

**The invisible director:
An exploration of the role of power in intergovernmental communication
on meaningful municipal integrated development planning**

By

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ABSTRACT

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Over the last two decades the impact of power in communicative planning has gained prominence in discussions about meaningful planning, i.e. planning that achieves the goals as set out in the plan and also has wider socially desirable environmental, social and economic outcomes. This study aims to examine the influence of power on communication in the compilation of municipal Integrated Development Planning in South Africa, specifically as it affects intra- and intergovernmental relations in the IDP preparation process in local municipalities. This dissertation is the result of a historical study into the 2000/2001 and 2001/2002 Integrated Development Plan process in the local governments of Kungwini Local Municipality, and Klerksdorp Local Municipality as study areas. The time lapse between the events that took place in these municipalities and the completion of this study assists in providing a more objective view of the power relations at play.

Throughout the study emphasis is placed on certain concepts that influence the outcome of planning processes and the planning processes itself, as summarised in the final chapter. They are:

- The quality of inter- and intra-governmental relationships;
- The awareness and use of power in planning;
- The concept and nature of “meaningful communication”; and
- The role and impact of power on such communication.

As an exploratory historical study into the power interface in IDP, it provides an interesting perspective on the dynamics of compiling an IDP and opens up the opportunity for more such studies in other local governments in South Africa with the influence of power on communication in intergovernmental planning processes (specifically IDP in local municipalities) and general studies regarding the effect of power in communicative planning as focus. This study also provides an indication of the pressures planners face in the pursuit of meaningful/useful planning results.

KEYWORDS/SEARCH TERMS:

1. Integrated Development Plan (IDP)
2. Intergovernmental planning
3. New Public Management
4. Communication
5. Power
6. Local government (SA)
7. Kungwini Local Municipality
8. Klerksdorp Local Municipality

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LIST OF ACRONYMS AND ABBREVIATIONS

ASALGP	Australia South Africa Local Governance Partnership
DDPLG	Department of Development Planning and Local Government (Gauteng Province)
DDPTT	Decentralised Development Planning Task Team
DPLG	Department of Provincial and Local Government (National)
IDP	Integrated Development Plan
ITP	Integrated Transport Plan
MDB	Municipal Demarcation Board
MEC	Member of the Executive Council
NSDP	National Spatial Development Perspective
PPCAS	Planning Policy Coordination and Advisory Services of The Presidency
PGDS	Provincial Growth and Development Strategy
PMS	Performance Management System
RDP	Reconstruction and Development Programme
SALGA	South African Local Government Association
WSDP	Water Services Development Plan

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1. INTRODUCTION

1.1 *Focus of the study*

The focus of this study is on the role of power in intra- and intergovernmental communication in the IDP preparation-process in local municipalities in South Africa. Over the past two decades the impact of power in communicative planning has gained prominence in discussions about “meaningful planning”, i.e. planning that significantly contributes to improving the quality of life of the society for which the planning is undertaken. This study aims to examine the particular implication this has in the context of the compilation and implementation of municipal Integrated Development Planning in South Africa. The importance of intra- and intergovernmental relations in the IDP process is acknowledged in the provisions of the Municipal Systems Act (Act 32 of 2000), which requires that integrated development planning must be an interactive and participatory process, involving a number of stakeholders, including representatives from all spheres of government. These relations form an integral part in the determination of the quality of interaction and participation from institutional role players in the IDP process which, in turn, influences the sustainability of IDP and subsequently the effectiveness of local government in improving the living conditions of society.

Now, with the local and provincial government White Paper review processes under way studies such as this one provide a useful reflection of the extent to which power impacts on governmental planning processes and could give some cues as to how it could be harnessed where possible and contended with, where it is less positive in nature.

1.2 Context of the study

In South Africa, the strategic guideline that determines the way in which local government conduct its business is understood to be the Integrated Development Plan (IDP) of a local municipality, as described in the Municipal Systems Act (Act 32 of 2000). The concept of an IDP for local government precedes the Municipal Systems Act (Act 32 of 2000) and has its legislative roots in the Land Development Objectives required by the Development Facilitation Act of 1995. The provisions of the Municipal Systems Act developed from the experiences of integrative planning in local government since 1995 and direct the way in which local government should go about preparing their strategic “operating manual”. The purpose of IDPs is to bring about development and an improvement of the living conditions of the whole South African population through local government actions that address the needs and main concerns of communities in the 283 wall-to-wall municipalities in the country. Integrated Development Planning in local government is therefore the most significant area of planning currently undertaken by municipalities. In a broader theoretical planning framework, IDP can be described as a good example of how the communicative turn in planning is manifested in reality.

1.3 Relevance of the study

The topic of this study is particularly relevant in South Africa today because, despite the goals and objectives of integrative development planning, IDPs are in most cases still not having the desired impact on local communities, as is evident in relatively recent news reports of demonstrations and unhappiness in communities towards their local municipalities regarding the lack of service provision (Slabbert, 2004:2, Anon., 2004:12, Joubert, 2005:19, Xundu, 2006 and Mafela, 2006). This frustration, at least in part, stems from the fact that the needs and priorities that the members of these communities identified during the IDP processes have in many instances not been addressed. Thus,

from a theoretical perspective, it could be argued that although the communicative aspect of the planning processes has been complied with (to a greater or lesser extent), the substantive outcomes of these processes have not had the desired effect of meeting the expectations of its intended beneficiaries - the communities these plans are meant to serve. This raises many questions as to why “communicative action”¹ seems to be failing in this case, one of which is the quality of intra- and intergovernmental communication at work in the process of IDP preparation. Closely associated with this is the role of power in communication – a subject that has been the focus of a rich area of study with its key contributors authors such Forester (1982a, 1982b, 1987, 1996, 1999, 2001, 2004), Hillier (2002), Flyvbjerg (1998a, 1998b, 2001, 2002) and Healey (1996, 1997, 2000) describing it in terms of a “missing link”.

Despite the strong focus on the role and influence of power in planning in post-apartheid South Africa, its impact and role in communication in intergovernmental planning processes generally (and IDP in local municipalities specifically) has received very little attention. It has also not been the focus of dedicated scientific studies, which have rather examined the compliance of municipalities’ IDPs in terms of legislation (see *inter alia* Harrison, 2001; Todes, 2004; Meicklejohn and Coetzee, 2003; Williams, 2005; Visser, 2001 and Oranje, 2002, 2003) and how to improve this compliance through systematic and methodological support, (see GDPLG (2003), Oranje (2002, 2003), PlanPractice Townplanners (2002), DPLG and the Municipal Demarcation Board (2002), Planning Policy and Coordination and Advisory Services of the Presidency (2004) and the DPLG (2004a, 2004b)) without really considering the pervasiveness and influence of power dynamics on communication in the IDP process. Hence there have been a plethora of “how to” manuals and guides from the Department of Provincial and

¹ “communicative action” in planning refers to the creation of an ideal speech situation, where different interests can take part in undisturbed communication in order to reach a consensus concerning goals for, and formation of, the planning process (Flyvbjerg & Richardson, 2002:46).

Local Government and the South African Local Government Association (SALGA) to agencies such as the Australia South Africa Local Governance Partnership (ASALGP, 2003; CSIR, 2002, DDPTT, 2001a, 2001b, 2002; DPLG, 2002a, 2002b, 2004a, 2004b; DPLG & MDB, 2002; GLDPLG, 2003; Oranje, 2000, 2002, 2003; PlanPractice Townplanners, 2002; PPCAS, 2004a, 2004b, Pycroft, 2000; Pieterse, 2004; SALGA, 2001; Visser, 2001), where intergovernmental planning has only been dealt with superficially. It may be because these studies were commissioned by persons and agencies searching for a tangible answer to the “failure” of IDP, while this study aims to have a more scientific contemplation of integrative planning in local government within the broader context of planning theory.

Internationally, however, there is a whole body of knowledge that deals with the ways in which relations between agency and structuring dynamics are played out in specific instances, how far this reinforces, challenges or changes established power relations and material outcomes, and to whose benefit (see Forester (1996), Hillier (2002), Flyvbjerg (1998a, 2001) and Healey (2000:919)). The value of such studies, especially if approached from the perspective of authors like Nietzsche and Foucault who contend that communication is at all times permeated with power, are emphasized by authors such as Allmendinger (2001: 124-127), Forester (1982a), Hillier (2002:49) and Flyvbjerg & Richardson (2002:47). To apply and extend this knowledge, both locally and internationally, regarding this crucial phase in the development of the new planning system in South Africa, it becomes imperative to examine meaningful Integrated Development Planning in the light of the ways in which power shapes communication. The value of this study therefore lies in its contribution to the knowledge base of specific planning experiences, as well as improving the overall understanding of integrated development planning in South Africa, specifically within the context of the unfolding democratic and developmental local government system. It could also assist local authorities and urban planners in South Africa, (and other

countries where such processes are in play) with the development of mechanisms to contend with the pervasive use (and misuse) of power in the integrative planning process. It should also hold value for academic and research institutions, government organisations and local authorities, as well as the various role players involved in local government planning, specifically those involved with the development of policy and legislation.

1.4 Problem statement

In view of the foregoing discussion the research question/problem statement of this study can be framed as follows:

How does power shape communication within and between government spheres in the IDP process and how does this influence the achievement of meaningful Integrated Development Plans?

Neither action nor interaction can escape the influence of power on the participants in the planning process and this study intends to offer a salient discussion of this question/problem statement, as it examines the influence of power on communication in the compilation of municipal Integrated Development Planning in South Africa, specifically as it affects intra- and intergovernmental relations in the IDP process. In addition to an analysis of documentation on IDPs in South Africa, a number of issues emanating from planning theory which impact on meaningful integrated planning are discussed, such as the ways in which power shapes communication in integrated development planning. Given the historical nature of the study it also includes an historical account and analysis of the 2000/2001 and 2001/2002 Integrated Development Plan process in the local governments of Kungwini Local Municipality (located east of Pretoria and approximately 25 km from Witbank on the N4 highway (the Maputo Corridor) and covering an area of 2109 km) and Klerksdorp Local Municipality (located 164 km south west of Johannesburg on the major N12 route

between Johannesburg (Gauteng Province) and the western seaboard of Southern Africa (Cape Town and Namibia) and covering an area of 3562 km²) as study areas. The specific study period for the historical part of the study extends from late 1999 (when the municipalities began their 'second round' IDPs as a statutory requirement of the Local Government Municipal Systems Act (Act 32 of 2000)) to approximately the middle of 2002 (when the first version of this IDP was approved).

1.5 *Structure of the thesis*

The structure of the thesis is based on that recommended by Robson (2002:508 in relation to Miles and Huberman) namely to state how the study came about, description of the analysis, contextualising the study (placing it in its historical and social setting), provision of the basic data collected and a conclusion with a broader meaning of the study in the world of ideas and action it affects. This study therefore includes a statement of the experience that was investigated, the research methodology, a literature review that summarises and places the problem in the context of related theory and research (framework for analysis), a description of the setting in which the enquiry took place and with which it was concerned as well as a description and analysis of the data obtained, and a discussion of the outcomes of the enquiry that offers an interpretation of the results.

1.6 *Ethical considerations*

Within scientific research there are basically three questions regarding ethics, namely is the researcher careful in research and honest in the reporting thereof, does the researcher comply with his/her responsibility to society and does the researcher treat the participants with respect and protect them from harm? (Singleton & Straits, 1999:513). Participants in research may well be concerned with how they appear in the report and whether their interests, individually or collectively, are affected by the study. Although quantitative research

usually does not pose this problem, case studies are a different matter, as context is important. Even though it is possible to use pseudonyms for persons and settings, anonymity is not necessarily guaranteed (particularly within this setting), it may even detach the study from reality. In this study reasonable precautions were taken to ensure a certain extent of anonymity, but questionnaires were also chosen as a way in which to ground statements within a certain context.

In spite of the fact that this study was undertaken as a result of the researcher's personal experiences and after the activities took place, it was clearly stated to each respondent that the questionnaire was handed out as part of a Master's study, and no objections were raised. The following ethical principles (Social Research Foundation, 2003:53) were also aspired to throughout the study:

- *Protocol was observed.* Care was taken to ensure that the relevant persons and authorities were consulted and informed, and that the necessary permission and approval had been obtained.
- *Negotiation with those affected.* Not all participants were disposed towards an active involvement in the study and this was taken into consideration with respect to the study.
- *Informed consent was obtained for the observation.* Participants were informed regarding the nature and objectives of the study, what was expected from them as participants and that they were free to end their participation at any time.
- *Privacy and respect for the person's dignity were maintained.*
- *Responsibility was taken for the maintenance of anonymity and confidentiality, where requested.*
- *The student retained the right to report her work.* The achievement of fairness, accuracy and relevance in the accounts of the participants were strived for, as well as not unduly exposing or embarrassing those involved.

2. RESEARCH METHODOLOGY

2.1 *Approach*

A qualitative approach was used in this study, which means that the focus was on the observation and interpretation of a situational reality, carried out in a circular and iterative way as defined by Dafinoiu and Lungu (the reorganising and verifying several hypothetical patterns in a continues process) (2003:159). More specifically the study was approached as an enquiry about the influence of certain relationships (intra- and intergovernmental relations in this case) on a particular set of circumstances (communication in the IDP process), based on a description of the way in which these relationships are created and given meaning (via power) (Singleton & Straits, 1999:20). Such an approach is opposed to the quantitative approach, which focuses on causality based on statistical data, which is usually comprised of five sequential steps namely deducing a hypothesis from a theory, expressing the hypothesis in operational terms which propose a relationship between two specific variables, testing this operational hypothesis, examine the specific outcome of the enquiry and, if necessary, modifying the theory in the light of the finding(s) (Robson, 2002:95). In other words, quantitative research is usually conducted sequentially while qualitative research is usually more iterative in nature.

The specific paradigm within qualitative research that was used in this study is the constructivist-interpretive theory, one of the four different paradigms or interpretive frameworks identified by Denzin and Lincoln within the qualitative research discipline, namely the positivist and post positivist framework, constructivist-interpretive framework, the critical framework (which includes the Marxist and emancipatory frameworks) and feminist-post structural framework (1998:26). The constructivist-interpretive paradigm differs from the positivist and post -positivist paradigm in that the enquiry aims are focussed on the production of

reconstructed understandings, wherein the traditional positivist criteria of internal and external validity are replaced by the terms trustworthiness and authenticity. Stated differently, it concentrates more on individual experiences that may be similar to other experiences, than on generalising experiences by ensuring internal and external validity of several experiences. However, its individual focus is not of the same intensity as that of the critical and feminist post-structural frameworks, which take factors such as age, gender, race, etc. into consideration. As this is inherently a study of planning practice and power within the ambit of local government experiences, it firmly places the study within the constructivist-interpretive framework. More specifically, it falls within the realm of the “practice movement” in planning theory, as advanced and applied by Flyvbjerg (1998a, 1998b and 2001), Watson (2001), Allmendinger (2001) and Hillier (2002) in similar studies in the planning domain. The term “practice movement” refers to the great diversity of recent writings by authors such as Forester (1982a, 1982b, 1987, 1996, 1999, 2001, 2004), Healey (1996, 1997, 2000), Watson (1996), Hoch (1996) and Innes (1999, 2005) which focus on the activity of planning and the practices of planners. The purpose of these empirical accounts of planning practice is to assist in furthering a more useful and pragmatic kind of planning theory than the generalized procedural or normative models that previously constituted planning theory, and has a pedagogical role to play in relation to practicing planners and planners in training (Watson, 2002:178).

Within this particular approach, the method of case study research has been employed in this study to arrive at certain conclusions regarding the influence of power dynamics on meaningful communicative planning in the municipal IDP process. Case study research is, according to Robson, one of the three traditional flexible research strategies (2002:89) and is appropriate to exploratory work which aims to assess phenomena in a new light and, because of their intensive nature, can usually only focus on a small number of cases. One of the

classic examples of a case study revealing more illuminating results than a purely scientific or empirical research approach is the well-known Hawthorne experiments, which took place in 1927 at the Hawthorne plant of the Western Electric Company². In planning theory specifically, Flyvbjerg's seminal case study of Aalborg (1998a) emphasised the use of this research method in enriching planning theory. His book, *Rationality and Power: Democracy in Practice*, contains a narrative, in-depth case study of how rationality and power shapes urban policy and planning, with the Danish town of Aalborg as a paradigm case. Flyvbjerg (2001:66-87) contends that case studies are well suited to produce concrete, context dependent knowledge, which in essence is all that social science has to offer. Case studies are not only a tool for understanding practical rationality, but also for communicating it to others (Flyvbjerg, 2001:135). In addition Flyvbjerg contends that researches stand to gain the most advanced level of understanding when they place themselves in the context studied (2001:138).

2.2 Method

When the case study approach is used in qualitative research, it is preferable to use a triangulated research strategy as triangulation³ improves the validity and integrity of the study, (Yin, 1994:91-92) and ensures that the findings are supported by "multiple forms of evidence" (Gillham, 2000: 19). According to Homann (2005) the use of triangulation and a number of methods enhances the credibility and trustworthiness of the findings of case studies, as well as assisting in

² The objective of the Hawthorne experiment was to assess human behaviour under differing working conditions. It was concluded that the organisation of human relations, rather than organisation of a technical basis, increased work productivity. On the other hand, a spontaneous social organisation or group could adversely effect production not on the basis of careful consideration or logical processes but by "just happening", hence, informal organisation of workers' groups could defeat official plans (Simmons & Dvorin, 1977:222-223).

³ Triangulation is a method which implies the multiple observations of the same phenomenon, or the convergence of different kinds of evidence, gathered in different ways but bearing on the same point (see Gillham, 2000: 13 and Yin, 1994: 91-92).

mitigating the inevitable bias of the observations of the observer/researcher – an aspect which is of particular importance in case study research. In addition to this, triangulation enriches our understanding of a situation by emphasising diverse processes to study the different aspects of an experience, using an interpretive, naturalistic approach which enables a researcher to examine human group life in a manner that acknowledges its complexity (Denzin and Lincoln, 1998:3). In an enquiry about the influence of certain relationships on a particular set of circumstances, similar to this one, the basis has to be a description of the way in which these relationships are created and given meaning (Singleton & Straits, 1999:20). Throughout this study (as and where possible) various different sources, evidence and opinions of participants in and analysts of the local IDP processes (especially *a propos* the period 1999 to 2003) were used through triangulation to support statements (and facts).

Yin (1994:83-97) and Stake (1995: 47-55) identify at least six sources of evidence that can be used in the triangulation process, namely documents, archival records, interviews, direct observation, participant-observation and physical artefacts. It is important to keep in mind that not all sources are relevant for all case studies (Yin, 1994:97) and that each case will present different opportunities for data collection. For this study the methods of literature review (documents), survey research (interviews) and observation were used to analyse the two case studies and to come to certain conclusions. These methods are discussed in more detail below.

2.2.1 *Literature review*

The literature review focussed specifically on the definition of Integrated Development Planning and the study of public administration, and placing it within the theoretical planning framework of communicative action and power relations. In this regard the works

of Cloete, Mulford, Perri 6 *et al.*, Hanekom *et al.*, Rowland and particularly Forester and Flyvbjerg provided valuable insights. Although the works of Cloete, Hanekom *et al.*, and Rowland were written before the current local government dispensation, there are some observations still relevant to this study as it also applies to present-day government relations. Furthermore the IDP documents of the relevant municipalities were assessed to assist in the comparative discussion of the envisaged and actual outcomes. The student tried to limit the literature survey to those texts that had relevance to the research of this study and throughout the study an effort was made to fuse these ideas with the ideas of this author, endeavouring to add some value to their findings.

2.2.2 *Survey research*

The survey research for this study consisted of direct interviews with the aid of administered questionnaires, or in other words focussed interviews. The focused interview is used in a situation where the respondent is interviewed for a short period of time, usually answering predetermined questions with fixed wording, usually in a pre-set order (Robson, 2002:270). Focussed interviews were chosen above non-specific interviews because of the all-pervasiveness of power dynamics within the local government setting and specific reference points were needed to ground the subject of this study. As the subject of this study is the influence of power on communication in government relationships within a certain legal and policy framework, the content of the interviews and questionnaires were guided by this framework. Thus the questionnaire contained mostly multiple-choice and “closed questions” with only a few open-ended questions, firstly to assess the knowledge of the participant regarding the IDP process and their perception of the “success” of the process (multiple-choice and “closed questions”) and secondly to determine the extent to which the participants realised and understood the influence of power on communication in this process (open-ended questions). The

questionnaire used in the directive interviews is attached as Annexure A. Out of the 20 respondents, 13 were interviewed personally in order to clarify possible misunderstandings and prompt for more complete answers where necessary. The other respondents chose to complete the questionnaires in private, with the option of contacting the interviewer for clarification if necessary. The sample participants for this study were chosen based on the identification of institutional role players in the local government sphere and consisted mainly of the senior personnel of the municipalities that were involved with the integrated development planning process, such as the Municipal Manager, IDP specialists, Heads of Departments, etc.

2.2.3 *Observation*

Observation (specifically participant-observer) research denotes the way “in which the observer (experimenter) joins and participates in a group activity in order to study and record behaviour” (Dafinoiu & Lungu, 2003:30). Participant observation can be approached in different ways, such as the complete participant, the participant as observer, the marginal participant or the observer-as-participant (Robson, 2002:316-319). The differences between the different roles are determined by the level of participation of the observer within the group as well as the knowledge the group has of the status of the observer as such. The approach towards this study was partially that of observer-as-participant, i.e. during the course of the study the student’s status as research agent was known at the Kungwini Local Municipality.

When the choice of case studies is considered within the practice movement of planning theory, it is frequently places where the planner has experienced the dilemmas of planning personally, for instance Flyvbjerg’s Aalborg study (1998), Allmendinger’s Frome study (2001), Watson’s Cape Town study (2001), Homann’s Pretoria study (2005) and Coetzee’s Pretoria study (2005). Likewise, Kungwini Local

Municipality was chosen due to the planning experiences the researcher had there, as well as (to a much lesser extent), personal experiences at Klerksdorp Local Municipality. This closeness also made it possible to get access to and cooperation from the institutional role players involved with the IDP in Kungwini Local Municipality, and Klerksdorp Local Municipality. The specific study period extends from the initial and most complete phase of the second round of IDPs in local government to the first revision phase.

A challenge associated with case studies is that they can be time-consuming and that the research results may no longer be relevant when the results are finally published. However, the timeframe of this study and the nature of this subject is such that its outcome, which is of generalised nature (in other words not limited to application in one situation only), should still be pertinent at the time of publication (after the classic example of Flyvbjerg's Aalborg study (1998) that is still being used).

2.3 Analysis

As stated above, the researcher employed a qualitative approach utilising the constructivist-interpretive paradigm. This approach requires the intermittent analysis of the data throughout the study, specifically in the case of participant observation, where it is difficult to separate the data collection and analysis phases of an enquiry. The qualitative researcher continually has to deploy reflexivity and evaluative skills to data analysis and to the decisions concerning the direction of the next step in the study. Also, the validity or trustworthiness of the study had to be considered at all times to ensure a legitimate study. These directives were kept in mind, and scientific aims followed to ensure clear thinking on the part of the analyst as far as possible, a central requirement of qualitative analysis (Robson, 2002:459).

3. FRAMEWORK FOR ANALYSIS

In this chapter a framework for analysis is developed. This framework is discussed in the form of a theatre production in the milieu of South African society, with (1) the stage (the grounding of the study within planning theory, specifically within communicative planning theory and concomitantly the role that power has in planning), (2) the play (the particular “drama” being preformed, namely integrated development planning), (3) the backdrop (the context within which the play takes place, that is local government relations), (4) the actors (the role-players in the IDP process) and (5) the director (power and how it shapes the quality of communication within intra- and intergovernmental relations in the IDP process).

The framework of this study originates with the concepts of communicative action and collaborative planning theory (the stage and play), the pertinent intra- and intergovernmental relationships in local government planning (the backdrop and actors) and the particular manifestations of power in these processes (the director). The ways in which these concepts are currently understood are discussed in the following section, as well as where this particular study is positioned in these areas. This discussion provide the underpinnings of the framework for analysis, which is then used in the following chapter to structure a perspective on the influence of power on communication in intergovernmental planning processes, by focusing on the power interface in local government IDP processes in South Africa. In this approach the study intends to emulate similar case studies, such as Flyvbjerg’s study of Aalborg (1998a), Coetzee’s (2005) and Homann’s (2005) studies of Tshwane and Keeley & Scoones’ (2000) study of Ethiopia.

3.1 *The stage – communicative planning and power*

Over the last two to three decades there has been an epistemological shift in planning theory from a more rational-instrumental approach to a more communicative approach that both describes and prescribes planning work. In broad terms, communicative planning can be seen as a reaction against planning in terms of positivist social science, specifically the classical instrumental rationality approach to planning (the so-called 'blueprint'/master plan approach) that came into being after the Industrial Revolution (Flyvbjerg (1998), Yilmaz (2002:23), Kumar & Paddison (2000:205), Innes & Gruber (1999, 2005) and Bengs (2005)). According to Yilmaz (22-24), the rational planning paradigm is best reflected in its claim to universality and certainty and its scorn for local knowledge. In contrast, the post-positivist epistemology (in its different versions) and the communicative turn in planning aspires to address the weaknesses of purely instrumental rationality, by developing a planning paradigm on a broader conception of rationality that is also relevant in a more interconnected and complex world (Yilmaz, 2002:27-28). This change in focus has gained momentum especially during the last quarter of century. Proponents of the communicative turn in planning include authors such as Healey (1996, 1997, 2000), Hoch (1996) and Innes (see Innes (2005) and Innes & Booher (1999)). These theorists describe communicative planning as an interactive, communicative activity that forms part of a normative theory based on the work of Jürgen Habermas (1981 and 1989).

3.1.1 *Jürgen Habermas' communicative rationality*

Jürgen Habermas' work (1981, 1989) focuses on communicative action in planning with the purpose of creating an ideal speech situation, where different interests should take part in undisturbed communication in order to reach a consensus concerning goals for, and formation of, the planning process (Flyvbjerg & Richardson,

2002:46). In other words, he developed the concept of communicative reason based on inter-subjectivity and a free and equal participation of parties to a dialogue. Habermas' ideas have been widely used in the communicative planning debate. It is specifically Habermas' concept of communicative rationality that is considered as a very useful point of departure in this regard (Yilmaz, 2002:28; Hoch, 1996:39; Innes & Booher, 1999:412; Flyvbjerg & Richardson, 2002:46), where it is proposed as a way to reach consensus without resorting to power and violence. Habermas defines the "*ideal speech situation*" as a standard for rationality, which aims at "*a consensus arrived at in a discussion free from domination*" (Habermas in Yilmaz, 2002:29). In this conception, what is rational is not given prior to a dialogue but rather as an end product based on the power of better argument in a real dialogue performed under suitable conditions.

3.1.2 *Michael Foucault's pervasiveness of power*

However, Habermas' emphasis of the "*the power of the better argument*" may not always withstand the effects of power and interest in the decisions reached for action (see Healey (1996, 1997, 2000), Flyvbjerg (1998a, 1998b, 2001, 2002) and Forester (1982a, 1982b, 1987, 1996, 1999, 2001, 2004)). Considering the discursive and ideological aspects of power in planning rather than just its sheer content of force, it is hard to make a clear-cut distinction between power relations and dialogical relations in Habermas' theory (Yilmaz, 2002:32). It is here that Michael Foucault's concept of complex web of power relations embedded in dominant discursive practices provides us with a clearer understanding of how planning takes place in reality (Yilmaz, 2002:33). In addition to the work of Foucault, authors such as Nietzsche, Derrida and many others have contended that communication is always permeated with power and it is therefore inconsequential, to these authors, to conceptualise communication with the absence of power (Flyvbjerg & Richardson: 2002:47). For Foucault, neither action nor interaction can escape the effects of power

on the participants in the planning process. Thus the understanding of power is the first prerequisite for action, because action is the exercise of power (Flyvbjerg & Richardson: 2002:54).

3.1.3 *The reality of power in planning*

From the concepts of Habermasian communicative reality and Foucauldian pervasiveness of power, authors such as Healey (1996, 1997, 2000), Flyvbjerg (1998a, 1998b, 2001, 2002) and Forester (1982a, 1982b, 1987, 1996, 1999, 2001, 2004) developed their ideas regarding communicative planning theory and power. One of the foremost proponents of the communicative turn in planning as advocated by Habermas, Patsy Healey (who labels her approach "*collaborative planning*"), states that communicative rationality is the only viable alternative to "idealist fundamentalism", (Healey, 1996:252) and that this approach to planning is needed to enlarge and empower current democratic processes. Healey enriches the discussion of communication theory in planning by drawing on Anthony Giddens (1998) and his understanding that relationship dynamics are constantly recreated through mutual exchange; "*we are culturally made or socially constructed, and at the same time makers of cultures and social structures*" (Healey, 1997:46). She also emphasises how systemic constraints, such as power inequalities and institutional practices, can inhibit collaborative planning (Healey, 1997).

The view that systemic constraints such as power inequalities and institutional practices hinder collaborative planning is much more consistent with the experience that planners have in practice than the utopian view of Habermas, where validity claims are based on consensus amongst equal participants. Where planning theory thus far has had as its focus reaching consensus on what the future should be, whether through calculating consensus (the "rational approach") or communicating consensus (communicative rationality), with a reliance on the prevalence of "reason" among participants in this consensus

seeking, the focus has shifted to the importance of power in planning outcomes (Forrester, 1999:176). Yiftachel and Huxley (2000:910), for instance, state that “planning” is urban/regional/environmental changes that are carried out by, or in relation to the state’s power and resources. But the concept of *power* determining planning outcomes in governance extends beyond the mere physical existence thereof (e.g. the access to resources), it also denotes the complexity of networks and arenas within governance where power dynamics are expressed and deployed, as argued by Healey (2000:917-921). Integrative efforts in planning processes do not necessarily guarantee that equitable outcomes will be achieved and the effect of power minimised. Indeed, the effect of power (or the lack thereof) may actually exclude stakeholders from effectively participating in collaboration and coordinative planning (Bramwell & Sharman, 1999:394). This is illustrated in the South African context by the statement of the DDPTT (2002:7) that the challenge of strategic planning is not a methodological one, but an institutional and sometimes a political one. Prioritising, focusing and making choices require a debate on distribution and allocation of scarce resources, between departments, population groups and locations. Such debates tend to be confrontational ones and the challenge of developmental local government is to handle and resolve these conflicts. Knowledge of the way in which power manifests itself in local government relations provides valuable insights into how planners could deal with these conflicts in the integrated development planning process. In fact, according to Forrester (2004:243), it is imperative that planners are conversant with the expressions of power and, even more importantly, how these expressions may be taken advantage of to achieve future potentials. Flyvbjerg (1998a, 2001), Forester (1996) and Hillier (2002) emphasise the importance of training planners in the realities of planning, in other words teaching them that democratic planning is much more than rational decision-making and communicating, it also needs an awareness of how power shape planning and how to contend with this issue in practice. For example, Flyvbjerg’s (1998a) approach

to his study of Aalborg focussed on how power, or rather the aspiration to power influenced the words and deeds of the persons involved in planning there. At the end of his study, Flyvbjerg (1998a) sets out ten propositions on power and rationality, which he argues “*can serve as useful guidelines for researching rationality and power in other settings*”.

