

**ISSUES OF DEVELOPMENTAL STATES: INTEGRATED DEVELOPMENT PLANS  
AND CAPACITY IN THE AMATHOLE DISTRICT MUNICIPALITY OF SOUTH  
AFRICA**

By

**VUYOKAZI BULELWA NGQEBE**

04384377

Submitted in fulfilment of the requirements for the degree

**MPhil in Public Policy**

In the

**School of Public Management and Administration  
FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES**

at the

**UNIVERSITY OF PRETORIA**

Study Leader:

**Prof. J. O. KUYE**

Date of Submission:

**APRIL 2017**



**Declaration Regarding Plagiarism**

The School of Public Management and Administration emphasises integrity and ethical behaviour with regard to the preparation of all written proposals. Although the lecturer will provide you with information regarding reference techniques, as well as ways to avoid plagiarism, you also have a responsibility to fulfil in this regard. Should you at any time feel unsure about the requirements, you must consult the lecturer concerned before submitting an assignment.

You are guilty of plagiarism when you extract information from a book, article, web page or any other information source without acknowledging the source and pretend that it is your own work. This doesn't only apply to cases where you quote verbatim, but also when you present someone else's work in a somewhat amended (paraphrased) format or when you use someone else's arguments or ideas without the necessary acknowledgement. You are also guilty of plagiarism if you copy and paste information directly from an electronic source (e.g., a web site, e-mail message, electronic journal article, or CD ROM), even if you acknowledge the source.

You are not allowed to submit another student's previous work as your own. You are furthermore not allowed to let anyone copy or use your work with the intention of presenting it as his/her own.

Students who are guilty of plagiarism will forfeit all credits for the work concerned. In addition, the matter will be referred to the Committee for Discipline (Students) for a ruling. Plagiarism is considered a serious violation of the University's regulations and may lead to your suspension from the University. The University's policy regarding plagiarism is available on the Internet at <http://upetd.up.ac.za/authors/create/plagiarism/students.htm>.

For the period that you are a student at the School of Public Management and Administration, the following declaration must accompany all written work that is submitted for evaluation. No written work will be accepted unless the declaration has been completed and is included in the particular proposal.

I (full names & surname):	VUYOKAZI BULELWA NGQEBE
Student number:	04384377

**Declare the following:**

1. I understand what plagiarism entails and am aware of the University's policy in this regard.
2. I declare that this proposal is my own, original work. Where someone else's work was used (whether from a printed source, the Internet or any other source) due acknowledgement was given and reference was made according to departmental requirements.
3. I did not copy and paste any information directly from an electronic source (e.g., a web page, electronic journal article or CD ROM) into this document.
4. I did not make use of another student's previous work and submitted it as my own.
5. I did not allow and will not allow anyone to copy my work with the intention of presenting it as his/her own work.

MS V.B NGQEBE  
Signature

APRIL 2017  
Date

## DEDICATION

I dedicate this dissertation to my late grandfather, Mr Mlamli Arthur Ngqebe who not only had high hopes for me but valued education highly.

## ACKNOWLEDGEMENTS

Many people have walked alongside me over the last four years and I would like to thank each of them. This journey would not have been possible without their prayers, words of encouragement, emotional support and occasional practical support. First and foremost, praise and honour to God for blessing me. I stand in awe of all the blessings in my life and I am eternally grateful.

I extend sincere gratitude to my parents Busisiwe and Mbulelo Ngqebe for all the sacrifices they made to ensure that they gave my sister and I the best possible support from the outset. I thank you for believing in me and encouraging me to work towards my dreams. I have had the most amazing support structure in you and words cannot express my gratitude.

My thanks and appreciation to the IDP Unit at Amathole District Municipality for the research assistance as well as the University of Pretoria for providing me with financial support. I would especially like to thank Professor Jerry Kuye, my supervisor, for encouraging me to believe in my ability and instil confidence. Thank you Professor for not only assuming the role of an academic mentor but also encouraging me to dream 'big' and pursue my career objectives enthusiastically.

A special thanks to all my friends for their moral support throughout this journey. I am unable to list the names of each but rest assured that I did not miss any of your efforts to keep me motivated over the last few years. I sincerely appreciate your prayers, guidance and understanding when I was unable to be with you.

## TABLE OF CONTENTS

<b>DEDICATION</b> .....	iii
<b>ACKNOWLEDGEMENTS</b> .....	iv
<b>Table of content</b> .....	v
<b>Table of figures</b> .....	viii
<b>List of tables</b> .....	ix
<b>Table of figures</b> .....	x
<b>List of acronyms &amp; abbreviations</b> .....	xii
<b>ABSTRACT</b> .....	xii
<b>1. CHAPTER ONE: INTRODUCTION AND RESEARCH METHODOLOGY</b>	
1.1 Introduction .....	1
1.2 Motivation for the research .....	2
1.3 Significance of the research .....	4
1.4 Research Methodology .....	5
1.4.1 Data Collecting techniques .....	6
1.5 Literature review .....	8
1.6 Limitations of the study .....	9
1.7 Research objectives .....	11
1.8 Problem Statement .....	12
1.9 Clarification of concepts and terms.....	14
1.10 Delineation of research study .....	20
1.11 Conclusion.....	21
<b>2. CHAPTER TWO: DEVELOPMENTAL STATE</b>	
2.1 Introduction .....	22
2.2 Origins of the developmental state .....	22
2.3 South Africa as a developmental state .....	30
2.4 Post 1994: Governments effort to change .....	31
2.5 Developmental local government.....	42
2.6 Intergovernmental Relations .....	44

2.7 Conclusion .....	50
<b>3. CHAPTER THREE: LITERATURE REVIEW: DEVELOPMENT-ORIENTED POLICY APPROACHES AND POLICY IMPLEMENTATION</b>	
3.1 Introduction .....	51
3.2 Path to the formulation and implementation of development-oriented policies in South Africa .....	52
3.3 International instruments supporting South Africa's quest for development .....	53
3.4 Regional instruments supporting South Africa's efforts for a developmental state .....	57
3.5 National instruments supporting South Africa's efforts for a developmental state .....	58
3.6 Public Participation as a variable affecting policy implementation .....	69
3.7 Political –administrative interface as a variable affecting policy implementation	76
3.85-C Protocol of Policy Implementation.....	84
3.9 Monitoring & Evaluation.....	90
3.10 Conclusion.....	91
<b>4. CHAPTER FOUR: CASE STUDY: AMATHOLE DISTRICT MUNICIPALITY</b>	
4.1 Introduction .....	93
4.2 Situational Analysis.....	93
4.2.1 Region analysis.....	94
4.2.2 Demographic overview.....	95
4.2.3 Gender composition: Amathole District Municipality .....	98
4.2.4 Human Development Index: Amathole District Municipality .....	98
4.2.5 Poverty and Inequality: Amathole District Municipality .....	100
4.2.6 Economic overview: Amathole District Municipality .....	102
4.2.7 Infrastructural overview: Amathole District Municipality .....	105
4.2.8 Skills and capacity analysis: Amathole District Municipality .....	108
4.2.9 Organisational context: Capacity Analysis: Amathole District Municipality .....	109
4.3 Conclusion .....	112

## **5. CHAPTER FIVE: DATA ANALYSIS AND FINDINGS: AMATHOLE DISTRICT MUNICIPALITY**

5.1 Introduction and research approach .....	113
5.2 Presentation of data analysis and findings .....	114
5.3 Analysis of the data received from interviews conducted at Amathole District Municipality .....	115
5.3.2 Analysis of questionnaire results received from Amathole District Municipality .....	128
5.3.3 Questionnaire conclusion.....	130
5.4 Variables influencing policy implementation: Analysis of the Amathole District Municipality's Integrated Development Plan .....	131
5.4.1 Appropriateness of content: Integrated Development Plan and its implementation .....	131
5.4.2 Role of institutional context influencing the implementation of the Integrated Development Plan .....	134
5.4.3 Commitment of relevant actors to implement policy.....	137
5.4.4 Capacity at Amathole District Municipality to implement policy.....	139
5.4.5 Role of policy clients and coalitions in implementing policy .....	142
5.4.6 Significance of communication as an adequate circumstance for effective policy implementation .....	143
5.5 Conclusion .....	144
<b>6. CHAPTER SIX: RECOMMENDATIONS AND CONCLUSION</b>	
6.1 Introduction .....	146
6.2 Summary of previous chapters .....	147
6.3 Findings and recommendations.....	150
6.4 Potential areas for further research .....	158
6.5 Conclusion .....	159
<b>7. List of references .....</b>	<b>162</b>
<b>8. Annexures .....</b>	<b>182</b>

## LIST OF FIGURES

<b>Figure 4.1:</b> Eastern Cape District Council .....	96
<b>Figure 4.2:</b> Amathole District Municipality.....	96
<b>Figure 4.3:</b> Population group in Amathole Districts.....	97
<b>Figure 4.4:</b> Gender representation of Amathole District Municipality.....	98
<b>Figure 4.5:</b> Human Development Index.....	99
<b>Figure 4.6:</b> Economically active population of Amathole District Municipality.....	104
<b>Figure 4.7:</b> Access to water supply.....	106
<b>Figure 4.8:</b> Access to sanitation facilities & refuse removal services.....	107
<b>Figure 4.9:</b> Access to housing & electricity in Amathole District Municipality.....	108

## LIST OF TABLES

<b>Table 4.1:</b> Demographic overview.....	95
<b>Table 4.2:</b> Population in Amathole District Municipality.....	101
<b>Table 4.3:</b> Poverty levels in South Africa, Eastern Cape Province & Amathole District Municipality .....	101
<b>Table 4.4:</b> Access to water supply.....	106



## ACRONYMS AND ABBREVIATIONS

<b>ADM</b>	Amathole District Municipality
<b>ANC</b>	African National Congress
<b>ASPIRE</b>	Amathole Economic Development Agency
<b>ASGISA</b>	Accelerated and Shared Growth Initiative for South Africa
<b>BRICS</b>	Brazil Russia India China and South Africa
<b>CBO</b>	Community –based organisations
<b>COGTA</b>	Department of Cooperative Governance & Traditional Affairs
<b>COMESA</b>	Common Market for Eastern & Southern Africa
<b>CSO</b>	Civil Society organisations
<b>DA</b>	Democratic Alliance
<b>DPSA</b>	Department of Public Service & Administration
<b>GEAR</b>	Growth, Employment & Redistribution
<b>IDP</b>	Integrated Development Plan
<b>JIPSA</b>	Joint Initiative on Priority Skills Acquisition
<b>LED</b>	Local Economic Development
<b>MDG</b>	Millennium Development Goals
<b>MTSF</b>	Medium Term Strategic Framework
<b>NCBF</b>	National Capacity Building Framework
<b>NDP</b>	National Development Plan
<b>NGO</b>	Non- governmental organisations
<b>NPC</b>	National Planning Commission
<b>OECD</b>	Organisation for Economic Development and Cooperation
<b>PERSAL</b>	Personnel & Salary system
<b>RDP</b>	Reconstruction & Development Programme
<b>SADC</b>	Southern African Development Community

**SALGA** South African Local Government Association

**UN** United Nations

**WPLG** White Paper on Local Government

## ABSTRACT

The successes of the East Asian Tigers in constructing developmental states have become a prototype for developing countries in building their own models for social and economic development. This research study investigates the challenges that face developing countries such as South Africa in creating their own developmental state. The 2011 National Development Plan set out the intention to transform South Africa into a capable and developmental state that can intervene to correct historical inequities. For this reason the local sphere of government plays a significant role in enhancing social and economic development in South Africa. This research study pays particular attention to the Amathole District Municipality. It is impossible to discuss the notion of a developmental state and state intervention without analysing the policies that the post-apartheid government introduced in South Africa since the dawn of the democratic dispensation in 1994. The research will study the RDP, GEAR, ASGISA and JIPSA macro-economic policies that were introduced after 1994 to redress inequalities and promote socio-economic development in South Africa. In spite of the achievements in improving the lives of South African communities by providing greater access to water and sanitation, housing and public health care to a larger number of citizens from various backgrounds, South African municipalities are faced with ever-increasing backlogs and a dissatisfied citizenry that have turned to municipal protests to raise their concerns.

Given the structure of the South African economy, harsh poverty and inequalities that have plagued South African communities for decades, it is of significance to assess the challenges that local government faces in implementing policy that will successfully progress socio-economic development and make the developmental state vision feasible in South Africa. This research study concentrates on the varying capacity challenges in previously marginalised South African municipalities that often hinder efficient implementation of policy such as the Integrated Development Plan (IDP). The National Capacity Building Framework for Local Government is utilised in this research study to assess whether the Amathole District Municipality is capable of implementing the IDP that will realise a developmental state in South Africa. The purpose of this study is to analyse the capacity that the Amathole District Municipality has to implement sound Integrated

Development Plans and identify the obstacles that affect its ability to implement policy with a view to providing recommendations that will assist the municipality and other South African municipalities improve policy implementation. The 5-C Policy Implementation Protocol Model will be utilised in the research study.

## CHAPTER ONE: INTRODUCTION AND RESEARCH METHODOLOGY

### 1. Introduction

The notion of a developmental state in South Africa has received much attention following the ANC Polokwane Conference in 2007 and has become a matter of great concern for all civil servants in the three spheres of government. The key feature of the 2013 State of the Nation Address delivered by President Jacob Zuma was the National Development Plan tabled by the National Planning Commission which places the pursuit of a South African developmental state high on the agenda for the South African government. Since the advent of democracy in South Africa, the government committed itself to formulating policies that would transform local government. The *Municipal Systems Act, 2000* (Act 32 of 2000) and the *Municipal Finance Management Act, 2003* empowered all municipalities to embark on a developmental agenda guided by the Integrated Development Plan (IDP). The IDP, which serves as a local government's planning tool was established to redress the inequalities of the past, ensure inclusion of its citizens in the country's policy and decision-making processes, and prevent service-delivery backlogs including the high unemployment rate. The service delivery protests that have swept through the municipalities across the country since 2004 have increased exponentially. These incidents confirm that communities have grown tired and impatient as a result of the inability of municipalities to deliver services and achieve their developmental mandate. This research study is based on the service delivery challenges experienced by communities. Furthermore, this study approaches the concept of a developmental state from a local government perspective and in particular the role it plays through Integrated Development Planning, Local Economic Development (LED) including how community participation in the IDP process affects its effectivity and ability to deliver on its constitutional objectives. The Amathole District Municipality will be used as a reference.

In an increasingly globalising world, it is of significance that South Africa positions itself as a destination of choice for foreign direct investment and maintain the key aspect of its foreign policy by assuming the role of peacemaker and negotiator in Africa (Landsberg & Kondlo 2007:1). According to the 2012 Emerging markets opportunity index, South Africa has maintained its position as the highest ranked African economy although it remains a polarised nation because of its unemployment rate and persistent socio-economic

challenges. The violent protests and massacre that took place during the 2012 mining sector strikes in Marikana has tainted the image of South Africa and caused much harm to the mining sector which has a significant role to play in boosting South Africa's economic growth rate and creating employment. This has brought about deep pessimism amongst economists about the long-term impact of the Marikana strikes (<http://www.gti.org>).

## 1.2 Motivation for the research

The 1995 White Paper on Transformation of the Public Service had a vision to continually improve the lives of the people of South Africa through a transformed public service which would be representative, coherent, transparent, efficient, effective, accountable and responsive to the needs of all. By virtue of seeking to reverse the apartheid and colonial legacy, the South African state realised the significance of being democratic, developmental and transformative.

Developmental local government was defined by the White Paper on Local Government (RSA:1998) as , "Local government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives". Furthermore, the *Municipal Systems Act, 2000* proposed that developmental local government would be realised by municipalities through the development and implementation of IDPs. It can be inferred from this definition that community participation is an integral part of the IDP process, especially with regard to the changing role of local government since 1994. Municipalities are provided a role to ensure an improved standard of living as well as social, material and economic needs of its citizens are met. LED and IDP structures, mechanisms and processes thus help guarantee municipalities to meet the needs of its citizens effectively and efficiently.

The South African IDP exhibits 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" by aligning resources round selected development directions of the municipality, promote local economic development, municipal budgets, land management as well as ensure both horizontal integration between sectors within local government and vertical integration with other sectors of government in a

consultative, systematic and strategic manner. Consequently, IDPs not only informs the municipal management but supposedly guides the activities of any agency from the other spheres of government, corporate service providers, NGOs and the private sector within the municipal area (Hughes 2009:18).

South Africa can be considered to have made the most progress with its efforts to promote co-operative government because it is the only state that guarantees cooperative government in its constitution and is one of limited SADC countries that has succeeded in promoting the devolution of authority to the spheres of provincial and local government. South Africa's system of intergovernmental relations needs to be researched and analysed to continually identify areas that need improvement and deliver the needs of its citizenry (Thornhill & van Dijk 2002:210).

The South African public service plays a crucial role in advancing the ideals of developmental states as the custodian of public service norms and standards as well as being an effective and efficient state administration committed to clearly outline and systematically implement development plans and programmes that consciously seek to address poverty and underdevelopment in Africa. As a consequence, it is important that enquiries are made about the plans, programmes and policies that the state adopts are consistent with the realisation of developmental goals (Maphunye 2008:1).

Local government has a significant and unique role to play in South Africa because it is at the grassroots level and closest to the local communities. As South Africa prepares to enter its third decade of freedom, it would be crucial for government to concentrate on transforming the local government system which was affected by the discriminatory and oppressive apartheid legacy and ensure that the sphere improves its community-participation initiatives to be more responsive to its communities and fulfil its developmental mandate.

A number of studies have been conducted on the role of the state and development or the lack thereof, particularly in Africa. However, limited academic discourse exists on the role

of the public service, its institutions and policies in creating optimum conditions for the implementation of development plans and legislation to enhance service delivery and assist the South African government deliver a developmental agenda in a developmental state. Consequently, it is imperative to explore the challenges which prevent the effective implementation and outcomes of the IDP policy as an agent of developmental strategy, directing social and economic development and addressing underdevelopment in municipalities.

This research study will endeavour to identify challenges at the local sphere of government as well as help address areas that require prioritisation to achieve a South African developmental state.

### **1.3 Significance of the research**

This research study will contribute towards the discipline, Public Administration and the sub-discipline Intergovernmental Relations. It will analyse, explain and enhance an understanding of the link between development planning and its role in promoting sustainable service delivery and the vision of a democratic developmental state in South Africa. It will also expound upon how community participation and institutional capacity challenges in local government can have an impact on the effectivity of the IDP in the Amathole District Municipality

Since Intergovernmental Relations in South Africa is relatively new, limited literature is available especially with regard to placing local government as a key ingredient in advancing its progress as a developmental state. Numerous papers have been written on developmental states in Africa, however, the notion of such a state is seldom approached from the Public Administration discipline or considered because local government capacity is the key actor in the intervention of the economic and social issues of South Africa. This research study will endeavour to fill a huge gap in the fields of Intergovernmental Relations, Public Policy and Public Administration as a whole.



South Africa is viewed as one of Africa's powerful nations because of its prominent role in the African Union, Nepad and SADC initiatives and is looked on as a leader. Several African countries take lessons from South Africa. The significance of this research does not only lie in the fact that it will benefit district and local municipalities only in South Africa but it will also serve as a guide to all other African countries characterised by underdevelopment and those that seek to transform into the global vision of democratic developmental states.

#### **1.4 Research methodology**

According to Wessels (2010:2), a number of practitioners have often considered research conducted by Public Administration scholars as useless, irrelevant or not related to the issues which are central and directly relevant to the policy debate despite their research topics being closely related to the governments needs for knowledge generated by the discipline. Furthermore, Wessels also revealed that research published in South Africa may be irrelevant due to the adopted research methods which are not applicable to the selected research topics. Therefore, it is crucial that the correct research methodology is followed because it is through the application thereof that relevant data and evidence can be gathered in order to address the research problem and research question to this study efficiently.

Wessels, Pauw and Thani (2009:14-16) identify ten possible categories for research methods in Public Administration which serve as a refinement of the two types of methodological approaches in social science research namely: quantitative and qualitative. These categories comprise of: quantitative 1 based on surveys; quantitative 2 based on secondary data analysis while qualitative 1 based on participant observation; qualitative 2 based on policy analysis and programme evaluation, participatory action research, historical and narrative studies, conceptual analysis, hermeneutics, comparison and content analysis. However, it is important to note that these variable "research methods" are part of a wide range of alternative variables or approaches for understanding social science or criteria for assessing the quality of Public Administration research as an answer to the difficult problems within the discipline.

For the purpose of this study, the qualitative methodologies were adopted because an extensive literature study was conducted. The methodologies and applicability of the qualitative approach was utilised because by definition it is descriptive in nature. Qualitative research is also about developing a detailed understanding of individuals' views, attitudes and behaviour which is effective in conducting analysis to conceptualise the role of public participation in enhancing the effectivity of IDPs. Therefore, an assessment of and elucidation of the role of IDP intergovernmental relations policies to assist local government deliver on its developmental mandate and achieve the South African vision of a developmental state will be conducted. The study will also provide a detailed description of the link between the policies of IDP and public participation. Moreover, identify how they can contribute to redress inequalities and poverty, enhance democratic practices through public participation and create a conducive environment to achieve the developmental agenda in South Africa. A qualitative approach will explain, describe and interpret the circumstances which result in underdevelopment in South African local sphere of government which impedes the establishment of a democratic developmental state and deliver services to its citizenry. Since the research study is exploratory in nature, the qualitative approach provided the researcher the opportunity to cross-reference evidence and opinions provided by both primary and secondary sources. Consequently, contradictions and disagreement can be addressed.

Certain elements of the study adopted the quantitative method. In order to track and evaluate the progress made by South Africa in becoming a democratic developmental state, the study will provide numerical data provided by the Human Development Index, Stats SA Quarterly Reports including indicators of underdevelopment, poverty, literacy and employment in South Africa.

#### **1.4.1 Data collecting techniques**

Terre Blanche, Durrheim and Painter (2006:286) highlight that the term 'data' in collecting data in qualitative research is not universally popular for the following reasons: Data represents bits of discrete information that can be extracted from their context and analysed as numbers, whereas qualitative researchers generally work with specifically related material to its context and would lose its meaning if broken into discrete bits. It is

also of significance that qualitative research be viewed as a process rather than as a set of distinct procedures because researchers may reformulate their research question as a result of new material they have collected or change their sampling strategy in response to new findings.

On the matter of data collecting techniques, Kumar (2005:3) asserts that “anything that becomes a means of collecting information for your study is called a research tool or a research instrument”. Qualitative researchers seek to make sense of experiences, social situations or phenomena as they occur in the real world, therefore, want to study these in their natural setting. This is of relevance for the interpretive approach utilised by certain qualitative researchers. Social constructionist qualitative researchers also value data collected in context and with minimal disturbance to the natural setting but are sceptical of claims that certain kinds of data is more authentic than others. Thus, interpretive research might privilege first-hand accounts of actual experience (primary data) while social constructionist research would utilise such sources as well as “inauthentic “second-hand accounts of actual experience” (Secondary data) (Terre Blanche, Durrheim & Painter 2006:287-288).

Of the categories identified by Wessels, Pauw and Thani (2009:14-16), the most applicable method that the study proposes to use is the qualitative 2 which is based on policy analysis and programme evaluation, comparison and content analysis as well as qualitative 2 based on participant observation and case studies. These methods will be discussed below.

**Participant Observation:** Most observational studies take the form of participant observation, often used by anthropologists to study certain cultures. They also vary in terms of how structured the observation is, the degree of participation involved and whether the study relies entirely on observation or is supplemented with other data sources such as formal interviews or documentary material.

Comparison: Comparative studies focus on the similarities and differences between groups of units of analysis such as individual institutions, countries, public services and individuals.

Content analysis: These studies analyse the content of documents (such as policy documents, annual reports and legislation) for any meanings, pictures, symbols, themes or messages that can be communicated.

Case studies: These studies are a process of research in which detailed consideration is given to the development of a particular matter over time.

Policy analysis: These studies determine which of the various alternative policies will most achieve a given set of goals in light of the relations between the policies and the goals.

Programme evaluation: is defined as efficiency, effectivity and accountability of a department, programme or agency. These studies are systematic measures and comparisons which provide specific information on programme results to senior officials for use in policy or management decisions.

## **1.5 Literature review**

In order to identify gaps in research that would be beneficial for Intergovernmental Relations and the IDP policy, it is essential to briefly review the existing literature. Literature on IDP is limited because the process only began in 2001. However, the primary research objectives on the developmental state, institutional capacity and community participation have been well researched and documented.

Numerous definitions are utilised to describe a developmental state. There is an assumption that there is no one-size-fits all definition or approach towards conceptualising a developmental state. Maphunye (2008:6) explains that each of these approaches could take a policy directional, public administration approach, an ideological approach,

development studies approach, political science approach or economics approach due to the nature of the developmental states being a part of several different fields of study. For the purpose of this research study, literature on a developmental state from a public policy and administration approach including the sub-disciplines of intergovernmental and development planning was utilised.

A review of the literature involves an analysis of primary data such as legislation, for example: Constitution of the Republic of South Africa (Act 108 of 1996), White Paper on Local Government and all other relevant legislation pertaining to local government. Literature with regard to institutional capacity within the context of IDP and local government is limited, however, Amathole District Municipality's IDP, budget documents and other relevant documents were utilised as primary data. Literature on organisations human resource capacity needs is also used to identify institutional capacity gaps within the Amathole District Municipality. This research, therefore, fills a vital gap in specifically considering the institutional capacity requirements to effectively implement the local government IDP processes.

Community participation in various other fields has been well researched although literature on the IDP process is still limited. This research study will thus play a major role in advancing studies on community participation at the local government sphere. Secondary data was collected carefully and scrutinised closely to ensure that the data is suitable for this research study.

### **1.6 Limitations of the study**

Although the research study will encapsulate the theoretical underpinnings of the developmental state, local government and the IDP policy, the research will delimit the focus on the Amathole District Municipality. The following aspects will be expounded upon: the challenges of institutional capacity to initiate development, the municipality's IDP and structures for community participation and its input to improve the lives of the communities in that jurisdiction. A large number of municipalities across South Africa are facing comparable obstacles considering the widespread service delivery protests that have

occurred in recent years. However, for the purpose of this research, the Amathole District Municipality will be utilised as the case study.

Furthermore, it is not possible to discuss the concept of a developmental state without discussing its origin in the East Asian model. The term developmental state generally refers to the East Asian nations model, pursued after World War II to rapidly modernise their economies in one of the greatest industrialisation transformations of the modern era (Gumede 2009:4). However, this study will only highlight the significance institutional capacity played in rapidly modernising the industrial economy of the East Asian economies, including the feasibility of a South African developmental state.

The study considered that the constitutional framework comprises three spheres of government, with specific and concurrent powers within a cooperative governance arrangement. The research study will, therefore, focus on intergovernmental relations and its policy response to IDP within the local sphere of government.

The researcher faced multiple challenges when conducting this research which affected the outcome to an extent. Conducting the research took much longer than anticipated. Initially, it was intended to select senior officials from the IDP Unit, Performance Management and Human Resource Development Units as respondents for open-ended interviews to acquire an unbiased perspective of their experiences at the municipality as well as areas for improvement. However, due to time constraints the researcher decided to limit the interviews to respondents in the IDP Unit since it was the most relevant to the study. A further challenge was the availability of the respondents from the IDP Unit for interviews and complete the questionnaires. The IDP Unit at Amathole District Municipality has three officials, two of whom are managers. The researcher decided to conduct an interview with a manager from the IDP Unit who was available on the dates convenient for both (official and researcher) who had adequate skills and experience to share valuable insight towards the study. Despite interviewing one official, the researcher held that the study managed to assess the policy implementation challenges experienced at the municipality.

The lack of adequate communication between the researcher and the municipality resulted in difficulty acquiring permission from the Amathole District Municipality to conduct the interviews. The time it took to finally acquire permission to conduct interviews, resulted in certain data collected prior to conducting the interviews was irrelevant/inaccurate at the time of conducting interviews because of the developments that had taken place in local government during that period. This required the researcher to revisit the chapters and revise the interview questions to ensure these were appropriate and beneficial for the study.

### **1.7 Research objectives**

According to Fouche (2002:109), the research objectives must be exploratory, descriptive, explanatory, correlating or evaluative in nature. The aim of this research is to evaluate the Amathole District Municipality's Integrated Development Plans in relation to its institutional capacity, local economic development and community participation. Based hereon, the objectives of this research study are:

- Identify the essential ingredients for a successful developmental state and lessons South Africa can take from the East Asian economies to enhance its capacity to improve and implement policies successfully.
- To analyse the institutional capacity challenges faced by the Amathole District Municipality and identify the implications they may have on implementing Integrated Development Plans and the developmental mandate of local government.
- To identify the strategies and consultation structures used in the development of IDP processes and assess the impact of community participation in the IDP process.
- To assess factors which impact on the conceptualisation of LED at a local government level and provide suggestions to improve LED initiatives that local government can implement.

## 1.8 Problem statement

The service delivery protests that have taken place across the country confirm that there are a number of areas local government has failed to deliver and need to improve to achieve an efficient and developmental local government. The public sector has been compromised and weakened as a result of high levels of corruption, critical lack of skills, a poor work ethos and generally, poor performing public institutions. The impatient citizenry has now decided to voice their grievances through violent protests because formal processes meant for effective dialogue and engagements has been fruitless (<http://www.ngopulse.org>).

The Constitution of South Africa, 1996 stipulates: local government provides democratic and accountable services to the local communities; ensures sustainable provision of services to its communities; promote social and economic development; promote a safe and healthy environment and encourage local communities to actively participate in the matters of local government. The municipality's Integrated Development Plans should be one of the key tools through which local government can ensure that these objectives are achieved. In spite hereof, the municipal IDPs often fail to achieve these objectives as a result of various challenges that may arise.

This research study will analyse the policy challenges faced by developmental local government in South Africa, with specific reference to the Amathole District Municipality.

- The municipality's institutional capacity challenges pose a threat to the effective implementation of IDPs and the realisation of the local government developmental mandate.
- It is important that IDPs are implemented properly to ensure a municipality's social and economic development and the lives of its community member's. Participation in all IDP processes by public stakeholders and ordinary citizens from the communities is thus a vital aspect to ensure that the municipality delivers on its IDP. The role of community participation will need to be assessed.



