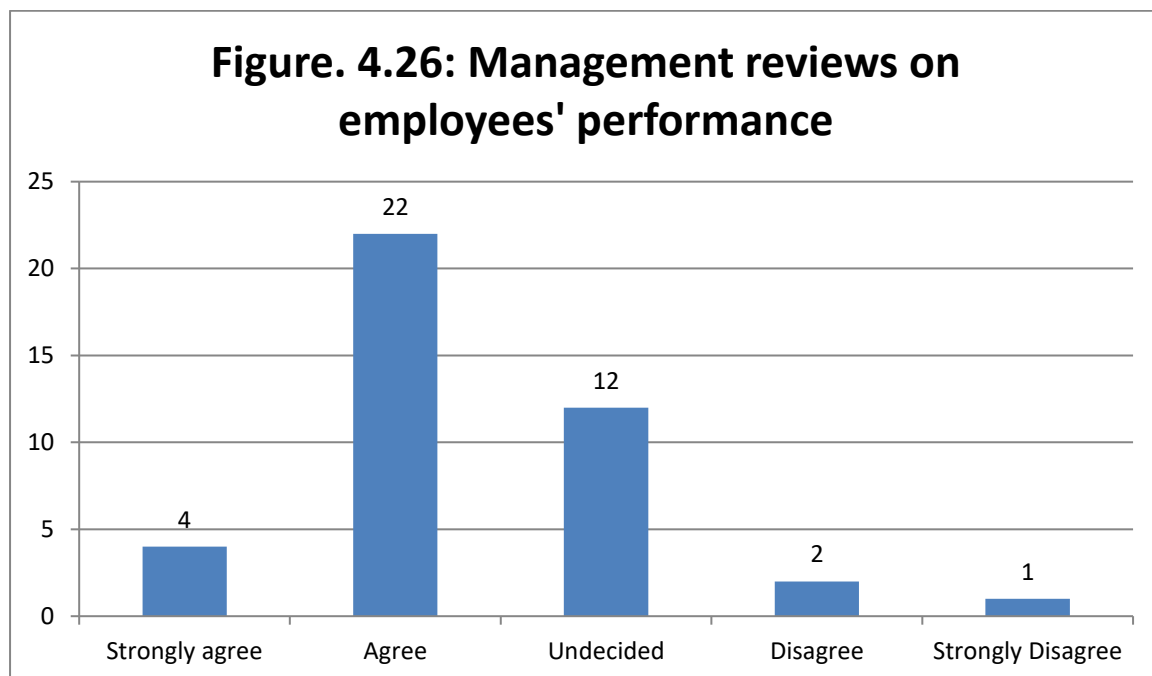


Figure 4.26: Management reviews each employee’s performance

Figure 4.26 above illustrates responses concerning whether or not respondents monitor each employee's performance within their respective departments. A total of 22 respondents (54%) agreed that management does monitor employee performance, while 12 (29%) were doubtful, and 4 respondents (10%) strongly agreed. A further 2 (5%) disagreed, while 1 respondent (2%) strongly disagreed with the above statement.

Swanepoel *et al*, 1998 as cited in Maila, (2006:8) state that the performance management process is important as it entails planning employee performance, facilitating the achievement of work related goals, and reviewing performance as a way of motivating employees to achieve their full potential in line with the organisation's objectives.

4.5.21 STATEMENT B21: PERFORMANCE OUTCOMES AGAINST THE INDIVIDUAL PERFORMANCE MANAGEMENT POLICY

Figure 4.27 below illustrates the respondent's views in relation to performance outcomes against the Individual Performance Management policy.