FIGURE 1: Flyvbjerg’s ten propositions on power and rationality

1. Power defines reality
2. Rationality is context-dependent; the context of rationality is power and power blurs the dividing line between rationality and rationalisation – objectivity is relative
3. Rationalisation presented as rationality is a principal tool in the exercise of power – communication is not about the “truth”, but whether it would further the aims of the communicators
4. The greater the power, the less rationality (the *need* for rationality is inversely proportional to power)
5. Stable power relations are more typical of politics, administration and planning than antagonistic confrontations
6. Power relations are constantly being produced and reproduced
7. The rationality of power has deeper historical roots than the power of rationality
8. In open confrontation, rationality yields to power
9. Rationality-power relations are *more* characteristic of stable power relations than of confrontations.
10. The power of rationality is embedded in stable power relations *rather than* in confrontation.

Source: Flyvbjerg (1998a)

Forester’s critique of Flyvbjerg’s study of Aalborg is that the above-mentioned propositions on power and rationality are vague references, instead of descriptions of specific forms of power and how it can be overcome, exposed or even weakened (Forester, 2001:269).

More recently, Flyvbjerg and Richardson (2002) have used the “power-analytics” of Michael Foucault to provide an understanding of planning that is practical, committed and “ready for conflict” and suggests that it provides a superior paradigm to planning theory, rather than an understanding that is discursive, detached and consensus-dependent. Additionally the spatiality of Foucault’s work opens up the possibility of developing a planning theory which understands how power and space are closely bound up in planning (2002:59). The Foucauldian approach problematises existing planning tools and processes, suggesting the need for a power-sensitised understanding of the nature of knowledge, rationality, spatiality, and inclusivity in planning theory, as can be seen in Foucault’s empirical work method:

FIGURE 2: Foucault’s empirical work method

- The researcher is equipped with a language and theoretical analysis of power and its techniques and strategies which guides the researcher through the studies.
- Research is based on richly contextualised, detailed case studies.
- The relations between power and rationality are a central focus.
- The focus moves beyond communicative events.
- The language is of conflict rather than communication. Planning processes and events are written as the playing out of strategies and conflicts rather than debates or arguments.
- There is no assumption of the key role of the planner as the facilitator of a rational, communicative process. This can be the role of some planners, but others, clearly, choose to work in other ways.

(Flyvbjerg & Richardson, 2002:59).

The basic tenets of integrated development planning as applicable to South Africa are to be found in communicative planning theory (as

discussed above) and its genesis is discussed in more detail in the following section.

3.2 *The play – integrated development planning*

The emerging system of integrated development planning in South Africa at national and local government level is influenced by current thinking in both developmental and spatial planning and is based on a communicative approach to planning (Pieterse, 2004:7; Todes, 2004:858). South Africa's IDPs reflect an interest in multi-sectoral, integrated, bottom-up approaches to local and regional development and are expected to give effect to notions of 'developmental local government', namely to align resources around the chosen development directions of the municipality, and to ensure both horizontal integration between sectors within local government and vertical integration with other spheres of government. In the following paragraphs, the concept of integrated development planning in South Africa will be discussed in more detail, including a definition thereof, its history and significant legislation pertaining thereto.

3.2.1 *Definition*

The legislative context of Integrated Development Planning provides a starting point from which a definition of IDP can be determined, with the aim of deciding a criterion against which the credibility thereof can be assessed. To come to an authoritative definition, however, also requires scrutinising a myriad of definitions for Integrated Development Planning by agencies concerned with IDP. The Department of Provincial and Local Government, for instance, defines the IDP in terms of its legislative requirements, describing it as a five-year strategic development plan for a municipality which serves as the principal strategic management instrument, legislated by the Municipal Systems Act (Act 32 of 2000) and which supersedes all other plans that guide development at local level (Development Planning and Local

Economic Development Directorate of the Department of Provincial and Local Government (DPLG), 2002:i). Others focus on the integrative aspect, such as the South African Local Government Association (SALGA), which describes the IDP as a participatory planning process aimed at integrating sectoral strategies, in order to support the optimal allocation of scarce resources between sectors and geographic areas and across the population in a manner that promotes sustainable growth, equity and the empowerment of the poor and the marginalized (SALGA, 2002:2). In a similar vein, the IDP Nerve Centre concentrates on the intergovernmental coordination aspect of IDP, classifying Integrated Development Planning as a process aimed at promoting intergovernmental planning, by way of coordinating local development intentions with national and provincial legislation, policy, plans and programs (IDP Nerve Centre⁴, 2004). An alternative approach is that of the Australia South Africa Local Governance Partnership (ASALGP) and the Decentralised Development Planning Task Team, which places the emphasis on the process of integrative development planning. The ASALGP accentuates the dynamic nature of IDP, defining Integrated Development Planning as a co-operative and continuous process that is undertaken by the Municipality and leads to the adoption of the Integrated Development Plan and its annual revision based on new data and changing circumstances (2003:7). The Decentralised Development Planning Task Team simply states that Integrated Development Planning is the municipality identifying its priority issues/problems in order to direct its vision, objectives and strategies, followed by the identification of projects to address the issues (2001a:6). A more comprehensive definition is that of the Council for Scientific and Industrial Research (CSIR), which describes the South African system of Integrated Development Planning (IDP) as a process by which municipalities prepare 5-year

⁴ Cabinet approved the establishment of the IDP Nerve Centre (IDPNC) as a tool to support the flow of strategic planning and project-based information across government. The IDP Nerve Centre provides a single, web-based information system that allows multiple stakeholders, involved in municipal service delivery, to access, capture, revise and report a core set of planning, funding, programme and project based information over a multi-year period in a consistent manner.

strategic plans that are reviewed annually in consultation with communities and stakeholders and that these plans seek to promote integration by balancing social, economic and ecological pillars of sustainability without compromising the institutional capacity required in the implementation, and by coordinating actions across sectors and spheres of government (CSIR, 2002). More recent definitions include those of Pieterse (2004:7) who defines IDP as essentially a planning methodology that links a statement of purpose, with plans, programmes, institutional design and practices, monitoring mechanisms and financial flows, and Todes (2004:844) who states that IDPs are intended to be holistic multi-sectoral plans, which guide the future development of the locality, giving direction to both the municipality and other spheres of government operating in the area, containing a spatial development framework, expenditure priorities and projects for implementation over a five year period.

When these definitions are studied, the following aspects become clear:

- i) An Integrated Development Plan should incorporate and integrate all sectors (public and private on municipal, provincial and national level) active in a municipality;
- ii) An Integrated Development Plan should be the primary management tool used by municipal governments;
- iii) An Integrated Development Plan has to set a strategic framework and programme for action for development within a municipal society; and
- iv) Integrated Development Planning should be a continuous process.

3.2.2 Tracing the development of Integrated Development Planning

Although Integrated Development Plans (IDPs) has been part of the collective planning consciousness in South Africa for the past ten years, it did not arrive fully formed in the local government planning practice and neither has it ceased evolving. According to Harrison

(2001) the concept of integrated development planning has developed from a variety of influences, including recent strands of regional planning, with its interest in developing territorial strategies that respond to intersecting environmental, economic and social conditions. As early as the 1970's the World Bank promoted integrated rural development projects in countries such as Sierra Leone and, after becoming popular internationally by the early 1990s due in part to the efforts of environmental lobbyists, integrated development projects have also been implemented to a greater or lesser extent in countries such as Brazil, Indonesia, New Zealand, Papua New Guinea, Switzerland and Turkey (Oranje *et al.*, 2000:16; Harrison, 2001:178).

According to Harrison, the South African understanding of the IDP draws on the various conceptions of integration and development within the theory and practice of planning (2001:180). He argues that the foundation for integrative planning was already laid in the 1930s and 1940s with the import of the regionalism/holism concept of Geddes, Mumford et al. by British planners (2001:180). In the 1960s and 1970s procedural rationalism and systems theory furthered the idea of integrative planning and in the 1980's the neo-Marxist planning theory influenced the conceptualisation of integrative planning, placing it in a social and economic context (referring to 'racial capitalism' and the history of urban development). During the late 1980s, progressive planners and NGOs in South Africa increasingly experienced the flaws and limitation of South Africa's patriarchal planning system, with its strong master plan and physical and control-oriented nature, specifically within the context of the apartheid system. This realisation resulted in a reaction to and a protest against government policies (Coetzee, 2005:42) and with the democratisation of South African society in the early 1990s, the drive towards integrative planning became more urgent, due to the desperate need to redress the inequalities of the past. The first step in this direction was the Reconstruction and Development programme (RDP), which was launched as an ANC policy document, even before the democratisation

of SA, and formalised in September 1994 as the government's White Paper on Reconstruction and Development (Binns & Nel, 2002:921). By 1995 integrated development planning was being promoted by the Reconstruction and Development Programme office and had emerged as a distinct approach to planning in South Africa. At that time IDP was conceived mainly as a tool to support the coordinated delivery of reconstruction and development by national and provincial government departments. However, with the closure of the RDP Office in 1996 the focus shifted to the role of IDP in the local sphere of government (Binns & Nel, 2002:921, MacKay, 2004:39-40). Still, the RDP had laid the foundation for later legislation dealing with integrative planning at local government level (Harrison, 2002).

The subsequent trajectory of institutionalisation of integrated development planning has been traced by Harrison (2000) and Pycroft (2000). Harrison (2001) suggests that the "first round" of integrated development plans, prepared under the Local Government Transition Act, Second Amendment Act (Act 97 of 1996) during the 'transitional' phase of local government restructuring, were subject to various shortcomings and limitations. The initiation of the current 'final' phase of local government restructuring, marked by the December 2000 local elections, was conducted within the legislative framework established by the local Government Municipal Demarcation Act (Act 27 of 1998) and the Local Government Municipal Structures Act (Act 117 of 1998). This laid the foundation for the preparation of the 'second round' integrated development plans by the new local authorities as a statutory requirement of the Local Government Municipal Systems Act (Act 32 of 2000).

While IDPs have been prescribed by legislation since 1996 and forms of these plans have been developed since then, it is only from 2001 that the current versions of IDPs were prepared and that the statutory requirements for an IDP were spelt out. The passing of the Municipal

Systems Act and the second local government demarcation⁵ in 2000 laid the basis for the present round of IDPs. For the first time, wall to wall local government was introduced and, outside of the six metropolitan areas, a two-tier (*sic*) system of district and local municipalities existed (Todes, 2004:849-851). The division of functions between district and local councils vary, but the role of the district council is also to support weak local authorities, to link to provincial and national government, and to act as coordinator. While each local authority conducts its own participatory process and prepares its own IDP, this is done in interaction with the preparation of the district IDP, which is intended to produce a common overall strategy for the district, and to ensure vertical and horizontal alignment of IDPs in the district (Todes, 2004:849-851).

3.2.3 *Legislation for IDP*

Among the plethora of parliamentary legislation from the post-1994 ANC government, there were five major pieces of legislation which directly related to integrated development planning and the strengthening of the local government role through 'developmental local government' in the course of this study. These are the Constitution (1996), the Local Government Transition Act (LGTA, 1993), the Development Facilitation Act (DFA, 1995), the Local Government Municipal Structures Act (1998) and the Municipal Systems Act (MSA, 2000).

(a) *The Constitution*

The legislative roots of municipal Integrated Development Planning can be found in the 1996-Constitution of the Republic of South Africa. Public participation in a democratic society such as the one described and prescribed in the Constitution of the Republic of South Africa can

⁵ 'Local government demarcation' means the determination of local municipal boundaries in terms of Section 21 and 23 of the Demarcation Act, 1998 (Act 27 of 1998)

be compared with the premise of communicative planning (described in the previous segment), namely Jürgen Habermas' conception of discourse as an ideal procedure for rational and democratic decision-making (Flyvbjerg (1998a), Umemoto (2001), Kapoor (2002), Yilmaz (2003), Gonzales & Healey (2005) & Wikund (2005)). The drafting of the Constitution itself was an exercise in communicative action, as highlighted in the explanatory memorandum at the beginning of the Constitution (Act 108 of 1996). It states that the process of drafting the Constitution involved many South Africans in the largest public participation programme ever carried out in South Africa and after nearly two years of intensive consultations, political parties represented in the Constitutional Assembly negotiated the formulations contained in the Act, which, according to the preamble, represents the integration of ideas from all members of society within and outside of the Constitutional Assembly.

The Constitution of the Republic of South Africa, 1996 (Act 108 of 1996) is the most important guiding and informing legislation for integrated development planning in South Africa. Cloete defines the constitution of a state as a policy statement that determines which public institutions and office bearers a state will have, which procedures the institutions and office bearers will follow in the execution of their duties and which code of conduct will be followed in the creation and maintenance of the state (1993:89). Every institution that forms part of this state will consequently have to order its functions with policy statements resulting from the constitution. Comprehensive constitutional transformation for the Republic of South Africa took place after 1993, with the aim to redress the inequalities of the past including the fundamental reform of local governmental and administrative systems. As a result the Republic of South Africa Constitution Act, 1983, (Act 110 of 1983) was repealed by the Interim Constitution of the Republic of South Africa, 1993 (Act 200 of 1993), which in its turn was repealed by the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996). Through this new Constitution, the legislative,

governmental and administrative institutions on all levels of government have been reformed, providing specifically for public institutions with prescribed functions⁶. Thus the Constitution created an enabling environment for Integrated Development Planning to take place in local government⁷ by providing legislative support to accomplish the two principal objectives of integrated development planning, namely the integration of previous disparate spatial developments, as well as the integration of the efforts of different government spheres and departments in utilising limited resources to achieve better living conditions for communities. It also laid the foundation for more comprehensive legislation to achieve these objectives, such as the Municipal Structures Act (Act 117 of 1998) and the Municipal Systems Act (Act 32 of 2000).

(b) Local Government Transition Act (Act 209 of 1993)

This Act has a long history and has been amended a few times, first in 1995 (Local Government Transition Act, First Amendment Act (Act 89 of 1995)) and again in 1996 (Local Government Transition Act, Second Amendment Act (Act 97 of 1996)). Of particular importance is the

⁶ The Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), provides the basis for all government in South Africa. It identifies three spheres of government that are distinctive, interdependent and interrelated, enjoying a measure of autonomy while cooperating with, and respecting the functions and operations of others. The Act determines that Parliament is the dominant legislature in municipal affairs and it has to ensure the effective performance of provincial and municipal legislatures. However, because provincial legislatures are nearer than Parliament to local authorities, the implication is that provincial legislatures should be better able than Parliament to bring about effective performance by the municipal legislature. Also, provincial legislatures are empowered to pass legislation on a variety of local government matters, for instance municipal roads, noise pollution and street trading. Nevertheless, in Chapter 7, Section 151, provision is made for local authorities to govern on their own and for protection against actions and decisions by national and provincial government that could compromise or impede a municipality's ability or right to exercise its powers or perform its function. In fact, subsection 154 (1) with the heading *Municipalities in co-operative government* states that national and provincial governments must support and strengthen the capacity of municipalities to manage their own affairs, to exercise their powers and to perform their functions. In addition, the Constitution asserts the developmental nature of local government in section 153.

⁷ The Constitution states that municipalities (local government) have a duty to prioritise meeting the needs of disadvantaged communities, while section 152(1)c states that one of the objectives of local government is 'to promote social and economic development' (RSA, 1996).

Second Amendment Act, which specifically prescribed the Integrated Development Plan as part of the municipal government planning process.

(c) *Development Facilitation Act (Act 37 of 1995)*

This Act was the first to formally legislate integrated development planning for municipalities. The Act is aimed principally at encouraging efficient and integrated land development, by promoting the integration of social, economic, institutional and physical aspects of development and also promoting integrated land development in urban and rural areas. In Chapter 4 it specifically requires municipalities to develop Land Development Objectives (a framework and a series of priorities which identify development standards, strategies and targets for performance monitoring) as part of the integrated development planning process (RSA, 1995).

(d) *Local Government: Municipal Structures Act (Act 117 of 1998)*

The legislative context of the Integrated Development Plan (IDP) for local government *per se*, originates with the Local Government Transition Act 209 of 1993, read with the Development Facilitation Act 67 of 1995 (SALGA, 2001:A-1). This plan was intended as an instrument to assist local authorities in transforming and in fulfilling the objectives of the nationally sponsored Reconstruction and Development Programme (Harrison, 2001:176). With the implementation of a new municipal system by the end of 2000, the first five-year round of IDPs took place. This was in terms of Section 1(a) of Article 84 of the Municipal Structures Act (Act 117 of 1998), which identified integrated development planning as one of the core functions of municipalities (both local and district municipalities). Chapter 5 specifically deals with integrated development planning, specifying that municipal planning is to be developmentally orientated and part of co-operative government, stipulating the core components of IDPs and

prescribing the process for planning, drafting, adopting and reviewing IDPs throughout the process, providing guidelines. It also states that a municipality's IDP "is the principal strategic planning instrument which guides and informs all planning and development and all decisions with regard to planning management and development in the municipality" and "binds the municipality in the exercise of its executive authority, except to the extent of any inconsistency between a municipality's integrated development plan and national or provincial legislation, in which case such legislation prevails" (RSA, 1998). It also requires a municipality to act in a manner which is consistent with its Integrated Development Plan.

(e) *Municipal Systems Act (Act 32 of 2000)*

The fifth principal piece of legislation pertaining to the municipal integrated development process is the Municipal Systems Act. The Municipal Systems Act (Act 32 of 2000) elaborates on the Municipal Structures Act (Act 117 of 1998) by specifying that "each municipal council must, within a prescribed period after the start of its elected term, adopt a *single, inclusive strategic plan* for the development of the municipality..." (italics author's own) and prescribing the preparation of Integrated Development Plans, providing detail as to the core components that have to be included in the IDPs and specifying the objectives that have to be pursued in these plans.

3.3 *The backdrop – local government relations*

While integrated development planning in South Africa determines the specific context wherein the "drama" of local government relations are played out, the structure and networks established within the governance framework furnishes the backdrop for intra- and

intergovernmental relations. Governance⁸ stems from democratic government processes and refers to the role of public authorities as that of *promoting* development in partnership-mode with civil society, instead of *controlling* it. It can moreover be described as the complex interactions between state institutions and a diversity of role-players in the management/governing of public affairs (see Flinders, 2002). It has also been defined as “... the action, manner or system of governing in which the boundary between organisations and public and private sector has become permeable ... The essence of governance is the interactive relationship between and within government and non-governmental forces” (Rakodi, 2001:216). Government structures and networks should therefore support the principles of developmental (local) government. It is important to realise that there is a related correlation between institutional preparedness and capability and the type of planning tools that can be used effectively (Pieterse, 2004:7), i.e. the integrity of integrated development planning can be closely associated with the capacity of institutional structures and networks to apply it.

3.3.1 Structure

The principal field of study concerning government relations is the subject of public administration⁹ in South Africa. Public administration is a study field with a long research history and consists of different

⁸ Governance is a process in which power and authority are exercised between and within institutions in the state around the allocation of resources to create the conditions for a good and satisfactory quality of life for each citizen (Gildenhuys & Knipe (2002:9), Theron *et al.* (2000:29), and The Foundation of Contemporary Research (2002). See Pinson (2002) for a detailed exposition of the differences between “government” and “governance”.

⁹ Traditionally, public administration was understood to be different from private administration in that the ultimate purpose of the two administrations differed. Public administration is expected to carry out public policy and the primary task of the public administrator is to facilitate this end. Success has been difficult to measure, as it should reflect the improvement in the living condition of the society which it serves. The private organisation, on the other hand, is most often expected to produce profit, which is an easily measurable goal. The non-profit private organisation is a special and distinct instrument of its owners, primarily to fulfil special purposes defined by those owners, with social impact its only derivative (Simmons & Dvorin, 1977:64).

approaches, both traditional and non-traditional, that covers the complete spectrum of government relations. The traditional methodologies represent a more conventional approach towards this subject matter and attempts to provide quantifiable explanations of public administration, while the non-traditional approaches provides valuable insights by focussing on one or more of the specific elements that constitute public administration, such as the systems approach, issues approach, case approach, fiction approach, etc (Bain, 1986:13-14; Coetzee, 1988:20-21; Botes *et al.*, 1992:188-196; Hattingh, 1992:70-73 and Cloete, 1997:15-18). These study approaches towards public administrations have remained the same post-1994, but governmental administrative workings itself have recently been subject to reforms evolving from the “New Public Management”, of which more later.

In this study the traditional approach towards South African public administration is adopted, as exemplified in the works of Coetzee (1988), Botes *et al.* (1992) and Cloete (1997). In particular the comprehensive approach¹⁰ towards public administration is followed in the examination of government relations in the Integrated Development Planning process. This approach is consistent with the principle of integration in the IDP. Beyond the obvious meaning thereof (the integration of the previously segregated society of South Africa), “integration” refers to three possible forms or dimensions: integration between different spheres of government, integration between different sectors of service delivery or planning and integration between the often organisationally separate functions of planning and budgeting (Wilkinson, 2002:1).

¹⁰ The comprehensive approach recognises all activities of a government to be part of public administration and divides these activities into functional activities (i.e. water provision) and administrative activities (i.e. granting of leave). The successful combination of functional and administrative activities ensures that joint actions of an organisation achieve the objectives that have been set.

Of particular relevance to this study is the recent restructuring in public administration which has evolved from the 'New Public Management' (NPM) transformation trend in governmental administration. 'New Public Management' is an expression which characterises the key components of an international trend towards the transformation of the governmental administrative machinery, while the term itself is often attributed to Hood (1991 and 1995). Hood considers NPM to be a set of administrative doctrines that is "specific ideas about what should be done in administration" (Hood and Jackson, 1991:12), and which have become an administrative philosophy that has been widely accepted. 'New Public Management' has introduced reforms that aim at diminishing the difference in the manner that the success of public and private organisation are measured, such as performance management systems, more accountability and responsibility for public managers, more competition in the public sector etc. Stated differently, the principle of efficiency should be as important to public administration as it is in business (Caiden & Sundaram, 2004:376). Maesschalck states that "New Public Management" can be viewed it as set of administrative doctrines of public accountability and organisational best practice (2004:466), with the intention to propel the public sector to convergence on how to best manage their activities. Similar reforms are taking place in the public administration of South Africa and are reflected in the current legislation determining the context for government systems, as evident in legislation such as the Municipal Systems Act.

The Municipal Systems Act (Act 32 of 2000) is in concordance with and derived from the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996) (see 3.2.3 (a) above) and describes the way in which local government should function. The Act puts in place the basic systems and mechanisms by which a municipality can perform its core processes of integrated development planning, performance management, resource mobilisation and organisational change. In addition to this, the Act sets out the requirements for community

participation in these core processes and provides a framework for the provision of services and puts in place service tariffs, credit control policies and service delivery agreements that will assist in the empowerment of the poor (Gauteng Department of Development Planning and Local Government, 2003:11). It establishes an environment for developmental local government so that the following objectives can be achieved:

- i) provision of faster, more appropriate and more effective service delivery;
- ii) promotion of local economic development;
- iii) bringing about changes to the structure of the organisation;
- iv) ensuring land use development opportunities which redress the imbalances of past segregation.

The most important endeavour to achieve the integration of the activities of the different spheres of government is the sharing of information within and between the different spheres of government. From the national sphere of government, the IDP is viewed as the principal mechanism to achieve this, as it should serve as basis for communication and interaction between spheres and sectors and to harness all public resources of the three spheres of government behind common goals within a framework of municipal support (Department of Provincial and Local Government, 2002a:i).

3.3.2 Networks

While the study of public administration describes the *what (or structure)* of government relations within and between government spheres, the *how (or networks)* thereof is illustrated by models of coordination and integration within and between organisations. The importance of coordination and integration between different government bodies for planning purposes had already been recognised as early as the late 1960s, with studies such as the assessment of

regional planning experiences at differing governmental levels in Wisconsin, USA (Penn and Harold, 1967:1277). And similar to the influence of changes in public administration under the auspices of 'New Public Management' on the structure of government relations in South Africa, has the recent research dealing with the notion of 'networks' as a way of governing, influenced the conception of interrelationships within and between government spheres. With the growing complexity of modern life, contemporary government has come to rely increasingly on networks rather than traditional bureaucratic hierarchies for coordination (Dawkins & Colebatch, 2005). Indeed, Lipnack and Stamps (1994:3) concluded that the network is the emerging signature form of organisation in the information age, just as bureaucracy stamped the industrial age and hierarchy controlled in the agricultural era. The bureaucratic approach, which has informed both public and business administration for more than a century, is mostly intra-organisational and based primarily on the activities of planning (establishing organisational goals), organising (structuring and designing the organisation) and leading (achieving the goals). This approach is based on coordination through hierarchies, strict chains of command and management that takes place within the confines of separate organisational entities (Mandell in Agranoff & McGuire, 2001:12). In contrast, network settings are not based in a central authority and cannot be guided by a single organisational goal. Networks require the appropriate actors and resources to be selected, the operating context of the network to be shaped and ways developed to cope with strategic and operational complexity (Agranoff & McGuire, 2001:12). The most important authors in this field of study are Agranoff & McGuire (1999, 2001, 2003 and 2005), Innes *et al.* (1999, 2005) and Perri 6 *et al.*, (2002), as they specifically study the concept of networks and networking as it relates to collaboration in the government milieu. It also assists in providing the context of the integrated development style of planning in South Africa.

In this era of “public performance” (Agranoff, 2005:18), local government is expected to achieve results, but the problem is that their performance depends partially on the engagement and actions of other spheres of government (Agranoff & McGuire, 2003:1416-1417). Hence the study of networks and its application to the complex matrix of intra- and intergovernmental relationships (Agranoff & McGuire, 2003:1405) provides the opportunity to better comprehend how integrated development planning takes place and how meaningful this process can be. Networks occur when links among a number of organisations or individuals become formalised (Keast *et al.*, 2004:364-365, Agranoff & McGuire, 1999:352). This process involves networking as a formalised means of maintaining links with others with a mutual interest and the forming of networks, which may involve simultaneous action by a number of different actors where each is the action of an independently operating organisation. The purpose of networks is to set up/result in fully integrated systems in which members see that although they represent individual organisations, their perspective is a holistic one. Networks reflect the collaborative aspect of planning, especially in the complex society of today (Innes & Booher, 1999:420; Agranoff & McGuire 2003:1403), with an understanding that complex problems (such as poverty alleviation, economic development etc) cannot be achieved by one agency alone but requires the concerted effort of a great number of role players.

3.3.2.1 *Networks in planning*

From a five-year study of transportation planning in the San Francisco Bay Area, Innes & Gruber (2005:177-188) identified four styles of planning, namely technical/bureaucratic, political influence, social movement and collaborative (see figure 3 below). To place these styles in relation to one another and to frame a normative approach to determining which style works best under what conditions, Innes and Gruber (2005:177-188) developed an explanatory matrix. In this matrix, diversity is high when there are many stakeholders with

different needs, and interdependence is high when no actor can meet his/her interests without the cooperation of many others. Each style implies a different theory of change through convincing, co-opting, converting or co-evolving. The technical/bureaucratic approach works where there is a unitary decision maker, because it depends on applying known goals and has no way of sorting through conflicting interests. The political influence approach is best suited to policy situations characterized by a diversity of interests, divisible benefits and few interdependencies. The social movement style involves high interdependence among its members, but it cannot accommodate a wide diversity of interests because this would require watering down the vision and weakening core support. When there is wide diversity of interest that is also highly interdependent, the collaborative model is needed. Face to face dialogue allows players to discover these interdependencies and work together for a solution that will provide mutual gain and enlarge, rather than simply divide, the pie. The matrix can be illustrated as follows:

FIGURE 3: FOUR STYLES OF PLANNING

		Diversity of interests	
		<i>Low</i>	<i>High</i>
Interdependence of interests	<i>Low</i>	Technical/Bureaucratic <i>Convincing</i>	Political Influence <i>Co-opting</i>
	<i>High</i>	Social Movement <i>Converting</i>	Collaborative <i>Co-evolving</i>

Source: Innes & Gruber, 2005:186

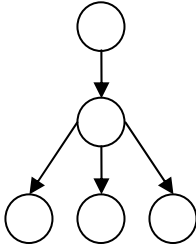
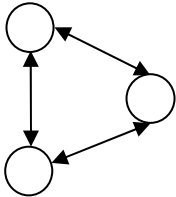
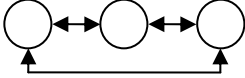
Vestiges of the first three styles can be found in the IDP process, hampering the collaborative style of planning that is the ideal planning situation (as maintained/argued by Innes & Gruber). Officials (including planners) adhering to the technical/bureaucratic style believe

that they are neutral advisors who provide objective information, typically in quantitative form, to inform and convince decision makers about the best choices. The danger of this approach is that planners divorce themselves from the realities of planning; instead they only focus on providing objective information to those who make decisions and not considering the interpersonal actuality of planning processes to secure desirable outcomes. Politicians, on the other hand, believe in the legitimacy of political processes and of elected office bearers, concentrating on interpersonal relationships. The political influence style of planning, however, does not consider that the stresses that political office-bearers are under may prejudice legitimate decision-making. Forester (1999:183) states that those in power face tremendous pressures to protect their privileges, to exaggerate or withhold information, to save face etc., perhaps because they fear losing resources and prerogatives, perhaps because they know their positions of privilege are contingent, not permanent. The social movement in planning arises outside of public agencies, among groups who feel excluded. Individuals and organisations join together around a vision in opposition to mainstream policy, with the purposes of converting people to support this vision and to make their collective voice powerful enough to force a response. As the IDP process endeavours to be an inclusive process, very little of this style of planning is evident, although certain groups within the IDP process (especially in the private sector) may join together to stronger voice certain opinions. However, this style of planning is not really equipped to deal with differences in ideals and aspirations of different groups within this “vision”. In the collaborative style, a good plan is one that responds to the interests of all stakeholders and creates joint benefits, producing learning and positive relationships, as is the intention of an Integrated Development Plan.