- Local Economic Development plays a significant role in municipalities because it is through its initiatives that the community can gain skills and have the opportunity to uplift themselves and contribute to economic development. Consequently, it is imperative that the implementation systems, initiatives and strategic approaches to LED are developed in such that they are effective and beneficial.

The number of service delivery protests that have taken place within the country is an indication that there are areas in the South African public service which has failed and require urgent attention to help achieve an efficient and capable developmental public service. The intergovernmental relations policy challenges that pose a problem include: there is always instability due to frequent amendments to policy and changes in leadership which impedes the implementation of policies before being amended; and public officials who should oversee the implementation of policies are also subverted due to the constant change (DPSA 2012:27).

Despite the strengths of the clustering system and cooperative governance approaches, there are problems with the fragmentation of responsibilities because national departments still tend to operate in isolation. Another challenge is that the powers of provincial governments to regulate and monitor municipalities intersect between provincial and local powers which result in the lack of clarity of the division of responsibilities and results in unfunded mandates.

Another intergovernmental relations challenge includes the powers of national and provincial government to intervene in provincial and local government where necessary without challenging their long term capacity and autonomy. Intergovernmental relations is meant to involve a process of integration, communication and coordination amongst all the key parties as well as those responsible for policy-making and the delivery of services (Joseph et al. 2008:1). However, such challenges defeats the purpose of intergovernmental relations.

## **1.9 Clarification of concepts and terms**

The following section focuses on the terms and concepts that are utilised in the study and defined according to their usage in the context. This is important to not only avoid ambiguity but to help bring about an understanding of the relevance of the research study in Public Administration.

### **1.9.1 Public Administration and public administration**

Various definitions of Public Administration exist, however, according to Prof. Woodrow Wilson, the pioneer of the social science; Public Administration is a detailed and systematic application of law. Wilson further describes administration as “the most obvious part of government, it is the executive, the operative, the most visible side of government and is as old as government itself”, “the activity of the state in individual and small things” (Wilson 1987:10-13).

Like most concepts and terms in the social sciences, Public Administration and public administration are difficult to define. Bates et al. (1992:257) defines Public Administration as a university subject or academic discipline in which the operation of public administration (the sphere of activity) is studied. He further argues that Public Administration as a scientific discipline is primarily concerned with the implementation of government policy. Cloete (1986:35) classifies public administration as a sphere of activity which includes a collection of distinguishable activities known as the six generic functions of policy and policy-making, organising, financing, staffing, procedures and control.

The proposed research study was conducted within Public Administration as a scientific discipline and endeavoured to address the existing gap in the body of knowledge on the relatively new field of intergovernmental relations through an analysis of the role played by integrated development plans and local economic development policies to address underdevelopment, implement economic development initiatives and ultimately improve public service delivery.

### **1.9.2 Public Service**

This term is used primarily to describe the civil component of a state management and public administrative apparatus known as “the bureaucracy”. According to the Department of Public Service and Administration, the South African government has institutions at the national, provincial and local level to render services to citizens. These institutions include constitutional institutions (statutory bodies) and provincial public entities and their aim is to provide services to citizens either directly through the public sector or by financing private provision services (Public Service Act of 1994).

The concept of public administration is directly linked to the concept of public service because when public servants in government institutions carry out their activities or perform their duties, it is called public administration. Section 197 of the Constitution of the republic of South Africa describes the South African public service as belonging to the republic and must function and be structured in terms of national legislation, and must also loyally execute the lawful policies of the government of the day (Constitution of the Republic of South Africa, 1996).

### **1.9.3 Integrated Development Plan**

Section 25 and 35 of the Local Government: Municipal Systems Act 32 of 2000 defines this term as the municipality’s principal strategic planning document. This is one of the most important documents prepared by a municipality because it affects all aspects of local government activities.

According to Venter and Landsberg (2006:145), integration occurs between the activities of the national, provincial and local spheres of government during IDP Planning Workshops. The policies, funding and strategies from the national and provincial government should feed into the local IDP process to ensure that cooperative government is enhanced. Section 153 of the Constitution of 1996 underscores this: local government planning should be integrated with provincial and national development programmes.

The second level of integration is between municipalities themselves because a district municipality is required to provide a framework for the local municipalities IDP level within its area of jurisdiction. The third level of integration is within a municipality itself. The different departments should integrate their activities so that a municipality's vision statement can be achieved. This also helps to inhibit departments from working towards different goals (Venter & Landsberg 2006:146).

Section 152 of the Constitution of South Africa of 1996 stipulates that a municipality must promote social and economic development as one of its objectives while Section 195 requires that public administration must be development-orientated. A developmental approach is required by the three spheres of government, particularly the local government IDP.

The IDP is more than a simple plan because it specifies the goals, objectives and steps that municipal councils should draft in the first of its five years of office which should be reviewed and updated annually. Once the process has been completed, a municipality should proceed with the planning process.

#### **1.9.4 Local Economic Development**

The Constitution of the Republic of South Africa (Act 108 of 1996) Section 152 (1) (b) affords local government the role to promote social and economic development. It is also prescribed in Section 26 (c) of the Systems Act of 2000 that municipalities are required to implement an LED plan. LED is a fundamental component of IDP. The RDP policy document adopted by the South African regime stated that strong metropolitan government should be established to assist with the integration and coordination of urban economies and local authority should extend municipal services, manage municipal backlogs and instil a culture of developmental local government (ANC 1994:129-130).

#### **1.9.5 Public –participation and community participation**

This concept is a two-way communication process between the public and the government through their elected local authorities (Brynard 1996:40). Sithole (2005:2) defines public

participation as a democratic process of engaging people in thinking, deciding, planning and playing an active part in the development and operation of services that affect their lives. For the purpose of this research study, public participation was utilised in the context of being a source of assistance to ensure effectivity of IDPs.

The South African government associates public participation in the IDP process with democracy and governance. It is described by the IDP Guide Pack as an approach to enable “interaction between local government and citizens”. Public participation is included in the IDP process to ensure that development responds to people’s needs and their problems, entrench a sense of ownership to local communities through the utilisation of local resources and initiatives; promote local government transparency and accountability through the provision of opportunities for all concerned to negotiate different interests and to ensure that municipalities produce appropriate and sustainable solutions to the communities problems in a municipality. The use of local experience and knowledge can, therefore, be helpful in this regard (DPLG 2001:38).

Community participation comprises the role played by communities and stakeholders in the policy-making and implementation processes of a municipality. These include involving ward committees, community development workers, civil society, state departments, business and labour in various policy formulation, budgeting, and identification and implementation activities as well the monitoring projects.

### **1.9.6 Provincial Growth Development Strategies**

This concept lays the foundation for accelerated economic growth and sustainable development as envisaged in the commitment of global sustainable development. Although the preparation of a PGDS is not a legislative requirement for provincial government, it does provide a fundamental link and enhances alignment between the various organs of government to ensure they are focused and decisive, develop and implement consistent strategies and programmes and ensure that their plans reflect a shared vision by all key role players and stakeholders (Hughes 2009:16).

The PGDS can assist the provincial government to fulfil its role in contextualising the goals and policies from national government and grounding them within the unique case and realities of each province, particularly in the context of achieving sustainable development.

The National Development Vision 2030 envisaged by the National Planning Commission (2011: 398) accentuates that if South Africa is to move its intergovernmental relations onto a more constructive plan, provinces would need a more focused role. The PGDS can be perceived as an essential tool in realising the developmental vision at the provincial level, thereby easing the national imperatives to the local government level.

### **1.9.7 Developmental state**

Scholars have often acknowledged that the concept of a developmental state is difficult to define because each state has its own view of the concept and therefore, unique to each state (Maphunye 2008:1). For the purpose of this research, developmental state is described as a state which is interventionist and pro-poor, which seeks to address challenges such as poverty, low economic growth, lack of infrastructure, and unequal development by using state resources to address these challenges. Mbabazi (2005:54) in Maphunye (2008:2) highlights that observers accentuate a developmental state as one whose ideological underpinnings are developmental and one that seriously attempts to deploy its administrative and political resources to the task of economic development.

From the aforementioned descriptions of a developmental state, an association can be perceived of the IDP, NSDP and PGDS policies. It is relevant to analyse the policies to ensure that the three spheres of government are aligned and lessen fragmentation that can hinder achieving national development objectives.

### **1.9.8 Democratic- developmental state**

According to Edigheji (2005:6), a democratic- developmental state is one that not only embodies the principles of electoral democracy but also ensures citizen participation in the development and governance processes. It is also important to note that the democratic developmental state is one that can foster economic growth and development. This would

entail the state being able to transform its economic base by promoting productive income generating economic activities whilst also ensuring that economic growth not only increases but improves the living conditions of its population.

Many scholars have often argued that a developmental state is not possible in democratic conditions. Those who argue that democratic developmental states are not possible claim that the aims of a democratic developmental state are in a sense contradictory and difficult to achieve: autonomy and accountability; growth and redistribution; consensus and inclusiveness. However, Sen (1999) in Gumede (2009:8) posits that development and democracy go hand-in-hand. He argues that development is a process of expanding the real freedoms that people enjoy and requires the removal of major sources of suppression; poverty, tyranny, poor economic opportunities as well as intolerance or over-activity of repressive states (Gumede 2009:8).

### **1.9.9 Intergovernmental relations**

Section 40 -41 of chapter 3 of the South African Constitution (1996) stipulates the directive principles of cooperative government and intergovernmental relations which are given effect by the Intergovernmental Relations Framework Act 2005. IGR refers to all the interdependent relations amongst the different spheres or levels of government by the legislative and executive bodies of the various governmental structures. Intergovernmental relations could also encompass all the actions and transactions of political office bearers and officials on any sphere or level of government that has an impact on the decisions and actions of another sphere or level of government (Thornhill & van Dijk 2002:187).

Lle (2010:53) defines intergovernmental relations as the glue that holds the different spheres of government together. It seeks the achievement of common goals through mutual relationships between and across vertical and horizontal governmental arrangements, alignment and cohesion across all spheres of government. Therefore, Intergovernmental Relations aims to enable public service delivery through harmonisation and effective and efficient co-ordination of delivery at all spheres of government to sustain democracy and effect development for the common good.

## 1.10 Delineation of research study

The study was divided into six chapters which provided the research with additional structure and made it comprehensible. The first chapter of the study introduced the research study and provided the motivation for the study; problem statement; objectives as well as clarification of key concepts utilised throughout the dissertation. This chapter laid the foundation of the research study and positioned it within the sub-field: public policy.

The second chapter expounded upon the methodology including the gathering and analysing information. This entailed identifying the research problem and objectives followed by determining the method that would best provide clearer insight and responses. This chapter described the research design, the sample size and the methods used to determine the sample. The tools utilised to collect relevant data useful for the study was discussed as well as the research ethics implemented in the study was explained.

Chapter three provided a brief discussion of the classical and current conceptualisation of the developmental state theory which served to provide the theoretical underpinnings on which the process and state of development in South Africa was analysed. Based on the theory of development, the debate on the reasons for development in South Africa was expounded upon. A brief historical background of the evolution and transformation of local government to a developmental local government in South Africa was discussed. The latter would be achieved through a discussion of the constitutional developmental mandate conferred on it by the Constitution of the Republic of South Africa (Act 108 of 1996), cooperative governance, relevant pieces of legislation, the framework and compliance thereto. Based on this theory, local government and its effort to comply with its developmental mandate was analysed to draw attention to the challenges it had encountered so that appropriate interventions could be developed.

Chapter four of this research presented a situational analysis of the Amathole District Municipality and explored its Integrated Development Plan. A theoretical clarification of the concept IDP as a strategic intervention to enhance the developmental role of local government was discussed. This entailed a survey of IDP processes, structures and procedures. The chapter also analysed the roles, responsibilities and institutional



arrangements of the Amathole District Municipality related to its IDP. This was followed by an analysis of the institutional capacity gaps and challenges within the municipality including the need for the effective implementation of IDP within the municipality. This chapter endeavoured to observe the administrative and institutional capacity of the Amathole District Municipality to initiate development and deliver sustainable services to its local communities.

The fifth chapter presented the research findings collected through the empirical research. The findings focused on the following key themes which helped to identify the most pertinent challenges to construct a developmental state at the local sphere of government. These included: Cooperative governance, Integrated Development Plan, Local Economic Development and the Developmental State. The findings were analysed through the 5-C Protocol Model which concentrated on content, context, commitment, capacity and coalitions. Through the policy implementation challenges identified in this chapter, the researcher hoped identify key areas that require improvement.

The sixth and final chapter endeavoured to coordinate the primary findings of the research to propose recommendations to improve the Amathole District Municipality's ability, capacity and skills to implement achievable Integrated Development Plans.

## **1.11 CONCLUSION**

The first chapter introduced the research topic and expounded upon the reasons for the research study. The problem statement highlighted the policy challenges faced in intergovernmental relations and the extent to which the proposed study would address these including the main objectives and aims of the research. This was followed by a discussion of the appropriate research methods as well as clarification of the key concepts and terms. Finally, the preliminary framework of all the chapters was provided.

## CHAPTER 2: DEVELOPMENTAL STATE

### 2.1 Introduction

The primary aim of this study is to acquire a deeper understanding of the role that IDP plays in enhancing the capacity of local government to contribute towards building a successful democratic developmental state in South Africa. This aim is based on the premise that strong state capacity is necessary to build a developmental state. A strong state capacity is essential for South Africa to formulate and implement policies successfully. For purposes of this chapter, a brief overview of relevant definitions of the developmental state from various literature will be explored. Fundamental findings will also be elicited about what accounts for a successful developmental state and include lessons of how a developmental state can be relevant to South Africa.

### 2.2 Origins of the developmental state

The success of state-led economic development during the 1970s and 1980s in East Asia gave rise to the growth of a new perspective in academic discourse, particularly the developmental state approach. The extraordinary economic growth in East Asia, beginning with Japan which transformed from a poor, defeated country to the second largest economy in the world caught the world's economists and analysts by storm. The economic miracle of the high-performing Asian economies included Hong Kong, Singapore, South Korea and Taiwan which were later referred as the Four Asian Dragons or Four Asian Tigers. Most analysts believed that the rising per capita income would not persist. This view was based on the uneven economic performance of several Southeast Asian countries such as Indonesia that experienced economic growth during the first half of the 1950s but faltered in the 1960s. The idea that all Southeast Asian nations would one day expand to the extent that it would affect the global economic balance. However, this did not emerge until the early 1990s (Fugal 2009:14).

Developmental state studies were initially directed towards understanding the political, economic, financial and institutional factors that led to the successful development

outcomes witnessed in the region. However, recent inquiries have focused on identifying the necessary governance, economic and social conditions that would possibly implement the developmental state approach in non-East Asian regions under the current global political and economic conditions (Mkandawire 2001:280-290).

One of the first theorists to make use of the term developmental state was Chalmers Johnson who researched Japan's rapid and successful post-war reconstruction and industrialisation process between 1925 and 1975. Johnson advanced three arguments for the developmental state in Japan. His first argument was that markets do not exist in isolation but are a creation of the state and politics. Secondly, in this approach the creation of a developmental state comes first before development priorities are implemented. Thirdly, the most critical element of the developmental state is not its economic policy, but its ability to mobilise the nation around economic development within a capitalist system (Johnson 1982:24).

Johnson identified three distinctive institutional features that characterised the Japanese developmental state model. Johnson utilised the Ministry of International Trade and Industry (MITI) as a case study primarily with regard to the bureaucratic coordination of the industrial development process and the first institutional feature which revealed that a developmental state has a small but inexpensive, professional and efficient state bureaucracy. Secondly, "the effectiveness of the developmental state requires that the bureaucracy directing economic development be protected from all but the most powerful interest groups so that it can set and achieve long-range industrial priorities". Lastly, the state must ensure that policy tools give bureaucrats additional authority to craft state interventions in the economy without undermining market principles (Johnson 1982:57-59).

Johnson can be credited for his contribution in identifying the decisive characteristics of a developmental state such as the commitment of the state to economic growth as well as the institutional mechanisms by which it becomes developmental. These same features characterised the East Asian developmental state. Peter Evans believed that these features are through his construction of the dual-dimensioned concept of "embedded autonomy". He argued that developmental outcomes of any country are largely

conditioned by the form of state organisation; bureaucratic elements as well as the emergence of a developmental state which must be contextualised within the specific domestic and international factors. He also drew attention to the historical experiences of the highly developed bureaucratic capacities (Evans 1989:575).

Evans' main argument in his influential study, *Embedded Autonomy*, was that a developmental state needs to be both autonomous from society as well as deeply embedded with key interests in society that have a developmental agenda. He also identified the existence of a Weberian depersonalised, impartial and rules-driven bureaucracy that has a high degree of autonomy from competing interests in society. However, Evans disagrees with Weber and argues that a developmental state is not separated from society, but is embedded with key social classes. He further points out that a developmental state can be authoritarian and narrowly focused on economic growth and easily degenerate into a patrimonial state or it can be democratic and accountable to the needs of the poor and marginalised (Pillay 2007:205). Evans can, however, be criticised on a single significant argument of embedded autonomy. A notable breakdown of the bureaucratic elements of the developmental state has, however, given limited attention to the political and societal conditions that have an impact on state formation.

A major contribution to the academic literature on the developmental state was also made by Adrian Leftwich. He introduced the idea that the concept of a developmental state and its success or failure is largely determined by politics. Leftwich held that the context, dynamics and purpose of appropriate politics have been pivotal in shaping the structures of developmental states, their developmental aims and performance (Leftwich 2000:169). However, Leftwich's biggest contribution to the discourse on the developmental state has been his identification of six major factors that play a role in the emergence and consolidation of a developmental state, which include: a state is governed by a political elite which is developmentally-oriented, demonstrates high levels of commitment and determination in attaining economic growth. Second, the developmental state is managed by a powerful, professional, highly competent, insulated and career-based bureaucracy. Third, the emergence of developmental states is associated with social contexts in which the presence and role of civil society has been weak, negligible and subordinate. Fourth,

developmental states exhibit high levels of capacity for effective economic management of both domestic and foreign private economic interests. Fifth, developmental states exhibit a record of an uneasy mix of repression and poor human rights adherence, particularly in undemocratic developmental states. The sixth factor is that the legitimacy of the political elite to govern is tightly linked to the state's ability to perform (Leftwich 2000:160-165).

Leftwich argues that the developmental performance of a country is not a function of the regime type but it is influenced by the character of the state and its associated politics. He believed that it seems unlikely that it is possible in the modern world for any society to make a speedy and successful transition from poverty without a state that to a certain extent corresponds to this model of a developmental state (Leftwich 2000:169). Furthermore, Leftwich's approach cautions and questions whether undertaking logical developmental projects under contemporary conditions require conditions of authoritarianism and insulation or weakened social groups as a necessity. Leftwich's model of a developmental state is, therefore, unclear on guaranteeing the effective representation of major interests in society.

In spite of the differences between each of the state's economies and approaches to economic development, developmental states do share common characteristics. Each of the Asian Tigers share a commitment to ensure sustained growth and development, greater industrialisation and to "catch-up" with Western nations. Studies have revealed that two approaches can be utilised to achieve a developmental state. Fine (2003:2) identified the economic and political schools that influenced the creation of a developmental state. The economic approach introduces economic policy in its analysis of the industrialisation process, subsequently neglecting the political justification and influence behind the international process. The economic approach advocates that the developmental state should directly and actively influence the direction and goals of development instead of relying on market imperfections or an "invisible hand" to allocate resources in the economy. The political approach places the state as its main issue of debate. Much focus is placed on the nature of the state, its autonomy and its capacity because these are significant ingredients to formulate and implement development policies. An understanding

and acknowledgement of both approaches is essential for a holistic approach to developmental states.

The developmental states that developed in the East Asian nations during the 1960s to 1980s are difficult to duplicate in other countries because the manner in which the East Asian Tigers became developmental states was undemocratic. An analysis of the academic discourse of the developmental states revealed that most scholars place great emphasis on a competent and efficient bureaucracy as the technical and administrative capacity of the state more willingly than on its political capacity. Therefore, there is an incorrect understanding of the ability of the state to define its developmental vision and to formulate policy to achieve that vision as solely based on the administrative and technical capacity of the state. However, a competent and efficient bureaucracy is not the only condition required for a developmental state because the political capacity, which enables the state to act legitimately by ensuring transparency, accountability and mobilising society is equally important for building consensus around its developmentalist project (Edigheji 2010:8).

The feasibility of constructing a developmental state in the context of a constitutional democracy such as South Africa has been a subject of much debate. This argument has been influenced by the fact that the developmental states of the East Asian region cannot be easily replicated and the common assumption that development and democracy are incompatible (Edigheji 2010:7). It is believed that democratic developmental states are not possible because their aims are “potentially contradictory and difficult to achieve: autonomy and accountability, growth and redistribution, consensus and inclusiveness” (Gumede 2009:7).

Before a discussion on what a developmental state outside the East Asian nation entails, it is important to gather the core features of a developmental state that have been identified through analytical academic literature.

From Johnson's contribution to the developmental state discourse and his analysis of Japan and MITI; it is quite clear that the existence of an elite bureaucracy that will control industrial policy through specialised state institutions within government is essential. Secondly, through Evans' concept of "embedded autonomy" an autonomous and legitimate state that is able to solicit the necessary resource inputs required in the transformation process and to maintain close contact with civil society without being negatively influenced and manipulated by them is an imperative. This feature is even more significant in a developmental state in the 21<sup>st</sup> century that seeks to be democratic, enhance transparency and be participatory. Another important feature is the need for the state to have a highly effective and efficient public service that is staffed by the nation's highly-skilled and best officials (Evans 1995:12).

There has been much scepticism round the feasibility of a developmental state approach in Africa and whether the East Asian developmental states can be used as a model. These arguments formed the Impossibility Theorem which was challenged by the advocates of a developmental state (Mkandawire 2001). There have been claims that a country cannot transition from poverty successfully and quickly in the absence of a state that uses the developmental state model as a benchmark approach (Leftwich 2000:169). Simultaneously, a number of theorists have reached consensus that it would neither be pragmatic or rational to endeavour to copy the East Asian developmental states.

Certain reasons that were raised against the emulation of developmental states based on East Asian experiences by South Africa and Africa included: South Africa does not share the same historical and socioeconomic conditions upon which East Asian developmental states were built (Southall 2006: xvii). Introducing institutional and political reforms that would reduce the gap between South Africa and these apparent developmental state models without taking into consideration the apartheid legacy, service delivery backlog, corruption and maladministration and public sector human resource challenges that are unique to South Africa would be impossible and futile (Butler 2010:184).

Due to globalisation and the changing economic conditions, the classical developmental states of East Asia enjoyed favourable economic conditions that existed during the period

after World War II as opposed to the current economic conditions experienced by states today. It is for this reason that it is important to have an understanding of current political and economic conditions. Firstly, the East Asian states were able to profit enormously from the advantageous political conditions that emerged between the 1950s and 1980s because major focus after the Cold War was placed on the burning question of whether or not a state was capitalist or communist rather than the finer information of states governance.

Obstructions to reproducing the classical developmental states miracle growth include the question of export-led growth. The simultaneous emulation of export-led growth strategies by developing countries could result in an international surplus of manufacturers depressing prices, reducing returns on investment and inciting a protectionist counter-reaction (Butler 2010:184). The 2008 global economic crisis could also rule out export-led growth strategies if it had prolonged. However, the economic crisis bolstered the magnitude of state intervention in the economy. The economic crisis revealed that markets were not self-regulating and could, therefore, be impractical and unsustainable in the long run as well as not improve markets or the standard of living for humans. The concept of a developmental state called for greater state intervention and that would be fitting in assisting developing countries construct a developmental state (Edigheji 2010:1). The case for the revival of the role of state in development has been reintroduced.

Advocates of the Impossibility Theorem have argued that African countries lack three key political governance preconditions of a developmental state which include a secure legitimate political order, a viable state and sufficient national authority. However, Mkandawire (2001:310) maintains that it is possible for African countries to learn from some of the experiences of the East Asian developmental state and contextualise these to Africa's actuality. Although Africa's record in constructing developmental states has been poor, there have been adequate examples such as Botswana and Mauritius that were able to use the state effectively to stimulate high growth rates, boost trade and slash poverty (Gumede 2009:3). Not only is Botswana and Mauritius recognised in academic literature as developmental states but they are also democratic. This is an important feature for the 21st century developmental state (Mkandawire 2001:310).



Although countless academic research has been conducted of the role of the state in economic development and the institutional attributes needed to construct a developmental state, policy learning and transfer has been a notable disregarded aspect (Kwon 2009:3). The issue of policy learning and transfer is of significance because other countries outside of the East Asian nations hope to emulate the classical developmental states by transferring knowledge on industrial policies and overall skills capacity and institutions. Nonetheless, it should be noted that the policy learning and transfer that took place during the period of developmental state in Japan and its colony Korea was motivated by a significant concern for national survival and the desire to “catch-up” with the West by placing the two countries on par with other developed western countries.

Kwon (2009:4) argues that seeking policy learning and transfer to merely catch up with the front runners seems tautological and calls for a deeper understanding of why policy learning and transfer may not be sufficient for developing countries that seek to catch up with the front runners. Furthermore, this would only generate a continual relationship of leaders and followers and developing states would need to dig deeper than simply learn from policy and transferring to catch up with the front runners.

The pursuit of economic development with the state playing a central role to catch up with the western front runners is one of the few core components that Kwon identified to assist with the construction of a developmental state. It is also perceived from various discourses that the social policy was never a priority for the classical developmental states because they were largely authoritarian and did not create a platform where civil society and interest groups could voice their thoughts. The 21<sup>st</sup> century developmental state would, therefore, need to be creative in revising and setting its own policy paradigms to ensure that social policy is a significant aspect of the present day developmental state. Not only would such a conception allow for the construction of a democratic developmental state but it would be consistent with South Africa's constitutional vision entrenched in the socioeconomic rights, which calls for the progressive realisation of access to health care, education, housing and welfare for all South Africans (Creamer 2010:206). It would thus

be the states' responsibility to create policies and implement programmes in place to advance rights and access to these services.

Lessons from the classical developmental states are helpful in providing non-East Asian states an opportunity to establish creative ways to respond to their own unique and varied policy challenges. This is advantageous because developing countries will at times be faced by policy challenges that no developmental state has experienced. The idea of a South African developmental state will, therefore, be created based on historic and socioeconomic conditions indigenous to South Africa and in consideration of the country's domestic policy as well as its foreign policy in the increasingly globalising world.

An analysis of the classical East Africa developmental states, the significant political and economic conditions that helped the latter nations achieve their remarkable economic development are were highlighted. The addition that would need to be made for the creation of a successful developmental state in the 21<sup>st</sup> century are also highlighted. However, with all these in mind it is important to consider the feasibility of a democratic developmental state in South Africa.

### **2.3 South Africa as a developmental state**

South Africa has experienced progress and various setbacks over the past 22 years since its first democratic elections in 1994. A discussion on the current state of the nation, the structural nature of poverty, inequality and underdevelopment is of significance. This discussion will encapsulate an analysis of South Africa's policy orientation as part of the governments' efforts to change after 1994. This was followed by a discussion of the evolution and transformation of a developmental local government in South Africa based on the constitutional mandate conferred on the local sphere by the Constitution of the Republic of South Africa (Act 108 of 1996).

The apartheid system which was constitutionally formalised in 1948 institutionalised segregation based on access to basic resources such as education, health, jobs and housing in South Africa on race, which created a number of problems that contributed to

the multiple obstacles faced in creating a developmental state. The apartheid system restricted education and skills development through the Bantu Education system which introduced a separate curriculum for blacks which only allowed them to develop to a certain level of skills. Policies were also implemented that restricted the access to housing to the majority black population in the country. Consequently, the need for adequate housing for the majority remains.

Despite the black majority being blocked from the South African economy, the country still developed and even thrived during the apartheid era. However, development was confined for the white minority. The apartheid regime recognised the significance of a developmental state because it permitted major developmental agencies including the Industrial Development Corporation, the Land Bank and the Southern African Developmental Bank to function (Gumede 2009:9). The major impact of the apartheid system was that it created a majority unskilled and economically disadvantaged labour force.

The South African public sector also experienced a negative impact from decades of colonial and apartheid legacy. Public administration entities were not only racially categorised, but were also male-dominated, inefficient, untrained and not entirely developmental because neither development strategies nor policies were implemented for the benefit of its majority citizenry (Maphunye 2009:27). When the ANC came into power, it inherited a state that was extremely underdeveloped and close to being bankrupt. The democratic government needed to focus on delivering services to all and contribute to the economic growth in order to reverse the apartheid legacy and build national unity.

#### **2.4 Post 1994: Government's effort to change**

Since the ANC-led government were expected to redress the inequalities as a result of the apartheid discriminatory policies, the most significant step that needed to be addressed was to formulate and implement democratic, transformative and developmental policies. These policies needed to address the skills shortage, infrastructure and housing shortages, improve the health care system and generally provide services to the previously marginalised communities of South Africa.

Since the advent of democracy, the South African government supported the concept of a developmental state through adopting policies that focused on the scope of the developmental problems facing the democratic government and sought to transform the public service and set out strategic objectives (DPSA 2012:21). One of the first documents released by the ANC in its quest to enhance its strategic policy orientation and provide a basis to formulate government policy, was the Strategy and Tactics document (ANC: 1994). The latter paved the way for the adoption of State and Social transformation. The ANC compiled the RDP Programme as one of its key strategic policies to help achieve the political vision of the National Democratic Revolution which the political party had envisioned from the time the Freedom Charter of 1955 was drafted (ANC 1955).

The ANC believed that the social, political and economic inequalities as a result of the apartheid system of government could be redressed through vigorous implementation of the RDP aimed to play a leading role in the creation of a strong, dynamic and balanced economy as well as assume greater responsibility for the provision of social and economic security of its citizenry (Maserumule 2010:18). However, the RDP was not without shortcomings. Through the RDP vision to establish a state that would help achieve the National Democratic Revolution, the ANC-led government had to make concessions with the former ruling National Party and Inkatha Freedom Party to form the Government of National Unity. This made it near impossible to serve all the interests of the Tripartite Alliance such as focus on the working class in economic policy to be represented adequately (Wolfe 1995:94). This was of concern for the Alliance. The RDP focused largely on the formulation of desired goals and the organisational and administrative mechanisms. However, cognisance was not taken of the political implications of implementing these policies.