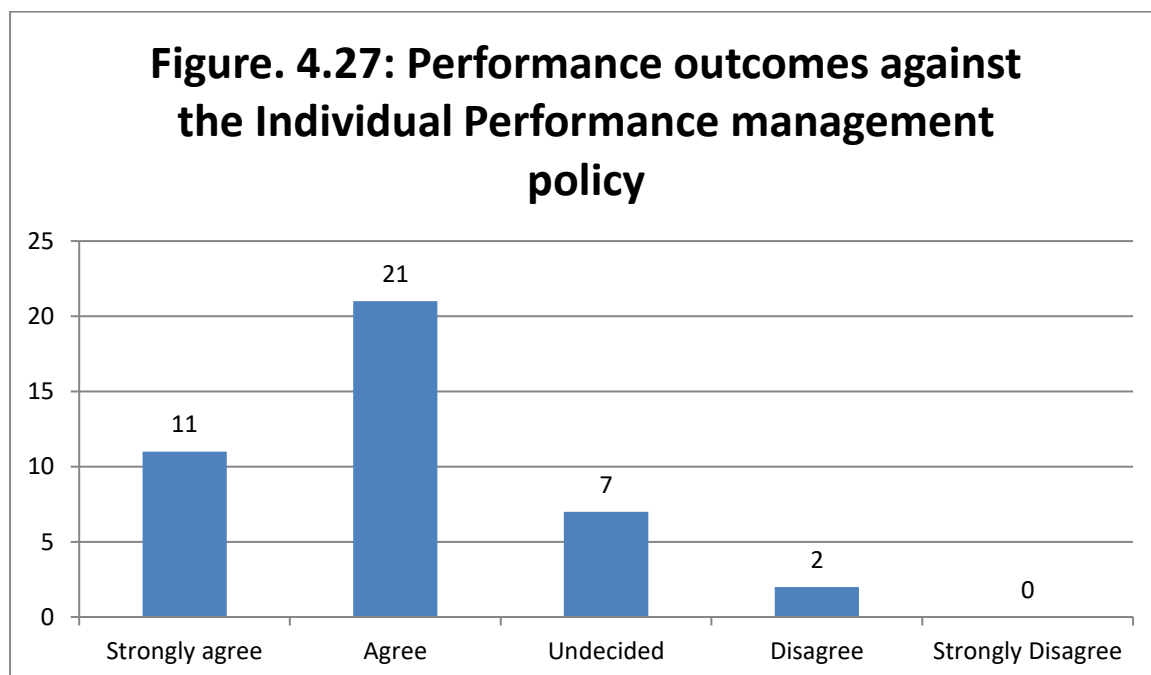


Figure 4.27: Performance outcomes against the Individual Performance Management policy

Figure 4.27 above illustrates whether the respondents use the municipal individual performance policy to measure individual performance outcomes. A total of 21 respondents (51%) agreed that they use the policy, while 11 respondents (27%) strongly agreed, and 7

(17%) were undecided. A further 2 respondents (5%) disagreed that they use the municipal individual performance policy to measure employee performances.

There must be a linkage between the IDP, the Department objective, and the individual performance management plans of the COCTM as an organization. These plans and objectives must be aligned to achieve the COCTM targets and objectives. Management must be loyal and committed to drive the staff and processes to achieve the required outcome, as planned in the IDP document. One of the main management strategies of any organization is to invest in employees. According to Gungor, 2011:13, organizations are seeking to develop, motivate and increase the performance of their employees in a variety of human resources application. Employee performance is closely related to organizational performance. A well develop and trained employee will positively influence the organization's performance if the employee is developing and trained to be effective and efficient. Millar 2007 states, to build a framework of talent management which consist of planning, recruiting, performance, learning, career development, succession planning, compensation and measuring and reporting.

4.5.22 STATEMENT B22: BUSINESS UNITS' PLAN FOR THE IDENTIFICATION OF SKILLS DEVELOPMENT NEEDS.

Figure 4.28 below illustrates the respondents' perceptions regarding whether there is a business plan for each unit to identify skills development needs. This question was designed to establish if departments have mechanisms in place to close the skills gap in developing needs.