Coordination in the collaborative style of planning as described by Innes and Gruber, can take many forms, as copiously illustrated by Mulford and Perri 6 *et al.* From the Canadian experiences in integrated

development and planning, Mulford (1986: 65-79) describes three models of coordination, namely that of mutual adjustment, alliance and corporate models. Although this work is not new and was developed in a federative government context, a study of these models reveals their applicability to the South African milieu of integrated development planning. When these models are examined, it is clear that the approach to coordination in the Integrated Development Planning process, as proposed by IDP literature, is represented by the alliance strategy. Local government is expected to compile IDPs, but there is no legal requirement that compel other government spheres to participate in this process. However, there is an overall expectation that government spheres must assist in the improvement of the living conditions of the populace by using the instrument chosen to achieve this, namely the Integrated Development Plan for local government. Coordination therefore consists of developing written expectations within and between the different government spheres, with a reasonable expectation of adherence to it by all parties. The following tabular representation provides a summary of the different models described by Mulford (1986:66), followed by a description of each of these models:

TABLE 1: MODELS OF COORDINATION

	Corporate	Alliance	Mutual adjustment
Social power	<i>Authority</i>	<i>Negotiation</i>	<i>Influence</i>
			
Formalisation	Central authority develops written expectations	Participating organisations develop written expectations	Informal unwritten expectations
Sanctions	High	Some	Almost none
Example	Agency	Co-ordinating Council	Informal Committee

Source: Mulford, 1986:66

With *mutual adjustment*, each organisation continues to focus primarily on its own clients and constituents. Coordination tends to focus on specific cases rather than upon a system. The bulk of the interaction with this model includes information flows and consultation between members of the organisations. Each organisation continues to seek its own goals in addition to any more inclusive system goals that may have been developed. Differences of opinions that develop over goals are resolved through negotiation and bargaining. An informal committee is an example of coordination by mutual adjustment. *Alliance strategies* are intermediate between mutual adjustment and corporate strategies. Alliance strategies contain some elements of mutual adjustment and corporate strategies. If a federative context (an

overall organisation responsible for common functions without infringing on the autonomy of the individual organisations/participants, for instance national government) exists, the individual organisations maintain their individual goals but some more inclusive goals are developed too. Without the federative context, the alliance members maintain their own goals but collaborate with each other when their goals are similar. With *corporate coordination*, the focus is upon the inter-organisational system. While each organisation maintains its own goals, the purpose of the co-ordinated efforts is to develop and achieve the inter-organisational goals and sometimes a written plan is developed that specifies the responsibilities of each organisation.

Integrated Development Planning, however, consists of more than just coordination within and between government spheres; it also endeavours to integrate of the various activities of the different spheres of government. This approach to government in South Africa can be paralleled to the aspiration towards holistic (comprehensive) governance in the United Kingdom and the associated governmental relations as described in the work of Perri 6 *et al.* They identify two categories of intra- and intergovernmental relationship in holistic governance, namely coordination and integration (Perri 6 *et al.*, 2002:53). A tabular representation of the possible relationships in holistic governance based on these categories follows:

TABLE 2: POSSIBLE RELATIONSHIPS IN HOLISTIC GOVERNANCE

<i>Category of relationship</i>	<i>Type of relationship between entities</i>	<i>Definition</i>
Coordination	Taking into account	Strategy development considers the impact of/on others
	Dialogue	Exchange of information
	Joint planning	Temporary joint planning or joint working
Integration	Joint working	Temporary collaboration
	Joint venture	Long-term joint planning and joint working on major project core to the mission of at least one participating entity
	Satellite	Separate entity, jointly owned, created to serve as integrative mechanism
	Strategic alliance	Long-term joint planning and working on issues core to the mission of at least one participating entity
	Union	Formal administrative unification, maintaining some distinct identities
	Merger	Fusion to create a new structure with a single new identity

Source: Perri 6 *et al.*, 2002:53

In the South African context integration is strived for in the Integrated Development Planning process.

3.3.2.2

Networks in IDP

In terms of the foregoing discussion, an understanding may be developed regarding the networks of government relations within and between the different government spheres in the IDP process. In this process networks within and between different government spheres are established through the collaborative style of planning, as described by Innes and Gruber (2005:186). Government relations in this regard can be divided into three categories, namely intra-governmental relations (the relations within a government sphere), intergovernmental relations (the relations between government spheres) and extra-governmental relations (relations between a government sphere and the public). The prevalence of networking activity requires that local government must not only focus on intra governmental relationships, it must also reach out to involve other governments spheres because the technical and political demands of today's problems, and especially the demand for resources, in large part lie outside local government's agency (Agranoff, 2005:18, Agranoff & McGuire, 1999:352). In this study the focus is on intra-governmental relations and, where it relates to IDP, intergovernmental relations. Though IDPs are at present only compiled at local government level, in other spheres of government the IDP should also play a vital role in ensuring the integration of local government activities with other tiers of development planning at provincial, national and international level. This is one of the ten objectives that IDPs had to achieve, as identified by the Gauteng Department of Development Planning and Local Government during its assessment of the 2001/2002 IDPs (GDPLG, 2003:8). This specific aspect of the IDP namely the integration between the different spheres of government is also highlighted by the ASALGP (2003:11), which states that the IDP seeks to achieve the development of its area by providing the framework for integration with the other spheres of government and serving as the means to communicate and interact with the other spheres of government. This emanates from the understanding that local government is the place

where investment and the activities of different national and provincial departments and agencies can be coordinated, with respect to location and time, as well as the implementation of projects.

3.3.2.3 *Constraints to networks*

The networks that are established to achieve holistic governance (integration and coordination), as described above, do, however, not always achieve this goal. The reason for this may very well be that there still remains an expectation of outcomes and processes based on traditional ways of working, instead of understanding the realities of networks and maximising the benefits thereof (Keast *et al.*, 2004:365). Even though local government may aim to achieve the goals of integrated development, many different constraints affect the ease with which they are achieved, such as the policy approaches that comprise the program environment, the involvement of vertical and horizontal actors and the capacity of local government (Agranoff & McGuire, 2003:1416-1417). Fragmented governance still takes place, sometimes even due to initiatives that seem to support local government, but actually detract from it. These are called “benign” factors by Perri 6 *et al.*, factors that seek to explain some part of the development and institutionalisation of functionally fragmented governance and the unanticipated consequences of governance strategies that are not in themselves necessarily undesirable (2002:39-43). It includes factors such as the *greater ease for management and expenditure control on inputs*, or in other words, local governments tend to organise themselves in such a way that it can be measured, and this results in fragmentation of internal structures. Also, there needs to be *accountability for probity* and therefore local government needs to be transparent and their performance quantifiable, again resulting in the separation of different functions. Another aspect is that *consumer oriented government* does not necessarily require horizontal integration (which is indicated in the IDP), but rather vertical and functional integration (for instance, a clinic patient does not require a municipality

to integrate the provision of this service with the provision of water to the area where the clinic is situated). Local government has also taken *strategic decisions for functional organisation*, for all sorts of reasons, including improved management focus, better performance management, greater political control, and so on, but the consequence has been functional fragmentation of governance. Furthermore there are *democratic pressures for visible commitments to services in input or throughput term*, while coordination and integration cannot necessarily be measured in this regard. There are also “malign” factors that basically encompass the role of self-interest by actors within the systems of governance. It includes things such as politicians attempting to seize greater control over the executive and the administration, professional capture and professional monopolies and the managerial maximisation of span of control. These “malign” factors can be translated into the specific influence that power has on government relations.

In addition to the factors cited above, Mulford (1986:72-73) also identifies certain barriers to successful coordination within an organisation (referring to Canada), stating that coordination is almost never easy, because some autonomy is almost always at stake and because some organisation resources are required (1986:72-73). He identifies the following “barriers”:

- *Threat to autonomy* e.g. member fear that coordination will reduce their freedom to make decisions and run their programmes.
- *Professional staff fears*, e.g. professionals fear loss of freedom. They may be committed to different ways of working with clients (community).
- *Client representatives*: e.g. fear that these persons will try to dominate the organisations that serve the clients (community).

- *Disagreement among resource providers* e.g. persons or groups providing resources disagree about community needs and services to be provided.
- *Multiple local governments and many private and public organisations* i.e. coordination is complicated if too many organisations are involved.
- *Lack of “domain consensus”* e.g. disagreements among the organisations regarding the right of one or more organisations to be involved, or disagreements about which organisations should function in which geographical areas, provide which services to which communities.
- *Different expectations from federal (national), state (provincial) and local levels* e.g. different expectations exist with regard to which clients should be served and which services should be provided.
- *Coordination is a low priority* e.g. participating organisations don't really think the coordination is needed.
- *Costs and benefits uncertain:* Staffs in organisations think the costs of coordinating will be too high or that programme costs will be too high.
- *Resources not available* e.g. an organisation would like to participate but don't have resources to use in the coordinated effort.

In South Africa, the IDP has been conceptualised and legislated as the integration tool to be used in the networks of government relations, especially within local government where the IDP is supposed to provide the basis for the engagement between officials, councillors, community and other stakeholders. Reaching the goals of IDP involves a protracted process that takes the best efforts of role player identification, mobilisation and agreement processes, and to achieve success the following elements are necessary: (1) good timing and clear need, (2) strong stakeholder groups, (3) broad-based involvement, (4) credibility and openness of process, (5) commitment and/or involvement of high-level, visible leaders, (6) support or

acquiescence of elected officials and peak organization executives, (7) an ability to work through trust and scepticism, (8) achieving interim successes, and (9) an ultimate shift to broader concerns (Chrislip and Larson, 1994). The IDP has to focus the efforts of local government within these dynamics into strategic or joint-decision-based abilities, specifically the administration of the municipality and to a certain extent that of the councillors, in order to achieve the goals set out in the IDP, which have the ultimate purpose of achieving integrated local government that supplies sustainable development and services. However, in spite of this admirable goal, there are aspects of government relations within local government that often defeat the realisation of this goal. In the report of the Department of Provincial and Local Government and the Municipal Demarcation Board (2002:55) on the first IDP processes resulting from the Municipal Systems Act (Act 32 of 2000), some of these aspects are cited, such as political in-fighting, badly managed transformation, lack of service culture among officials, late appointment of key officials, demoralised officials and/or disputes between district and local municipalities with regards to powers and functions. Other aspects are highlighted by Oranje *et al.* (2000:4, 7), namely local councils handing over their responsibilities to consultants rather than using consultants to support a local authority led process, as well as poor management of consultants, lack of clarity as to the respective roles of officials and councillors in the IDP process, inadequate mechanisms to bring together line function departments within the local authority, continued poor linkage between planning and budgeting processes and actors/agencies, resistance to change by local officials, inadequate human and financial capacity within municipalities, limited knowledge and understanding of the “new” concept of Integrated Development Planning, a lack of commitment to local initiatives on the side of provincial and national departments and inadequate integration between the strategies, plans, programmes and budgets within and between the three spheres of government.

3.4 The actors – role-players in the IDP process

The public sector “actors” or role-players are all delineated to a greater or lesser extent within the legislative and policy framework dealing with the IDP process at local government level. Legislation (specifically the Municipal Systems Act (Act 32 of 2000)) determines that the Executive Mayor or the executive Committee has the responsibility to manage the preparation and revision of the IDP. However, the overall responsibility is usually assigned to the Municipal Manager, as the IDP is the Council’s strategic planning document, which must guide and inform all planning, budgeting, management and decision-making. The general principle is that the IDP deals with the integration and coordination of all development functions of a municipality and should therefore be managed at the highest possible level and in a way that will allow for maximum intra- and inter-sectoral linkage. The day-to-day responsibility for the central coordinating role in relation to the IDP, as well as that of monitoring of progress and implementation, is often delegated by the Municipal Manager to a designated IDP official. The IDP official has the power to allocate specific roles and responsibilities to other individuals, departments and agencies in a municipality. Legislation does not prescribe how the manager should allocate functions, as it takes into account the institutional differences across the country, i.e. the size of the municipality, the variation in divisions of responsibilities within municipalities etc. (Oranje *et al.*, 2000:27-28). Four categories of role players can be identified in this process, namely councillors, officials, provincial and national sector departments and municipal stakeholders (Decentralised Development Planning Task Team¹¹, 2001a:9). This study focuses on the institutional role players,

¹¹ To assist municipalities with the IDP process, the Department of Planning and Local Government established the Decentralised Development Planning Programme. This programme was responsible for providing national guidance and support for municipal planning involving the formulation of policy guidelines, guide-packs and training programmes for municipalities regarding the IDP process. One of the initiatives under this programme was the Decentralised Development Planning Task Team, who was responsible for bringing out guide packs for the preparation and implementation of IDPs.

which includes the first three of the four categories of role players in the Integrated Development Planning process, namely (1) officials, (2) Provincial and National Sector departments and, to a lesser extent, (3) councillors. Councillors are the democratically chosen representatives of a community within a municipality, and as such they have the responsibility to make decisions that reflect their constituencies' needs and aspirations. Consequently they need to play a leading role in the IDP process, as they will have to use this development plan to assist them in their decision making. Officials are the implementing agents of a municipality. As all the activities of a municipality and its departments have to be guided by the IDP, it requires the involvement of all the departments within a municipality. With respect to provincial and national sector departments, it is generally supposed that the IDP should guide how they allocate resources at local government level and municipalities should consider sector departments' policies and programmes when developing their own policies and strategies. Also, national and provincial departments should participate in the process, as national, provincial and local government should mutually influence each other. Legislation therefore provides only the basic framework for role players and their function in the IDP process.

The Department of Provincial and Local Government (2002a:4-6) elaborates on the Municipal Systems Act regarding the place of different persons in the IDP process, stating that in many municipalities, the primary responsibility for preparing an integrated development plan will be that of the councillors, officials and staff. In some cases, strategic technical support can be obtained from professional town planners, environmentalists, engineers, architects, economists, sociologists and institutional-strengthening specialists. The preparation of an IDP should not, however, simply be "handed over" to outside consultants. The DPLG recommends that the mayor and/or the chairperson of the Executive Council take a strong leadership role within the integrated development-planning process to encourage maximum political support and participation by political interest groups.

The mayor, chairperson of the Executive Council and the chief executive officer has to establish good communications with officials and key persons who can assist in the integrated development-planning process. This includes developing working relationships with knowledgeable individuals at national, provincial, regional and local levels. It should also involve good communication linkages with other mayors, chairpersons of executive councils and chief executive officers who are engaged in or have completed their own integrated development plans and land development objectives, in order to share successes, problems and solutions. Also, the chief executive officer, in close liaison with the chairperson of the Executive Council, has to take an overall logistical responsibility for the integrated development plan, ensuring that his or her officials fully participate in formulating and implementing the integrated development plan. Heads of departments such as Treasury, Planning and Engineering (where these positions exist) are especially vital, as they have a key role to play in formulating the integrated development plan. A further proposal made by the DPLG is that an “integrated development plan directory” of contact details should be established within a municipality in order to ensure smooth communication between the municipality and all those involved in the integrated development-planning process. If resources allow, they should also consider nominating one official to serve as the community coordinator for the integrated development planning process. He or she would ensure that all stakeholders and residents have access to accurate and timely information, provide briefings to the media, organise workshops when necessary and become that specific official for individual stakeholders and residents to contact. He or she would also have the task of keeping councillors and officials up to date on responses, suggestions, criticisms and questions.

To convey a better comprehension to role players in the IDP process of their place in the IDP process, Guide II of the Guide Pack compiled by the Decentralised Development Planning Task Team specifies certain *roles and responsibilities* for role players (2001b: 14-15).

The roles and responsibilities of the local municipal council are summarised in Table 3 (see below). The Local Municipal Council is in its entirety responsible for the preparation and implementation of the Integrated Development Plan for its jurisdictional area, ensuring that it not only reflects the local circumstances and aspirations of its constituency but also the regional and national state of affairs, all in a timely manner.

TABLE 3: ROLES AND RESPONSIBILITIES OF THE LOCAL MUNICIPAL COUNCIL

- Has to prepare, decide on and adopt a Process Plan;
- Has to undertake the overall management and coordination of the planning process which includes ensuring that
 - all relevant actors are appropriately involved;
 - appropriate mechanisms and procedures for public consultation and participation are applied;
 - the planning events are undertaken in accordance with the time schedule;
 - the planning process is related to the real burning issues in the municipality;
 - that it is a strategic and implementation-oriented process; and
 - the sector planning requirements are satisfied.
- Has to adopt and approve the IDP;
- Has to adjust the IDP in accordance with the MEC for Local Government's proposal; and
- Has to ensure that the annual business plans, budget and land use management decisions are linked to and based on the IDP.

Source: Decentralised Development Planning Task Team, 2001b: 14

The Decentralised Development Planning Task Team also proposed certain roles and responsibilities *within* local government for participants in the IDP process, in order to assist local government in

fulfilling its obligation with regard to IDP. The proposals are to serve only as guidelines for municipalities, because even though IDPs have to be compiled for all municipalities in South Africa, municipalities differ greatly as to institutional capacity. These roles and responsibilities for the compilation and implementation of IDPs in local government are divided between the municipal manager of a municipality and departmental heads and officials. The Municipal Manager has overall responsibility and accountability for the IDP process, with the power to delegate some of the functions to an IDP Manager. He (or she) has to manage and coordinate the IDP process in its entirety, from the preparation of the Process Plan to the adjustment of the IDP in accordance with the proposals from the MEC of Local Government (see Table 4 below).

TABLE 4: ROLES AND RESPONSIBILITIES OF THE MUNICIPAL MANAGER

- | |
|---|
| <ul style="list-style-type: none">i) Prepare the Process Plan.ii) Undertake the overall management and coordination of the planning process.iii) Ensure that all relevant actors are appropriately involved.iv) Nominate persons in charge of different roles.v) Be responsible for the day-to-day management of the drafting process.vi) Ensure that the planning process is participatory, strategic and implementation oriented and is aligned with and satisfies sector planning requirements.vii) Respond to comments on the draft IDP from the public, horizontal alignment and other spheres of government to the satisfaction of the municipal council.viii) Ensure proper documentation of the results of the planning of the IDP document.ix) Adjust the IDP in accordance with the MEC for Local Government's proposals. |
|---|

Source: Decentralised Development Planning Task Team, 2001b: 14

As the persons in charge for implementing IDPs, the technical/sectional officers have to be fully involved in the planning process. In particular they have to lend their technical expertise to the identification and formulation of priorities, strategies and projects. In essence they are responsible for making their municipality's IDP attainable by providing the practicalities with which the IDP can be compiled, as set out in Table 5 below.

TABLE 5: ROLES AND RESPONSIBILITIES OF THE TECHNICAL/SECTIONAL OFFICERS

- | |
|---|
| <ul style="list-style-type: none">i) Provide relevant technical, sector and financial information for analysis for determining priority issues.ii) Contribute technical expertise in the consideration and finalisation of strategies and identification of projects.iii) Provide departmental operational and capital budgetary information.iv) Be responsible for the preparation of projects proposals, the integration of projects and sector programmes.v) Be responsible for preparing amendments to the draft IDP for submission to the municipal council for approval and the MEC for Local Government for alignment. |
|---|

Source: Decentralised Development Planning Task Team, 2001b: 15

Role players on provincial and national government level mainly have a coordinative, integrative and supportive role in the IDP process and are represented by sector departments on provincial and national level (Decentralised Development Planning Task Team, 2001a:9). To assist provincial government (Local Government Department, Sector Departments and Corporate Service Providers) with the minutiae associated with their role, the DDPTT specifies where alignment must

take place, what type of support may be required from provincial departments and the particulars of the information they should share with municipalities (set out in Table 6 below):

TABLE 6: ROLES AND RESPONSIBILITIES OF PROVINCIAL ROLE PLAYERS

- They have to ensure horizontal alignment of the IDPs of the district municipalities within the province.
- They have to ensure vertical/sector alignment between provincial sector departments/provincial strategic plans and the IDP process at local/district level by:
 - guiding the provincial sector departments' participation in and their required contribution to the municipal planning process; and
 - guiding them in assessing draft IDPs and align their sectoral programmes and budgets with the IDPs.
- They have to manage provincial IDP grants financially efficiently.
- They have to monitor the progress of the IDP processes.
- They have to facilitate the resolution of disputes related to IDP.
- They have to assist municipalities in the IDP drafting process where required.
- They have to organise IDP-related training where required.
- They have to coordinate and manage the MEC's assessment of IDPs.

Also, provincial government should:

- Contribute relevant information on the provincial sector departments' plans, programmes, budgets, objectives, strategies and projects in a concise and accessible manner.
- Contribute sector expertise and technical knowledge to the formulation of municipal strategies and projects.
- Engage in a process of alignment with district municipalities.
- Participate in the provincial management system of coordination.

Source: Decentralised Development Planning Task Team, 2001b:15

The MEC for Local Government's responsibilities are articulated in Section 31 of the Municipal Systems Act (Act 32 of 2000) and requires him/her to have an overall monitoring, integrative and supportive role in the municipal IDP process, the particulars of which are summarised in Table 7 below.

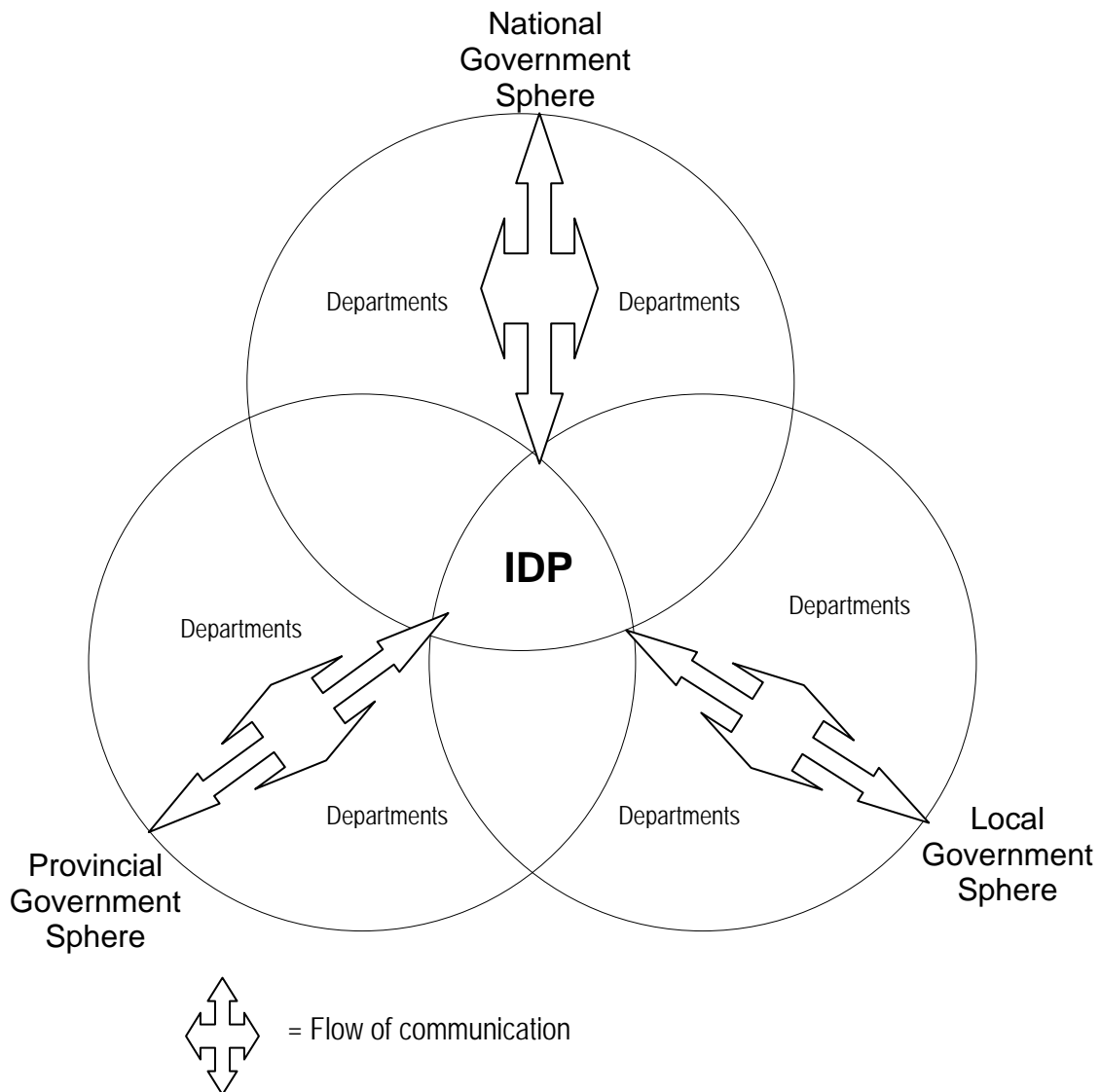
TABLE 7: RESPONSIBILITIES OF THE MEC FOR LOCAL GOVERNMENT

- Monitor the processes of municipal IDP preparation, implementation and review in the province and to assist municipalities where necessary in these actions;
- Facilitate the coordination and alignment of IDPs with the strategies and programmes of national and provincial organs of state;
- Resolve disputes or differences between local and district municipalities, neighbouring municipalities and local communities and municipalities; and
- Comment on the IDPs prepared by municipalities with regards to their compliance with national and provincial legislation, policies and strategies, the processes followed in their preparation, and the alignment of their plans with those of affected municipalities.

Source: Department of Provincial and Local Government, 2004a:5

In light of the previous discussion, the ideal of intra- and intergovernmental relations and communications resulting in the meaningful compilation and implementation of local government IDP, can be illustrated as follows:

FIGURE 4: IDEAL COMMUNICATION FLOW IN IDP



As can be seen, the ideal is that the flow of communication in the IDP process entails communication within and between the different departments and government spheres, where the convergence of information should result in the municipal IDP and where the participants should be on equal footing, pursuing the best possible development planning outcomes.

3.5 The director – how power shapes communication in IDP

As stated earlier, although there have been several studies, assessments and critiques of the IDP process, very few have

attempted to place their views/perspectives in the broader framework of planning theory, specifically in terms of how power shapes communication in the IDP process. When it is considered that planning work can be seen as communicative action, as described by Forester (1982a, 1982b, 1996, 1999, 2001, 2004), Healey (1996, 1997, 2000) and Innes (1999, 2005), then the evidence that planners are engaged in deliberative processes of expression, understanding and debate, is convincing. While theorists have focused on the different conditions that would give rise to fair and egalitarian deliberation, such as helping the less powerful as Forester advocates, or using different types of information as Innes demonstrates, there has been very little focus on how power shapes communicative action. Pieterse (2004:8) states that the challenges of planning approaches and process proposals for alternative spatial configurations can only be understood through careful analysis of the national and local balance of forces. Therefore the way in which power manifests itself in government in general and in the communicative planning process of IDP in particular is discussed next.

3.5.1.1 *Tangible power*

Power within government can be designated in three ways, first legally, second through the access to resources and third in the contextual setting thereof (power only has value where there is a need for resources). With respect to the legal designation of power in government, it is usually conferred through the hierarchical demarcation of government into tiers. In South Africa, the legal designation of power to different government realms does not lie in the hierarchical demarcation of government into tiers (as government is delineated into spheres), but in the access legally given to government spheres to focus resources. However, the hierarchical nature of government does manifest itself in the communication channels used within and between the different spheres of government. Literature that reviews the compilation and implementation of IDP in local

government identifies the inter-organisational nature of government (or the way in which communication is structured) as one of the crucial factors which influence the success of IDP. According to Alexander (1998:317) creating and deploying appropriate and well-formed inter-organisational coordination can affect the success of implementation, but it needs to fit the cultural, political, economic and institutional context and be appropriate to the assigned tasks. The necessity of inter-organisational coordination results from the interdependence of the different spheres of government to accomplish certain goals, in this case developmental local government, which cannot be achieved by local government alone. The Planning Policy Coordination and Advisory Services of the Presidency in South Africa (2004:5) points out that government structures are important in bringing about co-ordinated and integrated action among the different spheres of government, as well as between the spheres and other organs of the state, to achieve common objectives and maximise development impact. It indicates that alignment and harmonisation within and between government spheres requires a structured and systematic dialogue, with the following three requisites that need to be taken account i.e. (1) that the processes are not ad hoc, but structured and systematic, (2) that they are sufficiently robust to facilitate integrated and co-ordinated action and (3) that ultimately these actions have a positive and decisive impact on the common goals and objectives of government (Planning Policy Coordination and Advisory Services of The Presidency, 2004:5). Oranje *et al.* (2000:5) also allude to the nature of communication when they state that most of the reasons given for the “IDP-failure” are related to a lack of knowledge of and/or commitment to IDP processes, and to institutional deficiencies within local government. These institutional deficiencies result from the nature of communication in government spheres and how power shapes the way in which it takes place. The natural flow of communications is downward, not upward but in the IDP process both a downward and upward flow of communications is required. Vagueness, because of the absence or blockage of the message, the multiplication of directives and lack of

clarity of the message itself, is detrimental to the successful implementation of policies (in this case, meaningful IDP). Although the IDP is a process that takes place at local government level, other spheres of government are also involved in bringing about development in municipalities and it is therefore necessary to determine how co-operative governance takes place via the communication process within and between government spheres. Co-operative government is specifically supported in Section 3 of Municipal Systems Act (Act 32 of 2000) and should generally be strived for by all spheres of government. While local government has only a small share of government funds, IDPs are perceived as an instrument to ensure a co-operative approach by the national, provincial and local spheres of government to develop and implement projects and programmes on a priority basis in order to empower and benefit the community, although there is as yet no mechanism to tie national and provincial expenditure to IDPs (Todes, 2004:849). Consequently the responsibilities of municipalities with regard to the IDPs, are clearly articulated in terms of legislation, but have not, as yet, been adequately resolved with regard to the provincial (and national) sphere.

Still, there are certain proposals made in the IDP literature with regard to the participation of provincial and national government in the local government IDP process to facilitate co-operative government processes. The Department of Provincial and Local Government, for instance, envisage IDPs to be a tool to foster a culture of cooperative governance by serving as a mechanism for alignment and coordination between the different spheres of government (Department of Provincial and Local Government, 2002a:i). This view is also held by Visser (2001:1680), who states that development planning can be seen as the primary tool through which the integration of local government activities with other tiers of development planning at provincial, national and international levels can be ensured. In terms of the government environment in South Africa, it means that local government is the main/frontline planning arm of government, provinces support and

monitor this activity, and national government creates the framework of norms and standards in which these actions take place (Oranje, 2002: 2).

The second designation of power in government relates to the extent to which a government organisation has access to resources. It entails more than the access assigned to a government sphere by law, it also includes resources such as authority, human resource, political support, information, empowerment capability, or any other resource for which there is a need at another government institution. A lack of resources not only hinders policy-making but it also limits the effective implementation of a policy. In Mexico, for instance, the transfer of responsibility for supplying public services (such as water provision) from Federal to local government was not done in tandem with fiscal devolution by early 2000 (Peña, 2005:299), which made it difficult for local government to manage the urban development process. Hong Kong's Land Development Corporation faced a similar situation with urban redevelopment, where it was expected to promote redevelopment of valuable commercial sites constrained by multiple land ownership, but lacked adequate power and resources to deal with this (Adams & Hastings, 2001:245). In the South African government context it means that, even though government is divided into spheres, more power is consigned to provincial and national government as they have more access to resources. This means in effect that local authorities are limited in their capacity as the designated implementation mechanism of government for local development. For instance, should one sphere of government (with the power to dispense resources) not agree with the objectives of another sphere of government (dependant on outside resource acquisition to achieve its objectives), it might not dispense the requested resources. Should this happen, the two spheres would have to negotiate about the objectives to reach a consensus regarding the final nature of the objectives and the resources that will be made available for this. Thus the power that

each sphere has, influenced the nature in which communication takes place in the IDP process.