The endorsement of the RDP by the Tripartite Alliance (ANC, SACP & COSATU) may have had a leftist or socialist ideology impact. This may also have been the reason why the base document that was published in 1993, through which the White Paper was released and grounded in socialist ideology. However, the main features of the White Paper focused on ensuring that all parties were given an opportunity to voice their opinions and did not contest the dominance of capitalism which was carried over from the pre-1994

apartheid system. Consequently, the Tripartite Alliance argued that the departure from the base documents “non-capitalist logic” and “substantially socialist reforms” was a betrayal and would not bring about the desired result of a socially and economically transformed society (Marais 2001:238). Marais also argued that the ANC had been assimilated into a web of institutionalised relations, systems and practices that were “tailored to service the interests of white privilege and the capitalist class”.

Adam Habib asserted that the ANC inherited a near bankrupt state when it came into power in 1994 and was faced with an ambitious set of expectations from the previously disadvantaged and an investment strike by the business community. Therefore, the ANC needed to question whether the RDP policy was an appropriate policy approach to manage the governance challenges because its solution lay largely in substantial investment in the economy (Maserumule 2010:5).

The RDP came to an abrupt halt when the ANC-led government encountered its first major currency crisis when the value of the Rand plunged by more than 25% in February 1996. The Growth, Employment and Redistribution Strategy was formulated and implemented in an effort to calm domestic capital and foreign currency markets (Visser 2004:8). The technical teams formulated GEAR: policy-makers from the DBSA, the SA Reserve Bank, 3 state departments, academics and representatives from the World Bank. Many have argued that GEAR is a product of a technocratic rather than a democratic process. Habib further explained (in Maserumule 2010:6) that the ANC’s highest decision-making body only endorsed GEAR after the government announced its adoption. The Mandela cabinet bypassed parliament out of fear that those within their own alliance would oppose its adoption.

Consequently, the small technical team organised to develop GEAR failed to consult COSATU and the SACP which resulted in considerable internal disagreement within the Tripartite Alliance (Visser 2004:8). GEAR was viewed as a fundamental policy shift from the RDP by various civil society organisations and academia. It promoted the ideal that economic development in South Africa should be led by the private sector, the state should play a smaller role in the economy, and state-owned assets should be privatised

including deep cuts in government spending and international competitiveness. GEAR also encouraged an export-orientated economy; the relaxation of exchange controls and proposed that social service delivery budgets and municipal infrastructure programmes should be reprioritised to address the claims of the poor to a fair package to meet their basic needs (Visser 2004:9).

GEAR was much an area of contention within the Tripartite alliance, COSATU, SACP and civil society which strongly rejected it on the basis of its ideological grounding in neo-liberalism, replicating the structural adjustment programmes of the Bretton Woods Institution, which prescribed models of development for developing countries (Maserumule 2010:19). The unions opposed privatisation because of the probable socio-economic impact on restructuring and privatisation. It could lead to a considerable number of retrenchments and job losses, and in COSATU's perspective, it was "blindingly obvious that it is not possible to have a developmental budget within an anti-developmental economic framework". COSATU opposed privatisation of State-owned enterprises envisaged by GEAR because of its negative impact on the socio-economic interests of the poor and working class. COSATU believed that the goal of the privatised companies would be maximisation of profits for shareholders than provision of services to the poor. It was against this backdrop that the left alliance opposed GEAR which culminated in a rift within the Tripartite Alliance.

Despite the strong rejection of GEAR based on its neo-liberalism grounding, it is important to examine the successes and failures of the strategy to track the changes that took place as a result of the post 1994 government policies. The GEAR macroeconomic strategy was unable to live up to all the expectations that its planners had envisaged since its inception. Desai (2004) in Maserumule (2010:20) points out that as a result of GEAR, markets were opened, taxes to the rich were cut, state assets were privatised, services were commodified and social spending was reduced. However, the head of the SA division of the World Bank remarked that the ANC-led government had (through GEAR) "put SA on the right footing" and was almost miraculous.

While government described the late 1990s as a period of successful economic growth, analysts highlighted that the envisaged targets had not been reached. The economy grew by only 2, 7% per annum instead of the originally expected 6% from 1996 to 2001 (Visser 2004:10). Targets of decreasing government consumption to 18.1% and the drop in the inflation rate to 6% per annum were surpassed (Hirsch 2005:105). There was significant improvement in decreasing the fiscal deficit from 7.3% of the GDP to below 3% since 1999 although this level of growth was not the required percentage needed for real transformation to occur (Gelb 2007:17).

Investment in social policy and social grant expenditure increased from R10 billion to R34.8 billion between 1994 and 2003. The years after 1999 were marked by rapid growth of the social security system because child grants were introduced and a larger percentage of the national budget was allocated to education, which took up to a quarter of government expenditure since 2003 (Hirsch 2005:107). Hirsch argues that while GEAR was necessary for macro-economic stability at a particularly vulnerable moment in South Africa, it was necessary during 1996 -1999 but once the macro-economic conditions had stabilised, the rapid growth of the social security system led to an increase in the number of beneficiaries. Regardless of the credit that the ANC-led government gave itself for the achievements, considerable evidence revealed that unemployment had increased since 1994 and the gap between those at the top and bottom of society has expanded, poverty had escalated and socio-economic problems increased in scale.

Despite the South African society having experienced widened inequalities since 1994 as the rich got richer and the poor, poorer, government disputed all the evidence. In an effort to create a positive impression, government agencies such as the Reserve Bank & StatsSA often revised figures on growth. In 2000, the Reserve Bank revised the GDP figures back to 1992. As a result the 1998 recession was obliterated and real per capita GDP figures, which were in decline, revealed a rise from when the ANC-led government took office in 1994. The reason provided was the need to include the “informal economy”. However, the correction was not carried through consistently (Leggasick 2007:112).

GEAR was primarily criticised for its developmental failure in South Africa, in spite of the success achieved. Freund (2007:201) argues that the introduction of GEAR by the ANC government reversed policy direction, which resulted between two conceptions of the state: on the one hand, a neoliberal conception, that is, a procedurally democratic state is reduced to a facilitator of market-driven 'development' and obsessed with the fiscal deficit, while on the other, a substantively democratic developmental state intervenes decisively to eliminate the social deficit. According to Asghar Adelzadeh of the National Institute of Economic Policy, the proposed growth framework and policy scenarios were, "analytically flawed, empirically unsupportable, historically unsuitable for this country, and ... will lead to disappointment and failures in achieving the RDP objectives of fundamentally transforming the inherited patterns of inequality" (Visser 2004:9).

Civil society and numerous academics also criticised GEAR based on its similarities to the Structural Adjustment Programmes of the Bretton Woods Institutions which prescribed models of development for developing countries (Maserumule 2010:19). The Structural Adjustment Programmes were introduced by the World Bank and International Monetary Fund after the terms of trade between developing African countries and the advanced capitalist countries in Europe deteriorated as a result of the oil price hike in the 1970s. In order for developing African countries to receive financial assistance from the international financial institutions, the countries would need to commit themselves to taking specific established measures such as the reduction of its deficits to the balance payments by devaluing the local currency, reducing the fiscal deficit by limiting government expenditure, increasing prices for public services or food and restraining wages. Structural Adjustment Programmes are only introduced once stable measures are implemented. These programmes consist of the liberalisation of trade to expand the role of markets, privatisation and far reaching institutional reforms which are aimed at creating an efficient and leaner administration of the state (Lehloesa 2000:76).

A number of studies on the Structural Adjustment Programmes have revealed that the programmes were a social and economic failure because the Programmes failed to stimulate sustainable growth as promised by the IMF while the World Bank was unable to deliver sustainable development. It was established that the countries which had adopted



the programmes experienced an increase in unemployment as well as major stumbling blocks in the provision of services such as housing, education and health (Ayee 2005:27). GEAR shared a number of similarities with the Structural Adjustment Programmes which could be considered a “Home-grown” version of the Structural Adjustment Programmes. Furthermore, the programmes should have been an example to the South African government that neoliberal policies may provide macro-economic stability but offer no socio-economic progress in the long term. Many argued that ‘the redistributive effect of the transfer of income was not large enough to make a difference to the lives of those trapped in the vicious circle of growing unemployment, violent criminality and contagious diseases. Therefore, GEAR set no redistributive targets (Visser 2004:11). Of significance is that despite GEARs inability to produce the promised results, the South African economy stabilised and grew.

The Accelerated and Shared Growth Initiative for South Africa (ASGISA) was introduced by the Mbeki Administration in 2006 and the four planned goals included halving unemployment and poverty; accelerating employment equity and improve broad-based black economic empowerment. ASGISA aimed to take a more composed approach to growth which led to an ambitious set of growth targets in dynamic labour-intensive sectors such as business process outsourcing, tourism and biofuels and attempt to adjust governments infrastructure investment, sector strategies and skills development policies towards these targets (Butler 2010:187). The initiative also identified economy intervention, macroeconomic and public administration issues.

The skills development component of ASGISA, known as the Joint Initiative on Priority Skills Acquisition (JIPSA) emerged in an attempt to respond to the supposed impact of the “global knowledge economy” and shared the same assumptions that skills development can play a vital role in both economic competitiveness or growth and social inclusion or poverty reduction (Akojee 2010:267). The implementation of JIPSA led to addressing the shortage of skills through various projects that were set-up across the country. The national imperative of skills development was also embraced by the South African business community which revealed great progress to achieve improved state-society relations. The ASGISA/JIPSA could be applauded for being one of the first policies

by the ANC-led government that prioritised skills development. Another positive aspect was that government took into consideration the concerns of the public and civil society.

The RDP was adopted in 1994 as a joint project agreed upon by all relevant parties within government and civil society. However, the RDP was not implemented because GEAR was introduced in 1996 as a continuation thereof. Despite that the Tripartite Alliance and civil society rejected GEAR, the government supported the programme for a decade until empirical evidence revealed its negative impact on increasing unemployment, poverty and ultimately inequality. In 2006, ASGISA was introduced and marked a small victory for civil society because its introduction targeted the problems faced by South Africa. An analysis of the policies adopted by the South African government revealed that much work needs to be done if the country is to become a developmental state. The challenges include: skills capacity, unemployment, poverty and cooperation between all sectors of society in the formulation of policies.

Developmental state theory emphasises the significance of a skilled bureaucracy being a crucial component in constructing a developmental state. Although the South African government has always recognised the significance of being developmental and classified themselves as such, progress in the last 22 years since 1994 has been inadequate. The reason for the aforementioned include: the policies implemented by the South African government were not geared towards development and the relationship between government and civil society has been problematic.

In terms of state-business relations, there has been improvement but the state has been accused of being too sensitive to business interests. Progress has been made despite the domestic legacy of mistrust and scepticism between government and business as revealed in the testimonies by South African corporates at the Special Hearings into the Business sector of the Truth and Reconciliation Commission (TRC) and the domestic challenge to constructive and healthy dialogue between corporate South Africa and government as a result of “leftist” and anti-free market rhetoric and policy since the ANC’s 52<sup>nd</sup> National Conference at Polokwane in 2007 (Hughes 2011:6).

The Zuma administration has placed larger emphasis on economic diplomacy in its foreign interactions, recognising the centrality hereof towards South Africa's economic interests. The White paper on Foreign Policy recognises that the success of economic diplomacy determines the extent to which South Africa can achieve its domestic priorities. In order for South Africa to meet these priorities, its economy must be able to participate competitively in the global market place and in order for this to work, government, business and labour need to work closer (Hughes 2011:7-9).

A crucial aspect of the democratic developmental state is its ability to manage relations with non-state actors whilst maintaining its autonomy. It reveals the state's commitment towards democracy and encourages participation and cooperation in the policy-making process. South Africa's history does not demonstrate its willingness to be a developmental state despite the governments' insistence of its commitment. Even if it was committed to do so, the motives towards a developmental state are questionable. Is it a ploy to attain more power or to truly eradicate inequality and poverty?

The passing of the Protection of State information Bill by President Jacob Zuma in April 2013 has been likened to the Apartheid legislation known as the National Key Points Act. The National Key Points Act followed a series of sabotage acts against what was thought to be strategic infrastructure and was meant to impose legal sanctions against anybody who threatened a national key point. This gave security ministers additional powers to name any site a national key point, thus under the jurisdiction of extra security and secrecy. The Zuma administration has used the bill to protect dubious governmental activity from public scrutiny compared to the Apartheid legislation (Hlongwane2013). The Auditor-General report released on the state of local government revealed that of the 283 municipalities in South Africa, only 5 got clean audits. The service delivery protests that have taken place at local government make it abundantly clear that communities are unhappy with corruption, lack of transparency and accountability. This Act endorses a culture of secrecy which in turn poses a serious threat to democratic government that South Africa seeks to uphold.

The capable state envisaged by the National Development Plan encouraged the Public Service and Administration Minister, Lindiwe Sisulu, to operationalise and reinvigorate the Batho Pele policy through a school for all civil servants. The school aims to take the 1.6 million civil servants to school regardless of their qualifications so that they have the necessary comprehension of the kind of society that the National Development Plan anticipates and the kind of government that will serve society better. This move can be considered a step in the right direction because an efficient public bureaucracy forms an integral part of the developmental state (Mabasela 2013:13).

It is perhaps this very reason that Jacob Zuma reshuffled his cabinet for the fourth time in 4 years. Although no explanation was given as to why 3 ministers were dismissed in July 2013, the Minister of Cooperative Governance and Traditional Affairs axing was perceived as a “pre-emptive move by the President” because he was unable to control local governments across the country (Ndlangisa & Harper 2013:14 July City Press). Lechesa Tsenoli replaced Baloyi and this choice was backed by many because he possessed extensive experience in local government. He served as the Free State MEC for Local Government and chaired the portfolio committee in the National Assembly before being appointed Deputy Minister.

This repositioning does, however, create the unintended consequence of causing instability due to change in leadership which can also affect the implementation of policies because the latter are not tested adequately before a change in leadership takes place and destabilises the entire process. The state is also facing many institutional problems in terms of functionality, especially at municipal level. Government officials are not working to their full potential; there have been countless instances of mismanagement of funds as well as corruption which have and remain a serious problem. The former SARS Commissioner, Oupa Magashula, agreed to resign after a probe revealed that he had acted inappropriately in his “unprofessional, over-intimate and almost haughty” telephonic job offer to Nosipho Mba (Harper 2013:5 City Press). Enquiries into corrupt practices have taken place at both the state and lower levels (municipalities) and efforts to root out corrupt elements have been made through reports of corrupt officials facing the repercussions but prosecutions have not taken place.

There is a social and economic dimension to the developmental state, of which the former aspect is the most important at this time in South Africa. The ANC-led government has done well to address the states macroeconomic problems inherited from the pre-1994 era; but not translated into positive results. The Presidency's report titled 'Towards a 15 year review' is testament to the reality that although there has been progress, this growth has exposed weakness in that the increase in the rate of growth does not necessarily result in reduction in poverty. Greater attention needs to be paid to social conditions because not enough has been done to address trends in poverty, inequality and state legitimacy in South Africa.

According to the Quarterly Labour Force Survey released by StatsSA for the first quarter of 2013, the official unemployment rate was 25.2% while the expanded unemployment rate was 36.7%, the highest rate since 2008. The report also revealed that there are approximately 4.6 million people looking for work and the labour participation rate (proportion of those who are employed or looking for work) was 54.8% while the absorption rate (proportion of employed persons among the working age population) was 41.6%. In terms of the South African poverty statistics, in 2004, 18 million people were living below the poverty line of R250 000 per month at year 2000 prices. When considering the economic growth of the country, this situation intensified the levels of inequality within South Africa.

The municipality utilised as a reference in this study revealed harsh poverty and unemployment conditions. The population of the Eastern Cape increased from 6.49 million people in 2001 to 6.55 million in 2006. The reason for this insignificant 0.2% growth rate compared to the national growth rate of 1.2% per annum is the 1% per annual migration from the province by disgruntled job seekers desperate for jobs compared to 70% of the provinces population classified as poor, that is, less than 40% at national level. These figures were not surprising because the majority of the province's population live in rural areas. Moreover, agriculture only contributes approximately 6% of the regional output. Only 30 000 jobs were created during from 2005 – 2011 which made it increasingly difficult to lower the labour surplus in the province (ECSECC 2011:35).

In 2005, the provincial GDP was less than 8% of the national GDP and the average income in the province was only 54% of the national average. This resulted in the Eastern Cape being the lowest per capita income in the country. The population experienced a lack of access to basic services, for example, 30% had no access to piped water and more than 60% no access to electricity. Moreover, the HIV/AIDS pandemic has had a severe impact on South Africa's future socioeconomic development. The pandemic which claimed the lives of 47% of 600 000 recorded deaths in 2006 impacted on the economy, public healthcare and social services of the country (ECSECC 2011:64).

The slow improvement in access to adequate housing, electricity, piped water and healthcare coupled with mounting mistrust of the ANC-led government could have been the reason why abaThembu King Dalindyebo described the political party and President Jacob Zuma as "corrupt hooligans" which prompted him to join the main opposition, the Democratic Alliance. The Xhosa King's personal membership of the DA was envisaged interesting in the months leading to the South African National Elections in 2014. The DA party leader Helen Zille remarked that the King could play a considerable role in helping the party establish itself in his area of jurisdiction (<http://www.mg.co.za>). Similar moves by the former Eastern Cape Premier Nosimo Balindlela, firstly, from the ANC to COPE and later DA in 2012 and former President Thabo Mbeki's mother, Epainette Mbeki to COPE revealed unhappiness and confusion within the Eastern Cape.

It became increasingly evident that much work had to be done to achieve a developmental state in South Africa. There are a number of steps that will need to be taken and prioritised such as the preservation of democracy, improve relations between the state, civil society and the private sector and most importantly, empower the citizenry socially and economically. The evolution and transformation to a developmental local government in South Africa needs to be traced to establish areas that require more attention.

## **2.5 Developmental local government**

The South African Constitution has been hailed as one of the best because it aims to establish and maintain a democratic system of government and makes provision for co-

operative government. Local government now constitutes an independent sphere that is rooted in a context of co-operative government with the national and provincial spheres.

Section 40 (1) and (2) of the Constitution of the Republic of South Africa, Act 108 of 1996 gives effect to the concept of co-operative government and stipulates that:

- (1) In the Republic, government is constituted as national, provincial and local spheres of government which are distinctive, interdependent and interrelated.
- (2) All spheres of government must observe and adhere to the principles in this chapter and must conduct their activities within the parameters that the Chapter provides.

Furthermore, the role of municipalities in local government is provided for in Chapter 7, Section 154 (1) and (2) as it states that:

- (1) The national government and provincial governments, by legislative and other measures, must support and strengthen the capacity of municipalities to manage their own affairs, to exercise their powers and to perform their functions.
- (2) Draft national or provincial legislation that affects the status, institutions, powers or functions of local government must be published for public comment before it is introduced in Parliament or a provincial legislature, in a manner that allows organised local government, municipalities and other interested persons an opportunity to make representations with regard to the draft legislation.

In order to strengthen the capability of the developmental state, there is a critical need to align government action structurally and systematically amongst its spheres with other organs of state to achieve common objectives and maximise the impact of development. On the other hand, as a result of South Africa having a multi-tiered system of governance within which the three spheres are distinctive yet interdependent and interrelated, there is a greater need for a systematic system of ground-breaking intergovernmental relations to effectively drive the fundamental constitutional principles of cooperative government.

The South African Local Government Association was launched in accordance to the Organised Local Government Act 52 of 1997 to assist, transform and strengthen the status of local government. SALGAs mission is to build an integrated and sustainable organised local government that acts as the voice in provincial, national, regional and international relations; supports and strengthens municipalities and serves as a centre for knowledge and information. The primary objective of SALGA as stipulated in its constitution was to establish democracy at the local sphere in order to fulfil the developmental role of local government. SALGA was established to play a central intergovernmental relations role on behalf of organised local government. It can thus be concluded that SALGA is a key Intergovernmental Relations (IGR) structure that is designed to facilitate the performance of the local sphere of government in the delivery of services.

The South African legal system outlines the principles for cooperative governance and the application of these in relations between national, provincial and local government. This framework states that all spheres of government, the private sector and communities have a role to play in service delivery. Therefore, it is important that there is a good working relationship between the three spheres of government which are interdependent. The cooperative governance system is expected to accept the integrity of each sphere of government but also recognise the complex nature thereof in today's society. Developmental goals in South Africa cannot be achieved unless the distinctive spheres function as a cohesive whole.

## **2.6 INTERGOVERNMENTAL RELATIONS**

Chapter 3, Section 41 of the Constitution of the Republic of South Africa, Act 108 of 1996 establishes the principles of cooperative government and intergovernmental relations, and specify that all spheres of government and organs of state within each sphere must:

- a) Preserve the peace, the national unity and the indivisibility of the Republic;
- b) Secure the well-being of the people of the Republic;
- c) Provide effective, transparent, accountable and coherent government for the Republic as a whole;



- d) Be loyal to the Constitution, the Republic and its people;
- e) Respect the constitutional status, institutions, powers and functions of government in the other spheres;
- f) Not assume any power or function except those conferred on them in terms of the Constitution;
- g) Exercise their powers and perform their functions in a manner that does not encroach on the geographical, functional or institutional integrity of government in another sphere; and
- h) Co-operate with each other in mutual trust and good faith by- fostering friendly relations; assisting and supporting one another.

The White Paper on Local Government (1998:50-51) envisages that the system of intergovernmental relations should have the following aims:

- To promote and facilitate co-operative decision-making;
- To coordinate and align priorities, budgets, policies and activities across inter- related functions and sectors;
- To ensure the smooth flow of information within government, and between government and communities with a view to enhancing the implementation of policy and programmes; and
- The prevention and resolution of conflicts and disputes.

The White Paper on Local Government (1998) also defines intergovernmental relations as a set of formal and informal processes as well as institutional arrangements and structures for bilateral and multilateral co-operation within and between the three spheres of government.

The Constitution of the Republic, Act 108 of 1996 calls for an Act of Parliament to establish or provide for structures and institutions to promote and facilitate intergovernmental

relations. In 2005 the Intergovernmental Relations Framework Act 13 of 2005 was enacted.

The IGR Framework Act of 2005 states that the most persistent challenges facing South Africa as a developmental state is the need for government to redress poverty, underdevelopment, marginalisation of people and communities and other legacies of apartheid and discrimination. It also suggests that this challenge is best addressed through a concerted effort by government in all spheres to work together and to integrate as far as possible their actions in the provision of services, alleviation of poverty and the development of the country.

The three spheres of government must seek to ensure coherent government, effective provision of services; monitoring implementation of policy and legislation and realisation of national priorities by:

- a) Taking into account the circumstances, material interests and budgets of other governments and organs of state in other governments, when exercising their statutory powers or performing their statutory functions;
- b) Consulting other affected organs of state in accordance with formal procedures, as determined by any applicable legislation or accepted convention or as agreed with them, or in the absence of formal procedures, consulting them in a manner best suited to the circumstances;
- c) Co-ordinating their actions when implementing policy or legislation affecting the material interests of other governments;
- d) Avoiding unnecessary and wasteful duplication or jurisdictional contests;
- e) Taking all reasonable steps to ensure that they have sufficient institutional capacity and effective procedures to consult, co-operate and to share information with other organs of state and to respond promptly to requests by other organs of state for consultation, co-operation and information sharing; and
- f) Participating in intergovernmental structures of which they are members and in efforts to settle intergovernmental disputes.

The structures and institutions established for the facilitation of intergovernmental relations include the Presidents Co-ordinating Council and National Intergovernmental Forums. The two most significant structures for the purpose of this study include the Provincial Intergovernmental Forums and Municipal Intergovernmental Forums. The Intergovernmental Relations Framework Act 13 of 2005 makes provision for a Premiers Intergovernmental Forum to promote and facilitate Intergovernmental relations between the province and local governments in the province. The role of this forum is to act as a consultative forum for the Premier of a province and local governments in the province and provide a platform to discuss and consult on matters of mutual interest such as:

- The implementation in the province of national policy and legislation affecting local government interests;
- Matters arising in the Presidents Co-ordinating Council and other national Intergovernmental forums affecting local government interests in the province;
- The coordination of provincial and municipal development planning to facilitate coherent planning in the province as a whole;
- The coordination and alignment of the strategic and performance plans and priorities, objectives and strategies of the provincial government and local governments in the province;
- Any other matters of strategic importance that affect the interests of local governments in the province; and
- To consider other provincial intergovernmental forums on matters of mutual interest to the province and local governments in the province and district intergovernmental forums in the province.

The Premiers Intergovernmental Forum is also responsible to report to the Presidents Co-ordinating Council on progress with the implementation of national policy and legislation within the province and may report to the Council on matters of national interest that emerged in the forum.

The Premiers of two or more provinces may establish an interprovincial forum to promote and facilitate intergovernmental relations between those provinces. The role of interprovincial forums is to provide a consultative forum for the participating provinces to discuss and consult on matters of mutual interest including information sharing, best practice and capacity building; co-operating on provincial developmental challenges affecting more than one province and any other matter of strategic importance which affects the interests of the participating provinces.

The Municipal Intergovernmental Forums include the district intergovernmental forums to promote and facilitate intergovernmental relations between the district municipality and the local municipalities in the district. The district intergovernmental forum has a role to serve as a consultative forum for the district municipality and the local municipalities in the district to discuss and consult each other on matters of mutual interest including: matters arising in the Premiers Intergovernmental Forum affecting the district; mutual support in terms of section 88 of the Municipal Structures Act, 1998 (Act No.17 of 1998) the provision of services in the district; coherent planning and development in the district and any other matters of strategic importance which affect the interests of the municipalities in the district. Two or more municipalities may also establish an inter-municipality forum to promote and facilitate intergovernmental relations between them. This forum also has the role to serve as a consultative forum for the participating municipalities to discuss matters of mutual interest.

Policy formulation and implementation provides an opportunity to learn lessons of the problems, strengths and weaknesses of the policy and the extent of regional or local variation as well as its feasibility in terms of the capacity at provincial and local level to implement it or in terms of available financial resources (DPLG 2008:11). Intergovernmental Relations thus plays an integral role in ensuring that areas that need improvement in policies are identified.

A number of Acts were implemented to realise a developmental local government that also resulted in the establishment of local, district and metropolitan municipalities. The Municipal Structures Act of 1998 created an institutional framework for developmental

local government and entrusted district municipalities with building “the capacity of local municipalities in their area to perform their functions and exercise their powers where there is insufficient capacity to ensure service delivery”.

Chapter 7, Section 155 of the Constitution of the Republic, Act 108 of 1996 also makes provision for the establishment and categorisation of municipalities. National legislation is required to establish the criteria when an area should have a single category A municipality or include both category B and category C municipalities as well as establish criteria and procedures to determine municipal boundaries by an independent authority.

The Municipal Systems Act of 2000 provides the foundation for the mechanisms, systems and processes that give effect to developmental local government. The most important policy imperative highlighted by this Act is the significant role of community participation in the system of local government. Additional accountability, inclusive and participatory approach to governing in the local arena with strong emphasis on efficient and effective service delivery is accentuated. This Act places the municipality as the nucleus to ensure that the correct processes are followed through participatory measures and the employees are skilled appropriately in order to certify that the implemented mechanisms are the most suitable for the delivery of services in the municipality.

In order to make the vision of the WPLG (1998) a reality and The Municipal Finance Management Act of 2003 (MFMA) was enacted to realise the WPLG (1998) as well as put into effect its aim to ensure alignment and coordinate priorities, budgets, policies and activities across inter-related functions and sectors. The MFMA stipulates that “national and provincial governments must by agreement assist municipalities in building the capacity of municipalities for efficient, effective and transparent financial management. The national and provincial governments must support the efforts of municipalities to identify and resolve their financial problems.” The MFMA provides the financial management framework for local government and prescribes the powers and functions of national treasury in relation to municipalities, financial management, approaches to municipal budgets, roles and responsibilities of councillors and municipal officers, financial conduct and the management of misconduct. The MFMA realises the significance of intergovernmental relations and strategic planning because it also highlights the fact that

efficient and effective systems and service delivery are a shared responsibility between the local and other spheres of government.

## **2.7 CONCLUSION**

The aim of this chapter was to discuss the concept of a developmental state and lessons that can be taken from the East Asian countries to analyse the feasibility of a developmental state in South Africa. The discussion of the characteristics and conditions required for a developmental state in East Asia, revealed that the process occurred through an undemocratic and authoritative approach which would make it impossible to duplicate in South Africa. An analysis of South Africa's progress towards achieving the status of a developmental state, requires a balance between economic-centred policies and social policies. Moreover, it was highlighted that tremendous work still needs to be done by the South African government to achieve the goal of a developmental state. The discussion on the transformation of local government to a development local government outlined the theoretical perspectives and processes of local government. It was revealed that all relevant legislation, frameworks and policies had been implemented and municipalities better equipped to implement successful developmental and strategic planning programmes. The following chapter will discuss the IDP and the institutional capacity challenges that may impede effective implementation of this plan in the municipalities. Amathole District Municipality was utilised as a reference.

## **CHAPTER 3: LITERATURE REVIEW: DEVELOPMENT-ORIENTED POLICY APPROACHES AND POLICY IMPLEMENTATION**

### **3.1 Introduction**

The primary purpose of this chapter is to chart the path that led to the development of programmes and frameworks that support the notion of a developmental public service and aim to alleviate poverty and inequality. Attention will also be paid to the international and regional instruments that positively influenced South Africa to develop its own developmental agenda. This chapter aims to discuss the interventionist role the state has played in pursuing a developmental state. Secondly, a link will be made between public policy and its significance in the creation of a developmental state. The issues that enhance the formulation of policies such as public participation, the political- administrative interface and institutional capacity will also be analysed. In conclusion, attention will also be paid to the policy implementation dilemma as well as an analysis of the value of monitoring and evaluation of the IDP policy.

The African continent has come under the spotlight over the years in terms of its ostensibly slow growth especially when compared to other developing economies such as India and Brazil. The African Development Bank (2001) identified the governance challenges of corruption, political instability, respect for human rights and the fiscal issues of debt and debt servicing among others to be the core factors that will determine the pace and level of development in Africa. Such internal and external factors can, therefore, influence government policy direction and invariably have an effect on development. The African Development Bank also advocates that the state must pursue policies that encourage economic principles such as trade liberalisation, having the state act as a facilitator rather than intervener in the economy, thus meeting the challenge of globalisation (Kuye 2011:175).