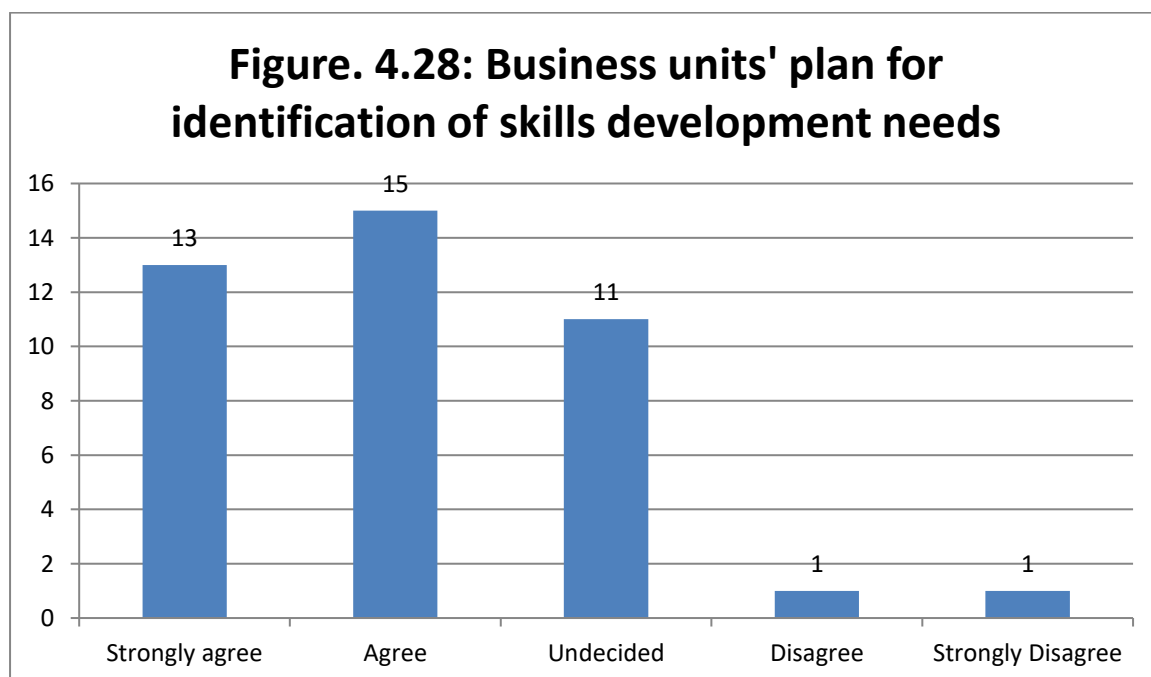


Figure 4.28: Business units' plan for the identification of skills development needs

Figure 4.28 above illustrates responses regarding whether or not there is a business plan for each unit to identify skills development needs. A total of 15 respondents (37%) agreed with this statement, while 13 respondents (32%) strongly agreed, and 11 respondents (27%) were doubtful. A further 1 respondent (2%) disagreed, and 1 respondent (2%) strongly disagreed. Municipalities must comply with legislation which applies to human resource development, such as the Skills Development Act and the Skills Development Levies Act, Act 97 of 1998 and the Skills Development Amendment Act, Act 37 of 2008.

Municipalities may fund their human resource development programmes through a training levy (in terms of the Skills Development Levies Act, Act no.9 of 1999), or by making provision for training in their own budgets, or by applying for funding to the Sector Education and Training Authority for local government. Followed by Proclamation No. 56, 2009 (RSA, 2009), the transfer of administration, powers and functions from the Minister of Labour to the Minister of Education.

4.5.23 STATEMENT B23: MONITORING DEPARTMENTAL PERFORMANCE AGAINST MUNICIPAL SCORECARDS AND INDICATORS

Figure 4.29 below illustrates the respondent's views in relation to whether or not the departmental performances are monitored against the municipal scorecards and indicators.

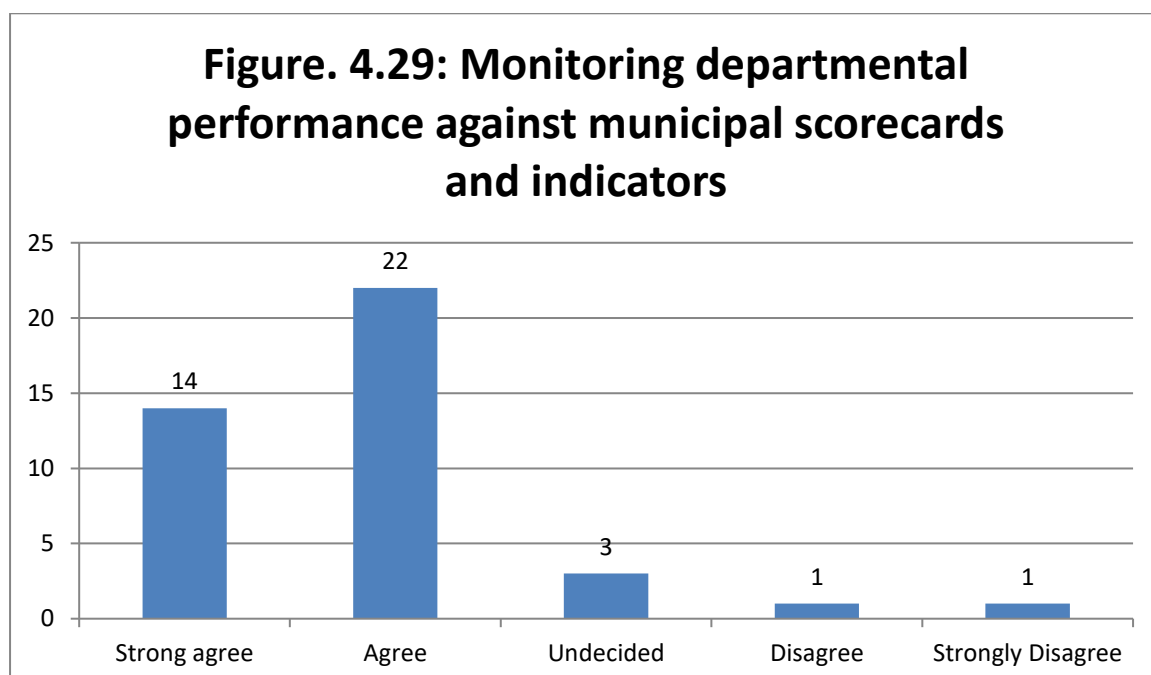


Figure 4.29: Monitoring departmental performance against municipal scorecards and indicators