Thirdly, power also has meaning in the contextual setting thereof, as power can only have value where there is a need for resources (Hattingh, 1992:102-103; Keast *et al.*, 2004:364). In other words, the need for a resource determines the amount of power of one government sphere have “over” another. However, this is seldom a one-way relationship, but more often an interdependent power relationship, related to the distribution of resources. For instance, although a provincial department may have the financial resources to implement a certain project, a local government may have the human resources necessary for the project.

3.5.1.2 *Intangible power*

Added to these concrete embodiments of power, are the transient dimensions in which it is manifested. These dimensions add depth and complication to the use of power in planning and relate more to the personal nature of government relations. Keeley and Scoones (2000:90) contend that an understanding of how national and sub-national political and administrative histories and practices shape policy processes (citing Ethiopia as example) is central to the understanding of the effectiveness of policies. Policies (which can be translated to the IDP in the South African context) ascend and descend in importance as a result of the interplay between context specific circumstances and the changing effectiveness of different networks of role players participating in the process. According to Nice (1990:162), there are three dimensions to this kind of power, namely overt behaviours, the withholding of issues and covert intentions. The first dimension power can be seen in the overt behaviours exhibited by participants in decision making situations, conflicts, and other organisational behaviours, the second dimension power is the use of power to keep certain issues out of an organisation’s decision making process and the

third dimension power describes the forces that create an organisation's power reality, in other words latent conflict and the "real" interests of the organisation's members. Becoming aware of the multiple dimensions of power can help planners to raise the consciousness of all interests, allowing for a richer and more inclusive decision-making process, as planners (according to Buanes *et al.*, 2005:660) have to be able to bring stakeholders together, facilitate their interaction and assist them in constructively addressing their conflicts of interests. These dimension of powers can be paralleled to what Forester (1999:184) describes as at least three types of power that planners face in the planning process, namely the ability to make decisions e.g. over policies or resource allocations, the ability to filter issues onto, or off, decision makers' agendas, and the ability to shape other's perceptions of issues, needs and even themselves. Forester (1982:76) states that the progressive planner expects, anticipates and works to overcome the obstacles of the mode of power exerted (making decisions, setting the agenda, shape the "felt" needs) and each dimension of misinformation (obfuscation, false assurance, pretension to legitimacy or misrepresentation of facts).

3.6 A framework for analysis

As stated in Chapter 1, this study examines how meaningful integrated development planning can be achieved, when the influence of power on communication in intra- and intergovernmental processes within the context of the compilation and implementation of municipal Integrated Development Planning is considered. Following on the previous discussion, the following framework for analysis is presented.

(1) Integrated development planning is a “derivative” of communicative action and collaborative planning theory and should be understood in this context

One of the most critical debates in planning theory is how to achieve ‘meaningful’ planning, in particular as viewed from the communicative action and collaborative planning theory perspective. Integrated development planning in South Africa reflects this planning perspective in that it actively seeks to involve all relevant stakeholders (both public and private) in the IDP process and endeavours to reach a consensus regarding the proposed outcomes of this process through meaningful discussions. Consequently one of the concerns this study deals with is the value of communicative action and collaborative planning in effecting ‘meaningful’ planning by investigating the IDP process.

(2) Integrated development planning in South Africa reflects the ideals of democracy and development as envisaged in the Constitution and its related policy and legal framework

The importance of achieving integration in development planning (both in society and the planning environment) is paramount in the achievement of meaningful integrated development planning, as it is an expression of the goals of a democratic society as reflected in the Constitution of the Republic of South Africa 1996 (Act 108 of 1996). Integrated Development Plans are therefore seen as the pre-eminent planning tool for local government to achieve their goal of developmental local government.

(3) Accountable government structures and complex networks determine the setting of intra- and intergovernmental relations

Two of the significant areas of enquiry in the field of public administration are, firstly, how public administration is structured and, secondly, how internal and external relationships take place. In terms

of the *structure* (arrangement of individuals and groups to attain purposeful action) of public administration, there have been major changes in managerial practices since the 1980s in various parts of the world, including South Africa. These changes are associated with the concept of 'New Public Management', where the focus is on performance, outcomes and accountability to citizens, and are reflected in the structuring of local government in South Africa. *Networks* (internal and external relationships) existing within local government promote and establish particular discourses through their actions (Keeley & Scoones, 2000:91) or, stated in the IDP idiom, their contribution to the IDP process and its outcomes are determined by their relationships within and between government spheres.

The accountability of government structures and the complexity of networks found in government significantly impacts on meaningful Integrated Development Planning. Thus the accomplishment of IDP hinges on both the applicability of the policies sanctioned by legislators and promulgated in legislation, as well as the interrelationships that exist within and between the different spheres of government.

(4) The roles and responsibilities of role players in the IDP process as described in the legislative and policy framework of South Africa promote integration in planning, as opposed to a mechanistic model of planning

Role players, their roles and their responsibilities are to a great extent defined by legislation and policy dealing with integrated development planning in South Africa. As such, there is a definitive reference framework to determine the acquiescence and involvement of public sector participants in the IDP process.

(5) *Power dynamics exert a strong influence on the way in which communication takes place in integrated development planning processes*

One of the foremost challenges in collaborative planning (where planners engage in deliberative processes of expression, understanding and debate) is the dominant influence of power dynamics. Becoming aware of the multiple dimensions of power can help planners to raise the consciousness of all interests, allowing for a richer and more inclusive decision-making process, as planners (according to Buanes *et al.*, 2005:660) have to be able to bring stakeholders together, facilitate their interaction and assist them in constructively addressing their conflicts of interests. It is therefore essential to actively consider the workings and consequences of power in the planning process, as exemplified in the findings of authors such as Healey (1996, 1997, 2000), Flyvbjerg (1998a, 1998b, 2001, 2002) and Forester (1982a, 1982b, 1987, 1996, 1999, 2001, 2004). These expressions of power can be both tangible (legislative, access to resources, contextual) as well as intangible (overt behaviours, the withholding of issues and covert intentions), and are investigated in the context of the local government IDP process (as an instance of collaborative planning).

4. EXPERIENCES OF KLERKSDORP AND KUNGWINI LOCAL MUNICIPALITIES

The Klerksdorp and Kungwini Local Municipalities case studies are presented in the following way: first the background of each of the municipalities and their 2000/2001/2002 Integrated Development Plan processes are discussed and then the IDP processes are assessed in terms of the framework for analysis as presented in the previous chapter.

4.1 *Background*

Klerksdorp Local Municipality

The Klerksdorp Local Municipality¹² is a local Category B municipality¹³ situated within the Southern District Municipality of the North West Province. It is located 164 km south west of Johannesburg on the major N12 route between Johannesburg (Gauteng Province) and the western seaboard of Southern Africa (Cape Town and Namibia) and covers an area of 3562 km² (see figure 5). According to the Klerksdorp Local Municipality's IDP (2002), the municipality had a population of approximately 517 000 persons and an economy that produced roughly R8 billion worth of goods and services each year (63% of the GGP of

¹² Background information as obtained from the Klerksdorp Local Municipality's 2000/2001 IDP document

¹³ In terms of the Constitution of the Republic of South Africa 1996 (Act 108 of 1996) and the Local Government: Municipal Structures Act (Act 117 of 1998) provision is made for three categories of municipalities, namely Category A municipalities (metropolitan municipalities), Category B municipalities (local municipalities) and Category C municipalities (district areas or municipalities). The Act also contains the criteria according to which municipalities are designated into different categories, indicating that Metropolitan municipalities can only be established in metropolitan areas and that non-metropolitan areas will consist of district councils and local councils. District councils are primarily responsible for capacity-building and district-wide planning, while local councils are responsible for local planning.

the Southern District Municipality and 19% of the GGP of the North West Province).

The first sizable settlements that resembled a town took place in around 1837 and Klerksdorp as town was officially proclaimed in 1888. In 1885 gold was discovered in the area that would subsequently lead to significant growth and development in the whole area and the establishment of villages around Klerksdorp such as Orkney, Stilfontein and Hartbeesfontein. The area encompassing these villages is known as the KOSH (Klerksdorp, Orkney, Stilfontein and Hartbeesfontein) area and after the 5 December 2000 elections the Klerksdorp Local Municipal area consisted of an amalgamation of the municipalities of the KOSH area. According to the Klerksdorp Local Municipality's IDP (2002), mining activities still comprise the dominant economic sector, with the gold production of this municipal area amounting to about 22% of South Africa's annual gold output. Some diversification has occurred, but some of these sectors themselves are facing negative growth, along with the mining activities. Notwithstanding this, Klerksdorp Local Municipality stands out in the district as one that has high levels of social services, the population is literate and there are relatively high levels of employment of the economically active population. It has a fairly stable tax base and the interrelated economic activities ensure that much of the income generated in the area remain within the municipality.

FIGURE 5: LOCATION OF KLERKSDORP LOCAL MUNICIPALITY



Source: Municipal Demarcation Board, South Africa, 2000

IDP process:¹⁴ The Klerksdorp Local Municipality's Integrated Development Plan was based on previous planning in the area, namely an Interim IDP. Although the Klerksdorp Local Municipality made use of consultants to assist the municipality at the beginning of the IDP process, the rest of the process was managed internally by the municipality itself. During July 2001, the Klerksdorp Local Municipality adopted their Process Plan (in line with the proposals of the IDP Guide Pack) for the compilation of an Integrated Development Plan for the Klerksdorp Local Municipality. Following suggestions in the IDP Guides, the following persons and structures were appointed and

¹⁴ Summary of information as contained in the Klerksdorp Local Municipality's IDP 2000/2001 and 2001/2002 documents

established to facilitate the Integrated Development Planning Process, namely:

- the IDP Manager (Municipal Manager – responsible for management of the process);
- IDP Co-ordinator (responsible for coordination of the process);
- IDP Steering Committee (to support the IDP Manager);
- IDP Representative Forum (institutionalised representative participation);
- Ward Committees (representing the wards); and
- Project Task Teams (planning and implementation).

The IDP was organised in terms of several phases suggested in the Guides, namely: *preparation*, in which the process was planned, and the familiarisation with the Framework Plan of the Southern District Municipality took place; *situational analysis*, based on both community participation and technical analysis; *development strategies*; *projects*; *integrated sectors and dimensions*; and *approval*. As was the case in many IDPs, the process was contracted into a far shorter period than the intended nine months. Workshops were held to devise strategies, and to align local strategies with district strategies, projects and priorities, where to all relevant stakeholders were invited and where the Representative Forum played a major role. Several district workshops were held throughout the process, namely on 30 August 2001 to determine priority issues, 10 November 2001 to devise district level strategies, 20 November 2001 to formulate localised strategic guidelines, 23 and 24 January 2002 to discuss projects, 13 and 14 February 2002 to integrate the projects and 13 to 14 March 2002 to receive comments on the IDP. There were also two sector alignments within the municipality itself, namely the in-depth analysis on 22 from 16 to 2 September 2001 and budget allocations on 5 and 6 December 2001. Projects were prioritised using a project prioritisation model developed by the Steering Committee. A vision was developed and discussed at several forums throughout the process. The draft plan

was advertised for comment, but final decisions of prioritised projects by Council occurred after the process. The Council approved the IDP on 30 March 2002.

The areas of concern for the Klerksdorp Local Municipality were divided into seven sectors, namely local economic development, spatial development, infrastructure, environment, social facilities, institutional matters (manpower, financial issues and sustainability) and safety and security. The issues identified in the analysis phase were grouped into the relevant sector, and for each objectives, strategies and projects were identified. The greatest part of the capital budget was assigned to the infrastructure development projects identified in the IDP process. The process was reviewed every year, as envisaged in the IDP Guide Pack. In the review process, the bulk of the capital budget was still allocated to infrastructure projects. After the compilation of the Klerksdorp Integrated Development Plan, the municipal structure was examined and the functional and organisational amalgamation of the structures of the municipalities of Klerksdorp, Orkney, Stilfontein and Hartbeesfontein was effected through the alignment of strategy, top level functional and organisational design, with due focus on the opportunities for improvement in the rendering of municipal services on a unified basis and to facilitate a revitalisation of the approach to service delivery based on the Integrated Development Plan.

Kungwini Local Municipality

The Kungwini Local Municipality¹⁵ is a local municipality in the north-eastern quadrant of Gauteng Province. It is located east of Pretoria and approximately 25 km from Witbank on the N4 highway (the Maputo Corridor) and covers an area of 2109 km² (see figure 6). In 2000 the municipality had a population estimated at around 75 500 and an

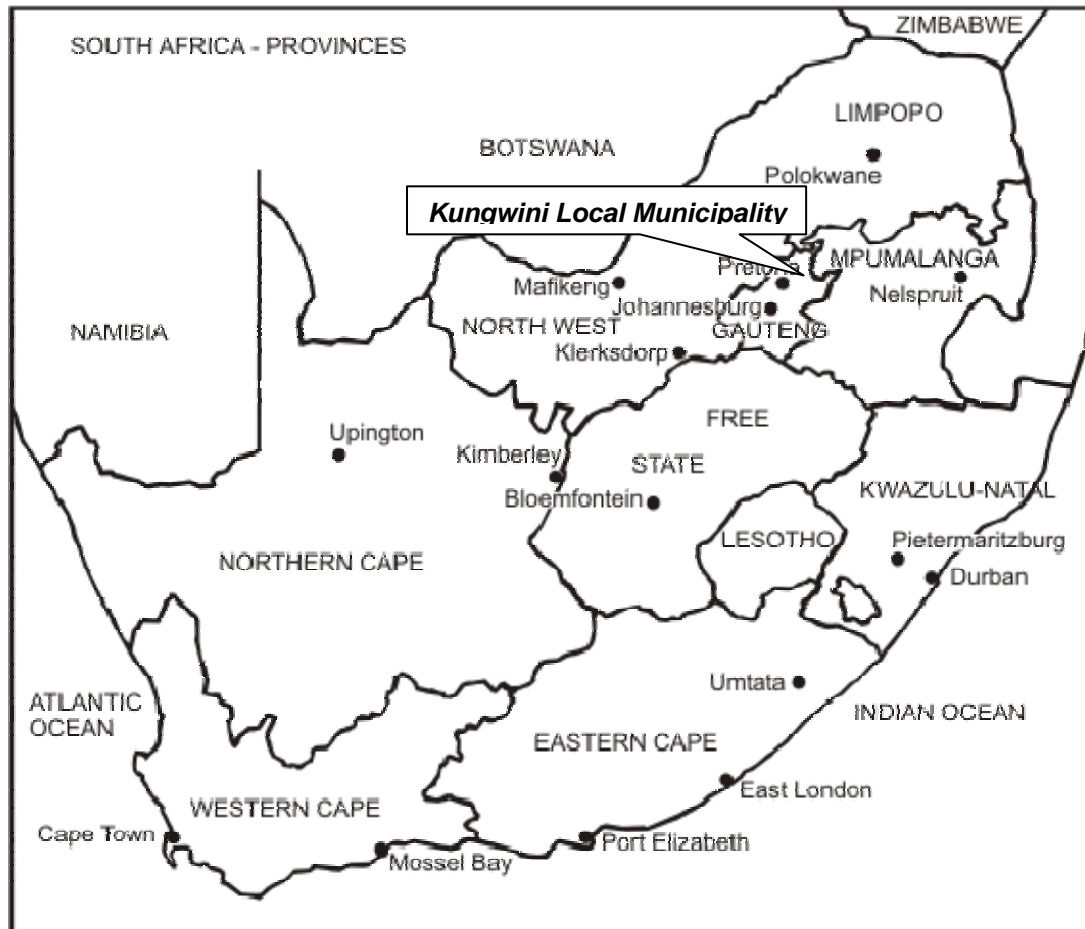
¹⁵ Background information as obtained from the Kungwini Local Municipality's 2000/2001 IDP document

economy that produced roughly R800 million worth of goods and services each year, with community services, manufacturing and agricultural produce the main economic activities.

The Kungwini Local Municipality is a Category B Municipality¹⁶ that came into existence after the local government elections of 5 December 2000. The area of jurisdiction of the Kungwini Local Municipality comprises Bronkhorstspuit, Zithobeni, Rethabiseng, Ekandustria, Ekangala, the Bronkhorstspuit Dam Area, as well as portions of the rural areas of the former Bronberg. The Kungwini area has both urban and rural components, with Bronkhorstspuit as the urban core of the area. The Kungwini area has a strategic location in relation to the proposed Maputo Development Corridor with development potentials in manufacturing, eco- and cultural tourism that is largely unrealized. The Kungwini area may even become a key participant in eco- and cultural tourism in Gauteng Province. The local municipality area is comparatively well-serviced with a large proportion of the population having access to basic municipal services. The migration of people from the rural areas, as well as farm evictions, have resulted in an emergence of informal settlements in the rural areas and an increase in the population figures in the informal settlements in the urban areas.

¹⁶ In terms of the Constitution of the Republic of South Africa 1996 (Act 108 of 1996) and the Local Government: Municipal Structures Act (Act 117 of 1998) provision is made for three categories of municipalities, namely Category A municipalities (metropolitan municipalities), Category B municipalities (local municipalities) and Category C municipalities (district areas or municipalities). The Act also contains the criteria according to which municipalities are designated into different categories, indicating that Metropolitan municipalities can only be established in metropolitan areas and that non-metropolitan areas will consist of district councils and local councils. District councils are primarily responsible for capacity-building and district-wide planning, while local councils are responsible for local planning.

FIGURE 6: LOCATION OF KUNGWINI LOCAL MUNICIPALITY



Source: Municipal Demarcation Board, South Africa, 2000

IDP process:¹⁷ During 1999, the Bronkhorstspuit Transitional Council approached USAid for financial assistance in compiling an Integrated Development Plan for Bronkhorstspuit and Ekangala. After the demarcation in 2000, the area was extended to include the Bronberg area into the Integrated Development Plan. During July 2001, the Kungwini Local Municipality adopted their Process Plan (in line with the proposals of the IDP Guide Pack) for the compilation of an Integrated Development Plan for the Kungwini Local Municipality. Following suggestions in the IDP Guides, the following persons and structures were appointed and established to facilitate the Integrated Development Planning Process, namely:

¹⁷ Summary of information as obtained from the Kungwini Local Municipality's 2000/2001 and 2001/2002 IDPs

- the IDP Manager (Municipal Manager – responsible for management of the process);
- IDP Co-ordinator (responsible for coordination of the process);
- IDP Steering Committee (to support the IDP Manager);
- IDP Representative Forum (institutionalised representative participation); and
- Project Task Teams (planning and implementation).

Although it was envisaged that the Ward Committee system would be used in the Kungwini Integrated Development Plan process, Ward Committees were only established after the process had been completed (during August 2002). The IDP was organised in terms of several phases suggested in the Guides, namely: *preparation*, in which the process was planned; *situational analysis*, based on both community participation and technical analysis; *development strategies; projects; integrated sectors and dimensions*, where use was made of a Project Management Tool developed for the municipality by TGIS to assist in the integration phase; and *approval*. This process was contracted into a far shorter period than the intended nine months. Workshops were held to formulate strategies, and to align local with district strategies, projects and priorities, where to all relevant stakeholders were invited. Projects were prioritised using a project prioritisation model developed by the Steering Committee. A vision was developed and discussed at several forums throughout the process. The draft plan was advertised for comment, but final decisions of prioritised projects by Council occurred only after completion of the process. The Kungwini Local Municipality approved the Kungwini Integrated Development Plan on 10 June 2002 per Council Resolution SKA214/10-6-2002. The Kungwini Integrated Spatial Development Framework was approved on 30 July 2002.

The primary concerns/issues identified were divided into four categories, namely economic, institutional, social and basic services,

but, despite having a Five-Year Capital Investment Programme, the Kungwini Local Municipality does not have sufficient internal resources to implement capital projects and it has to rely on outside funding to achieve most of its capital projects. The budget of the municipality was mostly taken up with operational expenses.

4.2 Assessing the experiences

In the assessment of the experiences of each of the municipalities, the framework for analysis as discussed in the previous chapter is used to assess the two case studies. One important aspect that has to be pointed out for the purposes of this assessment relates to the consistency of senior level role players within the local authorities. While most of the senior level personnel (Heads of Departments and Municipal Manager) remained fairly the same in Klerksdorp Local Municipality¹⁸, substantial changes took place in Kungwini Local Municipality, both in terms of the organisational structure and in the departmental leadership (as detailed in Table 8 below).

TABLE 8: CHANGES IN THE SENIOR LEVEL PERSONNEL IN KUNGWINI LOCAL MUNICIPALITY DURING THE 2000/2001/2002 IDP PROCESS

- Municipal Manager: With the commencement of the 2000 IDP process, Mr George Seitisho acted as Municipal Manager at the

¹⁸ With the commencement of the 2000 IDP process, Mr A G Strydom acted as Municipal Manager, until the appointment of Mr T Z Mokhatla as Municipal Manager at the beginning of 2002. Mr A G Strydom was then appointed as Deputy Municipal Manager Technical Services. The following managers were also appointed in 2002, namely Deputy Municipal Manager Corporate and Community Services (Mr L Ralekgetho), Manager Economic Affairs and Corporate Communications (Mr MA Khuzwayo), Manager Community Services (Ms MJ Masilo) and Manager Housing Services (Mr TS Dodovu). The other managers in the Klerksdorp Local Municipality were already serving the council in their respective departments, namely the Manager Electrical Engineering (Mr WJ Viljoen), Manager Corporate Services (Mr OG Mofulatsi), Manager Financial Services (Mr IJ Haarhoff), Manager Civil Engineering (Mr NJ Els), Manager Health Services (Mr MJ Booyesen), Manager Public Safety (Mr Kid Boikanyo) and the Market Master (Mr J Benade). All these officials served in their posts throughout the 2000 Integrated Development Planning process.

Kungwini Local Municipality for two years. After he accepted a post at another municipality, Mr Daan Nel (then Director Finance) acted as Municipal Manager until the end of June 2002. Begin July 2002 until end August 2002, Dr Frank Mokhonoana was appointed as Municipal Manager but from September 2003 until March 2003 Ms T N Masina was appointed acting Municipal Manager after his dismissal. Mr Lolo Ditshego was appointed as Municipal Manager in April 2003, but was placed under suspension in August 2004 and Ms T N Masina again acted as Municipal Manager.

- Director Social Services: Ms T N Masina was appointed as Director Social Services at the beginning of the 2000 IDP process and during her spells as Acting Municipal Manager; Mr C Matjila served as Acting Director Social Services.
- Director Technical Services: Mr S J de Lange was Director Technical Services (later Service Delivery) at the start of the 2000 IDP process, but from August 2003 Mr M R G Seleka acted as Director of the Department, after Mr de Lange's resignation.
- Director Finance: With respect to the Finance Department, Mr Daan Nel was appointed Director of it, but he resigned shortly after Mr George Seitisho and Ms Francis Moulder acted as director of the department until the appointment of Mr Jordan Maja in February 2004.
- Emergency Service Department: The Emergency Services Department was directed by Mr Piet van Staden, but this department was amalgamated with the Community Services Department, now called the Social Services Department.
- Director Corporate Services: The only director appointed and remaining in the same position from the beginning of the process was the director of the Corporate Services Department, Ms M E Kriel.
- Director Economic Regeneration and Strategic Development: With respect to the Economic Regeneration and Strategic Development Department, it was responsible for the coordination of the IDP

process, but this responsibility was reassigned to the IDP/LED Manager, who reported directly to the Municipal Manager. This post was filled by Mr N J Masombuka, previously the director of the Economic Regeneration and Strategic Development Department.

(1) *Integrated development planning is a “derivative” of communicative planning theory and should be understood in this context*

In the assessment of the case studies it becomes clear that both municipalities failed to apply the strategic planning approach (the cornerstone of communicative planning theory) in the IDP process. This was particularly noticeable in their mostly technical/bureaucratic and political influence approach towards planning, deficiencies evident in their financial strategies and little or no anticipation of the future.

Strategic (communicative) planning in the IDP process refers to the efforts that have to be made to assess the choices between alternative realities inherent to the process in order to reach a consensus acceptable to all the relevant stakeholders (Habermas in Yilmaz, 2002:29). However, in both Kungwini Local Municipality and Klerksdorp Local Municipality there was an overall concern that most (local government) participants in the IDP process did not understand the strategic nature of the process. The IDP was intended to become a tool for making the most effective use of scarce resources by finding the most appropriate, innovative and cost-saving solutions to well-known problems. Consequently the IDP approach was expected to be a strategic planning and decision-making process, addressing the cause of problems and not the symptoms (Plan Practice, 2002:27). Nonetheless, their respective IDP processes still reflected a mechanistic and compartmentalised approach towards planning, with participants continuing to think only in terms of their specific areas of interest instead of effectively institutionalising the concept of IDP within

the local government planning system as Wilkinson advocates (2002:9). In Klerksdorp Local Municipality, the IDP Specialist, Chief Financial Officer, the IDP Manager of the Southern District Municipality and the Coordinator of the Southern District at the Department of Developmental Local Government and Housing, Northwest Province, all pointed out the lack of understanding of the strategic nature of the process, of both officials and councillors. In Kungwini Local Municipality the Deputy Director Finance, the consultant and the District Municipal Manager indicated that officials and councillors tended not to comprehend the strategic requirements of the process. Specifically councillors failed to understand the IDP as a strategic process that seeks to find solutions to the problems that communities experience and that it could not be merely consist of a so-called “wish list” or “promise list”¹⁹. The consultant that assisted in the Kungwini process elaborated on this point, indicating that a Strategic Plan should be developed with the Mayor and Councillors, as well as the Departmental Heads, to ensure a common understanding of the current developmental challenges, and to establish a common ground for intervention. Thus, instead of a strategic planning approach in the collaborative style (Innes & Gruber, 2005:183), the planning styles as evident in both Klerksdorp and Kungwini Local Municipalities’ IDP processes showed similarities to the technical/bureaucratic style and the political influence style as described by Innes and Gruber in their study of the San Francisco Bay Area Metropolitan Transportation Commission (2005). Officials tended to cling to those approaches they were familiar with and use information they have control over in an effort to retain legitimacy in the IDP process (the technical/bureaucratic style, Innes & Gruber, 2005:181). In addition, both councillors and officials used the political influence style (Innes & Gruber, 2005:182), where the IDP rather reflected the sum of individual role players interests’ instead of a shared vision for the municipality (projects aimed

¹⁹ The then Executive Mayor supported this view, stating that councillors should support improvement of community as a whole and not pursue their own political agendas (Sephiri, 2004).

at specific wards and particular projects as identified by provincial departments).

The technical/bureaucratic approach towards planning has also been evident in other municipal IDP processes. The Gauteng Department of Development Planning and Local Government (2003:55) states in its assessment of the 2001/2002 IDPs that there was a lack of strategic debates on critical development issues, as well as marginalisation of spatial development planning, no reflection on the necessary deeper understanding of issues, lack of establishment of financial resource frames to encourage debate and sectoralised technical planning as a result of jumping from needs to projects. The PPCAS(2004:21-36) considers this as a critical flaw in the current IDP process, stating that whilst all municipalities have complied with IDP related legislative requirements, IDPs are still the products of mechanistic and process driven planning approaches that have demonstrated little strategic engagement. It ascribes this state of affairs to incomplete municipal establishment processes, insufficient strategic planning capacity in the majority of municipalities, the heritage of silo- and sector-based planning, budgeting and implementation within municipal administrations, and lack of consistent national and provincial guidance and sector participation and engagement in municipal developmental processes.

The technical/bureaucratic style of planning adhered to by officials in Kungwini and Klerksdorp Local Municipality could be traced to the professional nature of government organisations,²⁰ which tend to promote isolated instead of integrative thinking (departments within local government which are usually styled along the lines of professional organisations). In Kungwini Local Municipality and,

²⁰ A professional organisation is one in which those qualified in the substantive field of the organisation's activities are at the top and those who have a general educational qualification are in the lower positions. In a non-professional organisation the positions are almost reversed: generalists occupy the leading roles, including that of head, and specialists are confined to a group of middle-range positions (Stanyer, 1976:157).

though not as much, Klerksdorp Local Municipality, different departments still tended to focus only on departmental goals instead of considering their planning as part of that of the municipality as a whole. This is evident in the relatively low level of compliance indicated in the questionnaire results regarding the linkage of annual business plans, budget and land use decisions to the IDP in the overall performance of the municipality in the IDP process. This tendency to think only in terms of one's profession and not focus on the broader picture (the so-called 'rational' approach towards planning, as described by Hoch (1996) and Innes & Gruber (2005)) is a particular problem associated with sector-based thinking. When individuals take a position within a large system, they tend to narrow their perspective from thinking about the organisation as a complete system to thinking about the task to which they are assigned. According to Kristjanson (1967:1291), whenever a professional gets the idea that his/her particular discipline gives him/her access to truth in some absolute or definitive sense, his/her participation tends to frustrate the planning process. Consequently, as administrators they think functionally and as such criticise other functions in the organisations for being ineffective and are quick to defend the effectiveness of their function when the overall results of the organisation are not acceptable. Nevertheless, government administrators can no longer take the position that they are effective leaders if they are successful (in their perception) managing their assigned functions, while the organisation fails to achieve desirable outcomes (Koehler & Pankowski, 1997:24). Therefore the success or failure of the IDP cannot be seen as separate from the different departments within a municipality.

The lack of adequate financial planning in the IDP process most acutely demonstrates the absence of strategic thought in Kungwini and Klerksdorp Local Municipalities, as made obvious by the ineffectual planning for project funds and unawareness regarding the necessity of linking operational and capital budgeting. Financial managers in both these municipalities were very vocal with respect to the ignorance of

officials (and politicians) regarding financial planning in the municipal budgeting process as a whole. This was not unique, as other municipal IDP processes in South Africa also suffered due to this lack of knowledge, where the ‘financial plan’ in IDPs seems to seek funding from provincial and national budgets, without even a sense of the size of the fund that is to be targeted (Oranje, 2003:9). The report from Plan Practice (2002:33) concurs, stating that in its study, only half of the municipalities managed to draft project proposals which qualify for funding and which include all the relevant information for implementation without undue delay. In addition to general lack of knowledge among officials with respect to financial planning, the financial managers from both Kungwini and Klerksdorp municipalities also mentioned the disjuncture between capital expenditure and the operating expenditure associated with capital projects, again an issue in other municipalities as well, as highlighted by the Department of Provincial and Local Government and the Municipal Demarcation Board (2002:44). The reason for the lack of integration may be a result of the delays in the IDP process, causing difficulties in the municipal budgeting process, as well as a possible lack of interaction between the financial manager of a municipality and other role players within the municipality. It is however a critical part of the IDP to link planning to the municipal budget, as this increases the likelihood of implementation of projects and therefore development in terms of the IDP. In its “Integrated Development Planning: a practical guide to municipalities”, SALGA (2002:4) states that resources should be aligned with the development priorities, indicating that financial planning involves more than just seeking funding for projects, but also includes operational and capital budgeting in terms of the IDP. The coordination of IDPs with the municipal budgets will ensure that IDPs do not only end up as project “wish lists”²¹ but that the IDPs become strategic and implementation-oriented plans that fulfil one of their key objectives with

²¹ It is interesting that both financial managers in the different municipalities deplored the practice of compiling “wish lists” or “promise lists”, without any real sense of the financial implications that lists may have, while other departments within the municipalities just focussed on translating these lists into workable projects.

regard to speeding up delivery of services and becoming developmental oriented. The role of planners in this process is to firstly communicate the realities of budgetary constraints and secondly to strive to address needs and requirements of communities in a sustainable manner. This objective should become more readily achievable now that municipalities are far more informed as to what kind of income they will be receiving from government over the next three years (Department of Provincial and Local Government, 2004b: Annexure B: page c).