However, it is important to note that the international environment of development exists on policy guidelines that are meant to drive and sustain development in the developing

world. Maphunye (2009:41) asserts that the effects of globalisation on Africa further complicate matters. Despite the fact that it might not be easy to quantify the effects of such globalisation on Africa's quest to build a developmental state, one can postulate that such influence will be biased in favour of the more developed countries and will, therefore, be negative for the continent. In addition, the role of and the interaction between stakeholders such as business and civil society, the state and the international community are governed by certain policy and institutional arrangements (Kuye 2011:175). It is important to investigate policy direction in the developmental state and in the international development community. Refined policy analysis is vital to explore how certain policies may change or remain the same over time. While this is not an easy balance, it is a goal that public policy can realistically work towards. These factors should not be perceived as a threat to developing sustainable solutions to Africa's development challenges, but also as a quest to Africa's long-term viability and ability to compete with other continents in all areas.

### **3.2 Path to the formulation and implementation of development-oriented policies in South Africa**

The South African government has made enormous strides in transforming the institutions of her state to one that has a specific mission of meeting the new developmental objectives which will help to eradicate the unequal and poverty-stricken society through the adoption of development-oriented policies. Numerous international and regional human rights instruments jointly support the call by the South African government to build a developmental state to realise rapid and sustainable transformation in the economic and social conditions of the country through active, intensive and effective intervention in the structural effects of economic or social underdevelopment.

The greater call for local government is to provide democratic and accountable government for local communities; promote social and economic development and to encourage both community participation including its organisations in matters of local government. The Constitution of the Republic of South Africa (1996) shifted markedly towards local government and assigns a municipality the right to govern the local government affairs of its community on its own initiative. Considerable challenges exist for local government to reverse the legacy of the past which limited the extent to which



affluent “white” municipalities would bear the financial burden of servicing disadvantaged black areas. However, as signatory to these international and regional human rights declarations, South Africa is strategically positioned to lead the path to the attainment of democratic developmental state status through all its government programmes, policy implementation, monitoring and evaluation and development planning processes.

### **3.3 International instruments supporting South Africa’s quest for development**

One of the instruments that informed the development-oriented policies at local government in South Africa and to which she is a signatory, is the United Nations Millennium Development Goals (MDGs) of halving poverty and unemployment by 2015. The Millennium Development Goals emanate from the UN Millennium Declaration signed by 189 countries including 147 heads of state and government in September 2000 and further agreement by member states at the 2005 World Summit. A total of eight MDGs were identified and served as an expression of a minimum commitment to the global development agenda. These goals set minimum standards that must be met by nations of the world towards meeting the developmental needs of their people. The eight MDGs include: eradicate extreme poverty and hunger; achieve universal primary education; promote gender equality and empower women; reduce child mortality; improve maternal health; combat HIV/AIDS; malaria and other diseases; ensure environmental sustainability and develop a global partnership for development.

The UN MDG framework set additional targets for each country to work towards. However, the most pertinent targets relevant to this study include developing a sound and credible financial system; addressing the special needs of the least developing countries; dealing comprehensively with the debt problems of developing countries; to halve the proportion of people whose income is less than one dollar per day; achieve full and productive employment and decent work for all as well as halve the proportion of people who suffer from hunger.

South Africa’s third report (2010) on her progress in the implementation of the Millennium Development Goals revealed that her constitutional trajectory foundation and development mandate explicitly takes MDGs into account. South Africa is, therefore, well-positioned to

respond more decisively to the MDG agenda. The government integrated the MDGs into its Medium Term Strategic Framework (2009-2014) (MTSF) which guided planning and resource allocation across all spheres of government. The framework identified the following five development objectives: halving poverty and unemployment by 2014; ensuring a more equitable distribution of the benefits of economic growth and reducing inequality; improving the nation's health profile and skills base and ensuring universal access to basic services; building a nation that is free of all forms of racism; sexism; tribalism and xenophobia as well as improving the safety of citizens by reducing incidents of crime and corruption.

The MTSF further outlined top priority areas intended to give effect to the strategic objectives which include: speeding up growth and transforming the economy to create decent work and sustainable livelihoods; massive programme to build economic and social infrastructure; comprehensive rural development strategy linked to land reform and food security; strengthening the skills and human resource base; improve the health profile of all South Africans; intensify the fight against crime and corruption; build cohesive, caring & sustainable communities; pursuing African advancement and enhanced international cooperation; sustainable resource management and use; building a developmental state including improvement of public services and strengthening democratic institutions.

The MDGs reflected a new emphasis on measuring results or outcomes. They highlighted poverty reduction as the overarching mission of development. In response hereto, the governance and administration cluster of the Presidency institutionalised monitoring and evaluation across government. This was aligned to the current government paradigm shift towards results or outcomes-based management, which helps policy-makers track progress and demonstrate the outcomes and impacts of a given policy, programme or project. The projects that were undertaken include the development of Performance/Management Assessment Tools, Data Quality Assessments through forums, development of user satisfaction surveys methodology and tools; PERSAL Clean-up Project, on Monitoring and Evaluation Capacity Development; and development of frameworks and policies for the latter. The establishment of the Department of

Performance Monitoring and Evaluation was also a major contribution towards enhancing the capacity of the state to monitor service delivery.

There are numerous areas of concern when one considers the relevance of MDGs in the African Continent. The important question is whether MDGs are the answer to underdevelopment in Africa or whether Africa should develop its own development agenda. The Southern African Development Communities has its own specific regional agenda while the New Partnership for Africa's Development as the technical arm of the African Union has its own vision and policy framework for Africa in the 21<sup>st</sup> century and coordinates programmes that address agriculture, climate, economic and human development across the continent. Therefore, the key question that policy-makers should consider is whether Africa really needs the MDGs.

There has been a high growth rate in Africa, especially South Africa that has experienced substantial infrastructure growth which was not been inclusive because not everyone had benefitted. There is thus a need for inclusive development to empower ordinary people although infrastructure produces a more stable economic environment, it does not ensure long-term growth. If Africa's development growth agenda is to ensure long-term success, it must prioritise its citizenry. This is a major advantage that policy-makers can take from MDGs because they are people-centric and an agenda is required that will benefit the majority of its people.

Underpinning the MDGs that were agreed upon in 2000 for global development goals that should be achieved because they relate to global development, each country was required to develop its own plans to achieve the MDGs. This resulted in a serious shortcoming because there had been a distinct lack of commitment from many countries and where progress is visible, it was primarily been government working together with civil society, business, academia, scientists including established plans that bring resources, finance, expertise and new models to work towards specific goals.

What policy-makers need to decipher is whether the challenge had been in establishing these national development frameworks that should have been in existence at a national level and now resulted in this global matrix for development. Of interest is that even if financial resources are utilised for nutrition or education problems, it is possible to reduce the problems for a short period of time without fundamentally addressing the structural causes which give rise thereto. There is a significant gap between the political speeches delivered by government compared to their actions on the ground. The MDGs do not efficiently address the structural issues that cause poverty and result in public services failure. This is one of the disadvantages because there is no room to hold governments more accountable.

Furthermore, notwithstanding the fact that infrastructure is a development key in eradicating poverty, it is a disadvantage if the communities are unable to gain access to that infrastructure. It makes no difference to the disadvantaged in South Africa that they live in a country with the highest level of growth if they themselves are unable to access water, electricity and live in informal settlements. Therefore, the issue of access and inequity needs to be discussed further because it is an area that had neither been given adequate attention nor addressed. The MDGs underscore macro-level strategies by government but fail to include civil society in the development agenda which is a key challenge because citizens always know better at a local level. Consequently, they should be at the nucleus of crafting the agenda.

The World Summit on Sustainable Development (2002) was the second instrument that helped shape the development trajectory that the country adopted to achieve a developmental state. Despite low expectations, the summit achieved a series of successes. Though it also had its share of failures, including the possibility that many of the gains in the official process could be rendered meaningless by governments' failure to adopt effective governance and implementation mechanisms, the presence of the parallel civil society summits demonstrated the increased surge in support for sustainable development. The primary challenge for sustainable development is to align the interests of civil society and government.

One of the summit's most significant outcomes was the recognition of voluntary partnerships as official outcomes. While partnerships have been effective for many years, the implementation of mechanisms for sustainable development, their critical role was now recognised for the first time in a multilateral context. This new development highlights a transition from traditional multilateral diplomacy to a voluntary approach towards implementation. In many ways, the need for partnerships is symbolic of the stagnation at the core of multilateral negotiations. In *lieu* of forward-looking government consensus, the civil society, business, international organisations and even some governments must fill in the gap to ensure sustainable development (La Vine et al. 2002:06).

Despite low expectations, the official summit achieved concrete gains and these could only be attributed to the efforts by stakeholder groups. Conversely, the failure of governments to adopt and agree effective means of implementation and institutional mechanisms was likely the reason the success of the summit could be rendered meaningless. The challenge to achieve development will, therefore, be to find common solutions to the divisions among governments, within civil society and between governments and civil society that indefinitely continue to be an obstacle for progress to manage development and environmental concerns.

### **3.4 Regional instruments supporting South Africa's effort for a developmental state**

Whereas countries and regions are not equal in terms of their strength or capabilities, it is imperative that South Africa establishes intra-trade in the five economic regions of Africa as well as harmonise and integrate these regions in the economic and social activities so that she is better able to manage the impediments that hinder development. The White Paper on Foreign Policy accentuates the need to take advantage of opportunities to position Africa as a significant player in the changing global economy through accelerating continental and regional integration, including transformation of the South African Customs Union. In spite hereof, trade among African countries continues to be less compared to trade with countries beyond the continent. For this reason, South Africa negotiated more Free Trade Area agreements with other African countries and regions to boost intra-continental trade and support the economic agenda of the African Union and New Partnerships for Africa's Development.

The Southern African Development Communities Free Trade Area agreement was signed in 2010 and a SADC-Common Market for Eastern & Southern Africa (COMESA) - East African Community (EAC) Tripartite Summit was held in June 2011 at which a roadmap for the establishment of a Tripartite Free Trade Area was agreed upon. This Tripartite Free Trade Area is founded on the three pillars of market integration, infrastructure development and industrial development as a step towards the ultimate goal of an economic community of Africa.

Although there have been great strides in regional integration, there were a number of obstacles that still needed attention. Even as the SADC Trade Protocol aimed to encourage member countries to remove all tariffs' on 85% of traded commodities, in practice the SADC Free Trade Area faced a number of challenges such as full reciprocity of duty-free access among members. The formation of the BRIC nations in 2009 can be considered an international instrument supporting the developmental state vision which has helped South Africa to access new markets. It was predicted that BRICS would soon be amongst the top five dominant economies in the world and the official addition of South Africa in December 2010 resulted in making the partnership even more formidable. The BRICS countries discussed UN reform, formalised trade relations with other economically advanced emerging economies as well as speak with a greater voice and representation in international financial institutions. One of its greatest achievements thus far has been the launch of the BRICS bank which fast-tracked its 2009 vision of a more meaningful voice at multilateral institutions. Moreover, it also strengthened South Africa's economic and political influence in the global arena (<http://www.ypia.org.za>).

### **3.5 National instruments supporting South Africa's efforts for a developmental state**

The call to build a developmental state resonates because the policies pursued since 1994 had not addressed the inequalities of the past and as a result, the proceeds of growth were shared unevenly. South Africa can draw on lessons from other developmental states to formulate policies that work best in its circumstances. In contrast to the position of East Asian developmental states in the 1960s, South Africa has a more established corporate sector, access to rents from natural resources and a stronger civil society, which implies

that there are significant areas of expertise outside the state it can draw upon. This was particularly important for the state to forge programmatic and reciprocal relationships with trade unions, business and community organisations as democratic deliberations, including at the local level, which would be central to enhancing state capacity to address the country's developmental challenges (Edigheji 2010: 3).

The developmental state model positions the state at the centre of efforts to transform society. This requires more than just a political and public commitment: it requires a public service that can effectively lead the transformation process. In order to ensure that the transformation process ensues, public servants require channels of information that would enable them to design realistic policy and be made aware of obstacles to implementation and consequently work to overcome them. Furthermore, a developmental state needs skilful implementers. Apart from refined policy analysis, it needs people who can accomplish the tasks effectively and efficiently. Although this is not an easy balance, it is a goal that public policy could realistically work towards. Edigheji (2010:3) posits that developmental institutions are established to overcome capacity weaknesses; hence, weak capacity of the state is not an excuse but rather a motive to construct a developmental state.

The two most important questions on governance of the developmental state model for deliberation include: what forms of state capacity are needed to formulate and implement policy and how does the nature of state-society relations affect policy formulation and implementation? The developmental state model also proposes that these are the priorities that a long-term planning process can and must pursue.

The South African plans strive to reach goals to that of a developmental state but falls short on several grounds. Conspicuously, the biggest structural and institutional problems in the country relate to the inefficiency of government bureaucracy, inadequate educated workforce, restrictive labour regulations, corruption, crime, inadequate supply of infrastructure including difficulties connected to accessing finance and policy instability. When linked to diversion of public funds, the lack of trust in politicians and the high degree of bias decisions by government officials, South Africa is clearly seen to lack certain

imperatives required by a successful developmental state, namely: will, ability and capacity. Despite the success reported by the RDP and GEAR, which included the development of the financial market and macro-economy, the country lacks what is needed to pursue to become a developmental state (<http://www.consultancyafrica.com>).

President Jacob Zuma appointed the National Planning Commission (NPC) in April 2010 which comprised of 25 part-time commissioners to act as an advisory body tasked with preparing recommendations for the cabinet on issues which affect South Africa's long-term development. The commissions primary objectives included: draft a vision statement for 2030; produce a development plan setting out how this vision can be achieved as well as present reports on issues which affect long-term development such as infrastructure' investment, water resources and inequality. The NPC also plays a role mobilising society round a vision and a development plan. It does this through active engagement with the public, ensure that experts' views are canvassed on its proposals, and a wide range of interaction. The commission has to execute its functions as well as represent all South Africans, taking into account their views irrespective of political affiliation.

The NPC released the National Development Plan which outlined the critical interventions required to build a state capable of realising the 2030 vision. Since 1994, South Africa has made significant progress in building the structures of a democratic state. The fragmented apartheid governance structures were consolidated into a system designed to serve developmental objectives. The state successfully restructured public finances, created an effective tax system, and built an independent and credible reserve bank. The foundations were laid, but weaknesses in how these structures function constrained the state's ability to pursue developmental objectives.

Chapter 13 of the NDP identifies the primary challenges to building a capable developmental state as being uneven in capacity that leads to uneven performance in local, provincial and national government. A complex set of factors, including tensions in the political-administrative interface; instability of the administrative leadership; skills deficits; the erosion of accountability and authority; poor organisational design and low staff morale are reasons for uneven performance in the spheres of government. The



weaknesses in capacity and performance are of serious concern among the historically disadvantaged areas where state intervention is needed to improve the people's quality of life.

There have been many individual initiatives, however, there is a tendency to resolve concerns haphazardly or formulate and amend policies without proper evaluation of the latter. These frequent changes have created instability in organisational structures and policy approaches which further strained the limited capacity. The search for a quick fix has diverted attention from more fundamental priorities such as deficit in skills and professionalism which affects all elements of the public service. At senior levels, reporting and recruitment structures have allowed much political interference in selecting and managing senior staff. The result has been unnecessary chaos in senior posts, which has undermined the morale of public servants and citizens confidence in the state. At junior levels, there has been insufficient focus on providing stimulating career paths that ensure the reproduction of skills and foster a sense of professional common purpose. The state needs a clear vision for where the next generation of public servants will emanate and how specialist professional skills will be reproduced. Weak managerial capacity and lack of leadership prevent these issues from being addressed.

South Africa has struggled to achieve constructive relations between local, provincial and national government. A lack of clarity about the division of responsibilities together with a reluctance to manage the system has created tension and instability across the three spheres of government. There is no consensus on how this is going to be resolved and there is a lack of leadership in establishing appropriate solutions. These coordination problems are not unique to South Africa. To address the twin challenges of poverty and inequality, the state needs to play a transformative and developmental role. This requires well-run and effectively coordinated state institutions with skilled public servants who are committed to the public good and capable of delivering consistently high-quality services, while prioritising the nation's developmental objectives.

The NDP highlights the need for a developmental state that is capable of driving the country's development. Building state-capacity is the most important step to achieve a

developmental state. On the other hand, the plan also takes cognisance that not all capable states are developmental. Consequently, it underscores the significance of building a capable developmental state within a vibrant democratic system. Developmental states have been created in both authoritarian and democratic countries. In many instances democracy has been crucial to ensure the state has sufficient legitimacy to transform. This is particularly significant in South Africa, because one of the most critical roles of the state is to enable people to develop their capabilities. A robust democracy is, therefore, not just compatible with building a capable and developmental state; it is an essential prerequisite to manage poverty and inequality.

The experiences revealed by other countries in building a capable and developmental state highlight that this cannot be executed overnight and South Africa would have to focus and strengthen the measures taken over time. The NDP identified eight areas where targeted action is of particular significance. The most pertinent to this study includes: Stabilise the political-administrative interface by building a professional public service that serves government, but is sufficiently autonomous to be insulated from political patronage. This requires a clearer separation between the roles of the political principal and the administrative head; develop technical and specialist professional skills by reinvigorating the state's role in producing the specialist technical skills to fulfil its core functions and to develop appropriate career paths for technical specialists; strengthen delegation, accountability and oversight by promoting greater and more consistent delegation supported by systems of support and oversight as well as make it easier for citizens to hold public servants and politicians accountable particularly to ensure quality service delivery. The other areas that require targeted action include improving interdepartmental coordination by adopting a less hierarchical approach to interdepartmental coordination so that most issues can be resolved between officials through routine day-to-day interaction. Interdepartmental coordination can also be improved by strengthening the cluster system and the role of the Presidency in resolving strategic issues.

The NDP also proposes that the state should take a more proactive approach to improving relations between the three spheres of government. This postulates that the state needs to recognise the wide variation in capacity, particularly at municipal level and transfer greater

responsibilities where capacity exists, while building capacity in other areas. This means that where capacity is more limited, particularly in rural areas, municipalities should be allowed to focus on their core functions and not be burdened with too many extra responsibilities. A more pragmatic fit between roles and capacity would only partly resolve the challenges in the intergovernmental system because it is inevitable that there will be disagreements about how responsibilities are divided. Furthermore, national government should intervene when necessary to mediate disputes. Lastly, the NDP proposes that the strengthening of local government should be an area of targeted action by developing an enabling framework for local government with active support and oversight from national and provincial government. This would require a long-term approach to developing skills together with a professional ethos and commitment to public service should be considered including mainstream citizen participation.

A second national instrument that supported South Africa's call for a developmental state was the National Capacity Building Framework (2006) (NCBF). Various stakeholders attached a range of interpretations to the term capacity. It was imperative for the NCBF to provide a shared definition of the term in order to enable a meaningful interaction between stakeholders involved in thinking about, planning for and implementing capacity building interventions. In its simplest form, capacity can be regarded as the potential for something to happen. The NCBF utilised a three-pronged definition of capacity which took into account factors that impact upon the environmental, institutional and individual levels (NCBF 2006:26).

Individual capacity is the potential and competency, or lack thereof, found within a person, normally reflected through his or her specific technical and generic skills, knowledge, attitudes and behaviour accumulated through forms of education, training, experience, networks and values (NCBF 2006:27). Capacity at the individual level is of crucial significance for local government because municipalities are tasked with developing their human resource capacity to enable staff to perform their functions and exercise their powers in an economical, effective, efficient and acceptable way (Local Government: Municipal Systems Act (2000). Municipalities must also ensure that the most suitable individual is appointed in the correct post where their individual capacity can be utilised for

the benefit of the communities they serve. Municipalities must, therefore, comply with the Skills Development Act (1998) as well as the Skills Development Levies Act (1999) to fill individual capacity gaps that may exist through training and mentoring their human resource capacity (NCBF 2006:26).

Institutional capacity can be defined as the potential and competency or lack thereof, within organisations. It includes human resources, strategic leadership, organisational purpose, orientation, institutional memory, internal confidence, partnerships, intergovernmental relations, powers and functions, resources and support systems, infrastructure and financial abilities, structures, processes, culture and by-laws (NCBF 2006:28). Capacity at the institutional level is important for local government because the individual's capacity is harnessed at municipalities and positive or negative institutional context has an impact on individual capacity. Institutional capacity is also an integral component of local government because it is the responsibility of the municipality to ensure organisational vision, leadership and culture. The municipalities' internal abilities and readiness rest on its strategic leadership, structures, skills as well as its systems and resources which are all part of operational and institutional capacity (NCBF 2006:28).

Environmental capacity is the potential and competency, or lack thereof, found externally of the municipalities formal structures. These include socio-economic composition and demographic composition, the political, legislative and social capital within communities and the natural resources available (NCBF 2006:28). These are all examples of elements that municipalities may have limited or no influence or direct impact upon but may still be required by the municipalities. The impact of environmental capacity for local government lies in the possibility for municipalities to harness environmental capacity for the benefit of the local community. For instance, municipalities may base their Local Economic Development strategy on natural features which have tourism potential. While municipalities need to engage with environmental capacity, it must be noted that the success of municipal strategies may be dependent on factors beyond the municipality's control such as national economic growth or national political instability.

The three types of capacity are related and integrated. Therefore, NCBF insists that every effort is made to ensure the integration of the three elements of capacity building because

these serve to strengthen each other exponentially. Capacity building targets all three areas which requires that a range of players are involved in capacity-building. Certain players are able to act on the environment, while others are positioned to act on the institutional and individual levels. A shared strategic approach across the range of players involved in local government capacity building is likely to enhance the impact of each player's efforts (NCBF 2006:43).

Other national instruments that guide and support local government as an agent of local development within a developmental state include the Constitution of the Republic of South Africa, 1996; Reconstruction and Development Programme (1994), GEAR, White Paper on Transforming Public Service Delivery, 1997; White paper on Local Government 1998; Municipal Demarcation Act of 1998; Municipal Structures Act of 1998; Municipal Systems Act of 2000; the Municipal Finance Management Act of 2003; Intergovernmental Relations Act of 2005, National Capacity Building Framework, and the Integrated Development Plan Framework. All these instruments both international and regional as well as all the national legislation and frameworks have been mentioned in previous chapters of this study and it is within these contexts that local government has the opportunity to advance the rate of development and redress the poverty and inequality prevalent in its communities.

With regard to accessing new emerging markets, the formation of the BRIC nations (Brazil, Russia, India & China) in 2009 was an outstanding achievement for developing economies across the globe. It was forecasted that BRIC would soon be amongst the top five dominant economies in the world and the official addition of South Africa in December 2010 made BRICS even more formidable. The countries discussed UN reform, formalised trade relations with other economically advanced emerging economies as well as how the group could lead to a greater voice and representation in international financial institutions. One of its greatest achievements thus far has been the launch of the BRICS bank which fast-tracked its 2009 vision of a more meaningful voice at multilateral institutions and also strengthened South Africa's economic and political influence in the global arena (<http://www.ypia.org.za>).

The first decade of ANC governance brought about a wave of new policies and frameworks, however, it also revealed that the South African government did not realise all its policy objectives. The process of converting policies and frameworks into practice remain a challenge. The phased policy finalisation and implementation gave rise to the “lack of delivery” debate which consequently placed the policy implementation pendulum at the centre of all public policy discussion. A number of reasons can be given as to why the ANC-led government did not realise its policy objectives during its first decade of governance. These include the recognition that the mere existence of policies and frameworks was inadequate to drive transformation that was needed. The South African government operated in conditions of real constraint. These constraints initially included inherited state debt and budget deficits, followed by national and economic factors as well as the limitations of capacity. Moreover, the range of mechanisms for policy implementation pointed to the need for policy coordination (Venter & Landsberg 2006: 174).

The National Capacity Building Framework (2006: 17-19) set out five programme areas to respond to the problems and capacity challenges it identified in government. These included strengthening leadership and professionalisation of municipalities; providing hands-on support, programme based and short-term support; strengthening the environment for municipalities to deliver and strengthening capacity to coordinate and deliver capacity to municipalities. When analysing the objectives of this framework, it became abundantly clear that there was a lack of human resource development and training prioritisation at the local government sphere which had a negative spin-off which affected the implementation of the IDP and other policies. Consequently, the developmental mandate of local government to improve the social and economic conditions of its communities was not met.

Public policy and policy implementation are crucial for South Africa to become a developmental state. It is, therefore, essential that local government has the capacity to implement policies which enable service delivery because South Africa as a developmental state has to be equipped with the skills and expertise to execute the key tasks identified by Gelb (2006:21) as: to formulate a cohesive and focused set of goals

and objectives for national growth and development and a set of policies to achieve these goals; to coordinate the mobilisation and allocation of financial and human resources for investment in line with the policies identified; to monitor and evaluate progress towards the objectives because of policies and to adjust the mobilisation and allocation of resources to progress made towards existing objectives, changes in objectives and exogenous pressures and shocks. Public sector capacity building institutions in Africa, especially those that deal with training, capacity development, human resource development and management issues are critical to effective and efficient service delivery. Edigheji (2005) points out that in the case of “failed states” these institutions can help Africa to develop strategies to assist countries in their post-conflict recovery periods. Fox and Van Rooyen (2004:109) further accentuated this contention by stating that, “sustainable development is dependent upon government institutions, which are committed to promoting intergovernmental relations and cooperation by focusing on aspects relating to institutional capacity building”.

For public institutions to survive, grow productively and render quality services to the public, the ability to formulate effective policies for change and continually assess or analyse such policy initiatives is of paramount importance. Therefore, it cannot be underscored enough of the need for awareness, knowledge and skills at all levels to implement sound policies and effect change. A better understanding of the public policy-making process, the stakeholders involved as well as the role and responsibilities of the participants in policy assessment could ensure a greater degree of professionalism when public policies are formulated and the implementation of such is considered (Roux 2002:418).

The success of any policy should be evaluated on its ability to address the majority of the needs of the intended target. Addressing the interaction between policy intentions and policy implementation is crucial to gain an understanding of the entire policy-making and analysis process. The complexity of transforming a policy into practice can be affected by a number of variables which can occur from the beginning of the policy-making through to the policy evaluation stage. Roux (2005:60) identified possible factors that affect the implementation of policies at the local sphere of government, namely: The lack of

implementation capacity at the local sphere; inadequate human resource capacity and expertise; inadequate communication between national and local government; inadequate financial resources to fully implement and manage the well-meaning government programmes.

Anderson (1997:3) in Venter and Landsberg (2006:165) defines public policy as a purposive course of action on the part of an actor or a set of actors in dealing with a problem or matter of concern. Kuye (2011:174) articulates that, “The developmental state is expressed as a development conscious state in which economic development is enhanced through political commitment and a competent bureaucracy driven by state political and economic structures. Some of the functions of the developmental state are in form of micro and macro policies that create an enabling environment for businesses. Within this milieu of development and the developmental state, the process of policy and the analysis of policy are required to thrive. Policy analysis is demonstrated in the interactions between and within the state, business, civil society and the international community. Nevertheless, one of the setbacks on the developmental state is the tendency to compete over policy in terms of multiple policy targets from each of its actors. The international environment of development exists on policy guidelines that are meant to drive and sustain development in the developing world. Additionally, the role of and the interaction between stakeholders such as business and civil society, the state and international community are governed by certain policy and institutional arrangements. It is thus imperative to look at policy direction in the developmental state and in the international development community. Exploring how some of these policies may change or remain the same over time is also vital. This environment provides an interesting focus of activity for policy studies” (Kuye 2011:175).

Booyesen in Venter and Landsberg (2006:163) contends that policy greatly influences the extent of legitimacy that governments enjoy and this impact is visible far beyond the original statement of policy. This argument is based on the premise that a given policy is never static. For instance, a policy in the field of basic services is subject to continual change, as the policy process advances from adoption of the policy through to implementation and actual delivery of services. Booyesen further argues that a policy at any



point in time beyond the moment of final formulation and adoption will be either more or less than it was at the time of constituting that policy. Governments are thus judged equally by how they supplement policies to help reach the original policy goals and how they amend policies to fit to new policy contexts. Cloete and Wissink (2000:118) concur to an extent with this argument. They further argue that no government policy over time is ever complete in terms of its outcomes or effect on society. This is primarily due to the continually developmental and changing nature of the needs of the people as the beneficiaries of public policy.

### **3.6 Public participation as a variable affecting policy implementation**

The participation of civil society in the implementation of public policy has been a consistent thrust of the transformation agenda of the South African democratic government. The whole thrust has been that people need to participate in their own development and take ownership of the process (Kuye & Nhlapo 2011:89). The early years of South Africa's first democratic government were characterised by the participatory ideals and expectations of the era of mobilisation for democracy and a great deal of attention was given to the restructuring of policy-making processes that gave effect to the participatory ethos of the time. These broad changes came about during the second decade of democracy when consultation and participation were increasingly organised in terms of structured interactions such as "Imbizo" and consultation processes round Integrated Development Plans. Moreover, as policy emphasis shifted to implementation, there was increasing focus on reorganising provinces and municipalities to help build capacity. The third change was that the policy process was characterised by an emphasis on streamlining policy implementation through coordination (Venter & Landsberg 2006:164).

A number of South African public policies have been pursued through various legislative initiatives such as the RDP, GEAR and IDP to face the twin challenges of poverty and inequality. Government commitment to implementing strict fiscal policies and to pursue structural economic reforms which inescapably have short-term social costs does, however, stifle the governments aptitude to address the social ills that affect communities nation-wide. The implementation of government policies have been affected by the lack of

capacity and community participation in the local sphere of government. The unending challenge of poverty in South Africa elicits questions on the quality of participation of various actors in the policy process, the implementation of public policy and the approaches used. Although government has committed itself to working in partnership with civil society in implementing its policies, studies have shown that this has not been as effective as anticipated (Kuye & Nhlapo 2011:89-91).

The involvement and participation of communities on issues affecting their own development is crucial for any democratic society. Van Dijk and Croucamp (2007:66) assert that the key features of the developmental state include a culture of human rights, participatory democracy and placing the state as the main facilitator of nation-building and socio-economic development. This requires a robust partnership between government, business and civil society to work towards a well-defined goal and amass the added value and strength of each of the individual actors. The developmental approach to addressing inequality and accelerating economic growth through partnerships, therefore, places additional accent on responsiveness, decentralisation and accountability. This encourages communities to become active participants in the public policy process.