Figure 4.29 above shows the respondent’s perceptions regarding whether the departmental performances are monitored against municipal scorecards and indicators. A total of 22 respondents (54%) agreed with this statement, while 14 respondents (34%) strongly agreed, and 3 respondents (7%) were undecided. A further 1 respondent (2%) disagreed and 1 respondent (2%) strongly disagreed with the above statement. The results are positive that 88% of the respondents agree and strongly agree with the statement that there is monitoring of department performances against the COCTM scorecards and indicators.

4.5.24 STATEMENT B24: MUNICIPAL STAFF, GENERALLY, NEEDS PERSONAL, AS WELL AS CAREER DEVELOPMENT

Figure 4.30 below illustrates whether or not the respondents agreed that the City of Cape Town municipal staffs generally needs personal, as well as career development to achieve the City of Cape Town municipal objectives.

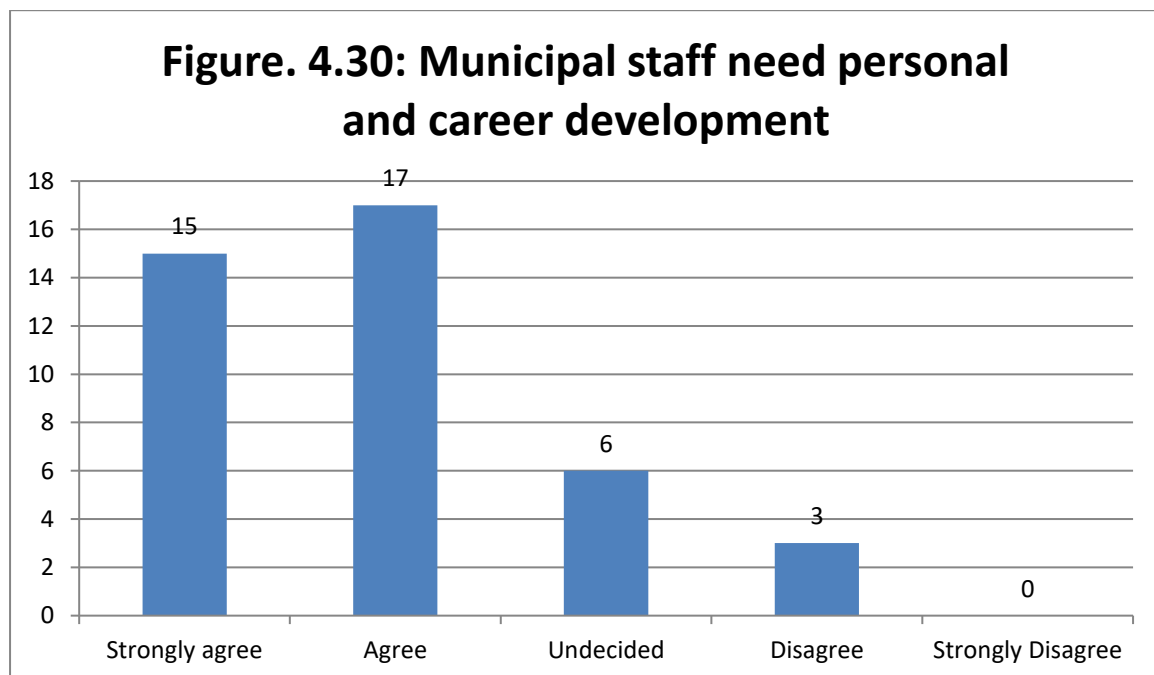


Figure 4.30: Municipal staff, generally, needs personal, as well as career development

Figure 4.30 above illustrates that 17 respondents (41%) agreed that the City of Cape Town municipal staff, generally need personal as well as career development to achieve the City of Cape Town municipal objectives, while 15 respondents (37%) agreed, and 6 respondents (15%) were undecided. A further 3 respondents (7%) disagreed with the above statement.