To exacerbate the insufficient strategic planning situation, there was also an absence of a serious effort to anticipate the future in the IDP processes of both municipalities involved in the research. The long-term impact of HIV/AIDS, information technology, economic restructuring, etc. have not even been seriously considered in determining viable short and long term solutions in the IDP processes of the Kungwini and Klerksdorp Local Municipalities. In Klerksdorp Local Municipality, for instance, it was recognised that economic growth was waning, mostly due to a heavy reliance on mining activities which have been steadily declining. However, instead of devoting at least some earnest thought to intergovernmental strategies to augment and develop the economy, project funds were allocated to capital projects such as water and sanitation provision. While these are essential to the establishment of liveable communities, consideration should also be given to the sustainability of communities, for instance by providing them with the means to afford these services. Integrated Development Plans need to be set in a broader context and not limited to the geographical jurisdictional area of local government and its current symptoms of even more serious underlying problems. As the Department of Provincial and Local Government and the Municipal Demarcation Board (2002:63) puts it, the focus in IDPs needs to be on the key areas of intervention that are required to ensure the long-term sustainability of a municipality.

(2) *Integrated development planning in South Africa reflects the ideals of democracy and development as envisaged in the Constitution and its related policy and legal framework*

The importance of achieving integration in development planning (both in society and the planning environment) is paramount in the achievement of meaningful integrated development planning, as it reflects the goals of a democratic society as envisaged in the Constitution of the Republic of South Africa 1996 (Act 108 of 1996). Within the policy and legal framework of the government, Integrated Development Plans are therefore seen as the pre-eminent planning tool for municipalities to achieve their goal of developmental local government.

Overall, the respondents in this study showed a notional understanding of the importance of integrative development planning as contemplated by the legislative and policy framework of South Africa in the abstract, although not necessarily in the specifics, as can be seen elsewhere in this discussion.

(3) *Accountable government structures and complex networks determine the setting of intra and intergovernmental relations*

In order to comprehend the ways in which power shapes communication within and between different government spheres in the IDP process, it is necessary to understand how government structures and networks are established to support integrated development planning. This understanding reflects Antony Giddens' so-called "Structuration Theory" (1982) which, amongst others, states that we as humans or social beings live through culturally bound structures of rules and resource flows, and through dense and diffuse sets of relational webs, each one of which presents an active context of our lives.

Within local government, the ideal is that the structure of a municipality should reflect the goals and purpose of the IDP. This is similar to the promotion of changes in political culture and administrative practices in support of local government reform as advocated by Razin (2004:625) and innovation in governance capacity as advanced by González and Healy (2005). A proper understanding of the policies, goals, objectives and plans of the organisation should therefore reflect a clear understanding of the institutional preparedness of a municipality to implement IDP and result in an apposite human resource system plan. In the Klerksdorp Local Municipality the Municipal Manager championed this course of action, and in consequence the organisational structure that reflected the IDP goals. The Municipal Manager indicated that the principle “structure follows strategy” should be adhered to in order to fulfil the mandate of the organisation, an approach that was followed by the Klerksdorp Local Municipality. In addition, the Performance Management System had to be incorporated from the beginning of the IDP process (as indicated by the IDP Specialist) and serious consideration was given to how the measurement of performance indicators will take place. In Kungwini Local Municipality it was pointed out by the Acting Director Service Delivery, the IDP Manager and the Executive Mayor that it was necessary to restructure the municipal administration to be a reflection of the IDP. To support this process, the division of powers and functions between the local and district municipalities had to be finalised, as indicated by the Municipal Manager of the Metsweding District Municipality, and capacity needed to be created within the Municipality to manage the IDP Process and implement the IDP, as indicated by the consultant. In spite of these observations, the organisational structure of Kungwini Local Municipality still did not reflect the IDP, as symptomatic of most municipalities in South Africa who failed to link their organisational structure to the vision for the organisation, despite the inclusion of an organisational diagram for the structuring of the municipal administration in IDP documentation (Department of Provincial and Local Government and the Municipal

Demarcation Board, 2002:45). Few IDP managers began the IDP process by conducting a municipal audit to identify the range of skills and experience within a municipality, a process suggested by Oranje *et al.* (2000:28). This seriously impairs the ability of a municipality to successfully realise its IDP, as there is neither a clear understanding of the existing state of human resources, nor a realisation of the institutional requirements needed to implement the IDP. Recruitment and selection should support the IDP process, ensuring that the necessary employees are at the right place at the right time to deliver services effectively and efficiently (Schwella *et al.*, 1996:59). An effective integrated development plan requires extensive efforts, both in the initial work in producing the plan and, thereafter, requires on-going efforts to review the integrated development plan and make adjustments to it each year. This requires staff time and staff skills initially but, according to the DPLG (2002a:8) the IDP should in the end save time as having an overall development plan makes it easier to make decisions – often difficult ones - about development priorities and programmes.

In both Kungwini Local Municipality and Klerksdorp Local Municipality the positioning of the IDP manager/specialist was pointed out as a critical issue in respect of the local government structure in the IDP process. The IDP Manager is usually the Municipal Manager, but in all municipalities the day-to-day responsibilities for the compilation of the IDP has been delegated to another person, whether an IDP specialist or an IDP Manager. This has also been the case in Kungwini Local Municipality and Klerksdorp Municipality. What has become clear in this study is that this person needs the support of the Municipal Manager, as well as his/her commitment to the process, in order for the IDP process to be successful. This is also captured in the report from Plan Practice (2002:25), which indicates that where the Municipal Manager was committed to the development of the IDP, the result was a successful IDP process. This clearly demonstrates Dykeman's stance (1986:156-157) that individual planners (usually the person to

be appointed as IDP manager) working in small planning departments with limited resources cannot possibly embrace all the technical skills required to address and manage all facets of the complex sectoral and inter-sectoral issues that may arise in integrated development planning, without the necessary support. However, planners can provide an important leadership role by applying their knowledge in the following areas: process (including public involvement), system analysis (which assists to understand and identify the linkages between sectors or components), coordination (which enables diverse groups to work together towards common goals or issues), conflict resolution (which assists groups to resolve differences, address trade offs and reach consensus), articulation of goals, evaluation of policy options and policy development and communication.

The experiences of Kungwini Local Municipality and Klerksdorp Municipality clearly indicate the difficulty in creating networks in support of the IDP process, particularly when there is a lack of sufficient participation of officials from provincial and national government in the local IDP processes. Internationally the importance of the ability of networks created between role players from multiple forms of authority to impact on 'meaningful' integrated development planning has been illustrated by Dawkins and Colebatch (2004) in their study of the governance of Sydney Harbour, Keeley and Scoones' (2000) exploration of the environmental policy-making process in Ethiopia, Alexander's (1998) analysis of the planning processes applied to the Schipol airport in the Netherlands and the Ben Gurion airport in Israel, Adams and Hastings' (2001) assessment of urban renewal in Hong Kong and many more. Consequently it may be argued that the hindrances to the creation of successful networks in the IDP process are of serious concern.

Where the intention of networks created between the different role players in the IDP process was to focus mainly on the coordination and integration within and between the different government spheres, most

(if not all) municipalities displayed the insufficient formation of such networks as evident in their lack of intergovernmental planning and budgeting (Oranje, 2003:37). This may be the result of municipalities only inviting provincial and national officials into the process at too late a stage in their processes, which reduced the usefulness of their involvement, consequently municipal IDPs only focused on the identification and solution of its own challenges within its boundaries, without taking into consideration the bigger picture (Oranje, 2003:47) and even if municipalities did address integration in the IDP process, it was often lost at the level of implementation (Anon, 2003:12). An example of this is that linkages with other programmes, such as Water Service Development Plans (WSDPs) or Integrated Transport Plans (ITPs) were poorly developed (Plan Practice, 2002:34). In this study particularly, Provincial Policy Guidelines on cross-cutting issues, such as environment, poverty and gender, did not really find consideration in the strategies and project proposals in the Kungwini and Klerksdorp IDP processes. Yet, if provincial planning (as designated by provincial and national officials) is not taken into consideration, IDPs may fail to resolve local issues.

Still, it can be argued that the creation of networks is not only the responsibility of local government and that provincial and national government were also remiss in its efforts to consider the interests of local government. Alignment in most cases it has only been achieved at the level of recognising certain issues as important, or in the acknowledgement of an aspect worthy of attention, but not generally carried through into projects and programmes in IDPs (DDPLG, 2003:56). This may be a carry-over from the view that planning on a smaller scale is a local government function, which is the result of “planning” being seen as the management of urban growth and avoiding excessive expenditure of public funds, which is largely the responsibility of local government. Planning is therefore perceived to be a municipal responsibility and not a responsibility shared by provincial governments (Richardson, 1986:113). Furthermore, even

though intergovernmental planning, alignment and coordination is seen as crucial in ensuring the desired developmental outcomes and is very useful as a starting point for coordination and integration between different role players, there is significant conflict regarding the precedence of planning tools (including local government IDPs) of the different role players (Oranje, 2003:11) as well as the determining sphere regarding the direction of development – local, district, provincial or national government. Provincial and National sector departments contribute to the lack of integration because they have other priorities than municipal planning and sent junior officers without any strong and consistent mandate to participate in the Provincial IDP steering/Alignment Committees and district IDP related events (Plan Practice, 2002:34), as evident in the comments from the participants in the IDP processes in Kungwini Local Municipality and Klerksdorp Local Municipality. “Structural” problems also play a role, namely a lack of a clear national policy on Integrated Development Planning and a lack of an effective mechanism for Integrated Development Planning at an intergovernmental scale (Oranje, *et al.*, 2000:5)²².

In addition to the above-mentioned hindrances experienced by Kungwini and Klerksdorp Local Municipalities to the creation of networks between local, provincial and national government spheres, there was also frustration with the lack of integration within and between provincial and national governments themselves. According to Oranje *et al.* (2000:6), it is easy to make statements about the need for local authorities to use a single planning process and to adopt a holistic and integrated approach to development, but it is difficult in

²² To address this issue, the Presidency prepared the National Spatial Development Perspective (NSDP) and approved it in February 2003, which was approved by Cabinet as an indicative planning tool to encourage interaction and coordination between departments and spheres of government. The Planning Policy Coordination and Advisory Services of The Presidency (PPCAS) National (2004:12) states that spatial guidelines are increasingly being recognised as a powerful tool for bringing about coordinated government and alignment, providing a coherent set of spatial guidelines or perspectives for achieving policy coordination and improving the impact of policy. Examples of countries where this takes place are India, Germany and Malaysia (Oranje *et al.*, 2000:18) and also in North Carolina, USA, as described by Norton (2005:57)

practice due to problems such as continued lack of coordination amongst national and provincial departments and programmes, varying time-frames of different planning processes, the sometimes conflicting policy agendas, different legislative requirements for planning in different sectors, the multiplicity of funding and other programmes that local authorities have to relate to, limited capacity within national government departments to communicate directly with the many local authorities and the limited capacity within local authorities to maintain communication with the many government departments. Furthermore, there is a strong concern that alignment of the planning and budgeting processes of the different spheres of government needs serious attention and regulation (Plan Practice, 2002:35). Added to this is the fact that in general, municipalities did not consider Provincial Growth and Development Strategies and Provincial Integrated Development Plans in the preparation of their IDPs, and neither did national and provincial sector departments in their planning processes (DPLG & MDB, 2002:41). This has resulted in a lack of implementation of such plans and contributed to uncoordinated local government planning proposals, infrastructure investment and development spending (Oranje, 2003:1). The PPCAS (2004) also identifies this issue as one of the major challenges that government has had to face in achieving its goals, namely the effective integration, coordination and alignment of the actions of its three constituting spheres²³. According to Dykeman (1986:150) highly fragmented policies and programme responsibilities at the national and provincial government levels result in conflicting decisions affecting local communities and usually there is no institution

²³ Subsequently The PPCAS has initiated a project to identify key interventions necessary in order to link the IDPs, PGDSs and the NSDP and to develop a workable and effective system of alignment and harmonisation among these instruments. A policy framework has been prepared, based in part on addressing certain constraining factors toward the integration, coordination and alignment of the actions of the different spheres of government, namely a lack of institutional preparedness, capacity constraints and inefficient development planning instruments and systems. It was also stated in the draft report that in order to achieve the alignment of strategic development priorities and approaches in all planning and budgeting processes, a shared agreement on the nature and characteristics of the space economy and strategic principles for infrastructure investment and development spending in order to achieve coordinated government priority setting, resource allocation and implementation is necessary (Planning Policy Coordination and Advisory Services of The Presidency, 2004:1-2).

or strategy to co-ordinate senior government decisions or to resolve conflicts. The Municipal Demarcation Board also raises this matter, stating that relevant legislation should be brought into line with the Municipal Structures and Systems Acts because, for example, there are conflicts between Acts such as the Municipal Structures Act and the Water Services Act (2001:16).

In many provinces municipalities have been fighting a lone developmental battle with provincial and national sector departments, who respond in a lukewarm way to calls for collaboration in planning processes and for consideration of the proposals captured in IDPs in their sector and financial planning. As a result provincial and national government spheres largely ignore municipal IDPs and do not communicate their own plans for an area, and then proceed with programmes that are inconsistent with municipal IDP priorities, as experienced from a local government perspective (Styetler, 2003:5). In the absence of such consultation sector/sphere-driven infrastructure investment takes place without consideration of areas of development potential and operational and management implications, especially for municipalities (PPCAS, 2004:21-36). One key issue that needs to be pointed out, however, is that all provinces endeavoured to institute some form of an IDP forum in which representatives from all sector departments would serve. In most cases meetings were not well attended until interventions were requested and made by the Premier and the relevant MECs, after which attendance improved drastically (DPLG & MDB, 2002:42).²⁴

²⁴ Other initiatives for achieving increased intergovernmental integration, coordination and alignment which have been implemented are the Municipal IDP Support Project (which has been rolled out in all nine provinces), the publication of the Intergovernmental Relations Bill, 2004, the MEC Guidelines on Provincial Local Engagement (circulated during March 2004) and ongoing support in terms of PIMS centres (Department of Provincial and Local Government, 2004b:2). An additional project that has been initiated is one to complete the process of harmonising the National Spatial Development Perspective (NSDP), the Provincial Growth and Development Strategies (PGDS) and the municipal Integrated Development Plans (IDPs). Out of this project, driven by the Presidency, emerged a proposal that calls for prioritisation and resource allocation by the three spheres of government in the preparation and review of PGDSs and District/Metropolitan IDPs through reaching agreement on the spatial location of development potential and need/poverty in provinces and

(4) *The roles and responsibilities of role players in the IDP process as described in the legislative and policy framework of South Africa promote integration in planning, as opposed to a mechanistic model of planning*

Legislation and policy which defines the roles and responsibilities of role players in the IDP process provides municipalities with a useful starting point from which each unique municipality may determine their own particular IDP structure. The IDP process in Klerksdorp Local Municipality commenced with the structuring of the organisation to reflect the realities of the IDP and as such clearly indicated the roles and responsibilities of officials in the IDP process. This process was driven and supported by the Municipal Manager in Klerksdorp, the importance of which was pointed out by the IDP Specialist in Klerksdorp. This concurs with the statement in a document produced by Plan Practice (2002:27), a firm of town planners based in Pretoria, that where the Municipal Manager took charge of the IDP process, the IDP advanced from a consultant-driven data compilation exercise to a process in which most of the key municipal role players were actively involved and a successful IDP compiled. Within Kungwini Local Municipality, conversely, the restructuring processes of the administration took place without considering the IDP as the guiding principle, confusing the officials with regard to their roles and responsibilities in the IDP process. In addition, the situation was exacerbated by the continual changes of the senior personnel in the administration, of which the indecision with regard to the position of Municipal Manager was of particular concern. The importance of

district/metropolitan municipalities, aligning infrastructure investment and development spending in the 47 district and 6 metropolitan municipalities in accordance with the NSDP principles in this regard; and mutually monitoring and assessing government development planning and implementation. A key feature of the proposal is the focus it places on the district and metropolitan IDPs as key juncture points where the activities of the three spheres of government converge and as in a manner of speaking “hit the ground” (Department of Provincial and Local Government, 2004b:2-3).

rectifying this situation was indicated by the Acting Municipal Manager, who stated that a permanent Municipal Manager must be appointed as soon as possible. The Kungwini consultant also stressed the importance of the participation of the Municipal Manager in the IDP process, stating that the Municipal Manager, together with the Mayor, should be responsible for the IDP process (political and administrative commitment to the process). The importance of an organisational structure in line with IDP principles and legislation in order to effectively promote development in a municipality has also been discussed in the research of Coetzee (2005) and Homann (2005) in their respective studies of the restructuring of Tshwane.

In the Klerksdorp Local Municipality, the Municipal Manager delegated the administrative task of compiling the Integrated Development Plan to an IDP Manager namely the Manager Civil Engineering and an IDP Specialist under the direct supervision of the IDP Manager, namely Mr Kobus Marais. The IDP specialist was one of the officials from the Civil Engineering department. This function was in addition to other responsibilities already assigned to this official. The IDP Specialist pointed out, however, that the IDP Manager/Specialist should be a fulltime position located in the office of the Municipal Manager and not located in a line department. In addition to this, there should be a fully developed strategic management committee consisting of the PMS co-ordinator, IDP manager and audit committee. The consultant also indicated that the Municipal Manager and IDP Manager should be involved in the design and management of the IDP process.

In the Klerksdorp process, the restructuring of the municipality to align it with the IDP and the strong leadership of management, encouraged the Heads of Departments and officials to adhere fairly well to the proposals set out in the IDP Guide Pack. However, there were concerns regarding the contract appointment of senior personnel, as the IDP Manager of the Southern District Municipality emphasised the difficulty in the implementation, continuity and commitment to the IDP

as a result of the contract employment of the drivers/implementers of the IDP process. Related to this issue is the fact that legislation commits an IDP to the term of office of a specific council in spite of the fact that several issues raised in the IDP can only be addressed in the long term (more than five years), for instance organisation change. In Kungwini Local Municipality, the uncertainty with regard to the filling of the post of Municipal Manager also extended to the appointment of Departmental Heads. This uncertainty in turn negatively influenced the participation and commitment of these officials in the IDP process, as well as other officials within the municipality.

In both Klerksdorp and Kungwini the importance of involving all officials in the IDP process was indicated as integral to the success of the IDP process. This point was mentioned in Klerksdorp Local Municipality by the Manager Public Safety, Manager Community Services, Southern District Municipality's IDP Coordinator and the Coordinator of the Southern District. The Manager Corporate Services also pointed out that an interdepartmental approach should be followed to ensure prompt service delivery. In other words, there should be ongoing integration of municipal activities. In Kungwini Local Municipality this opinion was held by the Acting Municipal Manager, Director Corporate Services and the Health Inspector. They stated that officials needed to be capacitated more in order to understand and use the IDP as a management tool as well as a planning tool and that departments should assist Council in prioritising the issues that have been identified by the community in a realistic manner (within the resources available to Council). Personnel should also be involved at a tactical level in the IDP compilation and review process. The Deputy Director Finance also stressed the need for the Chief Financial Officer to be fully involved in the IDP process in order to advise. The consultant supported the capacitating of officials, stating that Project Planning, Implementation, Monitoring and Review should be conducted on a more sophisticated level to ensure effective implementation and delivery. He also stated that each Department should interpret the

Municipal Strategic Plan by indicating how they will contribute sectorally to affect the Strategic Plan in terms of Vision, Objectives, Strategies, Programmes and Projects. Another issue raised by the Health Inspector was that of the necessity of coordination at inter-departmental level in the planning and implementation phase of the IDP.

Regarding the specific compliance of role players in the IDP processes of the two municipalities, graphic representations of the respondents' answers in this respect is shown in Annexure D. As evident in these graphics, Kungwini Local Municipality showed a much lower level of compliance with the IDP process than Klerksdorp Local Municipality, although it did comply to a certain extent. The compliance of provincial government, according to the respondents in both municipalities, was not satisfactory. With respect to the compliance of the Municipal/IDP Manager, the respondents in both municipalities felt that the respective Municipal/IDP Managers on the whole complied with his/her roles and responsibilities. The greatest difference in compliance between the two municipalities, however, is evident in the compliance of departmental heads/officials. While there was a relatively high level of compliance in Klerksdorp Local Municipality, it was relatively low in Kungwini Local Municipality. All these different levels of compliance represent the influence of the different power dynamics as put forward in the other discussions of this framework.

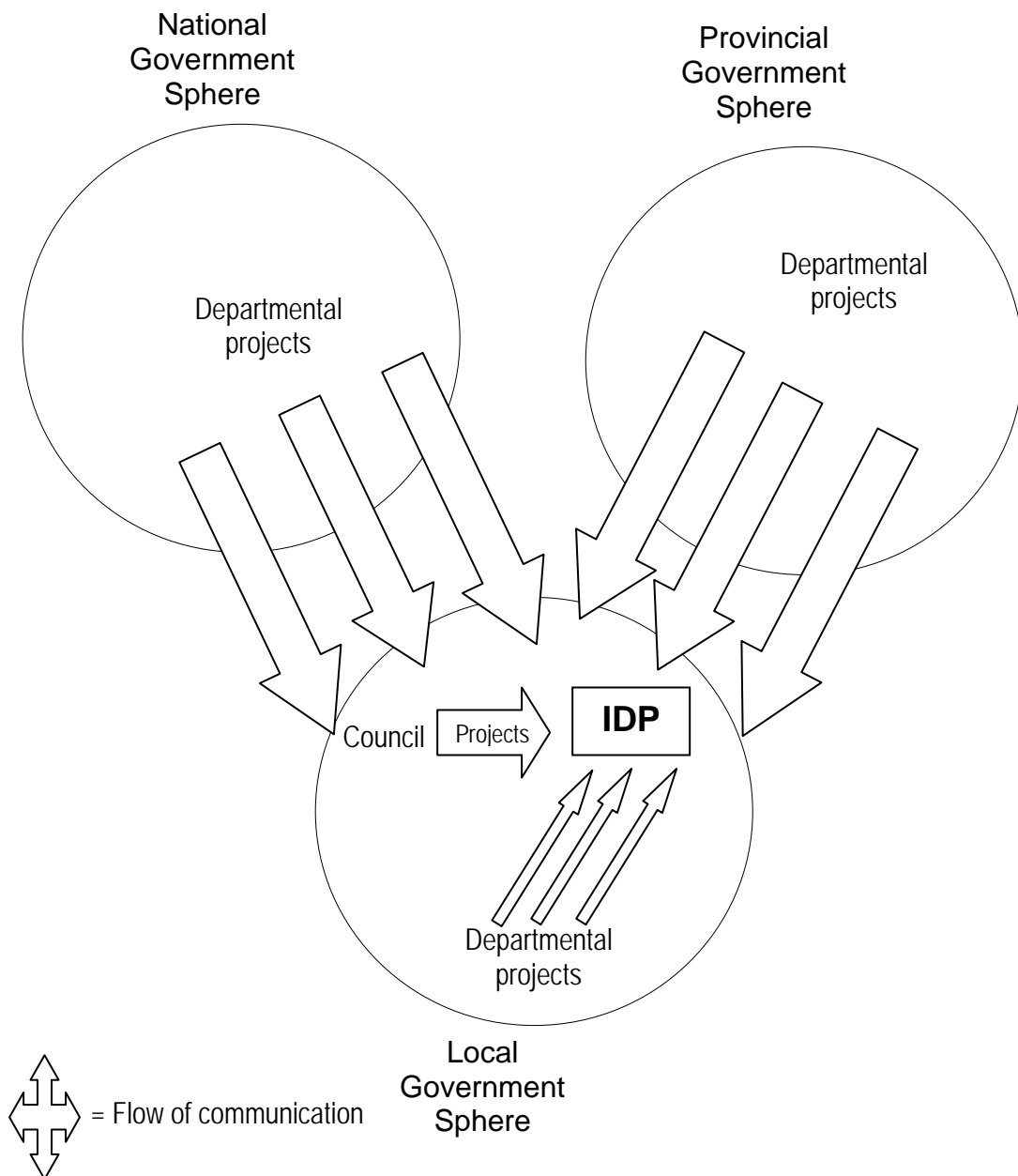
Situations similar to the one in Kungwini occurred in most other IDP processes where little reference was made to specific role players in the IDP process plan, consequently not preparing them to play a more meaningful part in compiling (and implementing) the IDPs (GDPLG, 2003:58). In these IDP processes, role players are only identified generally and there is not necessarily consideration for the possibility that the same officials participating in the process may not be responsible for the implementation of the projects. Where role players were only identified in broad and general terms, commitment from

specific role players were problematic but in municipalities where the officials responsible for the implementation of projects were specifically included in the IDP process, detailed project planning took place (Plan Practice, 2002:34). Koehler & Pakowski (1997:33-39) underscore the importance of identifying specific role players, stating that people closest to the processes are in the best position to improve it, in other words the inclusion of persons that are directly responsible for, and involved in particular projects in the IDP process will ensure the best possible outcome thereof. Traditionally government administrators believe that solutions to organisational problems must come from management, yet the best source for improvement is almost certainly people closely connected to the processes. In addition, an organisational wide understanding of the overall mission of the organisation (municipality), its strategy and approach enables a municipality to achieve its goals (Koehler & Pakowski, 1997:33-39).

In addition to identifying specific role players in the IDP process, there is a question regarding the capability of persons to accomplish their roles and responsibilities. Meaningful integrative development planning is dependant on the capability of role players to effectively participate in the IDP process, as stated earlier. It has been assumed that with basic short course training and the IDP Guide Packs, people would be equipped to compile an IDP, but according to Oranje (2001:17) this is not necessarily the case. The way in which this matter particularly manifests itself, is the lack of understanding of the strategic nature of the process (Plan Practice, 2002:28), a matter discussed extensively elsewhere.

The reality of communication flow in the IDP process, based on the previous discussion, can be illustrated as follows:

FIGURE 7: COMMUNICATION FLOW IN IDP IN REALITY



As evident in the figure above, the reality of the communication flow in the IDP process does not reflect the ideal of communication within and between the different departments and government spheres, where the convergence of information should result in the municipal IDP and where the participants are on equal footing, pursuing the best possible development planning outcomes. Instead, national and provincial government tend to impose their policies and projects on local government, often without aligning it between the different provincial and national departments. Exacerbating this state of affairs,

communication in the IDP process within the local government sphere tend to consist of sketchy project proposals as an answer to development challenges, conceived in isolation either within departments or in the political arena and “deposited” into the IDP

(5) *Power dynamics exert a strong influence on the way in which communication takes place in integrated development planning processes*

Flyvbjerg (1998a, 2001), Forester (1996) and Hillier (2002) emphasise the importance of training planners in the realities of planning, in other words teaching them that democratic planning is much more than rational decision-making and communicating, it also needs an awareness of how power shape planning and how to contend with this issue in practice. The particularities of how power and its manifestations reveal itself in the communication interchange found in the IDP processes are discussed in detail below.

Power dynamics within the local sphere of government

In the IDP process, the most obvious demonstration of the influence of power on intra- and intergovernmental relations is the access a government sphere has to resources, as this confers the power needed by a government sphere to achieve its goals. The most important resource for local government is of course people, and the access that local government has to this resource refers to both the availability and capability thereof. In both Kungwini Local Municipality and Klerksdorp Local Municipality this issue was highlighted as a crucial issue in the compilation and implementation of their IDPs. The Gauteng Department of Development Planning and Local Government (2003:55) asserts the pervasiveness of this barrier to meaningful integrative development planning when it states in its assessment of the 2001/2002 IDPs that the implementation of a number of IDPs seems to be doubtful, given the human and financial capacity of the

municipalities. In addition, the state of continual change, such as the shuffling of municipal staff in the course of the amalgamation process, the confusion regarding the organisational structure that came about as the consequence of organisational structures that were still in flux and officials acting in positions that they were not appointed in, as evident in the Kungwini Local Municipality, resulted in a situation where people not necessarily equipped for the task were in charge (DPLG & MDB, 2002:58) – people that did not necessarily have any experience of or training in the IDP process. Because of the uncertainty of the leadership in Kungwini, power was exerted by the separate departments in relation to the access they had to resources, as well as by individual council members, resulting in an IDP with very little evidence of integration and holistic thinking. With regard to the capability of councillors and officials, it is necessary to understand the political administrative interface between councillors and senior managers. According to Dominique Woolridge (who together with Graeme Gotz co-authored a paper on the political administrative interface for Hologram²⁵) there are two interfaces, namely between politicians and officials and between policy and administration (Anon, 2003:14). Elected Councillors should be making policy and officials should focus on administration, although officials claim that councillors do not provide clear policy i.e. regarding the Integrated Development Plan (Anon, 2003:14). This clearly indicates the necessity for the training of councillors, to provide them with the capability to understand and participate in the Integrated Development Planning process, as this considerably impacts on the success of the IDP. In the Klerksdorp Local Municipality this was a case in point, where officials specifically commented on the political decision-making route in the IDP approval phase, which largely ignored the IDP process and instead concentrated on capital projects which they perceived to be the most significant use of resources. Thus the issue of the capability of human resources at

²⁵ Hologram was an initiative of SALGA and DPLG funded by USAID with the purpose of fostering learning, sharing knowledge and building capacity for local government.

local government not only impacts on the administrative component of a municipality but also the political component. When it is considered that the integrated development plan process must be led by councillors, their mayor and the chairperson of the Executive Council, effective councillor involvement is critical in the IDP process. According to the report by Plan Practice (2002:26), the involvement of full-time councillors in the IDP Steering Committees helped to strengthen the political acceptance in the IDP process and this helped to clarify the issue of developing strategies to address problems and not merely produce a “wish list” of projects to be included in the IDP. However, some councillors still only see the IDP as a “wish list” of projects, or in the words of one of the officials of Kungwini Local Municipality a “promise list”, instead of addressing the real concerns and issues in the area. This may be the result of a reluctance to engage in debate with their constituents, as resources are limited and hard choices with regard to which projects can realistically be attempted, has to be made, as well as possibly creating political platforms for participants, (opponents) instead of addressing real issues. Also there had been insufficient training for councillors (Plan Practice, 2002:37). If it is taken into consideration that where mayors, municipal managers and/or councillors were champions of IDPs the process typically went well, integration and alignment with provincial and national sector departments was high and budgets reflected the priorities as identified in the IDP (DPLG & MDB, 2002:53), training should certainly be considered in the improvement of relations between councillors and senior managers. New municipal councillors should also be guided and informed by IDPs (Department of Provincial and Local Government, 2004b:2). Due to the conflict inherent in the IDP process, the training of councillors and officials, especially in the effective combination of the different styles of planning as argued by Innes and Gruber (2005:186), would certainly enable them to move closer to the ideal of collaborative planning.