The White Paper on Local Government (1998) urges municipalities to develop mechanisms to ensure community participation including: forums to influence policy formulation both from within and outside local government; participatory budget initiatives to ensure that community priorities are aligned to capital investment programmes; as well as focus group participatory action research to gather information on specific needs and values of communities. The requirement is that this function should be executed together with non-governmental organisations and community-based organisations. The WPLG (1998) suggests that providing support to associations to enhance their organisational development is particularly important for poor marginalised areas, especially if there is a lack of skills and resources for participation. Its reasoning for this standpoint is that citizens tend to participate via associations rather than as individuals in these areas.

Integrated Development Plans are seen as a vehicle through which municipalities can achieve the mandate of creating a developmental local government that the WPLG (1998)

promotes. The reasons identified by the WPLG making a case for IDPs include that there are many challenges facing communities and that the plans would help municipalities meet these challenges by: enabling local municipalities to develop development plans for their areas over a period of time, including “short term, medium and long term”, helping municipalities develop clear visions and strategies to deal with problems that exist in their development areas; ensuring prioritisation and appropriate allocation of resources as well as enabling municipalities to better understand the “dynamics” that exist in their development areas, to allow them to meet the needs of communities and improve their quality of life.

The White Paper on Transforming Public Service Delivery (1997) brought about a change in the way in which public services should be delivered. The change placed the citizens at the centre of public service, ensuring that citizens access services and information. This policy highlights public accountability, especially if the services are not provided according to the set standard; the clients must be given reasons. Brynard (2007:357) in Kuye and Nhlapo (2011:95) aptly points out that the mere existence of good policies does not automatically result in successful implementation. Often, the problems with policies lie in the implementation resulting in policy gaps. Regardless of the development of this policy framework to transform service delivery, South Africa is still plagued by service delivery challenges.

In order to respond to the challenges as a result of the implementation of neo-liberal economic policies, civil society reconstituted itself into two blocs. The first involved the rise of informal, survivalist community based organisations, networks and associations which enable poor and marginalised communities to survive against the daily harsh realities of neo-liberalism. These associations constitute the largest category of institutional formations within the non-profit organisations sector. The second bloc of CSOs comprises formal community based structures that are largely established with the explicit political aim of organising and mobilising the poor and marginalised and engaging the state and other social actors around the implementation of neoliberal social policies (Habib 2003:9). The Treatment Action Campaign (TAC) is a good example of how a social movement can function within the democratic system by using protest, petition and litigation to effect

policy change. The TAC also had certain significant breakthroughs in its engagement with the state in dealing with copyright laws preventing the use of generic AIDS drugs. The second court victory was achieved when the former Minister of Health Dr Manto Tshabalala-Msimang was forced to provide Anti-Retroviral (ARV) drugs to prevent mother to child transmission of HIV.

The consolidation of a vibrant civil society may be considered a vital component towards preventing government statism. The reasons why civil society organisations (CSO) are deemed significant in Africa are because of the manifold functions they perform. Schmitter (1991:16) in Kuye and Nhlapo (2011:99) cites the following important functions of the CSOs as being: to promote not only their socio-economic interests, but also to define the rules for settling conflicting claims and interests in ways that are beneficial to themselves and society in general. CSOs also attempt to influence public policy-making and its implementation through a variety of formal and informal channels which include lobbying.

Well-functioning civil society organisations can provide a meaningful contribution to the development of communities, especially at the local sphere of government. The emergence of a host of local development forums and the community development forums which were intended to be included in state structures for delivering development programmes are examples hereof. The involvement of communities in the implementation of programmes combines the delivery of the project outputs with the mobilisation of local the communities to take advantage of their own development. In this manner, communities as programme beneficiaries are empowered to take decisions and participate fully in addressing challenges. Therefore, if South Africa aimed to meet Millennium Development Goal targets by 2015, a paradigm shift is required, that will be non-bureaucratic and will allow for the development of systems for capacity-building and funding which in turn will enable CSOs to participate effectively in the implementation of programmes.

Civil society organisations cite numerous implementation challenges they experience in their efforts to alleviate poverty. The challenges as a result of the mobilisation and allocation of resources, severely impacts on the effective functioning of CSOs. These challenges are as a result of government processes that delay funding or in certain

instances CSOs are unable to acquire funds through bank loans owing to the stringent policies adopted by financial institutions (Kuye & Nhlapo 2011:100). CSOs also seem to experience difficulty in managing their finances because they fail to comply with the Non-Profit Organisations Act (1997) which requires them to report annually on how they have utilised funds. Given the huge under-spending by CSOs in the three year period, not only would it be wise to ensure the sustainability of programmes in their planning process but it would be beneficial because this would guarantee that they develop strategies for fundraising instead raising funds on an *ad hoc* basis.

The smaller community-based organisations (CBO) often fill the gaps left by government by enhancing government activities and responding to community needs swiftly because they work closely with NGOs to implement programmes at grassroots level. CBOs play a significant role in society. They are often survivalist-based organisations that provide a service where there is no or insufficient resources. Therefore, they can be considered catalysts for social reform. They also tend to have first-hand knowledge of problems at ground level and can contribute towards policy development by augmenting the voice of their constituents on policy and other issues which affect them. Therefore, CBOs need to be granted the same opportunities as large NGOs for funding and mobilisation because they lack the skills needed to grow their organisations, rely on voluntary staff and limited funding (Ranchod 2007:21).

The informal based CBOs enhance democracy at the simplest level because they assist ordinary citizens to survive. The establishment of more formal relations between them and the state would thus compromise this role. The more formal NGOs collaborative relationship with the state is based on the services they render for the state. Moreover, in a society confronted with massive backlogs and limited institutional capacity, this role would benefit democracy as it facilitates and enables service delivery to ordinary citizens and residents. Furthermore, the divergent and hostile role of new social movements and more formal CBOs enhances democracy since it establishes flexibility of support at the base of society. This is an advantage as it establishes flexible support at the base of society. This is an advantage as it paves the way for the reconstruction of power within society since citizens are perceived as having a greater voice and influence shifting the system to the

left which can build a more people-centred Keynesian-oriented developmental agenda (Habib 2003:11).

The lack of participation of civil society organisations in the municipality's IDP is a gap in advancing integrated development to address the community's challenges. Taking into consideration the role of local government to reduce historical socio-economic backlogs through the acceleration of service delivery to local disadvantaged communities, it is critical that both CSOs and local government partner and collaborate to provide a better life to communities. There is a great need to strengthen partnership and collaboration between these institutions and governments in all spheres. This in turn will facilitate CSO participation in various mechanisms and processes including IDPs to ensure effective implementation of policies and programmes (Kuye & Nhlapo 2011: 101).

Anderson in Venter and Landsberg (2006:167), demarcate the following phases in the policy-making process: Formulation- problems, agendas and formulation; adoption; budgeting; implementation; impact- evaluation and change. Since the implementation stage is placed between the policy formulation phases and the consequences of the policy is evaluated, the approach or model used can greatly influence this phase (Makinde 2005:64). Furthermore, policy studies should be concerned with identifying inappropriate aspects between policy formulation and output if it seeks to inform policy-makers of how they should go about making policy.

Two approaches that can be used to implement policies include the top-down and bottom-up approach (Brynard 2009:136). The top-down approach views the official's implementation actions and targets groups to conform to the goals exemplified in the authoritative decision which is located at the central level of government. Advocates of the top-down approach tend to propagate policies that demonstrate patterns and have variables that can be generalised at the top. These policies can also be generalised. There is also a belief that in order to improve successful implementation, it is imperative to clarify policy goals at regular intervals; limit the extent of change that is necessary; minimise the number of actors and place implementation in the agency that is sympathetic with the goals of the policy.

However, Matland (1995:147) in Brynard (2009:137) identifies several challenges of the top-down approach to implementation. Firstly, consistent and identifiable behaviour patterns across different policy arenas should be established because of the strong desire by the approach to generalise. The traditional top-down approaches on social policy should take into account the interest and needs of the community and the political factors that influence the perception on policy. Hence, top-down approaches usually lack details of current and future social and cultural options which may be relevant for an appropriate assessment of the social policy proposal. The top-down approach is also criticised of its view of implementation as an administrative process and in so doing ignore the political implications associated with the policy process. The top-down approaches insistence on clarity and separation of politics from administration could result in the advocates of this model trying to protect a subject that is intrinsically rooted in politics, that is, be apolitical (Matland in Brynard 2009:138). This also compromises the significance of democracy to a developmental state because citizen participation is not limited to the choice of decision-makers. Moreover, development in its very nature is a political process which cannot be treated in a technocratic fashion (Edigheji 2010:14). Secondly, the role of local actors is undermined as the top-down approach proponents view local actors as barriers to a successful implementation process and therefore, needs to be controlled. This is due to over-reliance the approach places on the state as key actors devoid of acknowledging the significant role local actors play.

On the other hand, the bottom-up approach is based on the process of centralising policy management known as macro-implementation. This “macro-implementation” process is premised on the belief that in order to realistically understand implementation, it is crucial to view policy from the targeted beneficiary’s point of view as well as the impact that the policy has on it. What the bottom-down approach contends is that when centrally planned programmes are to be implemented at a local level and also on a large scale, the environmental dynamics must be considered. Since local implementers are members of their community and influenced by a local institutional setting, they would be suitable to develop and implement their programmes because they have greater local knowledge. The macro-implementation level can be understood as characterised by the need to understand the goals, activities and contacts of actors at the local level in order to comprehend implementation (Matland in Brynard 2009:139-140).

There are major differences in characteristics of both approaches. The top-down approach is inductive and based on predictions. There is a need to recommend what ought to be done by laying down rules which need to be adhered to. Conversely, the bottom-up approach can be considered deductive and based on the yearning to explain what factors were instrumental in causing difficulties to achieve intended goals. Both the approaches have advantages and disadvantages but can offer an upgraded policy implementation process when combined. This combination into one model can address structuring policy from the top as well as its alteration at the ultimate point of implementation. Then again, it can alter certain aspects which can pose challenges during the implementation process (Brynard 2009:140).

The weaknesses of these approaches can be listed as variables that can affect the policy implementation process. Khosa in Kuye and Nhlapo (2011:98) remark that the discrepancies between policy and implementation are largely as a result of unrealistic policies and a lack of managerial expertise. Khosa also asserts that the lack of a people-driven process has also hampered the implementation of policy.

### **3.7 Political-administrative interface as a variable affecting policy implementation**

Maphunye (2009:11) asserts that a developmental public service and administration may be defined as a politico-administrative structure with the capacity to deliver services to the public in a manner that goes beyond the Weberian criteria of a trained and professional bureaucracy that merely interprets legislation and policies. Maphunye further contends that such a public service should be highly skilled, professional, experienced and have goal-directed personnel with the capacity not only to fulfil the mandate of the government of the day but also to contribute to the development of a strategic vision for transforming society. Such a public service would be geared towards the efficient and effective implementation of progressive policies aimed at eradicating poverty and promoting a democratic governance system through, among other processes, effective monitoring and evaluation, strategic contribution to the organisations overall mandate and systematic implementation.



The South African local government suffers severe deficiencies in planning, project management, financial management and technical skills. Picard (2005) in Butler (2010:191-192) argues that certain limitations of the South African state from the Weberian perspective can be attributed to her historical legacies. It was imperative that the ANC-led government build a new system of government from the obsolete apartheid regime, incorporate former Bantustans, create new municipalities and provinces, reconfigure the centre of the state and develop an integrated national medium-term planning framework. Unfortunately, the local government bore the brunt of the apartheid legacy. The turnover of officials has been unusually extreme and the tenure of service short. The swift metamorphosis that South African institutions were forced to undergo destroyed institutional memory and the capacity to reproduce skills.

Since the implementation of the Employment Equity Act 55 of 1998, the turnover of officials has been excessive because of the lack of appropriate training and educational programmes. An intervention by the South African Institute of Civil Engineers revealed that engineering skills necessary for the provision of water services, sanitation, waste disposal, and household electricity were in sharp decline. A slow destruction of local government since the 1980s was prevalent. This led to a major test because there is an approximately 5–10 year window period within which technical skills can be “transferred by the remaining legions of experienced engineers who are close to retirement age” (Butler 2010:191).

Whereas Chalmers Johnsons vision of an “apparatus of plan rationality” was characterised by a “small, inexpensive, but elite bureaucracy, staffed by the best in managerial talent available in the system” and that an elite tier of ministers would be supported by a cohort of directors-general who are the best graduates of their generation and share “common developmental grammar and idiom”, the South African reality differed. Butler (2010:193) cites Sangweni and Mxakato-Diseko (2008) who highlighted that the South African public service was at the infant stage of being able to fulfil its function, implying that there was mediocrity, weakness, ineptitude and a lack of cognisance of the urgency to “raise the bar” on service delivery. This analysis also pointed to a number of underlying problems which contributed to the South African public services inability to grasp and overcome the challenges it faced. These included: the cultural and political clashes between officials; the

lack of any common ethos; the absence of uniform training; high mobility of public officials in pursuit of senior positions which resulted in limited institutional memory as well as excessive rapid turnover of Director-Generals and Heads of Department.

The relationship between elected political officials and those appointed as public servants was frequently discussed that necessitated significant assessment through research or policy analysis because of the impact it could have on a government's term of office. The tension and strain that existed in the relationship between the politicians and civil servants also resulted in conflict which made this an interesting research area for the analysts (Maphunye 2009:33).

Section 151(2) of the Constitution stipulates that both legislative and executive powers are vested in the municipal council. This is acutely relevant for the South African local government system because municipalities are considered developed legislative assemblies with the authority to exercise legislative powers. Statutory law provides for a degree of separation and establishes a system of municipal executives. Municipalities can either operate the executive mayoral system which permits the council to elect an executive mayor who exercises executive authority or the less popular collective executive system within which the council elects an executive committee that collectively exercises executive authority to its executive mayor or executive committee. As the delegating authority, the council is responsible to exercise executive authority and have controlling powers over the executive. Therefore, municipalities play a significant role in delineating roles and responsibilities. The legislative instruments that can guide them in this process include the Municipal Systems Act as well as Section 160 (6) of the South African Constitution.

The division of responsibility between the executive and legislative branches of government is clearly separated by the Constitution at the national and provincial level while municipalities are commissioned with managing these multifaceted relationships within a limited environment. The fusion of legislative and executive authority in the municipal council poses challenges for municipalities as it raises questions of who should be in charge of the municipal administration. This impacts on the balance between the

need for the public service to treat citizens equally and not discriminate on grounds of political allegiance. It is argued that separating the executive and legislative roles will not materially affect governance positively and a solution can be found to improve the existing policy and legal frameworks, strike a balance and ensure an effective political and administrative leadership (de Visser 2010:06).

The constitutional separation of executive and legislative authority at the national and provincial spheres of government help to avoid the political-administrative interface because administration at the national level is directed by the national executive, viz. the President and his or her cabinet. Parliament has the responsibility to oversee the executive and may call administrators to account to it although it has no direct authority over those administrators. This also takes place at the provincial level. Legislation was passed to assist municipalities to function in a multifaceted system. Consequently, the amalgamation of both the executive and legislative authority could be beneficial to guide municipalities in this regard. In an effort to separate council from the administration, the Municipal Systems Act mandates the municipal council to appoint senior managers i.e. Municipal Managers and managers who report directly to him or her while further appointments are made by the administration itself. It also stipulates that the respective roles and responsibilities of each political structure, political office bearer and the Municipal Managers must be defined in precise terms in writing and acknowledged and given effect to in the rules, procedures, instructions and policy statements. The Act further stipulates that in defining the areas of responsibility, the manner in which they should interact must be determined; outline appropriate lines of communication; reporting and mechanisms be established; processes and procedures for interaction between the political structures, municipal manager and other staff also be clear.

The Municipal Finance Management Act also stipulates that councillors can be disqualified from participating in tender decisions and also seeks to separate the council from the administration through numerous provisions. The Municipal Systems Amendment Act (2011) also specifies the growing acknowledgement of the need to achieve a clearer demarcation between the administrative and the political.

In reality, the political-administrative interface has become known as the Achilles heel of many municipalities. Political interference by political parties has often resulted in confusion since the municipal executives and officials struggled to define clear roles amongst themselves (de Visser (2010:94). The power dynamics of the relationship between political heads and administrative executives should be investigated because challenges or tension may hamper the implementation of policies and in due course, service delivery. Although the council is responsible for passing by-laws and resolutions, Section 16 (1) (a) of the Municipal Systems Act (2000) authorises the Municipal Manager, other managers in the municipal departments as well as civil society to contribute to the formulation of policy within the framework of their respective spheres including the parameters within which council passes policies.

When a Municipal Manager participates in public policy formulation, it does not imply that the latter official is involved in the process but simply acknowledges politics. Likewise, based on attaching an administrative value judgement to facts within the current political framework and interpreting societal requirements, when an official proposes policy options to the Municipal Manager in the course of the execution of his or her duties, he or she performs a political function and operates within the setting of politics. What can be observed is that an absolute separation of politics and administration is highly politicised and interconnected with social interests in weaker political economies where power employment and patronage are concentrated. This poses a challenge that the development state has to address because patronage often undermines public service motivation, public morale and participation in development programmes.

The fact that the public service in certain African countries was primarily about creating jobs and controlling access to state favours and the related challenge of the quality of political leadership presents a serious dilemma. This highlights the issue of political appointments in the public service. The pertinent questions include: Are the political appointments based on accountable and regulatory frameworks which are relevant and also justify such appointments? The strongest confirmation of political appointments and undue political interference in local government are prevalent in a court case involving the appointment of a Municipal Manager for Amathole District Municipality and Mlamli Zenzile

(2009) 30 ILJ 517 (E), 6 November 2008. The court found that following a directive from the ANC Regional Executive, the majority ANC council caucus members approved the appointment of one of two final candidates for the position, regardless that the other candidate had outperformed the applicant in the interview and assessments. The judge concluded:

“The involvement of the Regional Executive Council of the ANC constituted an unauthorised and unwarranted intervention in the affairs of the municipality. It is clear that the councillors of the ANC supinely abdicated to their political party their responsibility to fill the position of the municipal manager with the best qualified and best suited candidate on the basis of qualifications, suitability and with due regard to the provisions of pertinent employment legislation. This was a responsibility owed to the electorate as a whole and not just to the sectarian interests of their political masters. The council has demonstrated a lamentable abdication of its responsibilities by succumbing to a political directive from an external body, regardless of the merits of the matter. It continues, with an equally lamentable lack of insight into its conduct, to contend that it was proper for it to have done so”.

The ANC Cadre and Deployment Strategy (1997) which encouraged political appointments in the public service and accentuated that potential deployees be recruited from within the party and groomed to understand and accept the basic policies and programmes of the ANC without any reference to administrative proficiency; further aggravated the institutional capacity challenges as well as created space for abuse, corruption and maladministration. The Department of Cooperative Governance and Traditional Affairs (2009) confirmed the prevalent form of political appointment at the local government sphere had been an unrefined form of patronage which included the appointment of families and friends to government posts. This form of patronage is usually less susceptible to political control and tends to be a reward for political loyalty.

The Organisation for Economic Co-operation and Development (OECD) published a study on political involvement in bureaucracies in the appointment, dismissal, promotion, transfer and performance assessment of public servants in twelve countries based on trends

between 2000 and 2006. The study ranked South Africa as the third highest in political involvement in the appointment of top five management levels (Director-General, Deputy Director-General, Chief Director, Director & Deputy Director). The Director-General and Deputy Director-General were described as political appointments while the Chief Director and Director Level were described as hybrid as they combined administrative selection criteria with political considerations. The only level that was considered purely administrative was the fifth level for developmental states. The ANC Secretary General, Gwede Mantashe defended the Cadre Policy and Deployment Strategy when he argued that it ensured maximum trust between the political head of department and its senior appointees. He further questioned if the ANC acquired 70% of the votes, would it consider appointments to state institutions from the 30% or the electorate that did not support the party (Cameron 2010:14).

It is, however, significant to note that the use of networks, power and privilege to access economic resources tends to impede the development of any efficient, effective and less corrupt public service and administration. Owing to the challenges of underdevelopment, marginalisation, unemployment and poverty prevalent in a number of African countries; political leaders or representatives often have the latitude to use patronage, power and influence to direct or misdirect public services in ways that cause political, ethnic or other tensions and frequently culminate in conflict (Nzwei & Kuye 2007:102). The South African national and provincial public service does not depict high performance machinery that is required by a developmental state. Moreover, it also does not exhibit the meritocratic selection processes, long-run career rewards and corporate coherences that are advocated by New Public Management Principles which are essential for the emergence of state autonomy (Butler 2010:193). Furthermore, a developmental state cannot emerge in a country whose political leaders have the intention of impoverishing the communities to be elected or appointed to serve.

Butler (2010:189) contends that the value of the developmental state as a motivating idea in public policy will be judged by its capacity to evaluate and provide intellectual and political support for policy and institutional changes that would otherwise lack political viability. Levin (2007) in Butler (2010:190) posit that a consistently decisive factor in the

success or failure of developmental states has been the capacity of the state to implement the governments' socio-economic objectives. The significance of capacity is acknowledged. The Municipal Enabling Legislation (Act 32 of 2000 Section 68) obliges the municipalities to implement measures to finance training programmes for municipal officials; develop their human resource capacity to a level that enables it to perform its functions and exercise its powers effectively, efficiently and economically.

When a new system is introduced and the administrative and the political structures are radically re-engineered, a threat is posed to the new employees of the political and administrative components. As a result of the perpetuation of the legacies of apartheid, the South African scenario was further complicated by the former municipalities which were racially segregated. The minority white municipalities were financially feasible and the staff component comprised white personnel. With the democratisation and restructuring of provinces and municipalities, the major challenge was inadequate experienced staff and councillors in the municipalities (Thornhill 2008:506).

The Municipal Demarcation Board (2007/08) Report highlighted the challenges faced by municipalities as a result of incapacity. It was revealed that in most instances where municipalities performed poorly, it could not be attributed to non-viable areas such as the former Bantustans. The Board further reported on managerial incapacity due to a number of factors including the extent of the service backlog in former disadvantaged areas; lack of financial resources and dependence on grants by national government, household indigence, managerial inexperience and incapacity and community expectations exceeding the capacity of the municipality. It became alarmingly clear that proper capacity was required to implement a totally new system in which no institutional memory existed. Moreover, communities should be properly informed about the capacity of the municipality to deliver on political promises (Thornhill 2008:506).

Van der Waldt, Van Niekerk, Doyle, Knipe and Du Toit (2001:17) argued that the inclusion of policy implementers in the policy formulation stage could result in the formulation of overly ambitious and irresponsible policies and afforded implementers a better understanding of the intentions of the policy. Therefore, policy-makers and implementers

in the national and local government should have primarily determined the intentions of government before they considered implementation. In addition, the municipalities should have considered the policies formulated by government merely as guidelines and parameters for implementation. This would persuade the municipalities to formulate their own municipal policies and IDP documents, specific to meet the needs and priorities of citizens in their communities.

A number of reasons can be offered for the success or failure of policies. It can be deduced that the failure of policy in developing countries such as South Africa can largely be attributed to poor implementation. Makinde (2005:64) states that policy failure occurs when there is a sizeable gap between a policy decision and its implementation. Kuye (2011:97) insists that the study of policy implementation is crucial for the study of public administration and public policy and the process of putting policy into action is deserving of study as it would be wrong to take for granted that this process will be smooth and straight-forward. Although broad clusters of variables that shape the direction in which implementation can take place have been identified, there is no one single system that guarantees successful implementation. Some of the common variables that are considered critical for the implementation of policies were identified by Cloete, Wissink and Coning (2008:193). This model is referred to as the 5-C Protocol.

### **3.8 5-C Protocol of Policy Implementation**

Kuye and Nhlapo (2011:98) define policy implementation as a step in the policy process which should not be viewed in mechanistic terms of merely formulating policy and then directly translating that policy into action. However, the policy implementation process should not be viewed in isolation because there are a number of factors that can impact throughout the process and impede the final output which is also linked to the realities of a specific and ever-changing environment. The rules set out in the 5-C protocol will be utilised to evaluate the implementation of the Integrated Development Plan for local government. The protocol identifies five critical variables which are interlinked and influenced by others depending on the situation and conditions where the policy is implemented (Cloete & Wissink 2008:193).



**Content:** One of the five variables that have a decisive impact on the implementation of public policies set by government is policy content. The latter is determined by the amount of and the extent to which the government coerce communities and societies. Government can utilise various means to coerce, such as those that are remunerative or normative. These weapons of influence are used to achieve policy goals. The significance of policy content is not limited to the means used to achieve the objectives of the policy. Cloete and Wissink (2000:177) hypothesized that policy is distributive, regulatory or redistributive. This categorisation is based on the fact that it is not possible to have policies that will stimulate the interest of all citizens equally. Policies may vary between less stimulating or attracting limited interest and those that can trigger a chain of events.

Distributive policies are those that create tangible benefits for individuals or groups and are non- zero-sum in character. Regulatory policies specify rules that should be followed or obeyed and those who do not comply are punished. The redistributive policies are developed to change allocation of wealth or the power of some groups at the expense of others. These policies may include welfare, affirmative action or land redistribution and they represent attempts by government to direct the allocation of wealth among different societal groups (Venter & Landsberg 2006:166). An example of a redistributive policy is the National Spatial Development Perspective (2006) which was principled on efforts to address past and current social inequalities by focusing on people and not places. This entailed having fixed capital investment beyond basic services to exploit the potential of localities that exhibit high levels of poverty and economic potential. Conversely, the government could concentrate primarily on human capital development by providing education and training, social transfers such as grants and poverty-relief programmes in localities with low demonstrated economic potential.

The Integrated Development Plan for local government can be classified as a distributive policy because it is the key strategic planning policy that guides municipality's to fulfil their developmental role. Through the alignment of municipal IDPs, Provincial Growth Development Strategies and the National Spatial Development Perspective, the IDP policy would help previously disadvantaged municipalities meet the poverty and inequality changes by ensuring prioritisation and appropriate allocation of resources; enabling

municipalities to better understand the dynamics that exist in their development areas, to allow them to meet the needs of communities and improve their quality of life as well as enable municipalities to develop clear vision and strategies to address problems in their development areas and develop development plans for their areas over a short, medium or long term period.

**Context:** The context in which a policy is developed and implemented plays a significant role in guaranteeing successful implementation. It should be noted that different policies may address specific areas such as political, social, economic or legal settings. Furthermore, these policies are not developed and implemented in context-free environments. O'Toole (1986:202) in Cloete, Wissink and De Coning (2008:198) was cognisant of the context in the policy-making process. He further argued that policy contexts should be further widened to include more than the policy-makers and implementers understanding of social, economic, political and legal setting. Policies should also reflect the realities of the systems which shape them and their implementation because those (policies) that are formulated without consideration of the socio-economic, political or environmental contexts and administrative environment can result in policy gaps which can inhibit successful policy implementation.

The South African government was aware of the significance of uplifting the social and economic conditions of citizens in various municipalities by redressing inequalities and promote economic conditions in various municipalities when it introduced the IDP. The IDP can be perceived as an example of a policy that was formulated in the context of the social, economic and political variables since it recognised the benefits that Local Economic Development Plans can have for a municipality. Furthermore, it was opportune for public participation processes that strengthen democracy. Although various distributive and non-discriminatory policies were introduced for local government, the South African constitution stipulates the responsibility of municipalities to structure and manage its budget planning processes, give priority to the basic needs of the community and improve the social and economic development of the community. However, policy-makers paid limited attention to the municipal institutional variables that could enable them to deliver on their developmental mandate. The municipal protests that have taken place over the lack

of service delivery are a clear indication that the municipalities do not have adequate capacity to deliver services to the citizenry.

**Commitment:** Maphunye (2009:41) states that public service provision for a developmental state can be boosted significantly by the prevalence of certain conditions such as public participation and dedicated public servants who can deliver services optimally regardless of the challenges they may face. Without commitment from all stakeholders and actors involved in the policy-making process, even the best-conceived public policy may be unsuccessful due to the technical implementation anomalies that arise as a result of a lack of commitment. Cloete and Wissink (2000:181) also view commitment as an important aspect of implementation including all the stages involved in policy-making and that it is interlinked with all other variables because commitment can influence and be influenced by them.

The South African government's commitment to building a state that is capable of playing a developmental and transformative role can be traced back to the first democratic elections in 1994. Furthermore, it can be observed in the implementation of policies such as the IDP and National Capacity Building Framework (NCBF). The IDP guides municipalities and its stakeholders of how to implement Local Economic Development programmes that improve their socio-economic conditions while the NCBF guides municipalities to enable a meaningful interaction between stakeholders involved in planning for and implementing capacity-building interventions. These two policies bring together people from all walks of life to commit to contributing to their own elevation.

**Capacity:** Central to the implementation of public policies is the capacity of all concerned role players to undertake their responsibilities effectively, efficiently and economically. The capacity of all participants in policy-making processes constitutes sufficient state capacity and requires cooperation, collaboration and coordination of all efforts (Mothae 2008: 245-246). Policy implementation also falls within the scope of South Africa as a developmental state. In order to claim its place as a developmental state, Gelb (2006:21) proposed four key tasks that should be executed. These include: formulate a cohesive and a focused set of goals and objectives for national growth and development and a set of policies to

achieve those goals; coordinate the mobilisation and allocation of financial and human resources for investment in line with the policies identified; monitor and evaluate progress towards the objectives because of policies and to adjust the mobilisation and allocation of resources to progress made towards existing objectives, changes in objectives and exogenous pressures and shocks.

The South African government has, however, often failed to achieve these tasks and the incapacity to effectively implement public policies has often been impugned hereon. Thus, the incapacity of all state organs to implement state goals is a huge problem that requires urgent attention. The local sphere of government was hardest hit in relation to delivering services as mandated by the Constitution of the Republic of South Africa 1996 and a number of scholars such as Roux (2005:60) who argued that the implementation of policies in municipalities are affected by inadequate human resource capacity and expertise; inadequate communication between national and provincial government, lack of implementation capacity as well as inadequate financial resources to fully implement and manage the needs of communities. Local government inherited a highly disintegrated system and was deprived of economic opportunities. In order to improve and capacitate municipalities, a great deal of coordination and cooperation was required by the three spheres of government. The Intergovernmental Relations Framework Act 2005 proposes the aforementioned recommendation.