Altogether 78% of the respondents either agreed or strongly agreed with the statement; that municipal staff, generally, needs personal, as well as career development

Scheepers in Craythorne, D.L (2006: 140-141) posits ten steps for the development process which (paraphrased) are:

1. Awareness: People became aware that development can make a difference to their lives.
2. Education and training: Through education and training people develop an understanding of options; develop new skills; and become empowered to make informed decisions.
3. Community involvement: People with skills and abilities use them in their communities to develop people and organisations. The more people become involved in the development process, the greater the changes of success.
4. Networking: Linkages and synergy (interaction) bring community organisations into existence that will secure functional systems and procedures for the well-being of the community. Resources and institutions of civil society are harnessed so as to grow into a people-driven network to support a community-based development process.
5. Leadership: Without leadership there cannot be development, because leaders influence people to achieve goals in their best interest. Because leaders are trusted, they can facilitate transformation in the minds and hearts of people. This is a prerequisite for meaningful and lasting development.
6. Management: Managers and management teams are needed to harness resources and strengths, to plan development, to involve people and communities, to solve problems and to strategise so that projects and programmes can be successful.
7. Projects, plans and transformation: Development projects and programmes change the physical environment by building houses, developing land and establishing infrastructure and facilities. This leads to people changing their perceptions, attitudes and ideas as they adapt to their new environment and transform to new paradigms (patterns).
8. Growth: Growth takes place as people, organisations and communities become materially and mentally empowered. The transformation process results in new institutions and laws being established to deal with the social, environmental and economic challenges of growth and globalisation.
9. Allocating and distributing resources: Scarce resources have to be managed and distributed to achieve sustainability, equality and an empowered society.
10. Monitoring and maintenance: Development is a continuing process which has to be monitored to ensure that the process and the outcomes are in line with the needs and best interests of the people. Policies, plans, strategies and implementation must also be monitored so as to adapt to changing needs and circumstances.

It is notable to observe that training and development of municipal staff is in the best interest of the municipality and the residents it serves.

4.5.25 STATEMENT B25: IDP DIRECTORATE NEEDS A CENTRAL DEPARTMENTAL IDP MONITORING AND EVALUATION PLAN

Figure 4.31 below illustrates the respondent's views concerning whether the City of Cape Town municipal IDP directorate needs a central departmental IDP Monitoring and Evaluation Plan.

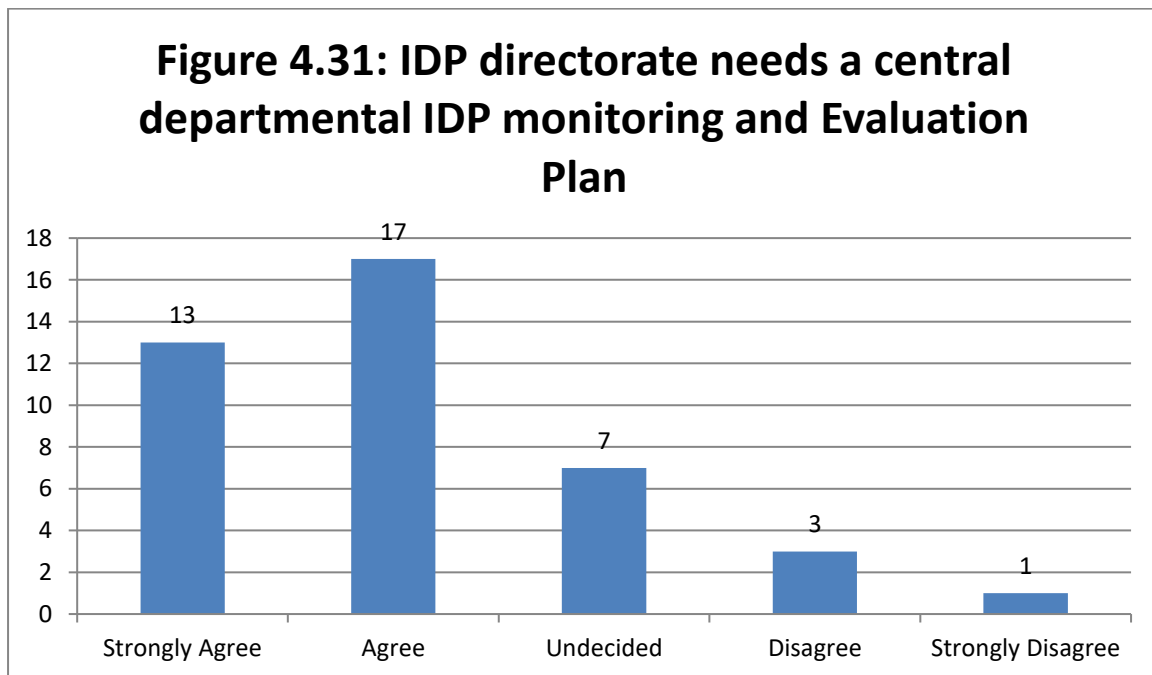


Figure 4.31: IDP directorate needs a central departmental IDP Monitoring and Evaluation Plan.