The other important resource in local government is the wherewithal to implement projects. A great concern in this regard is the lack of fiscal devolvement to local government (Oranje, 2002:20). The local authorities that have been established since 1994/5 have had difficulty in overcoming the legacies of past inequalities, as the amalgamation of previous divided jurisdictions have greatly increased the responsibilities of local authorities without a corresponding increase in the tax base (Ramutsindela, 2001:68). Respondents from Kungwini Local Municipality and Klerksdorp Local Municipality strongly lamented the lack of resources they had to implement the projects as identified in their IDPs, commenting on the increase of their jurisdictional areas without a similar raise in income to fund service delivery. Thus, new local government obligations were added without the necessary accompanying fiscal tools to fulfil them. The resulting inability to realize the expectations of the community they are meant to serve due to the incompatibility of funding and responsibilities in local government has also been illustrated in the international arena, for instance the transfer of responsibility for supplying public services from Federal to local government along the northern border of Mexico which was not in tandem with fiscal tools (Peña, 2005:299) and the necessity of entrusting powers and resources to particular institutions to achieve urban renewal in Hong Kong (Adams & Hastings, 2001:257). According to Patel (2001:19), the development challenge in South Africa is really to get resources unhindered and in the quickest possible time to the point of delivery, which means that fiscal transfers to the local sphere of government, especially the non-metropolitan areas, have to increase significantly so that Local Government can meaningfully facilitate economic regeneration, growth and development. By setting in place appropriate monitoring mechanisms, decentralisation of resources can play an important role in kick starting local economies and developing local capacities and knowledge – the key to meaningfully address the financial crisis facing many municipalities throughout the country.

It is also apparent that power dynamics pervades communication within and between local governments. Firstly, it influences government relations between neighbouring municipalities, as evident in the IDP processes in Kungwini Local Municipality and Klerksdorp Local Municipality. According to Hattingh (1986:82), there are three main differences between intergovernmental relationships within the same sphere of government and those between different spheres. The first is that although two municipalities may theoretically be on the same level, a larger municipality may be in a position of power towards a smaller municipality, even if it is just through intimidation. The second is that theoretically there should be no differences between municipalities with respect to their negotiation capacity for resources, as it should be based on the need of the individual municipality. However, the size of a municipality would in all probability influence the quality of its negotiation capacity. Thirdly, there will be a measure of interdependence between municipalities, and the measure of interdependence will be determined by the resources that are needed by each municipality. In Kungwini Local Municipality and Klerksdorp Local Municipality very little mention is made of the neighbouring municipalities and the impact they have on each other's IDP. In Kungwini Local Municipality's case this may be ascribed to the fact that the neighbouring municipalities lie either in another province (such as the Nkangala District Council in the Mpumalanga Province) and therefore do not have the same access to resources available to municipalities in that province or that the neighbouring municipalities that are in the same province (for instance Tshwane City Council) are so considerable in size that the municipality cannot compete with it for resources available to the municipalities in this province. In Klerksdorp Local Municipality neighbouring municipalities did not really feature in the IDP, possibly because of the similarity in the power of neighbouring municipalities to access resources from provincial government (for instance Potchefstroom).

Secondly, power affects intra-governmental relations between the district and municipal local councils, and it is much more evident than the influence that power has on government relations between neighbouring municipalities. This is especially apparent in the lack of clarification of the two-tier local government system as envisioned by national government, since larger and stronger local municipalities question the need for district municipalities and weaker and more rural local municipalities are in favour to the district municipalities, often seen as their source of salvation (Steytler, 2003:5). In Klerksdorp Local Municipality, for instance, there was a concern regarding the contribution a district municipality could make to a relatively strong municipality such as Klerksdorp Local Municipality. Financing and support from the district municipality was mostly directed towards the weaker (mainly rural) local municipalities within the jurisdictional area of the district municipality, while the Klerksdorp Local Municipality was mainly reliant on its own resources to address the issues within its jurisdictional area. Because of a perceived lack of support from district level to implement the goals of the local municipality (in terms of commitment of resources), the requisite participation of the district municipality in the local IDP process was questioned. Similar circumstances occurred in Kungwini Local Municipality, though to a lesser extent, as the district municipality had some resource ability to assist the local municipality to implement its projects. This state of affairs was also evident in other local authorities, as apparent in the statement of the GDPLG that alignment and coordination between district and local municipality IDP processes still needed some consideration in the review processes (DDPLG, 2003:53). Even though the legal framework is clear on what should be done, and guidance has been provided in the national Department of Provincial and Local Government's IDP Guide Packs as to how this can be brought about, it is still not taking place in the way that it could, and should. For instance, the mechanism for integrating the two scales of IDP, namely municipal and district IDPs, especially when they are prepared simultaneously, are not clear cut, and an ongoing process of mutual

adjustment may be necessary (Oranje *et al.*, 2000:27). Further evidence regarding the influence of power on communication in the IDP process was evident in the great debate that took place regarding the division of powers and functions between district and municipal local government. The lack of certainty about powers and functions between district and local municipalities has had a negative effect on municipal planning, which in some cases created tensions that are not conducive to the process of intergovernmental development planning (Steytler, 2003:5). In addition to this, it complicated the budgeting for and performance of certain functions, which in turn made it difficult to successfully compile and implement an IDP (Marè, 2003:9). The uncertainty with regard to the division of powers and functions also resulted in considerable confusion regarding the contents of a district IDP. Some felt it had to be a summary of local IDPs, not taking into consideration that there were district wide issues that needed to be addressed by district IDPs (Plan Practice, 2002:35). In areas where the municipalities were pro-active and dealt with the allocation of powers and functions internally, they were able to work on the IDPs in a more realistic way (DPLG & MDB, 2002:57). Where there was an absence of a viable and sustainable agreement on powers and functions between district and local municipalities, meaningful integrated development planning suffered (Department of Provincial and Local Government, 2004b: Annexure B:f). It can therefore be said that the most challenging issue with respect to intergovernmental relations at local level is the division of powers and functions between local and district municipalities and that power significantly impacts on the communication process between local governments in the IDP process.

Power dynamics between the local, provincial and national spheres of government

The influence of power on intra-governmental relationships between provincial and national spheres of government is of particular

importance in the IDP process. This argument is made in the processes of the Klerksdorp Local Municipality and Kungwini Local Municipality, where both expressed serious concerns regarding the quality of participation from provincial and national officials in their IDP processes and the limits of the access they (the municipalities) have to the resources (funds, authority, information, empowerment capability, etc.) from the other government spheres with which to implement the aims of developmental local government. This problem is akin to that facing local government along the northern border of Mexico (Peña, 2003), which includes the lack of fiscal powers of local government to correspond with their legal responsibility. In addition to this, Kungwini and Klerksdorp Local Municipalities were both frustrated by the power provincial and national government had to implement provincial and national directives in their local areas of jurisdiction, which did not necessarily address local needs and priorities as identified in the IDP processes. This correlates with findings of the study by Neme (1997) of the bureaucratic decision-making process in Botswana, namely that the importance of a government department's jurisdiction and its specialised capacity can facilitate the co-optation of decision making by that particular department. Local authorities, on the other hand, have to undertake such a large number of functional activities, it is obvious that they will have to involve most of the state departments with respect to the performance of specified functions, ensuring that local authorities will always have to perform their functions in co-operation with the national and provincial authorities (Cloete, 1997:107). Local government need to consider and be responsive to the major policy issues and principles guiding specific development services from national and provincial services. They should also incorporate the provision of national and provincial services into the IDP where it has been identified as a local priority issue. However, the IDP processes of Kungwini and Klerksdorp Local Municipalities still reflected a lack of intergovernmental integration, coordination and alignment. Key constraining factors, similar to those identified by the DPLG (2004b:1), are a lack of institutional preparedness, capacity constraints and

inefficient development planning instruments and systems (largely due to the newness of these institutions), human capacity constraints, the legacy of former hierarchical intergovernmental relationships, a lack of a shared focus on key national development priorities, overly complicated systems, inadequate and ineffective performance management and the tendency of sectors and spheres to work in isolation.

5. CONCLUSION

The purpose of this study was to examine the influence of power on communication in the compilation of municipal Integrated Development Planning in South Africa, specifically as it affects intra- and intergovernmental relations in the IDP process. South African communities still suffer from the inequalities of the past and as such are in dire need of the redress that integrated development planning can offer. However, without considering the reality of power dynamics (particularly on communication) in the IDP process, the ideals of integrated development planning may never be achieved, instead only serving the objectives of those with power. In the preface to his book on Aalborg, Flyvbjerg postulates that his book will enable later scholars to ask “*Is this an Aalborg?*” when studying cases of city planning, implying that reality is shaped not on the grounds of the “*better argument*” but as a result of dynamic power relations. This case study adds to the body of evidence that planning is governed by relations of power and aspiration to power, similar to those studies by authors such as Peattie’s (1987) of Ciudad Guayana, Brindley *et. al.* (1989) of planning in the United Kingdom under the Thatcher administration, Mclouglin’s (1992) of Melbourne and Homann (2005) and Coetzee (2005) of Tshwane.

5.1 *Case studies summary*

With respect to the case studies presented here, the following summary of observations regarding the way in which power shaped communication in the planning processes are represented in the following table and discussion:

TABLE 9: INFLUENCE OF POWER ON COMMUNICATION IN THE KUNGWINI LOCAL MUNICIPALITY AND KLERKSDORP LOCAL MUNICIPALITY IDP PROCESSES

<i>COMMUNICATION WITHIN/BETWEEN SPHERES</i>	<i>Kungwini Local Municipality</i>		<i>Klerksdorp Local Municipality</i>	
	<i>Within</i>	<i>Between</i>	<i>Within</i>	<i>Between</i>
<i>NATURE OF POWER</i>				
(1) Overt (decision making)				
• Structured and systematic communication	Very little	To a certain extent	Yes	To a certain extent
• Robust communication	No	No	Yes	To a certain extent
• Positive and decisive impact of communication on IDP	No	No	To a certain extent	No
(2) Setting agenda (withholding of issues)	Yes	Yes	To a certain extent	Yes
(3) Covert (shaping “felt” needs)				
• Latent conflict	Yes	No	To a certain extent	No
• “Real” interests of role-players	Yes	Yes	Yes	Yes

(1) Overt power (visible decision making): The influence of overt power on communication as evident in decision making processes is evident in three ways, namely if structured and systematic communication took place, if this communication was robust (in other words, was there an upward and downward flow of information) and if the communication thus achieved had a positive and decisive impact on the IDP. With respect to structured and systematic communication in the IDP process, there are clear cut legal directives and policy guidelines regarding the compilation and implementation of the Integrated Development Plan process, but the extent to which these directives and guidelines were applied within the local government

sphere differed significantly between different municipalities. Within local government, the ideal is that the structure of a municipality should reflect the goals and purpose of the IDP. Klerksdorp Local Municipality followed this approach which assisted the municipality to a great extent in adhering to and completing the IDP process. In addition to this specific persons were tasked with certain roles and responsibilities in the IDP process, which increased their commitment to the IDP process and the quality (robustness) of their participation. However, this communication (to a certain extent) failed to have a positive and decisive impact on the IDP. Municipal Integrated Development Planning reflects the basic tenets of communicative planning theory, where the focus is on assessing the choices between alternative realities inherent to the process in order to reach a consensus acceptable to all the relevant stakeholders. The failure of Klerksdorp Local Municipality to achieve this is reflected in its still mostly mechanistic approach towards planning as well as the absence of future anticipation and holistic financial planning (i.e. integration of capital and operational aspects of projects). Several causes have been cited, of which the foremost is probably the legacy of past planning practices. With respect to structured and systematic information in Kungwini Local Municipality, there was difficulty in aligning their municipal structure with the IDP which consequently had a detrimental effect on the role players to communicate in the process. Vague, or more correctly, impermanent assignments decreased the commitment of role players in the process. Consequently the power (or lack thereof) to make and execute decisions, due to inadequate structures and systems for communication, negatively impacted on the robustness of communication within Kungwini Local Municipality, as well as the positive and decisive impact it could have had on the IDP.

Structured communication focussing mainly on coordination and integration between the local and district municipalities, as well as between the local and provincial spheres of government took place via IDP forums that were established for this purpose. These forums

functioned especially well where there was interdependence between governments because of a need for resources, in other words the interplay of power between the governments. In Kungwini Local Municipality, for example, there was robust communication with the district council, especially because of the limited resources of the local government to implement projects. In Klerksdorp Local Municipality, the perception that the district council would provide very little financial support for their projects made them question the need for structured and systematic communication with the district municipality. Both municipalities, however, stated the need for structured and systematic communication with provincial (and national) government spheres, but despite the existence of forums for this purpose, communication there has not been robust due in large part to the lack of regard from provincial government for local planning. The effect that this has had on compiling the municipal IDPs, is that the local municipalities failed to include provincial planning in their IDP documents and that provincial (and national) government largely ignored local information provided by the local municipalities' IDPs.

(2) *Setting agenda (withholding issues):* The setting of agenda in this instance refers to the power of a government sphere to determine which issues regarding integrated development planning are addressed. In South Africa, this power is mostly related to the access that a government sphere has to resources, as the hierarchical assignation of power to different government administrative areas is not applicable. In this study it has become clear that particularly the access that a government sphere has to human and financial resources, affects the power it may wield in the IDP communication process. For instance, the ability of officials and councillors (human resources) in Kungwini Local Municipality and, to a lesser extent, Klerksdorp Local Municipality to participate in the IDP process was seriously hampered by their availability and capability to do so. In spite of more than a decade's emphasis on integrative local planning, sectoralised thinking and compartmentalisation was still pervasive,

impeding strategic planning for the long term and across different sectors, as well as hampering effective financial planning such as the integration of operational and capital budgets of municipalities. In other words, officials and councillors failed to set an agenda that promoted integrative development planning in both Kungwini Local Municipality and Klerksdorp Local Municipality, which resulted in vagueness, ignorance and inappropriateness in the IDP processes of municipalities.

The access that a particular local municipal council has to financial resources also determines the effort it will make to discuss issues in the IDP with other government spheres. Where the local municipal council had sufficient independent resources relative to that of what the district council could offer the local municipal council, there tended to be little regard for the contribution that the district municipal council could make to the IDP process, such as the case in Klerksdorp Local Municipality. A similar situation existed between local and provincial (national) government spheres, where the ability that provincial (national) spheres have to implement projects, due to the access they have to the financial resources (power) to do so, resulted in very little consideration for the ideals, goals and projects identified in the communicative planning process in local government. Both Kungwini Local Municipality and Klerksdorp Local Municipality mentioned this aspect, as they lamented the implementation of provincial and national projects in their areas of jurisdiction without due consideration to the needs and priorities articulated in these municipalities' IDPs. However, national government has in this regard launched several initiatives to address the deficiency of intergovernmental relations in planning, such as a project to improve intergovernmental integration through the alignment of district and metropolitan IDPs, PGDSs and the NSDP, and the Intergovernmental Relations Framework Bill. The reasonable participation of other (governmental) stakeholders in the IDP process as a result from these initiatives will make them as accountable for what happens in local government as local government itself. In effect

local government's "credibility" regarding integrated development planning will also be the responsibility of provincial and national government.

(3) Covert power (shaping "felt" needs): In an institutional and political environment in which people are used to struggle for their share of power and resources, it is difficult to stimulate and facilitate strategic decision-making, as well as, in the case of departments, be prepared to seek and discuss solutions for the most critical developmental issues rather than just providing preconceived capital investment solutions. In other words, covert power as evidenced in the latent conflict in a municipality as well as the "real" interests of role players, definitively influence communication in the IDP process. For example in the IDP process in the Klerksdorp Local Municipality, the "real" interests of councillors manifested itself in their decision to implement projects that had not necessarily been identified in the IDP. Their political survival ("real" interest) depended in part on the commitment of the municipality to projects that benefited their constituents, whether or not these had been included in the IDP. The covert power in Kungwini was palpable in the latent conflict that existed between certain councillors and officials in Kungwini Local Municipality. This detrimentally influenced communication in and commitment to the IDP process, as the uncertainty in the appointment of the Municipal Manager and senior personnel by Council increased the amount of covert power exercised in the IDP process. Certain officials and councillors viewed the IDP as a vehicle to ensure their continued value to the municipality while others focussed on strengthening their departments ("empires") and thereby thwarting efforts to integrate the workings of the municipality as a whole ("real" interests of organisation members).

The effect of covert power on communication in the IDP processes between district and local municipal government mainly centred on the division of power and functions, which was demonstrated in the

underlying conflict between the local and district municipalities. In Klerksdorp Local Municipality there was a quiet resentment of the role of the district municipality in the area, as it did not really contribute financially to the implementation of the local municipality's projects. In Kungwini Local Municipality, there was a continual struggle regarding the division of power and functions, as the local municipality had more human resources than the newly established district municipality, but the district municipality had more access to financial resources. The covert power thus exercised impeded meaningful integrated development planning. Covert power is not as conspicuous between local and provincial (national) government, as overt power and agenda setting are much more evident in the communication processes between these government spheres. However, the "real" interests of role players in this process cannot be disregarded.

5.2 *Influence of power on governmental communication in IDP processes*

Deliberative planning work (such as IDPs) is based on communicative action as described by Forester (1982a, 1982b, 1996, 1999, 2001, 2004), Healey (1996, 1997, 2000) and Innes (1999, 2005) and, according to these writers, communicative action is subject to the omnipresence of power in its communication processes. But while these theorists have focussed on the way in which planners may use power to achieve fair and egalitarian deliberation, such as helping the less powerful as Forester advocates, or using different types of information as Innes demonstrates, there has been very little focus on how power shapes communicative action itself, specifically in South Africa. Also in literature dealing with the IDP process in South Africa, little has been said regarding the ways in which power shapes communication in integrative development planning processes. In this study an attempt has been made to lessen this lack of knowledge and simultaneously add to the body of work regarding power in planning.

Three important conclusions can be drawn from the previous discussion. First, it shows that without properly situating Integrated Development Planning within a broader spectrum of planning initiatives throughout the different government spheres, legislating for integrative planning will not necessarily result in 'meaningful' integrated development planning as it will be subject to the vagaries of interdependency among the different role players in the process and the co-optation of these role players of the IDP for their own purposes. Secondly, it demonstrates that power is highly instrumental in determining the structuring, robustness and impact of communication in planning processes, as well as the question as to whether the real debate according to communicative action school of thought will take place or not. Third, the extent to which a particular role player in the IDP process is able to wield power in this process (as evident in the examination of the communication interface) and thus determine 'meaningful' integrated development planning, is greatly influenced by the access said role player has to resources, specifically human or fiscal resources.

5.3 *Areas for further research*

As an exploratory study this opens up the opportunity for further comparative case studies in other local governments in South Africa, concerning the influence of power on communication in intergovernmental planning processes, specifically IDP in local municipalities, and general studies regarding the effect of power in communicative planning. In addition further research and study in the Kungwini and Klerksdorp Local Municipalities on this subject for the time period between 2002 and 2007 may increase the understanding of the particular influence of power on communication in these municipalities. This study also provides the opportunity for planners to gain some insight into the pressures they face in the process of achieving credible planning results.

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ANNEXURES

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- ii) Annexure B: Summary of questionnaire responses of Klerksdorp *p. 148*
Local Municipality
- iii) Annexure C: Summary of questionnaire responses of Kungwini *p. 152*
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ANNEXURE A: QUESTIONNAIRE

QUESTIONNAIRE

PARTICIPATION OF INSTITUTIONAL ROLE PLAYERS IN THE IDP PROCESS

Name of Municipality _____

Name of respondent _____

Date _____

LEVEL 1 = none
 2 = slightly
 3 = average
 4 = mostly
 5 = fully

1. PROCESS PLAN

1.1 *Identification of roles and responsibilities of role players (attach extract from Process Plan where available)*

1.2 *To what degree has the proposals in the Process Plan been implemented?*

2. GENERAL COMPLIANCE IN TERMS OF IDP GUIDE PACK

2.1 *Local Municipality's Council*

Indicate the general compliance of the municipality in the following table:

ACTION	LEVEL				
	1	2	3	4	5
decide on and adopt a Process Plan					
take the overall management and coordination of the process which includes ensuring that: <ul style="list-style-type: none"> - all relevant actors are appropriately involved; 					

- appropriate mechanisms and procedures for public consultation and participation are applied;					
- the planning events are undertaken in accordance with the time schedule;					
- planning process is related to the real burning issues in the municipality, that it is a strategic and implementation-oriented process; and					
- the sector planning requirements are satisfied.					
• Adopt and approve the IDP					
• Adjust the IDP in accordance with the MEC for Local Government's proposal					
• Ensure that the annual business plans, budget and land use management decisions are linked to and based on the IDP					

2.2 *Provincial Government (Local Government Department, Sector Departments and Corporate Service Providers)*

Indicate the general compliance of the provincial government as perceived by the municipality in the following table:

ACTION	LEVEL				
	1	2	3	4	5
• Ensuring horizontal alignment of the IDPs of the district municipalities within the province					
• Ensuring vertical/sector alignment between provincial sector departments/provincial strategic plans and the IDP process at local/district level by - guiding the provincial sector departments' participation in and their required contribution to the municipal planning process; and - guiding them in assessing draft IDPs and align their sectoral Programmes and budgets with the IDPs					
• Efficient financial management of provincial IDP grants					
• Monitoring the progress of the IDP processes					
• Facilitation of resolution of disputes related to IDP					
• Assist municipalities in the IDP drafting process where required					
• Organise IDP-related training where required					
• Co-ordinate and manage the MEC's assessment of IDPs					
• Contribute relevant information on the provincial sector departments' plans, programmes, budgets, objectives, strategies and projects in a concise and accessible manner					

<ul style="list-style-type: none"> Contribute sector expertise and technical knowledge to the formulation of municipal strategies and projects 					
<ul style="list-style-type: none"> Engage in a process of alignment with district municipalities 					
<ul style="list-style-type: none"> Participate in the provincial management system of coordination 					

3. SPECIFIC COMPLIANCE IN TERMS OF THE GUIDE PACK

3.1 *Municipal Manager and/or IDP Manager*

Indicate the persons applicable:

Municipal Manager

IDP Manager

ACTION	LEVEL				
	1	2	3	4	5
Prepare the Process Plan					
Undertake the overall management and coordination of the planning process;					
Ensure that all relevant actors are appropriately involved;					
Nominate persons in charge of different roles;					
Be responsible for the day-to-day management of the drafting process;					
Ensure that the planning process is participatory, strategic and implementation oriented and is aligned with and satisfies sector planning requirements;					
Respond to comments on the draft IDP from the public, horizontal alignment and other spheres of government to the satisfaction of the municipal council;					
Ensure proper documentation of the results of the planning of the IDP document; and					
Adjust the IDP in accordance with the MEC for Local Government's proposals					

3.2 *Heads of Departments and Officials*

ACTION	LEVEL				
	1	2	3	4	5
Provide relevant technical, sector and financial information for analysis for determining priority issues;					
Contribute technical expertise in the consideration and finalisation of strategies and identification of projects;					
Provide departmental operational and capital budgetary information;					

Be responsible for the preparation of projects proposals, the integration of projects and sector programmes; and					
Be responsible for preparing amendments to the draft IDP for submission to the municipal council for approval and the MEC for Local Government for alignment.					

Please specify the Departmental Heads and officials involved in the IDP process

3.3 Other

Please specify other institutional role-players and their contribution to the IDP process, where applicable, i.e. PIMSS, Consultants, etc.

Role player: _____

ACTION	LEVEL				
	1	2	3	4	5



Role player: _____

ACTION	LEVEL				
	1	2	3	4	5

Role player: _____

ACTION	LEVEL				
	1	2	3	4	5

4. Comments

Please indicate whether there are any proposals or suggestions that can be made in regard to the improvement of the institutional management of Integrated Development Plan process on a municipal level.

Thank you for completing this questionnaire!



ANNEXURE B: SUMMARY OF QUESTIONNAIRE RESPONSES OF KLERKSDORP LOCAL MUNICIPALITY

NAME OF RESPONDENT	Municipal Manager	IDP Specialist	Manager Health Services	Chief Financial Officer	Manager Economic Affairs & Corporate Communication	Manager Public Safety	Manager Community Services	Manager Civil Engineering/IDP Manager	Manager Corporate Services	Southern District: IDP Manager	Northwest DDLGH: IDP Co-ordinator
1. PROCESS PLAN											
1.1 Identification of roles and responsibilities of role players (attach extract from Process Plan where available)	5	5	5	5	5	5	5	5	5	5	5
1.2 To what degree has the proposals in the Process Plan been implemented?	5	5	5	2		5	5	5	4	3	2
2. GENERAL COMPLIANCE IN TERMS OF IDP GUIDE PACK											
<i>2.1 Local Municipality's Council</i>											
Prepare, decide on and adopt a Process Plan	5	5	3	4				5	5		
Ensuring all relevant actors are appropriately involved	4	5	3	4				4	5		
Ensuring appropriate mechanisms and procedures for public consultation and participation are applied	4	5	4	4				4	5		
Ensuring the planning events are undertaken in accordance with the time schedule	4	5	3	3				5	4		
Ensuring planning process is related to the real burning issues in the municipality, that it is a strategic and implementation-oriented process.	5	5	2	2				4	5		
Ensuring the sector planning requirements are satisfied.	2	3	4	2					4		

Adopt and approve the IDP	5	5	4	4				5				
Adjust the IDP in accordance with the MEC for Local Government's proposal	4	4	4	3				4	5			
Ensure that the annual business plans, budget and land use management decisions are linked to and based on the IDP	5	4	4	4				5	5			
2.2 Provincial Government (Local Government Department, Sector Departments and Corporate Service Providers)												
Ensuring horizontal alignment of the IDPs of the district municipalities within the province	4	4	3	2			3	4	5	4	2	3
Ensuring alignment by guiding the provincial sector departments' participation in and their required contribution to the municipal planning process	2	2	3	2			3	4	1	4	2	3
Ensuring alignment by guiding provincial and national departments in assessing draft IDPs and align their sectoral Programmes and budgets with the IDPs	2	2	4	2			3	4	1	4	2	
Efficient financial management of provincial IDP grants	5	5	3	3				4	5	5	3	4
Monitoring the progress of the IDP processes	2	3	3	3			3	4	5	5	3	5
Facilitation of resolution of disputes related to IDP	2	2	2	2			4	5	5	4	3	
Assist municipalities in the IDP drafting process where required	3	2	3	1				2	5	5	3	
Organise IDP-related training where required	3	4	2	1			5	2	5	3	3	5
Co-ordinate and manage the MEC's assessment of IDPs	3	4	3	1			4	3	5	4	4	
Contribute relevant information on the provincial sector departments' plans, programmes, budgets, objectives, strategies and projects in a concise and accessible manner	3	2	3	2			3	4	5	5	1	3
Contribute sector expertise and technical knowledge to the formulation of municipal strategies and projects	3	1	2	1			2	4	5	4	1	1
Engage in a process of alignment with district municipalities	4	3	2	2			4	4	5	4	2	1
Participate in the provincial management system of coordination	2	2	2	2			1	4	1	4	1	5
3. SPECIFIC COMPLIANCE IN TERMS OF THE GUIDE PACK												
3.1 Municipal Manager and/or IDP Manager (IDP Manager)												
Prepare the Process Plan	5	5	4						5			
Undertake the overall management and coordination of the planning process;	5	5	4						5			
Ensure that all relevant actors are appropriately involved;	4	4	3						5			
Nominate persons in charge of different roles;	5	5	3						5			
Be responsible for the day-to-day management of the drafting process;	5	5	3						5			
Ensure that the planning process is participatory, strategic and implementation	5	5	2						5			

oriented and is aligned with and satisfies sector planning requirements;												
Respond to comments on the draft IDP from the public, horizontal alignment and other spheres of government to the satisfaction of the municipal council;	5	4	3					5				
Ensure proper documentation of the results of the planning of the IDP document; and	5	5	3					5				
Adjust the IDP in accordance with the MEC for Local Government's proposals	5	4	3					4				
3.2 Heads of Departments and Officials												
Provide relevant technical, sector and financial information for analysis for determining priority issues;	5	5	3	4	5	5	4	5	4			
Contribute technical expertise in the consideration and finalisation of strategies and identification of projects;	5	5	3	4	5	5	4	5	4			
Provide departmental operational and capital budgetary information;	5	5	2	4	5	5	4	5	4			
Be responsible for the preparation of projects proposals, the integration of projects and sector programmes; and	5	5	3	3	5	5	5	5	4			
Be responsible for preparing amendments to the draft IDP for submission to the municipal council for approval and the MEC for Local Government for alignment.	5	3	4	2	5	4	5	5	5			
3.3 Other												
Consultants												
Facilitated the amalgamation of the 4 local councils	5							5				
Initiate process for IDP	5	5										
Performance Management System	5	5										
Spatial development strategies				4								
Intergovernmental Forum												
Submit departmental plan					3							
Align with other departmental plans					3							
Look at department capacity					3							
Align delivery schedules					3							
Check progress					4							
Treasure Route Forum												
Align tourism IDP					5							
Budget allocation					5							
Apply for outside funding					5							
Report on progress					5							

Establish Community Tourism Association					4						
Obtain buy-in from provincial and national government					5						
<u>Organised business</u>											
Make inputs into the municipal IDP					3						
Commit funding					2						
Attend meetings					2						
Monitoring IDP project progress					5						

Note: The officials who provided information via questionnaires and interviews regarding the organisational experience of the Klerksdorp Local Municipality of the 2000 IDP process were the following. From the Klerksdorp Local Municipality: Municipal Manager (Mr T Z Mokhatla) , IDP Specialist (Mr K Marais), Manager Health Services (Mr M J Booysen), Chief Financial Officer (Mr I J Haarhoff), Manager Economic Affairs & Corporate Communication (Mr M A Khuzwayo), Manager Public Safety (Mr K Boikanyo), Manager Community Services (Ms MJ Masilo), Manager Civil Engineering (Mr N J Els) and Manager Corporate Services (Mr O G Mofulatsi). From the Southern District Municipality the IDP Manager (Mr F Labuschagne) participated and from the Department Developmental Local Government and Housing of the Norhtwest Province the Co-ordinator of the Southern District (Ms M van Heerden).