Capacity-building is vital to ensure that there is effective policy implementation at local government. However, capacity building goes beyond being a response to a lack of ability and proposing technical interventions but it is rather an approach to development as it seeks to strengthen organisational capacities without separating them from external change and the social, economic and equity improvements of its communities. The South African government acknowledged the significance of capacity-building programmes as an instrument to empower municipalities to deliver on its constitutional objectives and establish plans that would improve the economic and social conditions of its communities and therefore contribute to building a developmental state. This was perceived through the Integrated Development Plan, Local Economic Development Plan and National Capacity

Building frameworks as well as development agencies that were established over the years.

**Clients and Coalitions:** Cloete, Wissink & Coning (2008:203) maintain that joining interest groups, opinion leaders, actors and party coalitions who support a particular policy implementation process is essential to ensure the efficiency and efficacy of government because the power shifts between the various actors can greatly influence a particular implementation process. To ensure maximum mutual benefit for South Africa, its provinces and municipalities will require a far more integrated and harmonised approach to the local government's role in policy development, commercial engagement and development planning. The Constitution of the Republic of South Africa 1996 makes provision for constitutional and political rights and following the 2000 local government elections, there was a request to establish partnerships and forge relationships between the public and private sectors, stakeholders, SALGA and various municipalities and provincial and national departments.

Although the NSDP (2006) is a major achievement in the state, the drive to ensure greater economic growth, poverty eradication, and intergovernmental collaboration between national, provincial and municipal structures through intense engagements and provided an initial interpretation of the potential of different localities and sectors, which were not perceived as a definitive measure. A more rigorous assessment of potential was required for the formulation of IDP for municipalities which could be conducted by considering the NSDP findings combined with local knowledge and research. This would ensure that the IDP developed for a municipality would be specific to its context.

The Municipal Systems Act 2000 (Sections 25 & 35) supports the IDPs supplication for municipalities to incorporate communities, civil society, ward committees and various forums to influence policy formulation and play a role in managing governance affairs from participatory budgetary initiatives to ensure that community priorities are aligned to capital investment programmes; focus group participatory action research with NGOs and CBOs to gather information on specific needs and values of communities as well as provide support to associations to enhance their organisational development. (This is particularly

important for marginalised areas where there is a probable lack of skills and resources for participation since citizens in marginalised areas tend to participate via associations rather than as individuals). The Municipal Structures Act 1998 (Section 44 (3) (g) also promotes community participation at local government as it aims to provide a framework to set regulations on the internal systems, structures and office bearers within municipalities. It also requires the executive committee of the municipal council to report annually on this involvement and its effect.

### **3.9 Monitoring and Evaluation**

The establishment of the Department of Performance Monitoring and Evaluation in January 2010 was a step in the right direction for government to pursue improved public service performance, create monitoring and evaluation systems in order to help them understand and track their performance as well as to ensure continuous improved service delivery. Monitoring and Evaluation is necessary because its strategic orientation helps ensure that government achieves its developmental goals by focusing on the delivering results, which is essentially what policy implementation entails. In order for local government to effectively address the challenges of poverty and inequality, government would have to be efficient in executing all its implementation processes while using the current resource capacity (inputs) to deliver the desired public goods and services (outputs) and be effective in meeting the societal objectives (outcomes) that are about changing people's lives for the better in the long-run (impact).

The National Capacity building Framework (2012) suggests a number of assessment outcomes linked to institutional capacity, support, capacity- building and training initiatives for individual, institutional and environmental capacity. These assessments include Municipal Demarcation Board Capacity Assessments, Differentiated Approach, Shared Services and MPAT against specific benchmarks to determine the type of support, capacity building and training needed. It further proposed that the Department of Cooperative Governance and stakeholders should monitor, evaluate and report quarterly and conduct annual impact/ outcome assessments and redress support, capacity building or training initiatives where the predetermined impact is not achieved or the gap is not addressed. The competence found within municipalities should ensure that its business

units and structures are functional, perform well and adequately deliver their services. In order to achieve this, municipalities need to have the required operational capacity.

The required capacity for municipalities is determined by the human resources, physical resources (facilities, equipment, materials and budget); intellectual resources (organisational vision, strategy, planning, performance management, inter-institutional linkages); organisational structures and systems that enable efficient utilisation of resources to realise developmental goals; policy instruments, including policies; laws, regulations, administrative rules, standards and the enforcement of the policy instruments. The Department of Performance Monitoring and Evaluation as mandated by the Constitution of the Republic of South Africa 1996 aims to develop the capacity of national and provincial departments and municipalities to execute monitoring and evaluation themselves, develop a management culture of continuous improvement based on monitoring and evaluation and address problems with data quality and information management. It is, therefore, essential that municipalities continuously monitor and evaluate these factors if they are to effectively implement IDP and contribute to the elevation of the social and economic conditions of their communities and ultimately fulfil their developmental mandate.

### **3.10 Conclusion**

The aim of this chapter was to discuss the policy-making process and arena in South Africa as well as the factors that affect its implementation which all contribute to the municipality's capacity to create an enabling environment for the realisation of improved social and economic conditions as well as the vision of a developmental state. The political-administrative interface and its impact on policy implementation was further investigated and in doing so, focus was placed on the separation of powers at the local sphere of government and the significance of maintaining good relations between political and administrative heads to ensure the participation of all key role players from different political persuasions in the policy development process. The IDP and National Capacity Building Framework both underscore the significance of taking into consideration the various frameworks that can interfere with the municipality's ability to bridge the gap between the policy formulation stage and implementation to ensure delivery.

It is against this backdrop that public participation in IDPs and policy implementation was discussed. The legislation and policy frameworks outlined in this chapter were designed for public participation and give local municipalities the liberty to develop mechanisms to ensure the participation of community members through CBOs, ward committees, NGOs or any other structures or fora most suited to their municipality. Through the various top-down or bottom-up approaches discussed in the chapter, it is noted that the public participation process should be inclusive of all key stakeholders and the nature through which stakeholders participate in the policy-making process has a significant role in shaping IDP and policies at large.

Certain obstacles in the implementation of the National Capacity Building Framework which were acknowledged ranged from: a lack of public funds dedicated to local government capacity building; provincial and national spheres of government struggling to play their requisite role in capacity building as authorised by the legislative framework as well as the general attitude and work ethic of the policy implementers. In order to ensure the successful implementation of the National Capacity Building Framework, the South African government needs to take into consideration variables such as: have competent policy implementers participate in the policy-making process, ensure participation of national and provincial government, guide and assist through continual communication as well as outline objectives, monitor and evaluate progress to achieve them.



## **CHAPTER FOUR: CASE STUDY: AMATHOLE DISTRICT MUNICIPALITY**

### **4.1 Introduction**

The analysis of development and the institutional arrangements of the Amathole District Municipality are a crucial step in development planning. The core purpose of the process is to ascertain and assess the impact of the initiatives, interventions, policies and programmes of the social and economic upliftment of its communities through delivery of basic services such as water and sanitation; housing, economic opportunities and adequate healthcare. The fundamental aim of this chapter is to offer a comprehensive understanding of the service-delivery, socio-economic and developmental challenges which affect the different local municipalities within the Amathole District. This chapter shares an outline of situational analysis of the progressive needs of the communities in the Amathole District Municipality. A statistical demographic, economic and infrastructural overview will be provided on poverty, inequality levels and Human Development Index. The efforts made by Amathole District Municipality to implement capacity-building policies will be explored.

### **4.2. Situational Analysis**

The purpose of situational analysis is to outline development concerns to the Amathole District Municipality. This would entail a breakdown of the regional analysis by providing a geographic, economic and infrastructural overview. The demographic overview section will outline the demographic profile of the Amathole District Municipality through development indicators viz. population, population group, population characteristics (gender, Human development index, poverty and inequality) which influence socio-economic planning drivers and development in the region since they help monitor the impact of policy, political and economic changes in society.

#### **4.2.1 Region Analysis**

After the first local government elections in 2001, the Amathole District Municipality was established and its area of jurisdiction comprised seven local municipalities which stretch from the Indian Ocean coastline in the south to the Amathole Mountains in the North.

These municipalities include: Amahlathi Municipality, Great Kei Municipality, Mbashe Municipality, Mnquma Municipality, Ngqushwa, Nkonkobe and Nxuba municipalities. The Buffalo City Municipality is no longer part of the Amathole District Municipality but forms part of this research because it still remains the regional economic hub. The vision of the Amathole District Municipality adopted by Council in May 2012 is “ensuring commitment towards selfless, excellent & sustainable service to all its communities”. The Amathole District Municipality developmental mandate also highlights its dedication to contributing to: Ensuring equal access to socio-economic opportunities; building the capacity of local municipalities within Amathole District Municipalities area of jurisdiction; ascribe to a culture of accountability and clean governance; political and administrative interface to enhance good service delivery; sound financial management and contributing to the betterment of our communities through a participatory development process.

Amathole District Municipality lies at the heart of the Eastern Cape and forms corridors to a number of key urban areas in the Eastern Cape. The N2 Corridor extends from East London and passes through to the towns of Butterworth and Dutywa which are economically driven by agriculture and rearing livestock. The N6 Corridor covers the Amahlathi local municipality which comprises Stutterheim, Cathcart and the Amabele/ Ndakana rural node. The R63 Corridor covers the Nkonkobe and Nxuba Municipalities which extend westwards from East London through to Alice, Adelaide, Bedford and Fort Beaufort and are economically driven by agro-processing, tourism and citrus farming. The R72 Corridor located in Ngqushwa Local Municipality is well-known as a tourist attraction for its region and nudges the coastline from East London and extends inland to Peddie. The districts economy is dominated by the key urban centre of Buffalo City Municipality which comprises of the coastal city of East London, which serves as the dominant economic centre; King Williams Town as the Regional Service Centre and the provincial administrative capital of Bhisho.

#### **4.2.2 Demographic overview**

The Amathole District Municipality is presently home to a total population of 968 920. The distribution of the population across the district is as follows:

TABLE 4.1

LOCAL MUNICIPALITY	POPULATION	PERCENTAGE
Amahlathi	137 904	14.2
Great Kei	44 459	4.6
Mbashe	236959	27.2
Mnquma	283 667	29.3
Ngqushwa	84 233	8.7
Nkonkobe	129 874	13.4
Nxuba	24 824	2.6
AMATHOLE	968 920	100%

Stats SA (2011)

It is imperative to include the Buffalo City Municipality in this research because it has a huge impact and plays a substantial role in the growth and development of the Amathole District Municipality. Furthermore, it is also critical for a developmental agenda and integrated district growth. Not only does the Buffalo City Municipality account for 83% of the district's economic output but it also accounts for 72% of formal employment in the district.

The primary sectors that provide formal employment in the district are public services, manufacturing, trade, agriculture and the tourism sector, which is being redeveloped, and promises significant potential. The ASPIRE economic development agency which has the vision to be a pioneer in the stimulation of spatial economic development was established in 2005. It shaped part of the Spatial Development Initiatives (SDIs) for concentrated economic development introduced by the Eastern Cape provincial government and falls within the Amathole region.

FIGURE 4.1. Eastern Cape District Councils



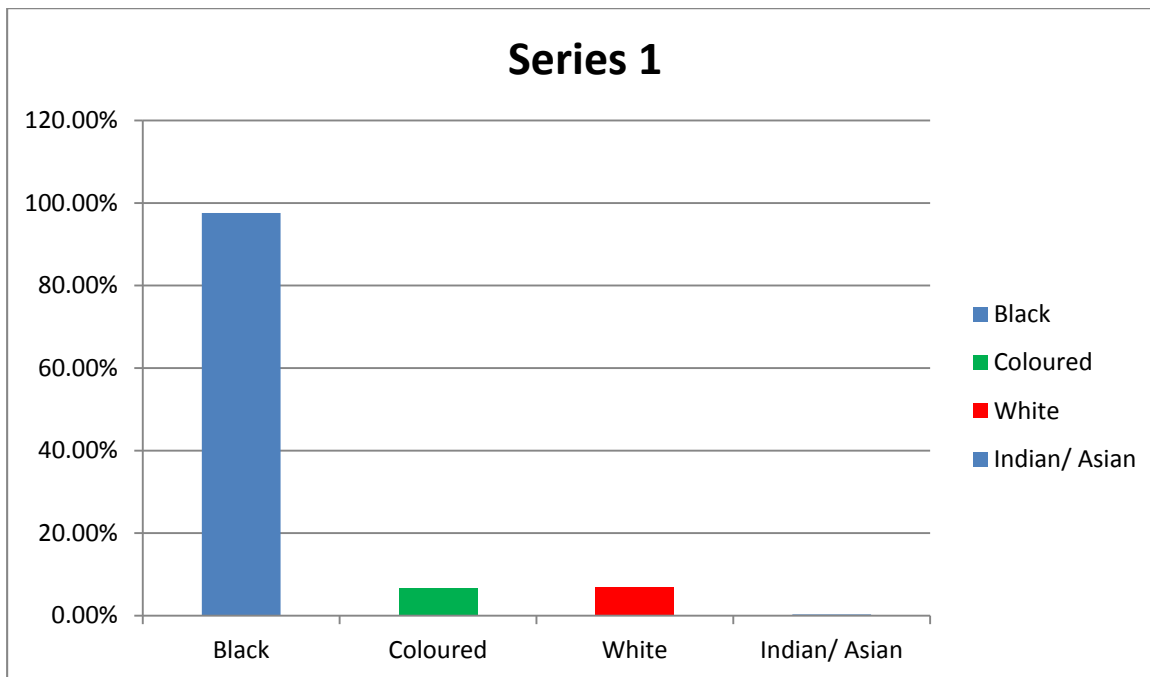
(<http://www.localgovernment.co.za>)

FIGURE 4.2. AMATHOLE DISTRICT MUNICIPALITY



(<http://www.localgovernment.co.za>)

FIGURE 4.3 POPULATION GROUP IN THE AMATHOLE DISTRICTS

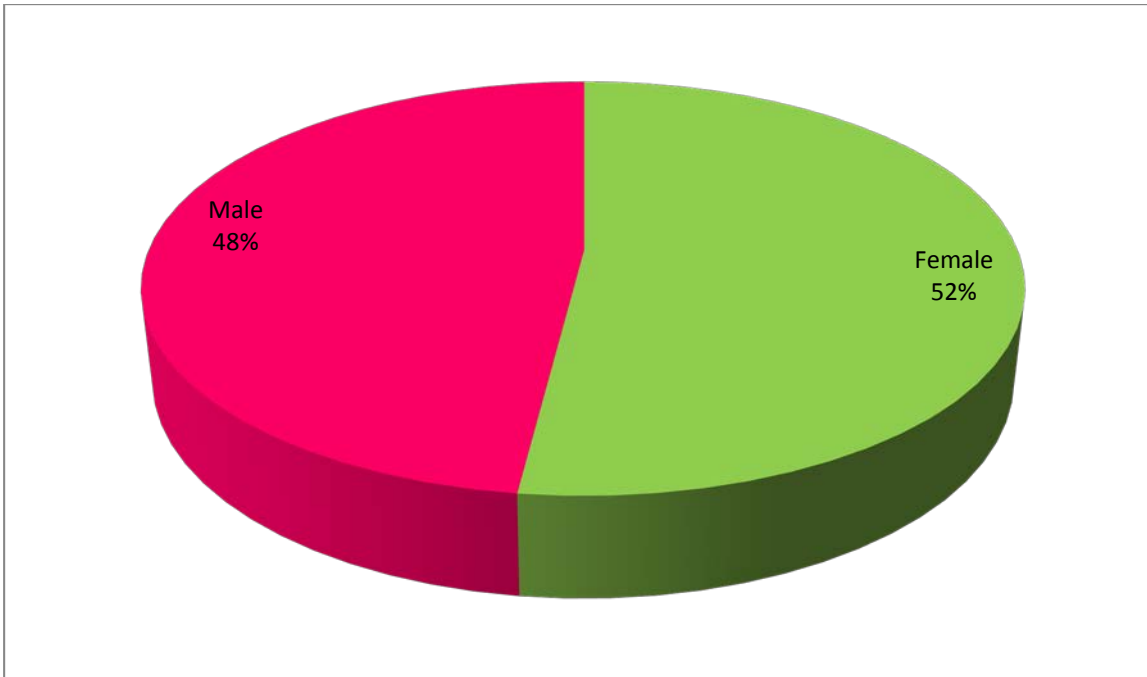


The total Amathole population comprises 14.7% of the Eastern Cape population and represents less than 2% of South Africa. Figure 4.3 provides a graphical illustration.

#### 4.2.3 Gender composition: Amathole District Municipality

The population of the Amathole District Municipality is largely female dominated. The male gender constitutes 48% of the population. Refer to the graphical illustration below. The Eastern Cape is also largely dominated by woman-headed households and 36% of the population consists of an active labour force within the age group of 25-64 years which suggests that this group needs to financially support 64% of the population made up of the 0-14yrs and 65 and above age group.

FIGURE 4.4 GENDER REPRESENTATION OF THE AMATHOLE DISTRICT MUNICIPALITY

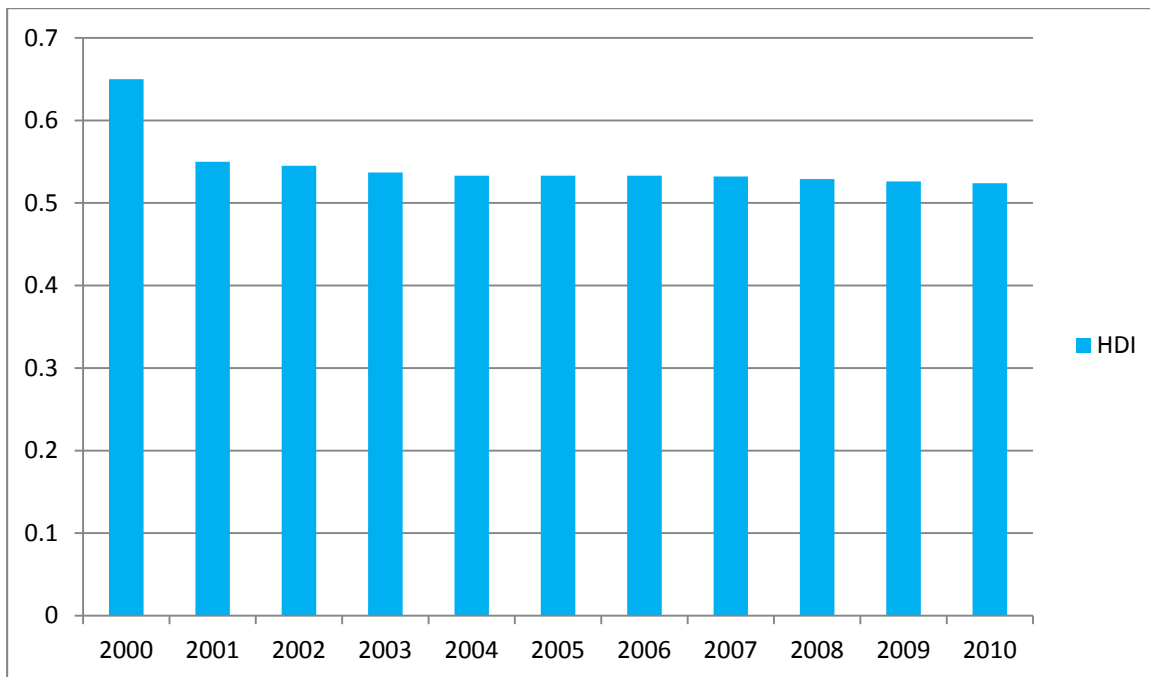


#### 4.2.4 Human Development Index: Amathole District Municipality

The Human Development Index (HDI) attempts to comparatively measure population development and living standards based on the following human development goals: Longevity as measured by life expectancy at birth; knowledge as measured by a weighted average of adult literacy and means of schooling, standard of living as measured by gross domestic product per capita. Although the index was reasonably constant for the past few years, the South African Human Development Index dropped from 0.627 in 1995 to 0.556 in 2010. There is universal consensus that the HIV/AIDS pandemic contributed to the lower life expectancy which resulted in the downward trend that led to the Eastern Cape Human Development Index being lower than that of South Africa since 1995 and dropped from 0.582 to 0.513 in 2010 (ASPIRE 2011:16).

The Human Development Index in the Amathole District increased from 0.48 in 1995 to 0.53 in 2005 and remained constant until 2009. The Amathole district HDI stood at 0.52 since 2010 and is higher than the provincial average but less than that for South Africa as a whole. The graph below illustrates the Amathole District HDI.

FIGURE 4.5 HUMAN DEVELOPMENT INDEX



#### 4.2.5 Poverty and Inequality: Amathole District Municipality

Due to South Africa’s apartheid history, poverty is intergenerational, structural and remains a constant challenge for municipalities in the Eastern Cape because it remains widespread and deep. A number of programmes to address poverty were undertaken by the South African and Eastern Cape government since 1994 and resulted in the successful mainstreaming of anti-poverty initiatives in planning and implementation of government programmes as well as the budgeting process. The undesired impact of these initiatives on eradicating poverty is, however, a problem because the social security grants largely reduced the number of people living on less than a dollar a day. However, it can be argued that they address the symptoms of poverty and not the problem itself (ASPIRE 2012:15). The Amathole District Municipality identifies the common type of social grant received by its residents as child support grants (18.8%) followed by the old age pension (7.9%) and the disability grant (3.1%). The unintended consequence of the social grants point to a high dependency ratio within the region and has a negative financial impact on the economically active population (Amathole District Municipality 2013:21).

Poverty and inequality remain a constant challenge for the Amathole District and the Eastern Cape as a whole. The Gini coefficient as an indicator of how equally income or poverty is distributed, measures the extent to which the incomes of individuals or households in an economy diverge from a perfectly equal distribution. The Gini-coefficient revealed that inequality in South Africa improved marginally from 0.664 in 2007 to 0.659 in 2010. Pre- 1994, inequality in South Africa was largely defined along racial lines but over the years it has been increasingly defined by inequality within population groups because the gap between rich and poor in Amathole district stood at 0.442 in 2010. This confirmed that equity remained a problem for municipalities to manage (ASPIRE 2012:17).

The poverty-line and access-to-services approach is used to define poverty and the latter classifies the number of households that fall below a chosen minimum income threshold as living in poverty. The benchmark used for all the Eastern Cape districts was the PE poverty line which is an income of R 1892 per month at 2005 prices. Although a decline in people living in poverty at an annual average of -0.7% was noted in the Amathole District, an estimated 643,713 people lived in poverty and represented 66.5 of the districts local population. Table 4.2 represents the poverty rate from 2006 – 2010.

TABLE 4.2 POVERTY RATE

	2006	2007	2008	2009	2010
Number of people living in poverty	661,412	631,049	650,055	646,740	643,713
% change (y/y)	-0.84	-4.59	-3.01	-0,51	-0.47
Poverty rate %	67.35	64.48	66.71	66.36	66.00
Population	982,010	978,601	974,447	974,548	975,269

TABLE 4.3 POVERTY RATE AT LOCAL, PROVINCIAL AND NATIONAL LEVEL

	NATIONAL	EASTERN CAPE	AMATHOLE
1996	40.60%	54.10%	60.90%
2000	46.50%	58.60%	64.80%



2005	45.70%	56.30%	61,40%
2010	39.70%	49.50%	52.30%
2011	37.70%	46.80%	48.80%

The level of poverty within the Amathole District Municipality is in keeping with its HDI and dependency ratio and with half of the population at 54% in 2010 living in poverty; these levels aggravated other challenges experienced by the municipalities. The HDI and current poverty levels point toward the fact that majority of the Amathole District Municipality has no access to credit, unable to finance their children's education and use child support grants as a source of income (Amathole District Municipality 2013:20).

The impact of education or non-education are extensive throughout society. Education links directly to poverty-reduction efforts. Households with an educated head tend to experience lower levels of poverty than those with an uneducated head. Although job scarcity is still a reality that even individuals with improved education levels face, education greatly enhances the chances of finding employment (Amathole District Municipality 2013:20). The illiteracy rate in the Amathole district improved steadily and the number of functionally illiterate people dropped since 1995. The illiteracy rate stood at over 21% of the population being functionally illiterate in 2010. The number of people without any formal education and are 15 years or older, declined from 216,000 people in 2000, to 209,000 people in 2010. In addition, these factors contributed towards a lower per capita growth because of the income incongruence. Poverty alleviation is thus high on the Amathole District Municipality agenda because a relentless and high poverty-rate would result into aggravated levels of poor health, child malnutrition and lower levels of education. When combined, these factors lower economic productivity and result in a slow growth economy.

#### **4.2.6 Economic overview: Amathole District Municipality**

The economic overview section will outline the economic profile of the Amathole District Municipality through a brief discussion on the regional gross domestic product, labour market, unemployment rates and factors that impact on economic growth and

transformation for the district. Amathole District Municipality comprises of the former homeland areas, that is, Ciskei and Transkei as well as the former Cape Province Administration areas and has the third largest economy in the Eastern Cape Province after the Nelson Mandela Metropolitan Municipality and Buffalo City Metropolitan Municipality. It contributed 12% to the provincial economy. In July 2011, Buffalo City became a metropolitan municipality and no longer formed part of the Amathole District Municipality. However, it remains the regional economic hub.

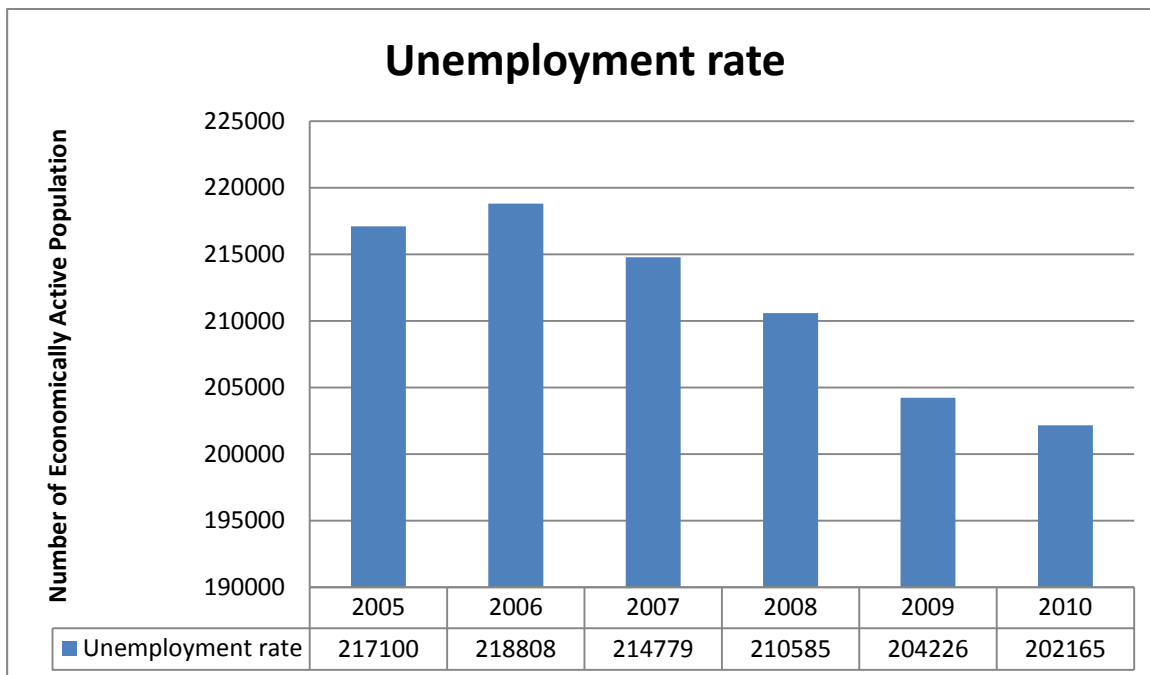
The Amathole District Municipality's economy is relatively small. The major towns in the district include: Butterworth, Dutywa, Peddie, Alice and Stutterheim. The Central Business Districts of these towns also function as centres of economic activity for surrounding areas and smaller towns with community services, finance, manufacturing and trade leading the districts economy. Community service, finance and manufacturing sectors are not only the largest contributors to the Amathole district economy but are major employers in the district. The community services sector accounted for 43% of all jobs in 2011 while the manufacturing sector contributed 23% of Amathole District Municipality formal jobs in 2010 while the finance sector contributed only 4% to formal jobs in the district.

South Africa and the Eastern Cape are faced with an alarming job crisis and this is largely due to the large number of unemployed people and the ever-increasing number of non-economically active population. The economically active population which is principally the number of people that are willing and able to work and supply labour for productive activities in a specified time-reference period can be generally viewed as the labour force and are an essential contributor to the economy. The Eastern Cape has the highest net out-migration of any province in South Africa and in the absence of this high net-out migration; the unemployment rates in the province would have been much higher than they are. Employment is a function of economic activity and as the economy grows so does the number of people employed. However, in recent times, employment growth has not been commensurate with economic growth rates. This can be attributed to the inability of some sectors to create more employment opportunities with a given economic growth rate. Outside of the major towns in the Amathole District Municipality, the rest of the Amathole district is mainly contrasted with an extremely poor rural economy in former

homeland areas. An unemployment rate of 45% was recorded in the area in 2010 (Amathole District Municipality 2013:22).

The Amathole district recorded 202,000 economically active people in 2010 which represented 20% of the districts population while the Eastern Cape figures were 27% and 33% for South Africa. The percentage of employed people with formal jobs has been on a decline as more people find employment in informal positions. This trend has been evident in the Eastern Cape where 855 formally employed citizens was recorded in 1995 and only 755 in 2010. 25% of all jobs in the Amathole district are in the informal sector. The International Labour Organisation shows statistical information that classify the South African labour force participation rate to be one of the lowest in the world when compared with that of 189 other countries. While there has been a growth in population, this has not translated into a growing labour force but a decline. The Amathole district recorded a decline in the labour force participation rate by an annual average rate of 2.5% per annum since 2006 and this decline can be attributed to the growing number of the non-economically active population (ASPIRE 2012:23-25).