Figure 4.31 above illustrates respondent's perceptions in relation to whether the City of Cape Town municipal IDP directorate needs a central departmental IDP Monitoring and Evaluation Plan. A total of 17 respondents (41%) were in agreement, while 13 respondents (32%) were strongly agreed, and 7 respondents (17%) were doubtful. A further 3 respondents (7%) disagreed and another 1 respondent (2%) strongly disagreed with the above statement. Together 73% of respondents agree and strongly agree that establishing a central departmental IDP monitoring and evaluation plan is important.

The COCTM IDP Directorate needs to identify the IDP shortcomings set appropriate department key performance indicators as yardsticks for measuring performance towards achieving those priorities and objectives in the IDP.

4.6 MAIN FINDINGS

In this study, the empirical survey of selected senior municipal officials in managerial positions was explained. The empirical study consists firstly of the respondent's biographical information namely gender, annual income, age, home language years of services, qualifications and secondly, the technical statement overviews. The results were interpreted against the background of the assumption that the COCTM, like other municipalities in South Africa, was confronted by numerous challenges in all key performance areas of the local government development priorities and objectives, namely local government legislation, IDP strategies and objectives, maintenance of quality service delivery, the efficient communication strategy, departmental proposals for municipal IDP development, individual performance agreements and plans and resources and capacity alignment with the municipal IDP, which are threatening its Constitutional obligations.

The following represents the main findings

4.6.1 COMMUNICATION IS VITAL IN OBTAINING THE VIEWS OF THE ROLE PLAYERS

Responses from figure 4.11, which relate to communication established that communication within the City of Cape Town, both to internal and external role players, is vital for residents to use regarding their expectations of the municipality. Regarding communication with other role players, for example, the provincial government, the media, the South African Police Services, and the Courts, 36 (63%) of the respondents stated that they agree and strongly agree that the City of Cape Town does have an efficient internal and external communication strategy. In terms of the negative (37%) percentage, the respondents indicated that there was a lack of communication between the COCTM and the local communities. In a paper presented at the Deliberations of the International Conference on Public Participation, Stefan Stautner (DGPL.2012:441), observes that the communication instruments utilized by most municipalities were: ward councillors and ward committees, community meetings, local media (print and radio), call centres, community development facilitators, Thusong Centres, door to door campaigns, email and municipal websites. According the MSA, a municipality must establish and organise its administration in a manner that enables

it to establish clear relationships, and facilitate co-operation, co-ordination and communication, between political and administrative structures, and; the municipality and the local community; maximise efficiency of communication and decision making within the administration.

4.6.2 INDIVIDUAL PERFORMANCE POLICY IS APPLIED WITHIN THE CITY OF CAPE TOWN MUNICIPALITY.

With regard to figure 4.27 relating to performance outcomes against, the Individual Performance Management policy, the findings indicate that 51% of respondents agreed that they use the policy, 27% of respondents strongly agreed and 17% were undecided. Further, 5% of respondents disagreed that they use the municipal individual performance policy to measure employee performances.

As previously mentioned in this thesis, that there must be a linkage between the IDP, the Department objective, and the individual performance management plans of the COCTM as an organization. These plans and objectives must be aligned to achieve the COCTM targets and objectives. Management must be loyal and committed to drive the staff and processes to achieve the required outcome, as planned in the IDP document. One of the main management strategies of any organization is to invest in employees. According to Gungor 2011:13, organizations are seeking to develop, motivate and increase the performance of their employees in a variety of human resources application. Employee performance is closely related to organizational performance. A well develop and trained employee will positively influence the organization's performance if the employee is developing and trained to be effective and efficient. Millar (2007) states, to build a framework of talent management which consist of planning, recruiting, performance, learning, career development, succession planning, compensation and measuring and reporting.

4.6.3 DEPARTMENTS WITHIN THE CITY OF CAPE TOWN MUNICIPALITY HAVE AN IPMP

Responses in relation to figure 4.20 whether individual employees in their departments have an Individual Performance Management Plan to continuously monitor achievements that will benefit their departments and the municipality; a total 15 respondents (37%) agreed with the statement, 13 respondents (32%) strongly agreed that each individual has an IPM, an area of concern is that 8 respondents (20%) were doubtful. A further 3 respondents (7%) disagreed and 2 (5%) strongly disagreed with the statement that individual employees in their departments have an Individual

Performance Management Plan. A total of 32 % has a negative respond to this statement.