ANNEXURE C: SUMMARY OF QUESTIONNAIRE RESPONSES OF KUNGWINI LOCAL MUNICIPALITY

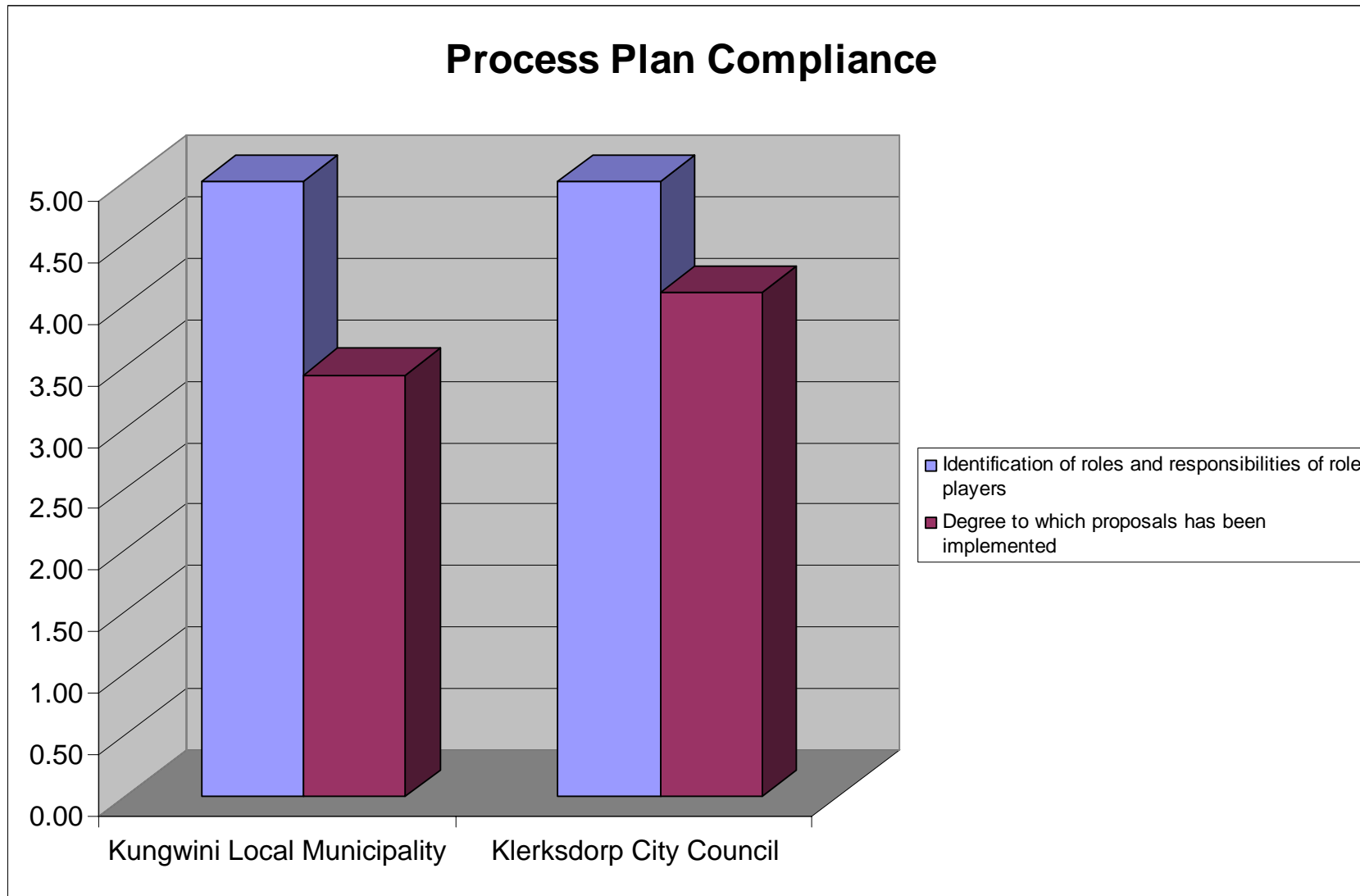
NAME OF RESPONDENT	Acting Municipal Manager	Sometime Acting Director Finance	Director Corporate Services	Community Services	IDP/LED Manager	Acting Director Service Delivery	IDP Manager	Metsweding Municipal Manager	Consultant
1. PROCESS PLAN									
1.1 Identification of roles and responsibilities of role players (attach extract from Process Plan where available)	5	5	5	5	5	5	5		5
1.2 To what degree has the proposals in the Process Plan been implemented?	4	2	4	3	5	3	3		4
2. GENERAL COMPLIANCE IN TERMS OF IDP GUIDE PACK									
<i>2.1 Local Municipality's Council</i>									
Prepare, decide on and adopt a Process Plan	5	5	1	5	5	5	5		4
Ensuring all relevant actors are appropriately involved	3	5	3	3	5	5	3		3
Ensuring appropriate mechanisms and procedures for public consultation and participation are applied	3		3	3	5	5	4		3
Ensuring the planning events are undertaken in accordance with the time schedule	2		2	4	4	5	3		4
Ensuring planning process is related to the real burning issues in the municipality, that it is a strategic and implementation-oriented process.	4	5	2	3	5	3	4		3
Ensuring the sector planning requirements are satisfied.	2	1	3	4	3	2	2		2

Adopt and approve the IDP	5	5	3	3	5	5	5		5
Adjust the IDP in accordance with the MEC for Local Government's proposal	3		3	4	5	3	4		1
Ensure that the annual business plans, budget and land use management decisions are linked to and based on the IDP	3	1	2	2	4	2	3		3
2.2 Provincial Government (Local Government Department, Sector Departments and Corporate Service Providers)									
Ensuring horizontal alignment of the IDPs of the district municipalities within the province	3	1	2	3	3	2	3	3	1
Ensuring alignment by guiding the provincial sector departments' participation in and their required contribution to the municipal planning process	4	1	3	3	4	2	4	3	1
Ensuring alignment by guiding provincial and national departments in assessing draft IDPs and align their sectoral Programmes and budgets with the IDPs	3	1	2	3	3	4	3	2	1
Efficient financial management of provincial IDP grants	5		2	3	5	3	4	4	3
Monitoring the progress of the IDP processes	4	1	3	3	5	4	4	5	3
Facilitation of resolution of disputes related to IDP	2	1	3	4	4	3	3	4	3
Assist municipalities in the IDP drafting process where required	3	5	2	4	4	5	3	4	2
Organise IDP-related training where required	5		2	4	3	4	5	5	4
Co-ordinate and manage the MEC's assessment of IDPs	5		3	4	4	3	5	5	3
Contribute relevant information on the provincial sector departments' plans, programmes, budgets, objectives, strategies and projects in a concise and accessible manner	2	1	1	2	3	3	3	2	2
Contribute sector expertise and technical knowledge to the formulation of municipal strategies and projects	2	1	1	3	3	3	2	3	1
Engage in a process of alignment with district municipalities	2	1	1	3	3	4	2	2	1
Participate in the provincial management system of coordination	2		1	4	3	3	3	4	3
3. SPECIFIC COMPLIANCE IN TERMS OF THE GUIDE PACK									
3.1 Municipal Manager and/or IDP Manager (IDP Manager)									
Prepare the Process Plan	5				5		5		5
Undertake the overall management and coordination of the planning process;	2				4		5		3
Ensure that all relevant actors are appropriately involved;	3				5		3		3
Nominate persons in charge of different roles;	2				5		4		2
Be responsible for the day-to-day management of the drafting process;	4				5		4		3
Ensure that the planning process is participatory, strategic and implementation oriented and is aligned with and satisfies sector planning requirements;	3				5		3		2
Respond to comments on the draft IDP from the public, horizontal alignment and other	3				5		4		4

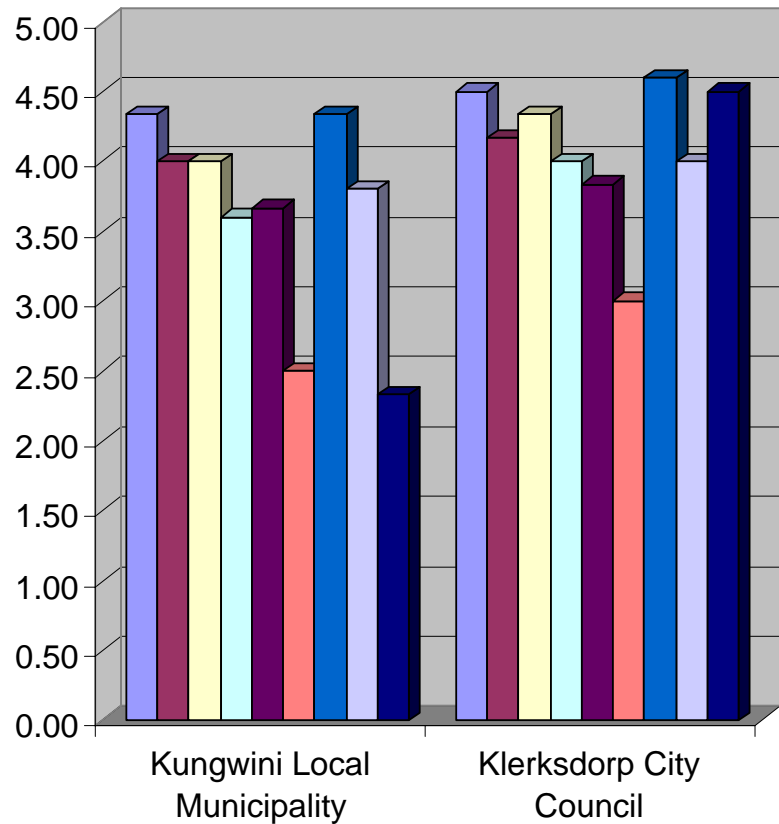
spheres of government to the satisfaction of the municipal council;									
Ensure proper documentation of the results of the planning of the IDP document; and	5				5		5		4
Adjust the IDP in accordance with the MEC for Local Government's proposals	3				5		3		2
<i>3.2 Heads of Departments and Officials</i>									
Provide relevant technical, sector and financial information for analysis for determining priority issues;	4	1	3	3	4	5	3		2
Contribute technical expertise in the consideration and finalisation of strategies and identification of projects;	3	1	3	3	4	5	3		2
Provide departmental operational and capital budgetary information;	5	1	4	5	4	5	5		3
Be responsible for the preparation of projects proposals, the integration of projects and sector programmes; and	3	1	3	4	3	3	3		3
Be responsible for preparing amendments to the draft IDP for submission to the municipal council for approval and the MEC for Local Government for alignment.	4	1	2	4	3	4	3		2
<i>3.3 Other</i>									
<u>Consultants</u>									
Provide technical assistance	5		3		4		5		5
Transferral of skills	3		3		3		3		4
<u>PIMSS</u>									
Provide technical assistance	3				4				
Transferral of skills	3				3				

Note: The following officials provided information via questionnaires and interviews regarding the organisational experience of the 2000 Integrated Development Plan process of the Kungwini Local Municipality, namely the Director Corporate Services (Ms M E Kriel), Deputy Director Finance (Mr Jaap van Straaten), Department Social Services (Mr M Kekana, Health Inspector), IDP/LED Manager (Mr N J Masombuka), Acting Director Service Delivery (Mr M R G Seleka) and IDP Manager 2001 – 2003 (Ms M Gibbens) all from the Kungwini Local Municipality, and the Municipal Manager of the Metsweding District Municipality (Ms R S Letwaba).

ANNEXURE D: GRAPHIC REPRESENTATIONS OF QUESTIONNAIRE RESPONSES

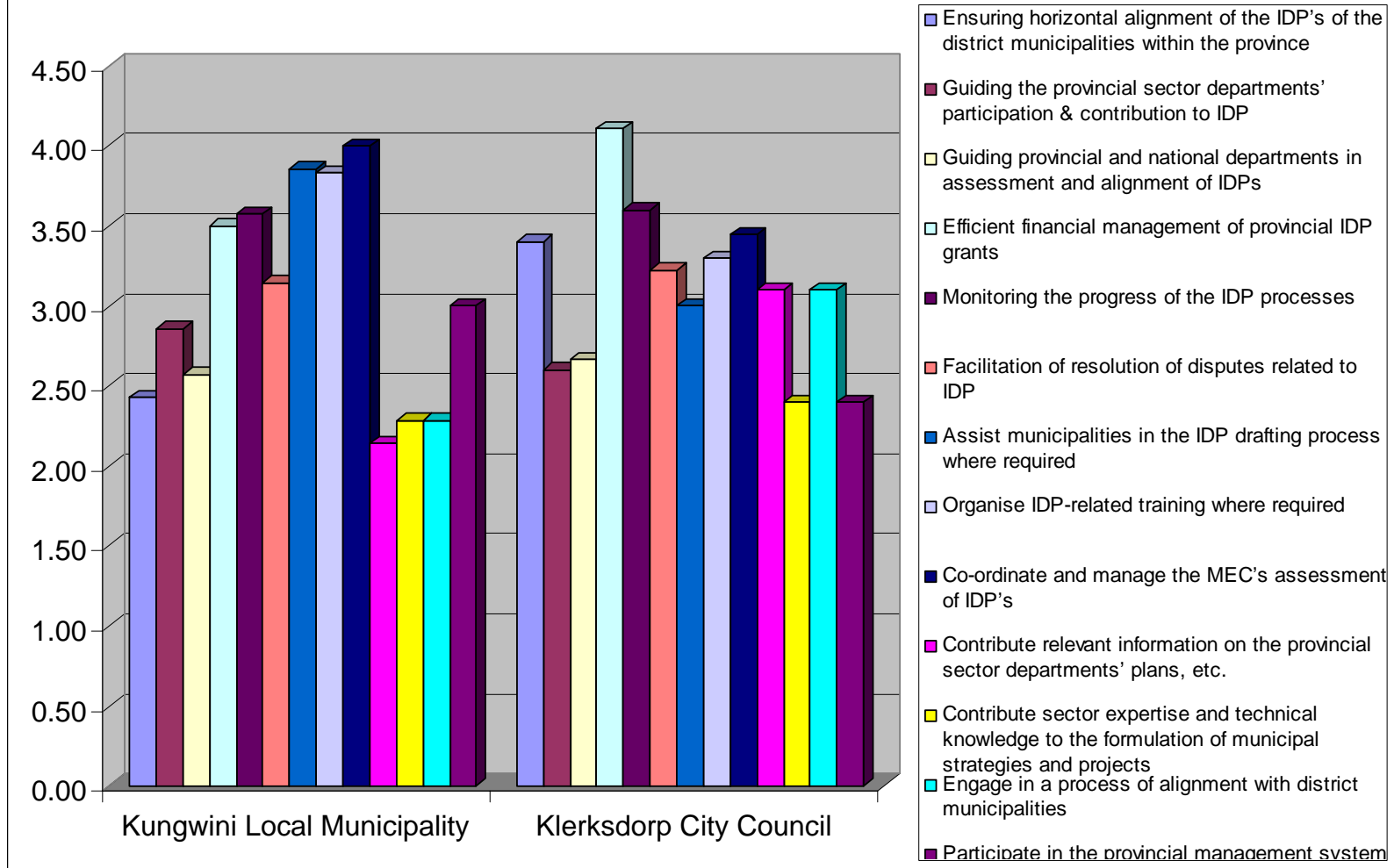


Local Municipality Compliance

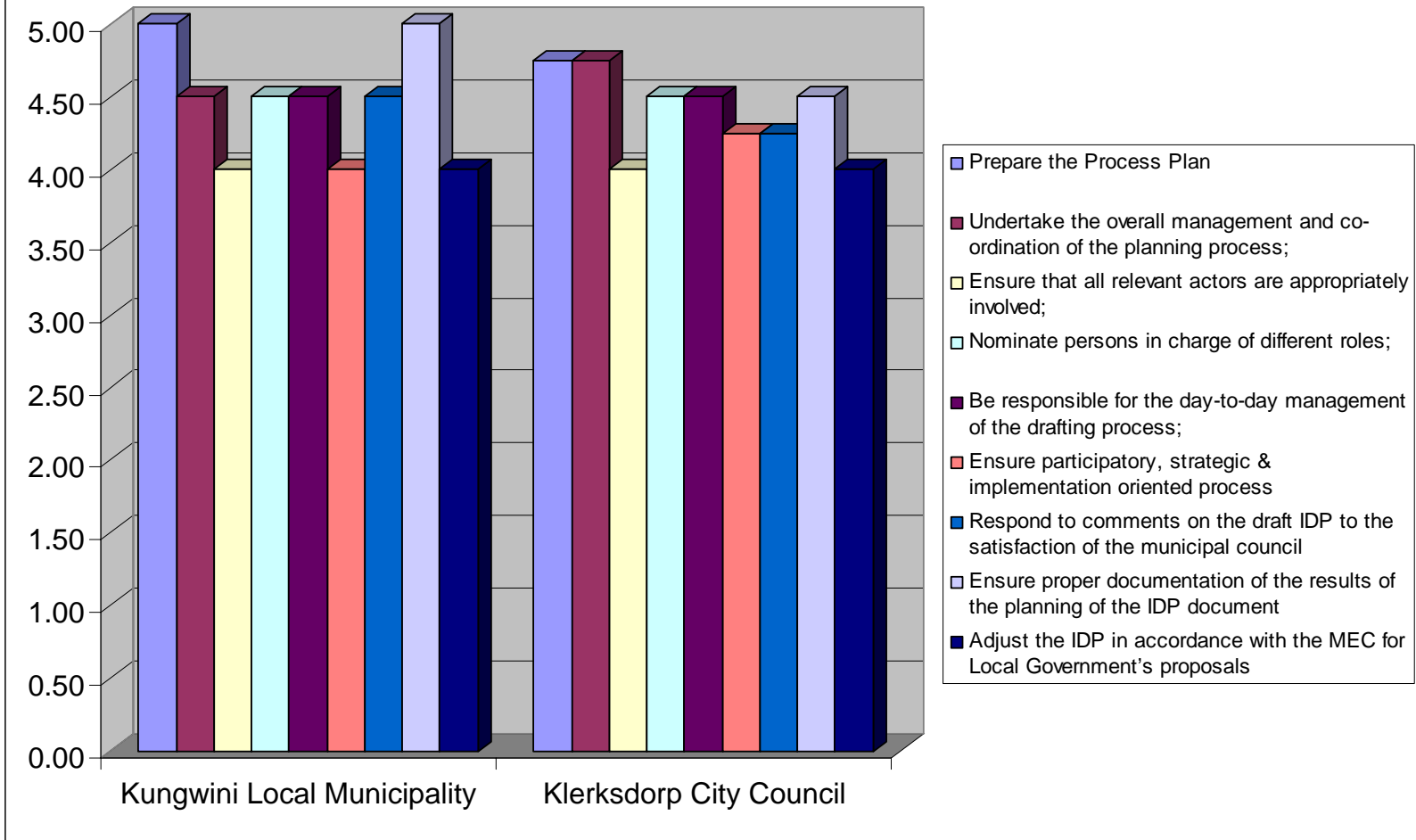


- Prepare, decide on and adopt a Process Plan
- Ensuring all relevant actors are appropriately involved
- Appropriate application of mechanisms and procedures for public consultation and participation
- Ensuring the planning events are undertaken in accordance with the time schedule
- Ensuring planning process is strategic, implementation-orientated and relevant
- Ensuring the sector planning requirements are satisfied.
- Adopt and approve the IDP
- Adjust the IDP in accordance with the MEC for Local Government's proposal
- Linkage of annual business plans, budget and land use decisions to the IDP

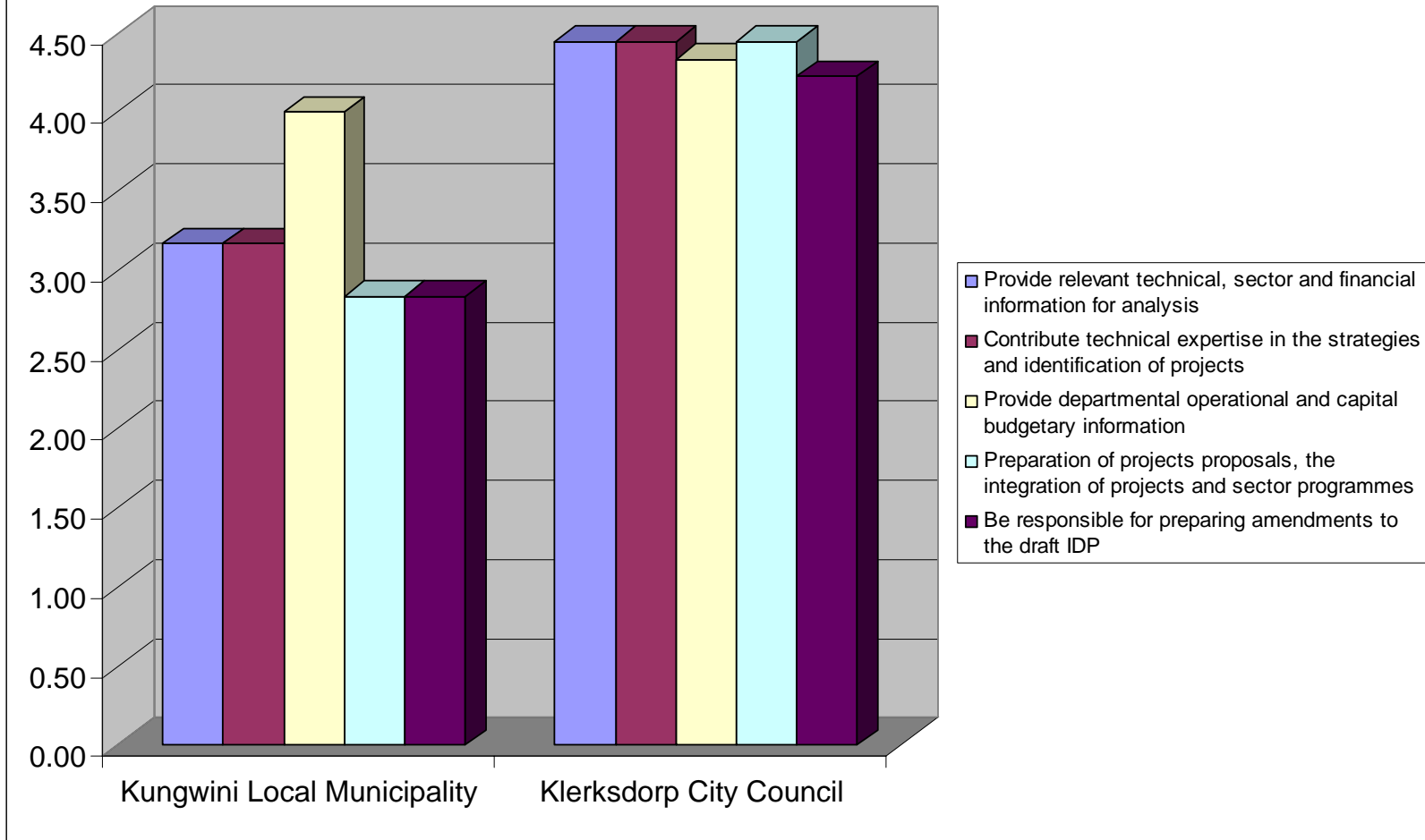
Provincial Government Compliance



Municipal/IDP Manager Compliance



Departmental Heads/Officials Compliance





ANNEXURE E: IDP PROCESS PLAN REKRODRIK' LOCAL MUNICIPALITY

CITY COUNCIL OF KLERKSDORP

DRAFT PROCESS PLAN



INDEX

- 1. INTRODUCTION**
- 2. ORGANISATIONAL STRUCTURE FOR IDP PROCESS**
 - 2.1 DIAGRAM 1
 - 2.2 COMPOSITION
 - 2.3 TERMS OF REFERENCE
- 3. DISTRIBUTION OF ROLES AND RESPONSIBILITIES**
 - 3.1 MUNICIPAL COUNCIL
 - 3.2 WARD COUNCILLORS
 - 3.3 MUNICIPAL MANAGER / IDP MANAGER
 - 3.4 HEADS OF DEPARTMENTS / OFFICIALS
 - 3.5 IDP SPECIALISTS / SERVICE PROVIDERS
 - 3.6 RESIDENTS, COMMUNITIES AND STAKEHOLDERS (CIVIL SOCIETY) INCLUDING TRADITIONAL LEADERS
- 4. MECHANISMS AND PROCEDURES FOR PUBLIC PARTICIPATION**
 - 4.1 PROCESS
 - 4.2 MECHANISMS
- 5. ACTION PROGRAMME / TIME FRAME AND RESOURCES**
- 6. MECHANISMS FOR ALIGNMENT**
- 7. LEGALLY BINDING PLANNING REQUIREMENTS AND OTHER POLICIES**
- 8. BUDGET**

1. INTRODUCTION



In order to fulfil its obligations in terms of the requirements of Chapter 5 of the Municipal Systems Act, 2000 (Act 32 of 2000) the City Council of Klerksdorp decided to adopt the following processes for the planning, drafting, adoption and review of the Integrated Development Plan.

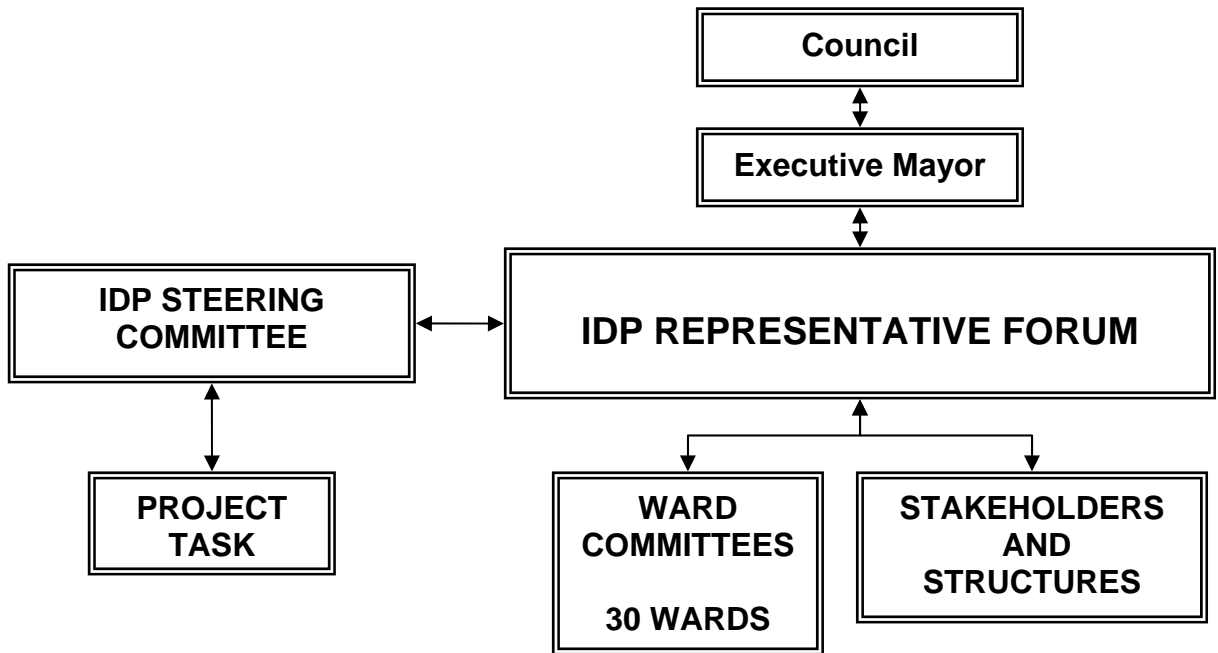
- * Organisational structure in order to effectively manage the drafting of outputs and to provide effected parties access to contribute to the decision making process.
- * Distribution of roles and responsibilities of all role players in the process.
- * Mechanisms and procedures for public participation.
- * Action programme with timeframes and resources.
- * Mechanisms and procedures for alignment.
- * Legally binding planning requirements and other policies.
- * Budget for the planning process.

2.



2.1. DIAGRAM 1

Organisational structure for City Council of Klerksdorp



2.2.

◆ IDP STEERING COMMITTEE

- Chaired by **Municipal Manager**
- Secretariat **City Secretary Department**
- Members:
 - Councillors **MMC's of HOUSING, INFRASTRUCTURE, TREASURY, LED**
 - IDP Manager
 - Heads of Departments
 - IDP Specialist / Service Providers

◆ IDP REPRESENTATIVE FORUM

- Chaired by **Mayor**
- Secretariat **Steering Committee**
- Members
 - Councillor
 - Ward Councillor
 - Municipal Manager
 - IDP Manager
 - Heads of Departments
 - IDP Specialist / Service Providers
 - Stakeholder representatives of organised groups:
 - Business Sector (NAFCOC AND SACOB)
 - Mines
 - Agriculture
 - Labour Movement
 - Advocates for unorganised groups:
 - Pensioners
 - Street Kids
 - Disabled
 - Community Organisation



- Chh
- Schools (Education)
- NGO's
- Civil Society
- Cultural Groups
- Women's League
- Youth Organisation
- Sport
- Taxi Forum

2.3. TERMS OF REFERENCE

◆ IDP STEERING COMMITTEE

- Provides terms of reference for the various planning activities
- Commissions research studies
- Considers and comments on:
 - Inputs from sub-committee/s, study teams and consultants
 - Inputs from provincial sector departments and support providers
- Processes, summaries and documents outputs
- Makes content recommendations
- Prepares, facilitates and documents meetings
- Secretariat for IDP Representative Forum

◆ IDP REPRESENTATIVE FORUM

- Represent the interests of their constituents in the IDP process
- Provides and organisational mechanism for discussion, negotiation and decision making between stakeholders
- Ensure communication between all the stakeholder representatives
- Ensure the annual business plans and budget are linked to and based on the IDP process
- Monitor the performance of the planning and implementation process

◆ WARD COMMITTEES

- To represent interests and contribute knowledge and ideas in the planning process by:
 - inform interest groups, communities and organisations on relevant planning activities and their outcomes
 - analyse issues, determine priorities, negotiate and reach consensus
 - participate in the designing of project proposals and / or assess them
 - discuss and comment on the draft IDP
 - ensure that annual business plans and budgets are based on and linked to the IDP
 - monitor performance in implementation of the Ldp

- Conducting meetings or workshops with groups, communities or organisations to prepare for and follow-up on relevant planning activities.

3. DISTRIBUTION OF ROLES AND RESPONSIBILITIES

3.1. MUNICIPAL COUNCIL / EXECUTIVE MAYER

- ◆ Prepare, decide on and adopt a Process Plan.
- ◆ Undertake the overall management and coordination of the planning process which includes ensuring that:
 - all relevant actors are appropriately involved
 - appropriate mechanisms and procedures for public consultation and participation are applied
 - planning process is related to the real burning issues in the municipality, that it is a strategic and implementation-orientated process
 - the sector planning requirements are satisfied
- ◆ Adopt and approve the IDP.
- ◆ Adjust the IDP in accordance with the MEC for Local Government's proposal
- ◆ Ensure that the annual business plans, budget and land use management decisions are linked to and based on the IDP.