FIGURE 4.6 ECONOMICALLY ACTIVE POPULATION OF AMATHOLE DISTRICT



The HIV/AIDS pandemic has had a negative economic impact on society, particularly on patients and their families through spending on diagnosis, treatment, the time and sometimes income lost from work as well as the transport to get to healthcare facilities. In comparison to any other disease, the treatment of HIV/AIDS tends to incur much higher direct costs for households. The proportion of people living with HIV is lower in the Eastern Cape as a whole but marginally higher in the Amathole district. However, new HIV/AIDS infections in the Amathole district increased by 1,3% from 1995 to 2005 and by 0,8% from 2005 to 2010 and this shows that the province has made a number of significant inroads in response to HIV/AIDS treatment and prevention. The greatest consequences that HIV/AIDS pandemic has had on the Amathole District has been the lower life expectancy and further exacerbated poverty levels reflected in the lower standard of living. These factors negatively affected the economic productivity which resulted in slow economic growth and also revealed a high dependency ratio with a negative financial impact on the economically active population (ASPIRE (2013:38)). Therefore, the Amathole District Municipality must ensure that there is abundant investment in social and economic infrastructure and to a greater degree in the former homeland areas where high levels of poverty and inequality exist (Amathole District Municipality (2013:22)).

#### **4.2.7 Infrastructural overview: Amathole District Municipality**

The South African Constitution gives municipalities the responsibility to ensure that all citizens are provided services to meet their basic needs. It is imperative to improve access to services because it plays a critical role in alleviating poverty, improving health and ensuring the dignity of people. Thus the IDP and budget of Amathole District municipality must embrace Vision 2030 and the National Development Plan as a platform for collaborated effort by all South Africans to eradicate poverty, create full employment and reduce inequality. The infrastructural overview will consequently explore the capacity of the Amathole District municipality to deliver the most important municipal services to its residents. These services include water supply, sewage collection and disposal as well as refuse removal and electricity supply (Amathole District Municipality 2013:03).

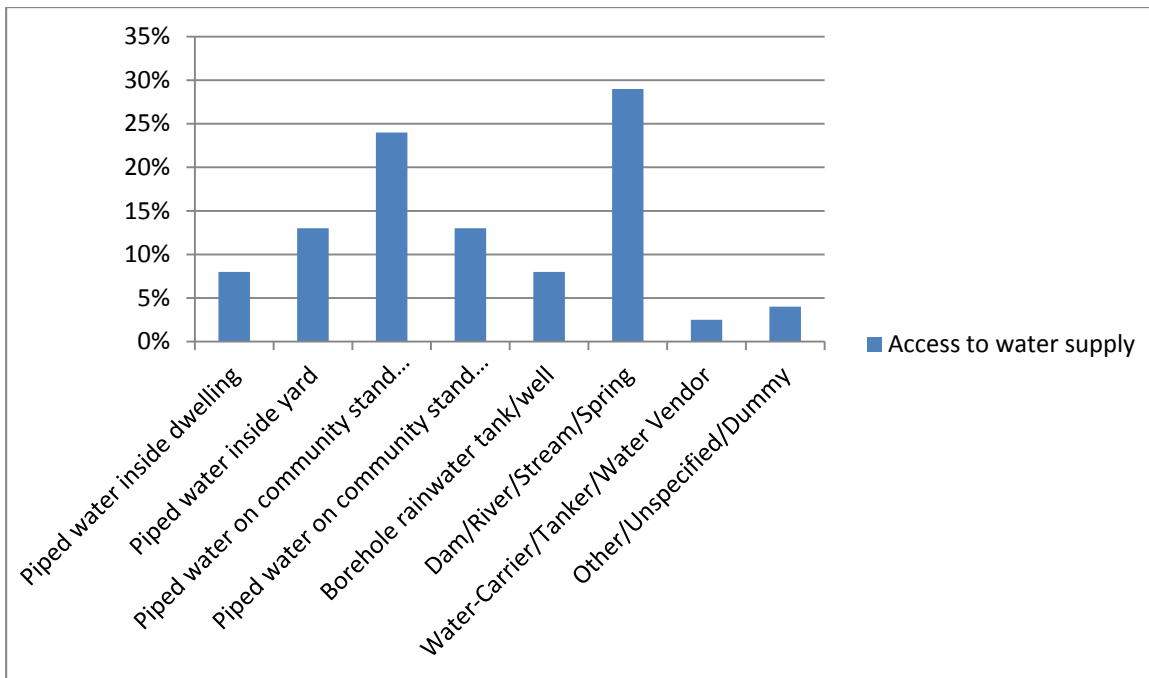
The State of Local Government Report published by the Department of Cooperative Governance and Traditional Affairs (2009:40) aimed to evaluate the progress made by

local municipalities in meeting their developmental mandate and their overall status. The report revealed the weak state of local government and how service delivery challenges, strengths and weaknesses were unique to each province. While 39% of South African households have access to piped water, a further 26% have piped water inside their yard and a further 25% has piped water on community stands which are typically more than 200m away. A tenth of South African households depend on a natural water supply consisting of boreholes, dams, rivers, streams or springs. The Eastern Cape province only has 24% of households that enjoy piped water and 17% have piped water inside their yard. A quarter of Eastern Cape households relies on dams, rivers, streams or springs water requirements. Although an annual growth rate of 2.5% has increased the number of households with access to piped water, the Eastern Cape still lags behind the South African average.

TABLE 4.4 ACCESS TO WATER SUPPLY

	2006	2007	2008	2009	2010
Number of Households	256,726	260,082	263,285	267,973	273,142
Proportion of houses with piped water inside dwelling %	7.73	7.99	8.26	8.55	8.88
% Change (y/y)	3.31	3.35	3.41	3.58	3.77

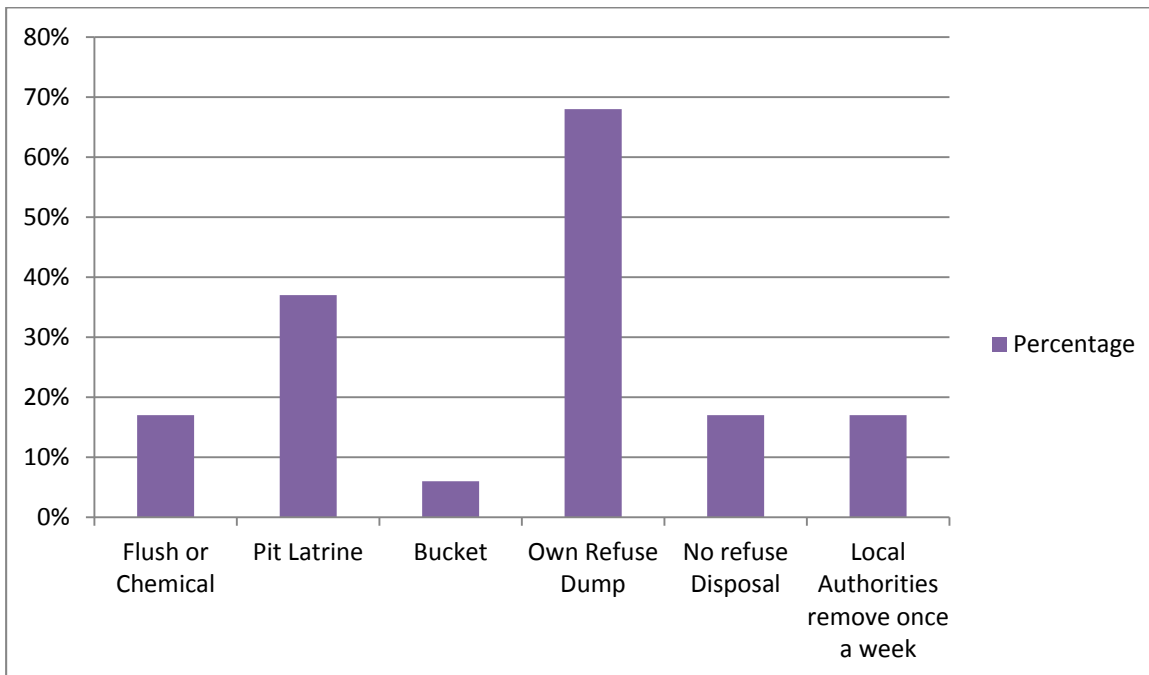
FIGURE 4.7 ACCESS TO WATER SUPPLY



The Amathole District Municipality is also faced with challenges pertaining to sanitation. Since sanitation service levels are linked to the establishment of formal houses and access to water, sanitation facilities pose a greater challenge for the district. Target 10 of the Millennium Development Goals also listed halving the proportion of people without sustainable access to improved sanitation by 2015. While South African households had 58% flush or chemical toilets, 26% pit latrines and 3% bucket system toilets in 2010, the Eastern Cape had only 39% flush or chemical toilets, 27% put latrines and 4% buckets. The Amathole district had a lower average with 18% flush or chemical toilets, 39% pit latrines and 3% bucket latrines.

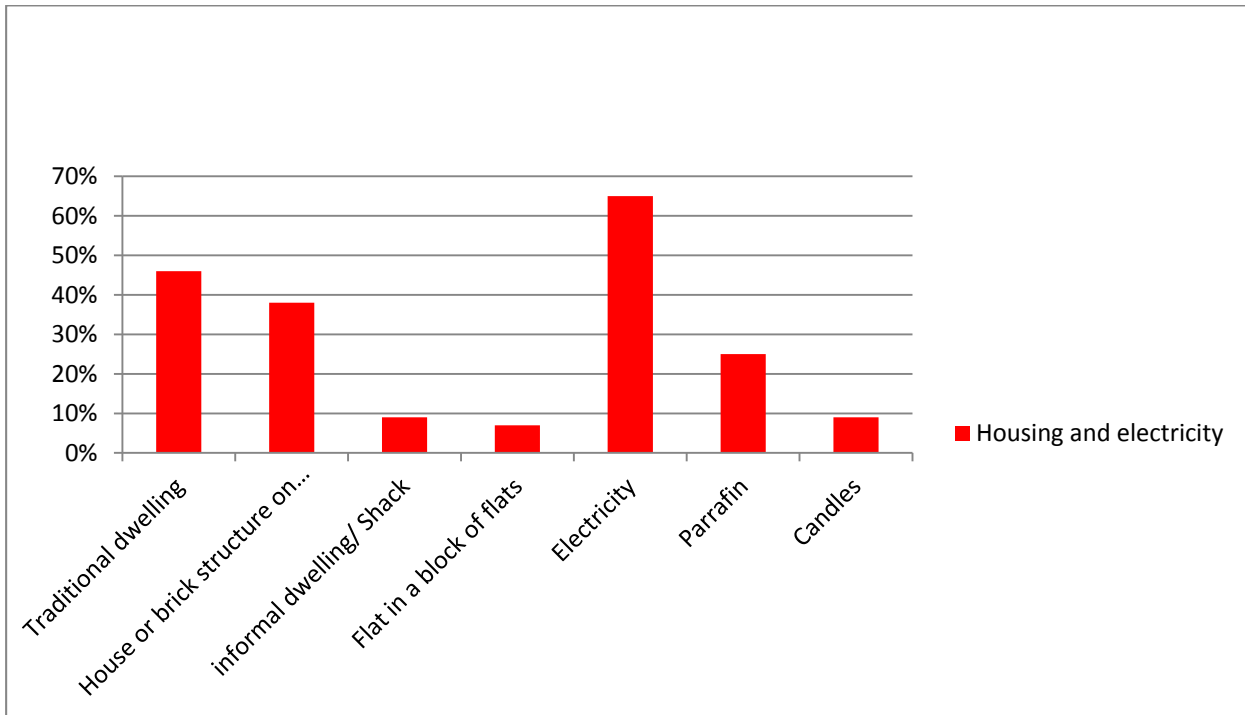
There was an improvement in the access to refuse removal services in the Eastern Cape despite 13% of households are without access to refuse disposal services while the proportion of households that dispose of their own refuse is declining. There was also improvement in the Amathole district service delivery levels since 1995 as the proportion of households without rubbish disposal services had decreased from 32% in 1995 to 14% in 2010.

**FIGURE 4.8 ACCESS TO SANITATION FACILITIES AND REFUSE REMOVAL SERVICES**



Another challenge faced by the Amathole District Municipality is the delivery of adequate housing to its population. Despite the delivery of 2.5 million houses in South Africa since 1994 and a decline in informal dwellings in the Amathole district from 16% of housing units in 1995 to 10% of all housing units in 2010, traditional dwellings still make up 48% of the total housing units. The proportion of households with access to electricity in the Amathole district is slightly higher than the Eastern Cape average as it increased from just under a quarter in 2005 to 67% of households in 2010. The number of households that rely on paraffin and candles has also halved from 56% to 25% in 2010. The percentages reveal that a large proportion of the Amathole district population remains unable to gain access to adequate service delivery. If these averages could further improve the economically active population would have greater opportunities to invest in education, proper health and nutrition and therefore empower and develop their households. This in turn would have a positive effect on the Amathole district population.

**FIGURE 4.9 ACCESS TO HOUSING AND ELECTRICITY IN AMATHOLE DISTRICT MUNICIPALITY**



#### **4.2.8 Skills and capacity analysis: Amathole District Municipality**

Amathole District Municipality IDPs and LED strategies are viewed as a mechanism to enable prioritisation and integration in municipal planning processes and are also important tools to drive economic development at the local level. In order for the successful implementation of IDPs and LED strategies and their effectivity, the availability of capacity resources need to be taken into account. The skills and capacity analysis section seeks to analyse the Amathole District municipality with regard to its capacity to draft and implement IDP that can contribute to the fulfillment of the developmental mandate stipulated in the Constitution by promoting social and economic development, ensure the provision of services to communities in a sustainable manner, provide democratic and accountable government as well as encourage communities and community organisations participation in local government.

#### **4.2.9 Organisational context: Amathole District Municipality**



In response to the municipal challenges experienced by the local government sphere, the Amathole District Municipality can be considered to have made a considerable effort to maximise social development and economic growth; integrate and coordinate development planning and promote democratic development.

An analysis of the institutional context revealed that the Amathole District Municipality considered the Local Government Turnaround Strategy a high priority and commissioned and launched a number of key strategies to improve basic service delivery, governance and public participation as well as human resource development and strategies such as LED strategies, IDP and various other policies or frameworks. The Amathole District Municipality Institutional Strategic planning Session held in 2013, revealed that the municipality realised the significance to align the districts plans to the National Development Plan (2030); reconfigure the districts future strategic planning sessions and ensure that the district is structured properly in order to increase the roll out of services as prescribed in the National Development Plan (Amathole District Municipality 2013:06). In order to play a developmental role and indeed contribute to the total construction of a developmental state, the Amathole District Municipality focused on changing attitudes towards project implementation; outlined critical community participation programmes and accentuated public participation as a result of the National Development Plan since it would strengthen development, democracy and accountability (National Development Plan 2012:16).

The Amathole District Municipality IDP (2012) set a strategic goal to improve organisational cohesion and effectivity to improve organisational stability and sustainability which ultimately had an impact on institutional capacity (ADM 2012:112). In order to meet their objectives, the Amathole District Municipality passed a resolution to develop and implement a District Human Resources Development Strategy and align with the Human Resource Strategy (2010-2030) for South Africa as well as the Provincial Human Resource Development Strategy. The strategy aims to enable the district to plan relevant skills development initiatives to improve service delivery and focus on strengthening internal capacity as well as improve the capacity for its community members. The municipality took a step in the right direction by first taking cognisance of the challenges

faced by local government due to a lack of skilled employees. As a result of the rural nature of the Amathole district, the area is faced with high poverty and unemployment rates and it is for this reason that the Human Resource Strategy was developed as skills development can radically promote local economic development which would consequently lessen poverty and address unemployment needs but can contribute to the creation of a developmental state. The municipality identified the need to utilise the Human Resource Strategy as a tool to coordinate, align and integrate Human Resource Development initiatives because there were a number of initiatives and programmes aimed at alleviating skills shortage within the jurisdiction of the Amathole District Municipality, these were conducted in a fragmented fashion and posed a major constraint for the municipality (ADM 2012:133).

Due to increasing globalisation and South Africa's quest to pursue Africa's advancement and enhance international cooperation, it is commendable that the Amathole District Municipality seeks to promote a culture of participatory and good governance and establish accountability and clean governance. The Amathole District Municipality and the local municipalities under its jurisdiction are well-informed on the Intergovernmental Relations Framework Act of 2005 and the responsibility of the Municipality to periodically promote and coordinate intergovernmental relations in the district. However, only a limited number of local municipalities hold periodic meetings to discuss intergovernmental relations related issues in order to align the planning cycle of the different spheres of government and ensure that the IDP is a reflection of national plans at a local level. The Amathole District has, however, signed the Memorandum of Understanding with several municipalities and stakeholders to improve the capacity to roll out service delivery in the district. The primary challenges acknowledged in the Amathole District Municipality IDP 2012-2017 included: the failure to finalise the review of the IGR Policy Framework due to possible amendment to Intergovernmental Relations Framework Act 13 of 2005; political instability in certain local municipalities in the district resulting in only three local municipalities having operational IGR fora; lack of monitoring signed MOUs; lack of clarity on what should be the standing items on the IGR agenda; lack of joint implementation of projects by government structures; local municipalities not having committed IGR practitioners and the failure by government structures to utilise intergovernmental relations as a planning tool.

Improving the capacity of the Amathole District Municipality as an institution and that of its local municipalities to maximise the delivery of services to their respective constituencies can be considered not a high priority for the Amathole District Municipality because the district has yet to develop an International Relations Policy and engage in International Relations activities as a strategic tool to improve the capacity. Although there have been International Relations initiatives, the coordination of International Relations activities remained a problem because no International Relations strategy had been implemented. Another challenge that illustrated that Amathole District Municipality had not placed capacity building and intergovernmental relations high on the agenda, was the lack of aligning Amathole District Municipality to agreements with national and provincial agreements (ADM 2012: 145).

A professional and responsive Human Resource Development department in municipalities is required to respond to the capacity-building, recruitment and staffing, career development and retention challenges faced by local government. The South African Local Government Association identified a number of challenges experienced at the municipal sphere which included the under-investment in people, predominantly in technical, management and leadership skills. The Amathole District Municipality is no stranger to these challenges as the Local Government Turnaround Strategy (2011) revealed that 16 posts in the technical fields and many other critical posts were vacant. The key priority issues identified in the Amathole District Municipality IDP (2012) included the lack of Human Resource Development Strategies in the local municipalities, poor reporting system and coordination in the management of satellite offices, high staff turnover and low skills base in the district, proposal to revise the local municipality strategy to conform to the district strategy; develop a human resource and strategy plan, create an ideal satellite model and reporting lines' implement the retention strategy and review the approach of contract employees as possible intervention measures (ADM 2012:18).

The Integrated Development Plan for Amathole District Municipality (2012:20) prioritised capacity-building as one of its key priorities due to the lack of a fully-fledged unit for Integrated Planning, Monitoring and Evaluation and the need to ensure the new Council is capacitated to perform its functions and exercise its power. The Amathole District

Municipality aimed to intervene by building the capacity of the unit-staffing as well as ensure and support the implementation of Councillor capacity-building. The analysis of the internal dynamics of the Amathole District Municipality revealed that the National Capacity Building Framework for Local Government was not utilised as the primary guideline of how local government stakeholders and municipalities can improve and enhance the skills of its employees and citizens in order to improve service provision.

### **4.3 Conclusion**

The primary objective of this chapter was the analysis of the Amathole District Municipality with regard to skills-capacity. A review was provided of the situational analysis of the districts capacity building needs as well as an analysis of the progress that Amathole District Municipality has made thus far with regard to implementing the objectives outlined in the National Capacity Building Framework for Local Government. The National Capacity Building Frameworks and Integrated Development Frameworks both have a linked role as they provide guidelines for local municipalities and stakeholders to ensure that socio-economic challenges are identified and the intervention needed to address the impediments are achieved in the entire policy-making process by proposing ways to capacitate local government institutions and help enhance development.

## CHAPTER 5: DATA ANALYSIS AT AMATHOLE DISTRICT MUNICIPALITY

### 5.1 Introduction and Research approach

The primary purpose of the fifth chapter is to present the analysis and findings of the empirical data collected on institutional capacity and the interpretation of the National Capacity Building Framework for Local Government by the Amathole District Municipality. Chapter two and three of the study provided a detailed literature review on the concept of policy formulation and implementation as a measure of institutional capacity and the policies, statutes and the legislation upon which municipalities must adhere to in order to execute their developmental mandate. The fourth chapter expounded upon the foundation laid by the aforementioned chapters which enabled considerable basis for empirical investigation through interviews, observations and questionnaires conducted with participants directly involved with IDP at the Amathole District Municipality.

Anderson (1997:9) draws attention to the important role that policy analysis plays in public-policy-making and stated aptly that “policy analysis focuses on what is actually done instead of what is only proposed or intended, and it differentiates a policy from a decision, which is essentially a choice among competing alternatives”. Based hereon, the fifth chapter case studies the Amathole District Municipality and focuses on the analysis of its IDP Unit, programmes and capacity. This highlighted the obstacles to effective developmental local government. Through this analysis the chapter will identify the gaps in the policy-making and implementation process that hinders successful policy implementation and ultimately service delivery and socio-economic development in the district. In addition, the 5-C Protocol Model will be utilised to analyse the municipality’s implementation of IDP and draw conclusions based on its capacity to contribute to building a developmental local government and in turn, a developmental state.

The first chapter of this study elaborated on the reason why a qualitative method of inquiry was adopted and case study, interviews, questionnaires and an analysis of the literature utilised. These methods enabled the researcher to fully explore the research topic and provide an in-depth understanding through an analysis of the response received. The creation of a developmental state requires an efficient public service that is able to

collaborate with all sectors and social groups in working towards a national vision or plan that has clearly outlined roles and responsibilities for each of the actors (Netshitenzhe, 2011). It is through such a structure that the construction of a developmental state will be made possible and the objectives of improving social development, transforming the economy and accelerating high levels of sustainable growth can be achieved. Moderate levels of economic growth and high poverty and inequality levels distinguished South Africa since 1994. Consequently, it was critical to utilise public policy analysis to identify leading issues which affect the creation of a developmental state and establish a balance between economic growth and human development.

## **5.2 Presentation of Data Analysis and Findings**

In order to identify stumbling blocks which affect the creation of a developmental state, the researcher divided the interviews into the following themes to extract the most prominent factors that need to be investigated when discussing the concept of a South African developmental state: IDP and LED Programmes; Institutional Capacity-Building and Training; Cooperative Governance and Developmental State.

The data collection strategies utilised in the fieldwork comprised interviews, questionnaires and the case study method. The interview was conducted with a research participant who could provide relevant information and knowledge gained through practical experience in working in the IDP Unit and implement policy aimed at enhancing local development in the Amathole District Municipality. The interview questions and responses below were conducted in July 2016 (Refer to Annexure A). There were cross-interpolations in English and Xhosa throughout the interview and the researcher deemed the responses received from the respondent as sincere. A number of questions were posed to the respondent but in hindsight, the researcher found certain questions repetitive. Only the most pertinent have been included in this chapter.

The interview was structured and its main inquiry was about the Amathole District Municipality's efforts to ensure efficient policy formulation and implementation processes with the purpose of understanding its interpretation of the National Capacity Building Framework for Local Government. The interview results hoped to identify gaps to fill the

policy implementation process and overcome obstacles in implementing policy that would support the district in enhancing socio-economic development through relevant and achievable programmes.

### **5.3 Data analysis: Interviews conducted at the Amathole District Municipality**

The Five Year Local Government Strategic Agenda Implementation Plan (2006) urged all organs of state to mainstream hands-on support to local government to improve municipal governance, performance and accountability in the areas of Good Governance, LED, Service delivery, Infrastructure Development, Public Participation, Municipal Development and Institutional Transformation as well as financial viability. The IDP Guide Pack (2000) distinguishes local development as multi-dimensional and underpinned by development dimensions that are significant to the planning and delivery processes. These dimensions range from economic, social, environmental and institutional aspects. It became quite evident that it is imperative to align coordination to integrate the different activities undertaken by each sector of the development goals (Maserumule 2008:438).

In presenting the findings and the analysis, the empirical research sought to respond to certain questions appropriate for the implementation of the National Capacity Building Framework for Local Government and the processes and procedures followed by the municipality when developing IDP.

#### **IDP and LED Programmes**

- **Question 1: What is the municipality's understanding of the IDP framework and how was it utilised as a guideline?**

The first question probed the municipality's conception of the IDP Framework and how it had utilised it to provide direction on its formulation. The manager for development planning in the IDP Unit explained that the municipality has a thorough understanding of the framework and uses it at every stage of the IDP Planning process.

**Question 2: How has the municipality ensured the inclusion of community members in the IDP policy formulation and implementation process?**

The second question inquired about the role the municipality plays in enabling public participation in the IDP policy formulation and implementation process and what the process entails. The Manager for Development Planning explained that policy, framework and IDP differs and the development of the latter does not necessarily become a policy as originally planned. The development of policy cannot be compared to that of IDP although there is a link and a relationship at a certain stage.

The respondent explained that the municipality is guided by Chapter 4 of the Systems Act which stipulates that communities are expected to participate in developing the IDP development as legislated. The municipality does not have direct contact with communities because it is a district and not a local municipality. Amathole thus plays an oversight role and interacts with ward committees to gather their interests and needs to inform their IDP. Based on the powers and functions afforded to the district municipality, Amathole does not manage all the concerns on their own but work with both provincial and national government. However, ADM prioritises water and sanitation. The district does not visit the communities but briefs ward committees who also advance their needs to all spheres of government as well as to identify the development demands of the communities in the district. The local municipality's IDP is a reflection of the development needs of the community which also relates to that of the district municipality's IDP to ensure integration. It does not merely discuss the district municipality's functions. However, when a national department formulates its strategic plan, these are submitted directly to the municipalities through service providers who brief community members to identify their needs. The priorities identified through this strategic plan would be utilised by the ADM for inclusion in its IDP.

The IDP is an end result of many processes that must be followed. It is a plan that the municipality would like to achieve which is often limited by resources (finance). The September – November period entails going to communities to inform them of the needs that have been identified and to gather information on what the community would like the council to prioritise based on available resources to meet the development needs



identified. During March – April, the municipality reports back to the communities through the ward committees on the Council’s final decision to deliver on the development services identified by the community versus the available financial resources.

The respondent further explained that the IDP process should involve all spheres of government but this is not the case because they do not work together. The national government often assumes a senior role despite the fact that the three spheres of government all have equal functions and powers. Furthermore, the municipality does not report to any other sphere of government because it has its own council that is legislated by the Constitution and can make its own decisions. The only challenge is cooperative governance because it is often difficult to inform them of the decisions the municipal government would like to take to ensure that there is an understanding and to involve them in the process.

**Question 3: What input did other stakeholders provide for the development of policies and strategies?**

The respondent explained that a number of stakeholders are involved in the IDP process. These include critical Stakeholders such as SALGA who participate in reforming the IDP because they are invited during the strategic sessions. However, the ADM is unable to consult with all CBOs, Civil society, International Development agencies from different sectors (e.g. Water, sanitation, electricity, LED) to develop an IDP but they host fora for the various sectors who would be involved in the context of a district municipality. The respondent further pointed out that there is no direct impact that stakeholders would have on the IDP they are only involved in the IDP forums and not at high-level IDP developmental decision-making level. Stakeholders play a significant role in influencing the plans that shape the formulation of IDP.

**Question 4: What are the key service delivery priorities for the municipality and how were they prioritised?**

The respondent held that the local municipalities would be in a better position to provide additional detail on key service delivery priorities but based on the functions and powers of

the district municipality, they were unable to do so. Both water and sanitation are considered a top priority by Amathole District Municipality. The respondent identified the following gaps in the province: roads, housing, electricity, water and sanitation. An adequate budget determines the prioritisation of these services.

**Question 5: Are the municipality's LED programmes meaningful and conducive to enhancing or strengthening economic development?**

The respondent stated that it would depend on how one perceives a municipality utilising funds to support SMMEs in their projects. It would have to depend on the context. One cannot compare the environment of a metropolitan municipality such as City of Tshwane to the ADM. LED programmes are subjective and difficult to analyse because the areas are completely different. The major section of the LED budget in the ADM is spent on agricultural goods. On close investigation of how the agricultural goods were utilised by SMMEs, one would find that certain goods were stolen or damaged. Consequently, it is difficult to establish whether the LED programmes help strengthen economic development in the district.

When considering the economic data and statistics for ADM, one can confirm that the LED programmes implemented by the local municipalities enhance economic development. However, the projects implemented in the region are not always sustainable. Only two of the local municipalities have made a success of their projects. During the maize season, tons are produced but when June dawns, the municipalities are generally back to square one.

The intention of local government is to improve the community's economic situation but it is difficult to assess this development even though the government has made an effort to improve economic development. However, the success of projects in local municipalities is not sustainable and requires district municipalities to provide additional funding to repair broken assets or replace stolen machinery.

Tourism has helped boost the economy in the district. However, when one considers economic development in its entirety, it is difficult to assess because it is subjective.

**Question 6: Is the IDP useful in advancing the economic development role of the Amathole District Municipality?**

The respondent considered the IDP useful in advancing the economic development role of Amathole District Municipality and accentuated that the IDP is an integrated plan. However, the problem often faced is the relationship between the role-players involved in the IDP process. For example, the Human Settlements Department cannot develop houses without consulting the district municipality on underground infrastructure such as water and electricity. This is a common challenge.

The respondent further stated that in an ideal situation, an IDP should play a central management role. The IDP should inform all other stakeholders of the status of the district as well as what needs to be done since it takes into consideration all other developmental plans, particularly spatial development frameworks and infrastructure. The IDP should be the principle plan used for development. The stakeholders should execute programmes that respond to the objectives of the IDP. In reality, this does not take place because the functions and powers in other sectors do not rest with the district municipality but with other stakeholders who do not consider the IDP when they implement projects.

**Institutional Capacity-building and Training**

**Question 7: What understanding of the National Capacity Building Framework for Local Government does the Amathole District Municipality have?**

The purpose of this question was to establish from the respondent the municipality's awareness of the National Capacity Building Framework for Local Government. The respondent reported that the IDP Unit at the municipality was not aware of the National Capacity Building Framework for Local Government, but argued that it probably entails what the municipality already attempts to do in capacitating local municipalities in the district.

**Question 8: Has the municipality implemented the framework and ensured that it is monitored and evaluated?**

The respondent was not aware of the framework and uncertain whether it was implemented in the municipality. Furthermore, no organisation can function without a capacity-building plan. The municipal organogram ensures that there is an efficient personnel capacity in all the departments including available financial resources to support the core function of the municipality. Once this is completed, plans can be developed based on the available resources that the municipality has identified. These plans include the ICT Master Plan which assist to determine the capacity levels of a local municipality. The respondent shared how the district municipality prioritises its different local municipalities in terms of building capacity and explained that there are local municipalities in the district that do not have access to the internet because there is no connectivity or telephone lines. There is a distinct lack of accessibility to the area (geographical). The district municipality would not consider this as a high priority because in most instances, it is costly to install telephone lines in an area that accommodates a small population and minimal opportunities to develop because of the lack of tourist or investor attraction.