Mackay and Johnson (2000:17) suggest that a typical management system would include: the organization communicates its mission/strategies to its employees; the setting of individual performance targets to meet the employees individual team and ultimately the organization's mission/strategies; the regular appraisal of these individuals against the agreed set targets; use of the results for identification or development and/ or for administrative decisions; and the continual review of the management system to ensure it continues to contribute to the organizational performance, ideally through consultation with employees. The MSA place a further requirement on municipalities. Municipalities must comply with legislation which applies to human resource development, such as the Skills Development Act, Act 97 of 1998, the Skills Development Amendment Act, Act no. 37 of 2008 and the Skills Development Levies Act, Act no. 9 of 1999. Municipalities may fund their human resource development programmes through a training levy (in terms of the Skills Development Levies Act, Act no. 9 of 1999), or by making provision for training in their own budgets, or by applying for funding to the Sector Education and Training Authority for Local Government. The development measures will ensure that municipal employees will perform optimally.

4.7. SUMMARY

In this chapter, the results were analyse, interpreted and deliberations of the findings against the background of the assumption that the COCTM, like other municipalities in South Africa, was confronted by numerous challenges in all key performance areas of the local government development priorities and objectives, namely local government legislation, IDP strategies and objectives, maintenance of quality service delivery, the efficient communication strategy, departmental proposals for municipal IDP development, individual performance agreements and plans and resources and capacity alignment with the municipal IDP, which are threatening its Constitutional obligations. The aim of the research was to establish if a competent standard setting model of performance management throughout all departments in the City of Cape Town Municipality in line with the City of Cape Town's IDP exist.

The next, and final, chapter deals with the recommendations and conclusion of the research study.

CHAPTER FIVE

SUMMARY, RECOMMENDATIONS AND CONCLUSION

5.1 INTRODUCTION

Chapter Four the findings were analysed, interpreted and deliberated on the empirical survey of selected senior municipal officials in managerial positions to determine if the problem lies with the incompetence amongst the Heads of Department (HODs) in the City of Cape Town Municipality, or if a competent standard setting model of performance management exists throughout all departments in the City of Cape Town Municipality in line with the City of Cape Town's IDP. This chapter provides a summary of the content of the study's chapters. It further provides recommendations to assist the senior management of the City of Cape Town Municipality to deliver better service to the residents of this city. The chapter ends with a conclusion of the research project.

5.2 SUMMARY

Chapter One identified the problem statement as dissatisfaction amongst citizens with regard to service delivery linked to the IDP, and provides a background of the study. It shows that the research is confined to the City of Cape Town Municipality, which could be significant in determining the location of the problem.

Chapter Two explains the theoretical and legislative perspective of local government. Community participation and the Batho Pele principles are explained, as well as the IDP and the different phases of the IDP process. Municipal service delivery, governance, intergovernmental and municipal leadership are explained, with emphasis on the City of Cape Town Municipality's performance management system, which served as the basis of the research project.

Chapter Three provides a perspective of the research methodology that was used to answer the research question. An argument is provided as to why the research approach is a quantitative approach, comprising a survey questionnaire, which was distributed to senior officials across various directorates within the City of Cape Town Municipality.

Chapter Four reflects on the responses of the participants in the questionnaire survey, which was conducted amongst the sample that comprised of Heads of Department in the City of Cape Town Municipality. Ninety-five questionnaires were distributed, and forty-two were returned, representing a response rate of 43%.

5.3 RECOMMENDATIONS

Based on the main findings, several recommendations are made for a more effective communication strategy within COCTM, and to intensify the monitoring of individual employee development, a training system, and for further research. Hence, the recommendations follow below.

5.3.1 IMPLEMENT A CITY OF CAPE TOWN MUNICIPAL INTEGRATED DEVELOPMENT COMMUNICATION STRATEGY

In order to improve communication in the COCTM, the current communication needs to be reviewed with the view to improve on the shortcomings in the system. Local government information should be used effectively to enable better policy-making, service delivery and more efficient working of the COCTM. As local government taking the lead on basic service provision, the communication strategy needs to be resident and customer focussed. A communication and information impact assessment study needs to be done internally and externally with the view to better the flow of information. Constant training workshops with employees on communication are pivotal and shall form the basis to communicate knowledge within the different cultural communities COCTM serves. With the diverse range of cultural residents within the COCTM boundaries, a good intercultural communication system is needed for all COCTM employees and councillors to work on the system to reach a common goal. Communication links the municipality with their customers and other roleplayers. COCTM needs to revisit their communication model because information sharing is vital in a municipal and community participation relationship. It is recommended that the City of Cape Town Municipality consider an internal and external communication strategy with a focus to share information relating to the IDP and other municipal information. The strategy will represent a true employee and resident focus; it should not merely be a communication solution, which provides details pertaining to the IDP. It should be based on best practices, involving all human resources within the municipality and its service providers. Municipal services should be available when citizens want them, and all municipal staff should be able to communicate and deliver such service matters systematically. The communication system must provide

tremendous flexibility to respond to resident and customer demands. Today's customer is very technology orientated and needs an improved quality communication system any given time of the day or night including weekends. It is therefore recommended that the COCTM consider improving the current communication system. This will improve the management and flow of information throughout the COCTM administration as well as to all other externally role-players.