3.2. WARD COUNCILORS



Councillors are the major link between the municipal government and the residents. As such, their role is to:

- ◆ Link the planning process to their constituencies and / or wards.
- ◆ Be responsible for organising public consultation and participation.
- ◆ Ensure the annual business plans and municipal budget are linked to and based on the IDP.

3.3. MUNICIPAL MANAGER / IDP MANAGER

The Municipal Manager or a senior official being charged with the function of an IDP Manager on his/her behalf has to manage and co-ordinate the IDP process.

This includes to:

- ◆ prepare the Process Plan
- ◆ undertake to overall management and coordination of the planning process
- ◆ ensure that all relevant actors are appropriately involved
- ◆ nominate persons in charge of different roles
- ◆ be responsible for the day-to-day management of the drafting process
- ◆ ensure that the planning process is participatory, strategic and implementation orientated and is aligned with and satisfies sector planning requirements
- ◆ respond to comments on the draft IDP from the public, horizontal alignment and other spheres of government to the satisfaction of the municipal council
- ◆ ensure proper documentation of the results of the planning of the IDP document
- ◆ adjust the IDP in accordance with the MEC for Local Government's proposals.

Even if the Municipal Manager delegates some of these functions to an IDP Manager on his / her behalf, he / she is still responsible and accountable.

3.4. HEADS OF DEPARTMENTS / OFFICIALS

As the person in charge for implementing IDP's the technical / sectional officers



have to be fully ir is to:

- ◆ provide relevant technical, sector and financial information for analysis for determining priority issues
- ◆ contribute technical expertise in the consideration and finalisation of strategies and identification of projects
- ◆ provide departmental operational and capital budgetary information
- ◆ be responsible for the preparation of project proposals, the-integration of projects and sector programmes
- ◆ be responsible for preparing amendments to the draft IDP for submission to the municipal council for approval and the MEC for Local Government for alignment.

3.5. IDP SPECIALISTS / SERVICE PROVIDERS

External service providers to be engaged for:

- ◆ providing methodological / technical guidance to the IDP process
- ◆ facilitation of planning workshops
- ◆ documentation of outcomes of planning activities
- ◆ special studies or other product related contributions
- ◆ support to organised and unorganised groups and communities to more effectively engage in and contribute to the-planning process
- ◆ ensure the IDP is aligned with provincial and national department's budget.

3.6. RESIDENTS, COMMUNITIES, STAKEHOLDERS (CIVIL SOCIETY) INCLUDING TRADITIONAL LEADERS

To represent interests and contribute knowledge and ideas in the planning process by:

- ◆ Participating in the IDP Representative Forum to:
 - inform interest groups, communities and organisations, on relevant planning activities and their outcomes
 - analyse issues, determine priorities, negotiate and reach consensus
 - participate in the designing of project proposals and / or assess them
 - discuss and .comment on the draft IDP



- ensure that budgets are based on and linked to the IDP
- monitor performance in implementation of the IDP.
- ◆ Conduction meetings or workshops with groups, communities or organisations to prepare for and follow-up on relevant planning activities.

4. MECHANISMS AND PROCEDURES FOR PUBLIC PARTICIPATION

4.1. PROCESS

- ❖ Compilation of a database of all relevant community and stakeholder organisations.
- ❖ Informing communities and stakeholders.
 - Communities and stakeholders will be informed of the municipality's intention to embark on the Integrated Development Planning process.
 - Organised and unorganised social groups will be invited to participate in the IDP Process.

4.2. MECHANISMS

- ◆ Ward Committees
Councillors have to inform people within their wards by means of public ward level meetings.
- ◆ Media
 - Newsletters inside municipal bills
 - Notices at prominent locations
 - Postal notices to organised groups / organisations


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 YUNIBESITHI YA PRETORIA

5. ACTION PROGRAM AND RESOURCES

The attached Annexure 1 provides an IDP Process flow chart with specific dates that will have to be adhered to.

TIME FRAMES

Starting date: As soon as possible after 1 July 2001 but not later than 15 July 2001

Completion date: 30 March 2002

Milestones: On District and Local Level

1.	1 – 16 July 2001	-	Council approval of process plans
2.	30 August 2001	-	District Workshop: Priority Issues
3.	16 – 22 September 2001	-	Sector Alignment 1: In-depth Analysis
4.	4 – 10 November 2001	-	District Workshop: District Level Strategies
5.	14 – 20 November 2001	-	Sector Alignment 2: District Workshop: Localised strategic guidelines
6.	5 – 6 December 2001	-	Sector Alignment 3: Budget allocations
7.	23 and 24 January 2002	-	Sector Alignment 4: District Workshop: Projects
8.	13 and 14 February 2002	-	Sector Alignment 5: District Workshop: Integration of projects
9.	13 and March 2002	-	Sector Alignment 6: District Workshop: Comments on IPD
10.	24 – 30 March 2002	-	Council approval of IDP

Festive season: From 15 December 2001 - 4 January 2002 a break was indicated due to the Festive Season and to give those Municipalities an opportunity to revisit issues that may need to be revisited.

Milestones: On Local level

- Informing community - 2 to 16 July 2001
- Establishment of Representative Forum Meeting - 9 July 2001

6. MECHANISMS FOR ALIGNMENT

ALIGNMENT

The principle, which was followed with alignment, is that issues that have a direct impact on the individual and where sector departments have structures in local municipalities' area of jurisdiction, alignment be dealt with by Local Municipalities.

Alignment of issues that are of importance to the District as a whole will take place at District Municipality' level.

<u>District Municipality</u>	<u>Local Municipality</u>
Department of Water Affairs and Forestry	Health
Department of Transport (Housing and Infrastructure)	Safety and Security
Department of developmental Local Government	Education
Department of Environmental Affairs and tourism	Housing and Infrastructure
Department of Land Affairs	Arts and Culture
Eskom	Public Works
Telkom	Finance
	Social Services and Welfare
	LED

At District Municipality level, alignment with sector departments will be undertaken by the co-ordinating committee. A contact person will be identified for each sector department from the priority issues. The information required will be communicated to the contact person in the sector department and a meeting will be convened to discuss the issue.

At municipal level alignment with sector departments will be undertaken by the Steering Committee.

<u>Phase</u>	<u>Alignment Activity</u>
1	Information on priority issues
2	Joint decision on Localised guidelines
3	Technical inputs to project planner
4	Sectoral programmes Under responsibility of provincial and national sector departments
5	Submission of draft IDP Comments on draft IDP

7. LEGALLY BINDING PLANNING REQUIREMENTS AND OTHER POLICIES

The following relevant binding national and provincial legislation as well as other policies, programmes and strategies will be considered in the IDP process.

▪ The Constitution of the RSA (Act 108 of 1996)	: Protect basic human rights
▪ Municipal Systems Act (Act 32 of 2000)	: Defines integrated development planning as one of the core functions of a municipality
▪ Municipal Structures Act (Act 117 of 1998)	: Provide District Municipalities with a role to support municipalities with IDPs
▪ National Land Transport Bill	: Integrated Transport Plan
▪ Water Services Act (Act 108 of 1997)	: Water Service Development Plan
▪ Development Facilitation Act (Act 67 of 1995) (to be replaced by Land Use Bill)	: Chapter 1 principles
▪ Land Use Bill (30 March 2001)	: Spatial development Framework as part of IDP



<ul style="list-style-type: none"> ▪ National Environment Management Act (Act 107 of 1998) (NEMA) 	: Environmental principles
<ul style="list-style-type: none"> ▪ Environmental Conservation Act (Act 73 of 1989) 	: Environmental Impact on envisaged development
<ul style="list-style-type: none"> ▪ Housing Act (Act 107 of 1997) 	: National Housing Policy
<ul style="list-style-type: none"> ▪ Provision of Land and Assistance Act (Act 126 of 1993) 	: Make available private or state land to poor people
<ul style="list-style-type: none"> ▪ Upgrading of Land Tenure rights (Act 112 of 1991) 	: Upgrading of less secure tenure rights
<ul style="list-style-type: none"> ▪ Extension of Security of Tenure Act (Act 62 of 1997) (ESTA) 	: Tenure rights of people living on land owned by other people
<ul style="list-style-type: none"> ▪ Land Reform (Labour Tenants) (Act 3 of 1996) 	: Securing tenure of labour tenants
<ul style="list-style-type: none"> ▪ Restitution of Land Rights (Act 22 of 1994) 	: Restitution of rights in land to people or communities that were dispossessed of such rights
<ul style="list-style-type: none"> ▪ National Veld and Forest Fire Act (Act 101 of 1998) 	: Prevent and combat veldt fires

POLICIES

- * The Consolidated Municipal Infrastructure Programme ('CMIP')
- * The Policy on 'Managing the Water Quality Effects of Settlements'
- * Agricultural Support Policies: Land Care and the Land Redistribution for Agricultural Developmental Strategy ('LRAD')
- * Rural Development Frameworks and Policies
- * Local Economic Development
- * Integration of Land Reform and Spatial Planning into the Integrated Planning Process

8. BUDGET

The costs for the IDP Process have to be budgeted by the municipality. This budget serves as a basis for applying for financial contributions from the provincial and national



level. It can also help the check whether the planning costs are reasonable in relation to other budget items.

Required outputs

- ✦ A list of expenditure items with unit cost, numbers of units and total cost per expenditure item.
- ✦ Addition of all costs.
- ✦ Crucial budget / expenditure items:
 - Consultant fees
 - Facilitator fees
 - Costs for disseminating information
 - Costs for workshops and meetings
 - Printing costs

PROGRAMME OF ACTIVITIES

Abbreviations

L.M.	-	Local Municipality (Council)
I.S.C.	-	IDP Steering Committee
R.F.	-	Representative Forum
S.P.	-	Service Provider
I.M.	-	IDP Manager (Municipal Manager)
H.O.D.	-	Heads of Departments
D.M.	-	District Municipality
W.C.	-	Ward Councillors
W.Com.	-	Ward Committee



PROCESS PLAN

INTEGRATED DEVELOPMENT PLAN 2001/2002

CONTENTS

	PAGE
1 Introduction	1
2 The Nature and the Content of the Process Plan	2
3 Distribution of Roles and Responsibilities in the IDP Process	3
4 Organisational Structures	6
5 Action Programme	8
6 Mechanisms and Procedures for Public Participation	9
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8 Binding Plans and Planning Requirements at Provincial and National Level	13
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1 INTRODUCTION

The Municipal Systems Act, 2000 (Act 32 of 2000), prescribes certain minimum quality standards for the Integrated Development Plan Process (IDP Process) to ensure proper coordination within and between the spheres of government. The Municipal Systems Act, 2000 (Act 32 of 2000), requires the Kungwini Local Municipality to adopt a *process set out in writing* to guide the planning, drafting, adoption and review of the Integrated Development Plan (IDP) for the Kungwini Local Municipality. The latter document is referred to as the Process Plan and comprises the following:

- λ The compilation of a programme, specifying the time frames for the respective planning actions and activities, required in the IDP Process;
- λ The devising of appropriate mechanisms, processes and procedures for participation by local communities, traditional authorities and other role players in the IDP Process; and
- λ The identification of legislation, policies, programmes, plans and guidelines, drafted on a local, provincial or national government level that may impact on the planning and/or developmental process of the Kungwini Local Municipality.

The contents of the Process Plan are informed by the participation of and consultation with stakeholders. The Process Plan will be effectively communicated to all role players. The Process Plan and the IDP will be submitted to the MEC for Local Government at the end of the IDP Process.

A Process Plan and Framework are required in terms of the Municipal Systems Act, 2000 (Act 32 of 2000). Although the Process Plan and Framework are distinct, they are intricately linked and intertwined. The Process Plan is a management tool for both the Local and District Municipality that will guide the management of the IDP Process on a day-to-day basis. The Framework is a coordination tool for the District Municipality that will ensure interrelated parallel planning processes at district and local level.

This document represents the Process Plan for the IDP for the Kungwini Local Municipality. The Metsweding District Municipality is responsible for the drafting of a Framework.

The Process Plan will fulfil the function of a business plan or an operational plan for the IDP Process and present in a simple and transparent manner what should happen when, by whom, with whom and where.

2 THE NATURE AND CONTENT OF THE PROCESS PLAN

The drafting of an Integrated Development Plan for the Kungwini Local Municipality requires a nine month planning process, comprising various actions, activities and stakeholders. The latter process needs to be properly organised and effectively managed. A Process Plan was drafted to effectively attend to the mentioned requirements. The Process Plan comprises the following:

- λ The roles and responsibilities of the respective role players within the local authority to ensure the appropriate allocation of the internal human resources;
- λ The organisational arrangements and decisions on the membership of teams, committees, forums, and the like;
- λ The proposed programme, comprising the envisaged planning activities, a time frame and the resource requirements for the planning process. The latter is of critical importance to ensure timeous action and to co-ordinate the required interaction between the respective role players, especially between the local and district municipalities;
- λ The mechanisms and procedures for community and stakeholder participation and technical consultation. The latter is of critical importance to ensure that people are timeously informed and resources are timeously allocated;
- λ The mechanisms and procedures for the alignment of the, including other local and district municipalities, as well as other spheres of government. The activities should be agreed upon on a mutually binding basis; and
- λ The distribution of relevant documentation to the stakeholders throughout the course of the planning process, including legislation, plans, strategies and guidelines, originating in the integrated development planning process, the local, provincial and national spheres of government, as well as the corporate service providers.

3 THE DISTRIBUTION OF ROLES AND RESPONSIBILITIES IN THE IDP PROCESS

It is one of the pre-requisites of a smooth and well organised planning process that all role players are fully aware of their own and of other role players' responsibilities.

The following table represents the proposed distribution of roles and responsibilities in the **Kungwini Local Municipality and external role players**:

ACTOR	ROLES AND RESPONSIBILITIES
<p style="text-align: center;">Kungwini Local Municipality's Council</p>	<p>To:</p> <ul style="list-style-type: none"> ● Prepare, decide on and adopt a Process Plan; ● Undertake the overall management and coordination of the planning process which includes ensuring that: <ul style="list-style-type: none"> - all relevant actors are appropriately involved; - appropriate mechanisms and procedures for public consultation and participation are applied; - the planning events are undertaken in accordance with the time schedule; - planning process is related to the real burning issues in the municipality, that it is a strategic and implementation-oriented process; and - the sector planning requirements are satisfied. ● Adopt and approve the IDP; ● Adjust the IDP in accordance with the MEC for Local Government's proposal; and ● Ensure that the annual business plans, budget and land use management decisions are linked to and based on the IDP.
<p style="text-align: center;">Residents, Communities and Stakeholders (Civil Society)</p>	<p>To represent interests and contribute knowledge and ideas in the planning process by:</p> <ul style="list-style-type: none"> ● Participating in the IDP Representative Forum to: <ul style="list-style-type: none"> - inform interest groups, communities and organisations on relevant planning activities and their outcomes; - analyse issues, determine priorities, negotiate and reach consensus; - participate in the designing of project proposals and/or assess them; - discuss and comment on the draft IDP; - ensure that annual business plans and budgets are based on and linked to the IDP; and - monitor performance in implementation of the IDP. ● Conducting meetings or workshops with groups, communities or organisations to prepare for and follow-up on relevant planning activities.
<p style="text-align: center;">District Municipality</p>	<p><i>Coordination role for local municipalities:</i></p> <ul style="list-style-type: none"> ● Ensuring horizontal alignment of the IDPs of the municipalities in the district council area; ● Ensuring vertical alignment between district and local planning; ● Facilitation of vertical alignment of IDPs with other spheres of government and sector departments; and ● Preparation of joint strategy workshops with local municipalities, provincial and national role players and other subject matter specialists

ACTOR	ROLES AND RESPONSIBILITIES
<p>Provincial Government</p> <ul style="list-style-type: none"> ● Local Government Department ● Sector Departments and Corporate Service Providers 	<ul style="list-style-type: none"> ● Ensuring horizontal alignment of the IDPs of the district municipalities within the province; ● Ensuring vertical/sector alignment between provincial sector departments/provincial strategic plans and the IDP process at local/district level by: <ul style="list-style-type: none"> - guiding the provincial sector departments' participation in and their required contribution to the municipal planning process; and - guiding them in assessing draft IDPs and align their sectoral Programmes and budgets with the IDPs. ● Efficient financial management of provincial IDP grants; ● Monitoring the progress of the IDP processes; ● Facilitation of resolution of disputes related to IDP; ● Assist municipalities in the IDP drafting process where required; ● Organise IDP-related training where required; and ● Co-ordinated and manage the MEC's assessment of IDPs. <p>To:</p> <ul style="list-style-type: none"> ● Contribute relevant information on the provincial sector departments' plans, programmes, budgets, objectives, strategies and projects in a concise and accessible manner; ● Contribute sector expertise and technical knowledge to the formulation of municipal strategies and projects; ● Engage in a process of alignment with district municipalities; and ● Participate in the provincial management system of coordination.
<p>Support Providers/ Planning Professionals</p>	<ul style="list-style-type: none"> ● Providing methodological/technical guidance to the IDP process; ● Facilitation of planning workshops; ● Documentation of outcomes of planning activities; ● Special studies and other product related contributions; ● Support to organised and unorganised groups and communities to more effectively engage in and contribute to the planning process; and ● Ensure the IDP is aligned with provincial and national departments' budget.

The following table represents the proposed distribution of roles and responsibilities **within the Kungwini Local Municipality**:

ACTOR	ROLES AND RESPONSIBILITIES
<p>Kungwini Local Municipality's Council</p>	<p>As the ultimate political decision-making body of the municipality, the Council has to:</p> <ul style="list-style-type: none"> ● Consider and adopt a Process Plan; and ● Consider, adopt and approve the IDP.
<p>Executive Committee</p>	<p>As the senior governing body of the municipality, they have to:</p> <ul style="list-style-type: none"> ● Decide on the Process Plan; ● Be responsible for the overall management, coordination and monitoring of the process and drafting of the IDP, or delegate this function to the Municipal Manager; and

ACTOR	ROLES AND RESPONSIBILITIES
<p><i>Ward Councillors</i></p>	<ul style="list-style-type: none"> ● Approve nominated persons to be in charge of the different roles, activities and responsibilities of the process and drafting. <p>Councillors are the major link between the municipal government and the residents. As such, their role is to:</p> <ul style="list-style-type: none"> ● Link the planning process to their constituencies and/or wards; ● Be responsible for organising public consultation and participation; and ● Ensure the annual business plans, and municipal budget are linked to and based on the IDP.
<p><i>Municipal Manager and/or IDP Manager</i></p>	<p>The Municipal Manager or a senior official being charged with the function of an IDP Manager on his/her behalf has to manage and co-ordinate the IDP process. This includes to:</p> <ul style="list-style-type: none"> ● Prepare the Process Plan; ● Undertake the overall management and coordination of the planning process; ● Ensure that all relevant actors are appropriately involved; ● Nominate persons in charge of different roles; ● Be responsible for the day-to-day management of the drafting process; ● Ensure that the planning process is participatory, strategic and implementation oriented and is aligned with and satisfies sector planning requirements; ● Respond to comments on the draft IDP from the public, horizontal alignment and other spheres of government to the satisfaction of the municipal council; ● Ensure proper documentation of the results of the planning of the IDP document; and ● Adjust the IDP in accordance with the MEC for Local Government's proposals. <p>Even if the Municipal Manager delegates some of these functions to an IDP Manager on his/her behalf, he/she is still responsible and accountable.</p>
<p><i>Heads of Departments and Officials</i></p>	<p>As the persons in charge for implementing IDPs, the technical/sectional officers have to be fully involved in the planning process to:</p> <ul style="list-style-type: none"> ● Provide relevant technical, sector and financial information for analysis for determining priority issues; ● Contribute technical expertise in the consideration and finalisation of strategies and identification of projects; ● Provide departmental operational and capital budgetary information; ● Be responsible for the preparation of projects proposals, the integration of projects and sector programmes; and ● Be responsible for preparing amendments to the draft IDP for submission to the municipal council for approval and the MEC for Local Government for alignment.

4 ORGANISATIONAL STRUCTURES

The **principles**, on which the organisational arrangements are based, are as follows:

- Public participation has to be institutionalised to ensure all residents have an equal right to participate; and
- Structured participation must specify who is to participate, on behalf of whom, on which issues, through which organisational mechanism and to what effect.

The following structures and persons are proposed:

- IDP Manager (Municipal Manager) - management and coordination;
- IDP Steering Committee - support IDP Manager;
- IDP Representative Forum - institutionalised representative participation; and
- Project Task Teams - planning and implementation.

IDP Manager

The IDP Manager is the responsible person for championing the Integrated Development Planning process. Also, the IDP Manager is the responsible person for designing the Process Plan.

The following are the **terms of reference** for the IDP Manager:

- Responsible for the preparation of the Process Plan;
- Responsible for the day to day management of the planning process under consideration of time, resources, people, ensuring that:
 - All the different role players, especially officials, are involved;
 - The time frames are being adhered to;
 - The planning process is horizontally and vertically aligned and complies with national and provincial requirements;
 - Conditions for participation are provided; and
 - Outcomes are being documented.
- Chairing of the Steering Committee; and
- Management of consultants.

IDP Steering Committee

The IDP Steering Committee is a technical working team of dedicated Heads of Departments and senior officials who support the IDP Manager and ensure a smooth planning process. Although the IDP Manager is responsible for the process, often functions will be delegated to members of the Steering Committee. Also, relevant portfolio councillors are included in the Steering Committee. The Steering Committee consists of the following persons, as approved via Council Resolution KA214/29-5-2001:

- Chairperson: The Executive Mayor: Mr AO Nkabinde
- Secretariat: Ms A Mogale
- Composition:
 - All Heads of Departments
 - Town Planner
 - Councillor SJ Mabona
 - Councillor RN Stemele
 - Councillor DJ Pretorius

The **terms of reference** for the IDP Steering Committee are as follows:

- Provides terms of reference for the various planning activities;
- Commissions research studies;
- Considers and comments on:
 - Inputs from sub-committee/s, study teams and consultants; and
 - Inputs from provincial sector departments and support providers.
- Processes, summarises and documents outputs;
- Makes content recommendations; and
- Prepares, facilitates and documents meetings.

IDP Representative Forum

The IDP Representative Forum is the structure which institutionalises and guarantees representative participation in the IDP Process. The selection of members to the IDP Representative Forum is based on the following criteria which ensure geographical and social representation:

- λ The Representative Forum should reflect fair representation of all interest groups, for example women, disabled persons, the aged, and the like.
- λ The interest groups should represent the concerns of the Kungwini Community;
- λ The Ward Councillors, as Chairpersons of the Ward Committees, should represent the interests of the respective communities within the ward; and
- λ A mandated member and secundus from each interest group will be allowed to serve as a representative on the Representative Forum.

The **terms of reference** of the IDP Representative Forum are as follows:

- Represent the interests of their constituents in the IDP process;
- Provide an organisational mechanism for discussion, negotiation and decision making between the stakeholders including municipal government;
- Monitor the performance of the planning and implementation process; and
- Participate in the process of setting up and monitoring “key performance indicators” in line with the “Performance Management Manual”.

Proposed composition:

Chaired by:

- The Executive Mayor: Mr OA Nkabinde

Secretariat:

- Selected members of the IDP Steering Committee

Composition:

- Members of the Executive Committee
- Councillors (including Councillors who are members of the District Council and relevant portfolio Councillors)
- Ward Committee Chairpersons
- Heads of Departments/Senior Officials
- Representatives of organised stakeholder groups, including community, business, farming community, service providers, and the like.
- Advocates for unorganised groups
- Resource persons
- Community Representatives

Proposed issues to be considered in the Code of Conduct for the IDP Representative Forum

The code of conduct should regulate issues such as:

- meeting schedule (frequency and attendance);
- agenda, facilitation and documentation of meetings;
- understanding by members of their role as representatives of their constituencies;
- feed back to constituents;
- required majority for approval; and
- resolution of disputes



5 ACTION PROGRAMME WITH TIME FRAME AND RESOURCE REQUIREMENTS

Refer to **Annexure**.

6 MECHANISMS AND PROCEDURES FOR PUBLIC PARTICIPATION

One of the main features of the integrated development planning process is the involvement of community and stakeholder organisations in the process. Participation of affected and interested parties ensures that the IDP addresses the real issues that are experienced by the citizens of the Kungwini Local Municipality.

The following **public participation strategy** is proposed:

- Roles of different role players
 - The Council takes decisions;
 - The Executive Committee makes recommendations to Council;
 - The IDP Manager manages the IDP Process;
 - The Executive Steering Committee ensures that the IDP Process meets the requirements, ensures that an appropriate and acceptable participation and consultation process is conducted, and makes recommendations to the Executive Committee;
 - The Representative Forum represents all stakeholders, provides formalised inputs into the IDP Process, submits recommendations to the Executive Committee, which then submits the item to Council for formal approval; and
 - The Ward Committee Members provides grassroots input into the IDP Process. The Ward Committees represents the communities in the respective geographic areas of the wards and the Chairpersons of the Ward Committees then represent the Wards at the Representative Forum.
- Means of encouraging representation of unorganised groups
 - Information sessions; and
 - Request to organise themselves, formally register as a stakeholder and nominate a representative and secundus to represent the stakeholder group at the Representative Forum.
- Participation mechanisms for different phases
Information meetings, formal meetings, discussions, verbal and written submissions.
- Available resources for participation
 - The Executive Mayor will chair the Steering Committee and Representative Forum Meetings;
 - The Executive Mayor will arrange and conduct Information Meetings;
 - The Councillors will chair the Ward Committee Meetings; and
 - Verbal and written submissions will be co-ordinated by the Steering Committee.
- Frequency of meetings/workshops
 - The Executive Committee and Council will have monthly meetings according to their fixed schedule;
 - The Executive Steering Committee Meetings will be convened twice a month;
 - The Representative Forum Meetings will be convened at predetermined phases of the IDP Process - the anticipated number of meetings is five; and
 - The Ward Committees Meetings will be determined by the input requirements of the Representative Forum Meetings.
- Appropriate venue for the meetings/workshops
Meetings and workshops will be arranged at the most convenient locations. Transport will be arranged, where possible.

- Time frames to allow responses, comments, inputs
Sufficient time will be allowed for responses, comments and inputs. The time frames will be submitted to the Steering Committee for approval and monitoring.
- Appropriate participation tools
Information meetings, small-group discussions, formal meetings, verbal and written submissions.
- Means of information dissemination
 - The Executive Committee and Council Meetings;
 - The Executive Steering Committee Meetings;
 - The Representative Forum Meetings;
 - The Ward Committees Meetings;
 - Information Meetings, conducted by the Executive Mayor;
 - Newspaper articles;
 - IDP newsletters/pamphlets/flyers; and
 - Local radio.
- Means of eliciting and collecting community needs
 - The Executive Committee and Council Meetings;
 - The Executive Steering Committee Meetings;
 - The Representative Forum Meetings;
 - The Ward Committees Meetings;
 - Information Meetings, conducted by the Executive Mayor; and
 - Written and verbal submissions.

7 MECHANISMS AND PROCEDURES FOR ALIGNMENT

Two main types of alignment are required in the IDP Process, namely:

- Between Kungwini Local Municipality and Metsweding District Municipality to ensure that their planning processes and issues are co-ordinated and addressed jointly; and
- Between Kungwini Local Municipality and other government spheres to ensure that the IDP is in line with national and provincial policies and strategies so that it is considered for the allocation of departmental budgets and conditional grants.

The following alignment principles will be pertinent:

- Alignment requirements will be **minimised** to keep the coordination requirements on a manageable level;
- Different alignment mechanisms to suit the different alignment needs at different stages, which implies the following:
 - Keeping the number of alignment **events** (such as workshops/meetings) to a minimum due to financial and time resource requirements; and
 - Using **bilateral communication** as far as possible (writing, telephonic, electronic).
- A **competent facilitator** will be necessary for events with numerous participants from different sectors and spheres. The facilitator will also be responsible for the documentation of the outcome;
- Alignment with provincial Departments via **provincial visits**; and
- The Kungwini Local Municipality will align on bilateral basis with **neighbour** municipalities on issues that affect both.

The following persons will be involved in the alignment process:

Between Kungwini Local Municipality and Metsweding District Municipality

- Metsweding District Municipality's IDP Manager and IDP Steering Committee;
- Kungwini Local Municipality's IDP Manager and IDP Steering Committee; and
- The Plan Practice Consortium.

Between Kungwini Local Municipality and other spheres of government

- Kungwini Local Municipality's IDP Manager;
- Metsweding District Municipality's IDP Manager;
- Gauteng Province IDP Co-ordinator;
- Mpumalanga Province IDP Co-ordinator;
- Provincial and national senior sector department officials;
- Senior officials of relevant service providers (Eskom, Water Boards, Telkom, and the like)



The main responsibility to ensure alignment within the IDP process lies with the Metsweding District Municipality. The Kungwini Local Municipality's IDP Manager will be responsible for the alignment of local issues. The Provincial Department of Local Government will ensure alignment above District level and between districts within a province. The following table proposes the minimum alignment requirements:

PHASE	TIMING (WEEKS)	ALIGNMENT ACTIVITY	LM/DM	LOCAL GOVERNMENT/ OTHER SPHERES
1	7 th	Information of priority issues to Metsweding District Municipality	X	
2	14 th	Joint decision on localised guidelines	X	X
	15 th – 18 th	District-level strategy workshop	X	X
3	23 rd – 27 th	Technical inputs to project planning		X
4	28 th – 30 th	Sector programmes under responsibility of provincial/national sector departments		X
5	End 33 rd	Submission of draft IDP	X	X
	34 th – 36 th	Comment on draft IDP	X	X
	36 th – 37 th	Compiling District-level summary of local IDPs	X	X

8 BINDING PLANS AND PLANNING REQUIREMENTS AT PROVINCIAL AND NATIONAL LEVEL

A joint District list of national and provincial binding legislation including the category of requirement is as follows:

CATEGORY OF REQUIREMENT	SECTOR REQUIREMENT
<p>For a municipal level plan</p>	<ul style="list-style-type: none"> • Water Services Development Plan; • Integrated Transport Plan; • Integrated Waste Management Plan; and • Land Development Objectives to be replaced by spatial planning as a requirement to be incorporated as a component in the IDP.
<p>For sector planning to be incorporated as a component in the IDP</p>	<ul style="list-style-type: none"> • Housing strategies and targets; • Local Economic Development Strategies; • Integrated infrastructure planning; • Integrated energy planning; and • Spatial framework.
<p>For compliance with normative frameworks</p>	<ul style="list-style-type: none"> • National Environmental Management Act principles; • Development Facilitation Act Principles; • Environmental Implementation Plans; and • Environmental Management Plans.
<p>For value adding contribution</p>	<ul style="list-style-type: none"> • Local Agenda 21



9 COST ESTIMATE FOR THE PLANNING PROCESS

The cost estimate for the full IDP Process is R390 000-00 (VAT excluded). The funding is provided by USAID.