5.3.2 INTENSIFY THE MONITORING OF INDIVIDUAL EMPLOYEE DEVELOPMENT AND TRAINING SYSTEM

The strategic intent indicated in the COCTM IDP document must be aligned with the employee performance standards. The performance standard must be explainable, measurable and achievable. Training and development is the ultimate tool to close the gap between the performance standard and actual performances of staff members. HOD's needs to identify which standards needs to be sharpen and which employees in their departments need the training and development. All the employees of the COCTM work for the MM, the MM appoints the employees to assist the MM in the day to day running of the municipality. The MM is the accountable officer and the MM must strive to select and recruit the best possible employees under the COCTM selection and recruitment policy. Enable the MM to achieve his objectives and targets the MM will establish line accountability. The MM will make the section 57 employees (MSA) also known as Executive Directors, accountable, who in turn make each of the HOD's accountable. The HOD's, in turn, made the department managers accountable and department managers will make supervisory staff accountable. The supervisory staff will make the municipal employees responsible for meeting the objectives and targets placed on the MM. All in the COCTM as an organization, must be educated so that all employees can understand the objective and targets to support the MM to reach the performance objectives and targets. The MM has also a dual function insofar as training and development is concerned. As local government is developmental it is only correct to develop and train current and future staff members. According Section 57(4)(a) of the MSA, the MM performance agreement must include the performance objectives and targets that the municipal manager must reach together with the timeframes within which this must happen. For the MM to reach the performance objectives and targets the MM needs competent, trained and well develop staff members including contract workers. The MM performance objectives and targets, (s 57(5) of the MSA, are based on the municipality's integrated development plan of the municipality. It will be unwise for a MM not to develop and train employees to competence because (s 57(4)(b) and (c) the MSA, requires the municipality to have a

system for the evaluation of the municipal manager's performance together with the consequences of unsatisfactory performance that must also appear in the agreement. It is further recommended that COCTM redefines the training and development policy and brings the human capital with the information capital together, for the benefit of the entire organization but mostly for the residents who will in return receive quality municipal services.

5.4 CONCLUSION

Performance management is a process, which affects the entire organisation, from its vision and mission statement, to its objectives, and eventually its staff. Performance management in the public sector, and especially at local government, is not easy to measure owing to the fact that the general public demands basic services day and night. Line management at local government level is instrumental in providing these essential services to municipal citizens and residents. What makes performance management challenging is that the demand is too great for the resources. What is interesting is that the various departments that are responsible for the execution of the IDP were measured to establish how efficient the human system and management plans are. In view of the research question relating to what extent is the City of Cape Town Municipality achieving the local government's objective as provided for in Section 152 (b) of the South African Constitution, which states that a municipality must ensure the provision of basic services, can be stated that the empirical study has shown that the City of Cape Town Municipality maintains a better than satisfactory level of performance.

Relating to the question whether there is a competency-based, standard setting model of performance management that exists for all departments in the City of Cape Town Municipality in line with the City of Cape Town's IDP?, can further stated that the empirical study has also shown that the City of Cape Town Municipality indeed has a competency-based, standard setting model of performance management that exists for all departments in the City of Cape Town Municipality in line with the City of Cape Town's IDP. Improving performance is an ongoing process, which requires continuous engagement with all stakeholders, as well as improved planning, and regular evaluation of progress, which is to ensure that appropriate resource allocation takes place to address shortcomings in service delivery.

It is imperative that the City of Cape Town Municipality embraces the quality of their staff in order to ensure that this municipal institution is able to respond effectively to changes, and to improve service delivery. The expectation is that the political and

administrative office bearers provide residents with quality services and the provision of good products. Democracy is about inclusiveness, representation and participation. Democracy provides a framework within which basic human rights, individual freedom and equality can prosper. Therefore, in developing the City of Cape Town Municipality's goals and strategies, the City's guiding principal should be to optimize their employees, customers and resident's satisfaction by incorporating best practice in their processes, and to ensure efficiency and effectiveness in all that they do while encouraging and assisting residents and customers to interact efficiently with them in order to close the gap where efficiency lacks.

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