Plans will be developed by the district municipality to improve capacity in the local municipalities which may not be implemented because the service providers are unable to install electricity in the area due to access as well as financial constraints to fund an expensive project. Furthermore, the district municipality may not have implemented a capacity building framework but it does identify their capacity needs and challenges faced by the municipality and establish ways to address them.

**Question 9: What challenges did the municipality experience in following the implementation of the National Capacity Building Framework?**

The biggest capacity challenge faced by the Amathole District Municipality is financial resources. The respondent explained that the national government has the responsibility to implement government policy and make recommendations to the provincial and local government. Moreover, it can be decided that only 3 municipalities in the district may have IDP Officers because of a lack of financial resources. In such instances the Communications Officer will then have a job description that includes IDP, Performance

Management systems as well as the communications duties. In the long term, employee's performance will be assessed based on the fact that they did not comply with the recommendations made by national government. These recommendations may not be relevant or beneficial to one's institution but to comply, local municipalities tend to implement policies that add no value to the work accomplished and as such impedes a municipality.

**Question 10: What is required in terms of the existing legal and policy framework for capacity-building and service delivery strategies in the municipality?**

The respondent deemed that an organisational structure that responds to the IDP is a crucial element of a credible Plan. The IDP outlines the municipality's mandate as well as how it should respond to implementing the latter followed by the development of an organogram based thereon. The ADMs IDP, budget and organisational structure should be the existing legal and policy frameworks since the plan entails the ideal actions that will be taken and a budget that will guide the municipality's provision of services based on what it can afford. The organisational structure will encapsulate that there is a Municipal Manager, Deputy Municipal Manager and directors to ensure service delivery strategies are achieved.

**Question 11: What major challenges has the municipality faced and how has it impacted service delivery?**

The respondent explained that as a district municipality, they can only respond when taking into consideration the views of the local municipalities because they are the first point of contact for the communities. The challenges faced by municipalities in the district vary. For example, a grade 1 local municipality in the district may have a Municipal Manager who expects to earn R500k per annum whereas a manager at the district municipality who reports to 3 seniors followed by the Municipal Manager may earn the same salary. Although the responsibilities are the same, officials will not leave the comfort of living in the city to head a local municipality in a rural area with, for example, no access to convenience stores. Therefore, it is difficult to attract the most qualified and efficient officials to local municipalities.

The budget is also a significant challenge faced by the municipality including low levels of revenue collection. A large population in the district municipality is unemployed and does not pay for their basic services such as water and electricity. As long as the municipality faces these challenges, it will not be able to achieve its service delivery targets.

The lack of political oversight: One of the councillor's responsibilities is to play an oversight role in service delivery initiatives. If there is no political representative overseeing progress of the implemented projects, it may have a negative impact thereon. There should be a relationship between the communities, ward committees and district municipality to ensure that if a problem is identified in the implementation process, the community can alert the municipality because the Municipal Manager may not always be available to monitor the progress through the ward committees. For example, a project may be implemented to install taps in an area. However, the residents may have taps but no water or vice versa. Consequently, if a councillor or community leader who is expected to play an oversight role is not available, the project may take longer than anticipated. Therefore, the objectives may only be achieved partially. The respondent further pointed out that the municipality experienced challenges in drafting an IDP based purely on the service delivery needs identified by professional development planners within the municipality versus drafting an IDP largely influenced by political party manifestos. The respondent held that there is often potential for tension when the municipality needs to draw the line between drafting IDP based on a consultative process with relevant stakeholders with knowledge on the challenges in the district and political parties who seek to garner votes and not consider the capacity challenges that the municipality faces.

**Question 12: What do you think should be done to strengthen the institutional capacity of the Amathole District Municipality?**

The respondent held that a larger budget given to municipalities would significantly impact on the municipality's staff salary grades and help attract better qualified officials to the municipality; suggest revenue collection strategies and help set up additional creative job initiatives in the district. For example, if the provincial government does not prioritise the use of unused firms and their infrastructure to manufacture blankets in the district, communities will remain dependant on government grants to sustain themselves and will

not pay for municipal services. There will be no economic growth because as it stands, the district does not contribute to the economy significantly. There is very minimal production of any goods taking place in the district.

**Question 13: Is the Amathole District municipality adequately capacitated to formulate and implement policy that will advance socio-economic development?**

The respondent held that the Amathole District Municipality had done well at capacitating its officials and explained that while certain municipalities simply collate information from different units for their IDP, the ADM ensures that its development planners are adequately trained in project management and take cognisance of the community's concerns because it is their role to inform stakeholders on what development should encapsulate and be prioritised. For example, the development planner would need to inform the Department of Education that there is no need to build a school in the area because the population had decreased and there would be no need to construct a school. The IDP officials are adequately skilled in financial and budgetary aspects as well as performance management which is useful when overseeing the implementation of IDP objectives.

**Question 14: Is the Human Resources Department helpful in providing training and development to the IDP Unit?**

The IDP Unit participates in IDP, LED, policy development, demographics and project management courses. They are expected to have an understanding of all these issues in the district. The respondent's responsibility as a Manager: Development Planning is to always enquire why certain departments would like to implement certain projects in agriculture, water or housing, and how it will benefit the community, of what value would it be to the institution or how the departments will collect the rates for these initiatives. Consequently, sound knowledge of all these development issues is important for the IDP unit. The IDP unit also has to have an in-depth understanding of legislation governing local government. Depending on the availability of the training budget, the IDP unit identifies its training needs at the beginning of each financial year and attend short courses for their personal development.

## COOPERATIVE GOVERNANCE

**Question 15: Is the Amathole District Municipality's IDP useful to enable public participation and interaction with the community (Ward Committees, Civil society, Business groups & CBOs) on issues of development?**

Yes, the district municipality has forums in place that integrate all stakeholders expected to contribute their perceptions and experiences on developmental issues which affect the region. The respondent deemed the district municipality's efforts to enhance public participation as exceptional not only for IDP purposes but keeping community members informed about municipal services as well as their accounts to collect revenue.

**Question 16: Does the district municipality manage and coordinate its IDP and programme with those of local municipalities to provide coherent government, promote institutional integration achieve integrated service delivery?**

The respondent clarified that there is a forum for development planners that meet at each phase of the IDP process on issues of alignment. The forum also includes development planners from provincial and national government to discuss integration and programme alignment.

**Question 17: Does the Amathole District Municipality seek or receive adequate support from stakeholders such as SALGA, development agencies or other municipalities and provincial government departments in order to cooperate and collaborate to promote institutional integration and deliver services to its communities?**

The respondent gave details of the IGR Fora which includes all stakeholders with a vested interest in the district. They were helpful in providing support and guidance to the district municipality. The aim of the fora is to report on the progress of programmes and identify relevant departments to provide additional support to attend to any challenges and gaps identified in the implementation of certain programmes. The biggest gaps identified are primarily related to service delivery and poor planning or coordination as stakeholders often complain about being unable to access, for example, a hospital in a rural area because there are no accessible roads.



**Question 18: How has the Amathole District Municipality managed to overcome the challenge of collaborating with different local municipalities that have varying capacity levels and limited or no institutional foundation to build on?**

The municipality has not managed to overcome these challenges. It is a continuous challenge that will always be present but the institution provides hands on support to the local municipalities that encounter problems of capacity. The respondent explained that if a local municipality does not have an IDP officer, the Manager: Development Planning would have to visit the municipality to ensure that an IDP is implemented and the municipality drafts an Annual Report as well as performance reports. The district municipality prioritises to fill the gaps in municipalities which experience limited capacity. However, this approach is a short-term solution.

**Question 19: Is access to data and statistics to communities adequate to enable meaningful public participation as well as hold the municipality accountable?**

The only statistics that the municipality uses is from StatsSA which is not necessarily relevant because the survey was conducted in 2011. Much change has taken place since 2011 and the municipality cannot fully rely on the statistics. There is, however, surveys and research conducted in the district which complements the statistics published by the department. Reference is made to the StatsSA 2011 survey in the IDP but the surveys and research conducted in the district are also taken into consideration so that the context within which Amathole district operates is identified.

**Question 20: What can the Amathole District Municipality do to strengthen the link between the municipality and the community?**

The respondent held that there is a very strong link between the municipality and community within the Amathole District. There are various strategies and platforms in place that have been effective in communicating with the communities. The respondent further asserted that one may ask why there would be a high level of service delivery protests if communication was effective. The reason is primarily because of what is communicated to the citizens. Communities protest not because of a lack of communication but discontent with the management of service delivery in the district.

**Question 21: Are the differences between political and administrative leadership a barrier for the implementation of programmes aimed at improving service delivery?**

The respondent held that the municipality had been fortunate not to be affected by political-administrative tension. There is a clear distinction between the two and there have been no instances of councillor interference in the operation of programmes and service delivery in the municipality.

**Developmental state**

**Question 22: A strong public service is needed for the realisation of developmental objectives. How does the Amathole District Municipality manage its scarce resources, for example, engineers?**

The municipality utilises professional consultants if scarce skills are not available. The local municipalities have engineers but are not at the required level.

**Question 23: Have the development projects and programmes conducted by the development planners in the Amathole District Municipality been conducive to sustainable development and enable communities to develop themselves?**

The municipality implemented numerous projects to enhance sustainable development in the region. The municipality fast-tracked sanitation to the rural areas which comprised of approximately 90% of the district. SMMEs and military veterans were utilised to manage the project to economically empower the citizens in the community.

**Question 24: Is the Amathole District Municipality IDP functional to ensure that its economic development role is progressive?**

The respondent deemed that more could be done to ensure that the IDP allows acceleration of economic development in the Municipality. However, the IDP could be considered satisfactory for progressing economic development in the district.

**Question 25: Does the Amathole District Municipality perceive improvement in access to health, electricity, water and sanitation for all households?**

There had been significant improvement, however, it is difficult to perceive on a larger scale because a new area is demarcated and developed in rural areas on a daily basis. A chief may decide to allocate land whenever they foresee the need. Although the municipality may have provided adequate sanitation, it will never fully reach their target because the communities could require additional toilets. The municipality relies on statistical data on the number of homes with no sanitation and cater for that specific number. However, the project will never be completed because the members of the community build structures on a daily basis. A scheme will be established to cater for a certain number of citizens based on statistics at the time but 5-10 years later, the scheme will no longer be able to provide water for the entire population at the given time. Development takes place on a regular basis, hence there will always be a backlog. There are community members who have had no access to water and sanitation since 1994 while other citizens would not understand why they are still without services even though some citizens with recently built structures have access to water and sanitation. Consequently, the gap will take several years to fill.

**Question 26: Does the Amathole District Municipality have an understanding of sustainability principles and processes and incorporate sustainable development planning in its IDP?**

Yes. Each sector would advance its own developmental initiatives, for example, Environment would promote its Green Economy and based thereon, the municipality has to change the way it conducts its operation as a response to this initiative. The municipality has invested in IT Infrastructure so that the IDP unit adopts greener approaches when conducting their business. The IDP Unit usually has a 1000 page agenda that are emailed to Councillors thereby saving large sums of money on printing as well as paper. The municipality does incorporate sustainable development in their planning but this is also dependant on the financial muscle of the local municipalities. It should be noted that Amathole District is 90% rural and despite implementing plans to utilise water-borne sewerage systems or renewable energy in the future, this will be determined by financial resources as well as changing the mind-sets of the officials in the rural district who may

not fully understand the principles of sustainable development and managing the risks when they are not used to it.

**Question 27: How has the municipality incorporated the National Development Plan goals for local government into its policies and strategies?**

The municipality conducts an analysis of the *status quo* both internally and externally to raise development needs that should be prioritised and develop objectives that will respond to the challenges identified in the analysis. The analysis will not only identify the successes and challenges but will also help to identify the municipalities vision as well as the objectives it would need to be in place to achieve that vision.

The municipality is in the process of developing its long-term vision that will conform to provincial and national development plans and will also focus on the districts' own developmental priorities.

**Section B**

The researcher aimed to conduct questionnaires on a significant number of respondents who work with the formulation and implementation of the IDP in the Amathole District Municipality (Refer to Annexure B). Due to a lack of time and availability of the relevant officials, the questionnaire was only completed by the Manager: Development Planning on 4 July 2016. This section surveys the questionnaire from the respondent responsible for the implementation of the IDP. The questionnaire was drafted with the focus on the thematic areas mentioned in Section A.

**5.3.2 Analysis of questionnaire results received from respondent at Amathole District Municipality**

**IDP and LED Programmes**

The respondent revealed that the Amathole District Municipality had made significant progress in implementing programmes targeted at improving socio-economic development in the district. Furthermore, the IDP is responsive to the development needs of the

community in the district and ensures that members of the community play a significant role in contributing to the development of the IDP. There is adequate monitoring and evaluation of the IDP programmes which is conducted by the PMS unit within the Amathole District Municipality. The respondent strongly agreed that there are a considerable number of participants in the planning phase of the IDP, which has helped the municipality in both the drafting of the Plan as well as policy that accurately identifies the development needs which are prioritised in the district.

The municipality is severely affected by high unemployment, illiteracy and the lack of skills in its communities which can be perceived from the statistics available in the IDP. The ADM has made efforts to initiate several LED programmes more specifically in agriculture, which is a key contributor to the districts economy. The recent being a partnership formed by the Mquma Local Municipality (within ADM) and five tertiary institutions in the Eastern Cape namely: University of Fort Hare, Nelson Mandela Metropolitan University, Walter Sisulu University, King Hintsa Training College & Fort Cox College of Agriculture. This programme has seen a number of youth receive training in farming, crop production, piggery, poultry, livestock and business management. The young beneficiaries have since progressed to starting their own micro to medium enterprises using the skills acquired through the programme.

### **Institutional Capacity-Building and Training**

The district municipality faces financial and human resource capacity challenges but has found ways to manage the latter in order to still meet service delivery targets. The district municipality does prioritise the career development of officials through training and development in each financial year. However, the local municipalities within the district are faced with significant capacity challenges ranging from human resources, financial resources as well as technological resources. Some of the challenges are not prioritised because of the context in which the local municipalities operate and the limited financial resources available to put in place a capacity building framework for Local government. The lack of capacity at the local municipalities has also stifled effective collaboration between the district municipality, metro municipalities and the local municipality as well as donors and development agencies.

## **Cooperative Governance**

The respondent explained that the Amathole District Municipality is well aware of the Intergovernmental Relations Framework and has implemented a number of different fora to encourage the participation of all relevant stakeholders in the IDP process. The district municipality also places great emphasis on developing IDP that conforms to the objectives set out in the local municipality's IDP. This has helped the municipality improve integrated service delivery in the district. An analysis of the response from the respondent regarding the tension in ward committee and political party differences revealed the impediments to effective IDP policy formulation and public participation in the district. The respondent explained that although the development planners are not always directly involved with the ward committees and do not engage directly with communities in the municipalities, there are instances of tension and political party differences within the wards which jeopardise effective participation by all community members interested in making a contribution to the formulation of the IDP.

### **5.3.3 Questionnaire conclusion**

The questionnaire was not as effective as the researcher had anticipated it would be because only one respondent from the IDP Team was available to complete it. The advantages of using questionnaires include offering greater anonymity particularly when sensitive questions are posed and acquires accurate information. Access to a single respondent therefore limited the probable input and perceptions. This could have partially influenced the subjective point of view, making the gathered information somewhat accurate.

The researcher deduced that the Amathole District Municipality has managed to utilise most of the initiatives and opportunities available to the municipality to drive development in the district despite being relatively small and under-resourced in a rural area. The greatest capacity challenges encountered by the municipality are primarily personnel and budget- oriented. Despite the latter, the municipality has established ways to guarantee that the lack of skilled professionals in the local municipalities within the district does not affect the implementation of plans, operations or hamper service delivery. The municipality is well aware of the significance of community participation in drafting policy and as such

prioritises strengthening intergovernmental relations between the different spheres of government and public participation. The drafting of the municipality's IDP is consultative and ensures that all stakeholders with vested interests have the opportunity to share their needs and through ward committees, the communities' needs are taken into consideration. The municipality acknowledges the significance of monitoring and evaluating the progress made in its IDP and LED programmes because the PMS unit monitors the advancement of all programmes at different stages on a quarterly basis.

### **Section C- Case Study of the Amathole District Municipality**

This section of the chapter analyses the data encapsulated through case study research of the Amathole District Municipality. The 5C Protocol Model, discussed in chapter three of this study, is utilised as the tool of analysis to interpret the data drawn from Amathole District Municipality and expand on the understanding of variables influencing policy implementation. The model uses five variables for analysis namely: Content, Context, Commitment, Capacity and Clients and Coalitions. Communication does not fall within the 5-C Protocol Model domain but will be included in this study as the sixth variable crucial for implementation. Policy implementation is complex in nature and every case is unique. However, these variables can serve as a frame of reference for successful implementation and allow for adequate analysis.

#### **5.4. Variables influencing policy implementation: Analysis of the Amathole District Municipality Integrated Development Plan**

##### **5.4.1 Appropriateness of content: Integrated Development Plan and its implementation**

The content of a policy as a variable affecting policy implementation is vital as policies serve as a guide to actors participating in the policy-making phase, particularly government agencies, legislature and municipalities. It is thus important that all actors involved in the implementation stage of a policy have a clear understanding of the content and feasible for implementation. Mazmanian and Sabatier in Hill & Hupe (2002:168) sharpen and expand on the implementation variables by proposing sufficient conditions for

effective implementation which include: enabling legislation should provide clear and consistent policy objectives; policy objectives should be based on a sound theoretical framework that empowers implementing officials to achieve their mandate; enabling legislation should structure the implementation process in a manner that supports implementation agencies, including supportive institutional arrangements, enabling rules, financial rules and access to supporters additionally, legislative objectives should not be eroded by conflicting policies nor by changing socio-economic conditions that question the basis for the state's support among others. These conditions highlight the significant role that policy content plays in implementation.

Awareness of whether the policy is distributive, redistributive or regulatory in content is crucial for actors involved in the implementation of the IDP plan at the municipality and whether it can be implemented. The National Capacity Building Framework for Local Government can be classified as regulatory as it is a comprehensive policy which is supported by other documents such as the Municipal Structures Act, 1998; Municipal Systems Act, 2000 and the Constitution of the Republic of South Africa, 1996. It specifies procedures to guide local government of how to attain benchmarks associated with a sustainable municipality with regard to functionality, performance and adequate service delivery at an individual, institutional and environmental level. An element of being distributive in content is evident in the National Capacity Building Framework because in light of the inherited legacies of inferior services provided by small and under-capacitated municipalities in underdeveloped areas, the South African government recognised the significance of creating policies geared towards capacitating local government's ability to deliver services to communities, develop municipalities and empower communities within those areas.

The Integrated Development Plan as a central planning tool used by municipalities in conjunction with the National Capacity Building Framework to guide their policy objectives and will help them to implement socio-economic growth and accelerate the process such that it will fulfil their developmental mandate, is strongly distributive in content. The IDP functions as a framework to assist municipalities articulate a clear vision and strategies to address setbacks in their jurisdiction through short to long-term plans that ensure that



capacity-building and training is prioritised; there is appropriate allocation of resources and that adequate service delivery is provided to communities in order to guarantee that there is equitable socio-economic development in the country that will aid in the creation of a developmental state.

From the data collected, it is evident that the policy content is clear and implementable and the officials tasked with carrying out policy objectives and programmes have an understanding of what is expected of them and how to go about meeting those objectives. The Amathole District Municipality focuses great attention on ensuring that the IDP is continually revised to ensure that it is relevant to the ever-changing needs of the community members, adapt to the continually changing environment and relates to the policies and programmes implemented by clients and the formed coalitions. The annual review of its IDP has been useful in helping the municipality identify areas that need amendment or greater attention and conform to the changing needs of its community. This has helped the municipalities' IDP to remain relevant and ensure that there is synergy between the Plan and what is actually implemented. The data collected through the study revealed that the implementation of IDP was not the major challenge experienced by the municipality but what takes place after the municipality's initiatives are introduced is the greatest concern. This considerably hampers the complete success of policy implementation.

The one policy gap identified with regard to policy content, the data revealed that although a clear division of responsibilities and roles for different types of municipalities exists, in reality there is uncertainty between local and district municipalities as well as provincial government departments in terms of the division of powers and functions.

It is clear that the variables which affect policy implementation are interlinked and can be dependent or have an influence on each other depending on the uniqueness of the implementation. In this instance, the changing context in which the policy is implemented plays a crucial role in influencing the content of the policy. The clients and coalitions formed can shape the content of the policy and impact on the overall implementation of the policy.

### **5.4.2 Role of the institutional context influencing the implementation of the Integrated Development Plan**

The institutional context within which a policy is implemented is an important variable that can ultimately determine the overall success or failure of a policy. Policies alone do not ensure that the desired outcome is achieved as a number of variables such as capacity, political, economic or social conditions and leadership can play a decisive role in shaping successful implementation. Hill and Hupe (2002:123-136) propose a checklist of independent variables that are useful in analysing implementation processes to add to the development of explanatory variables. These include factors related to the formation of the policy; intergovernmental relations; factors affecting implementation agencies; horizontal inter-organisational relationships with institutions with a similar mandate; beneficiary's response to the policy and the broader policy context.

One of the planning and implementation challenges experienced by South Africa is undeniably the short supply of capacity available to help drive equitable growth and development. The emergence of South Africa as a democratic state in 1994 provided the opportunity to transform its government through its Constitution (1996) and numerous policies endorsed since then. The legacy of a fragmented system of government which provided services to exclusive minority groups and small, under-capacitated municipalities that provided inferior services to the black majority in South Africa, primarily in rural areas posed considerable challenges for the development of a democratic developmental state in South Africa.

Government's efforts to redress the inherited socio-economic structures from the apartheid government and transform local government have seen small-medium sized municipalities expanded to include previously non-white areas much larger, underdeveloped and characterised by poor service delivery. This has not only stretched limited municipal rates income but has placed greater responsibility on municipalities that are already financially and institutionally under-capacitated. The Amathole District Municipality has been no exception.

Local government has become more diverse and complex because of the need and extent of municipal services required by communities. The rapid rate of urbanisation in South Africa has had an impact on the number of citizens requiring municipal services and the increased number of locations that now need to be provided for under the new democratic dispensation. These areas are often in remote areas far from the adequately capacitated municipalities that stand a better chance at providing municipal services to these areas.

The Amathole District Municipality comprised of 8 local municipalities before a decision to award the Buffalo City Municipality metropolitan status was approved in 2011. Buffalo City Municipality is the regional economic hub and contributed immensely to the districts economic output, formal employment, integrated district growth and developmental agenda. This split has now posed a great challenge to Amathole District Municipality to focus on the seven local municipalities within the district that have limited to no development taking place and require municipal services such as water and electricity. Most of the local municipalities under the Amathole Municipality's jurisdiction are not within easy access of its head office in East London and from the data gathered, this has had a negative impact on integrating service delivery within the district and ensuring that policy formulation is coherent.

The field research provides evidence that Amathole District Municipality is aware of the significant role that the institutional context plays in implementing policy objectives and successfully meet its developmental mandate. This is seen through its request to National Treasury to relocate its headquarters from East London to Stutterheim in the Amahlati region. This decision was made after Buffalo City Municipality was awarded metropolitan status. A two year study conducted by the municipality concluded that financial and economic reasons necessitated the move. The relocation would bring services closer to rural areas most affected by poverty and underdevelopment and create employment opportunities for the largely unemployed citizens in the district. Although the municipality still awaits for approval from National Treasury for a loan to build offices in the town, the move is not an immediate plan. The move would significantly assist officials in implementing policy in unison with local municipalities within the district and ensure that service delivery is integrated and that its impact is maximised.

The National Capacity Building Framework for Local Government was formulated in an attempt by policy-makers to introduce capacity-building initiatives in local government to provide support and contribute to a sustainable local government and ultimately upgrade municipalities to sustainable functionality, performance and adequate service delivery at the individual, institutional and environmental level. This was after the need for effective policy formulation and the capacity to manage resources using different measures from differing municipalities was identified as needing focused attention. The National Capacity Building Framework calls for the need to make a distinction between municipalities and differentiation between municipalities. However, government plans on combining municipalities into a practical number of proportionally similar categories according to their needs and then treat these categories differently based on the identified needs or treat the categories according to a differentiated approach through targeted support interventions.

The National Capacity Building Framework is proof that the South African government is well aware of the important role that political, social and economic variables can play in ensuring that an implementing agency can follow through with policy objectives and successfully deliver however, not much attention has been paid to the challenge that arises because of the largely “one-size fits all approach” adopted by the national and provincial government when implementing legislation relating to fiscal, functional and planning arrangements for local government. This approach does not consider the impact of integration challenges which are magnified by the spatial differences between municipalities in terms of capacity to raise revenue from municipal rates income and to deliver basic services to communities. This approach has done minimal to assist municipalities with varying backgrounds and inherited legacies to deliver on their mandates in a homogenous manner.

The Amathole District Municipality is a prime example of such a municipality plagued with varying institutional context challenges that severely hamper service delivery within the district. Firstly, the district municipality is located within a more urbanised and developed district but has to provide oversight and ensure that the local municipalities under its jurisdiction are equipped to deliver on the development objectives as agreed upon in the IDP and work in an integrated manner to improve on effectiveness and ensure that there is

no duplication of projects, waste of funds or inconsistencies in carrying out implementation. Not only does this further strain an already burdened and financially weak institution but it affects its overall performance as the municipality is not only responsible for a large demographic but the local municipalities within the district are severely under-capacitated as a result of not attracting highly skilled and qualified public servants to rural districts.

The Amathole District Municipality's core function is water provision and sanitation and the data collected reveals that a huge financial addition was received through the Development Bank of South Africa for sanitation programs to be implemented within the six local municipalities in the district, however, given the large volumes of water and sanitation backlogs within the district, it will require extraordinary support and intervention to assist the Amathole District Municipality to eradicate the backlogs in informal settlements and provide adequate water and sanitation services to all community members. The respondent emphasised that the development planning field is ever-changing and it becomes a challenge to overcome the service delivery backlog when citizens create their own informal settlements on a frequent basis when given land by a village chief. This increases the number of community members requiring services.

When the institutional context within which a policy needs to be implemented is fragmented, inconsistent and is characterised by a limited financial and human resource capacity, the likelihood of its implementation being successful is slim. Once again, the capacity of an implementing agency to implement a policy significantly affects its success, failure and overall effectiveness in meeting policy objectives. This draws attention to how the 5 C Implementation Protocol variables are interlinked, influence each other and all play a significant role in the implementation of a policy.

#### **5.4.3 Commitment by relevant actors to implement policy**

Commitment as a variable affecting effective implementation is considered crucial by a number of researchers within the policy-making arena. Warwick in Cloete and Coning (2011:147) affirm the vital role commitment plays in implementation and highlight that even a well-capacitated organisation with an impressive and implementable policy can fail

to successfully implement a policy, if the officials delegated to execute the function are reluctant to do so or incapable of seeing it through. This can be as a result of a number of other variables such as capacity, the policy content, context or the clients and coalitions formed. This reiterates that the five variables are interrelated and how they can all influence the official's commitment in executing the implementation process of a policy.

An analysis of the implementing institutions' character and style of leadership can reveal its level of commitment as well as ascertain whether policy implementation can be achieved. However, commitment from the implementing institution is not the only crucial factor in the implementation of a policy. The level of commitment by the community and stakeholders outside the key implementing institutions all have an impact on a policy and its performance. The Amathole District Municipality has done exceptionally well in encouraging community participation in drafting policy implementation which is evident through ward committee participation and their role in providing oversight over development interventions.

In the past, the Amathole District Municipality hosted the Growth and Development Summit which brought business, labour, higher education institutions, civil society and traditional leaders together to discuss and sign a district growth and development agreement. The agreement was divided into four categories which include: Growth and diversification of the urban economy (particularly manufacturing and small business development); development of the rural economy and strengthening of linkages between urban and rural economy in infrastructure; service delivery and human capital development as well as improved governance and stakeholder coordination. There are, however, impediments that hamper the progress of implemented policies. The respondent highlighted the policy oversight gap experienced by the municipality when implementing a policy within the community.

Regular monitoring of the progress of a project or programme is crucial in order to achieve the objectives set out at the onset of policy implementation. Without oversight from ward committees and political party leaders, it is easy for momentum to dwindle from all participant stakeholders which in turn can affect the success of the policy implementation.

It is essential that all stakeholders affected by the policy and who play a role in the implementation thereof remain committed when executing policy objectives.

The respondent noted that the municipality was fortunate to not experience political-administrative interface challenges. Moreover, the appointed leaders within the municipality have not interfered with the municipality's operational functions. The respondent suggested that the implementation of policy objectives would progress steadily and accurately if there was further involvement by political leaders in monitoring the progress thereof.

From the data generated from this case study it was revealed despite the municipality's effort to fulfil its developmental mandate and successfully accomplish its IDP objectives, its leadership and management style would impact on the success of the implementation of IDP. Numerous cases of municipal corruption surfaced in the run-up to the local government elections held in August 2016 and the Amathole District Municipality was no exception. The Mayor, Nomasikiza Khonza and eight others were arrested in May 2016 for allegedly defrauding the municipality of R6 million. A number of political party officials in the Amathole region claimed that the Hawks were paid to arrest the Mayor and this was all part of a political conspiracy in the run-up to the local government elections (<http://www.enca.com>).

When an implementing organisation operates within a context characterised by corruption, it not only affects the delivery of services and policy implementation but signals a warning that the leadership and management responsible for the implementation of policy cannot be fully relied on to oversee the completion of the implementation process.

#### **5.4.4 Capacity of Amathole District Municipality to implement policy**

A fundamental feature of a developmental state is a strong state which comprises of a resourceful and competent public service. The National Capacity Building Framework accentuates the significance of capacity in constructing a well-managed and democratic state that can encourage productive economic activities and economic growth as well as

eradicate poverty and improve the quality of life and living conditions of its people (NCBF 2008). In order to implement policy successfully and deliver public services to communities, there needs to be adequate capacity to guarantee officials tasked with implementing policy objectives and programmes are capable of execution. From the research collected, it was apparent that capacity is a significant variable which affects the implementation of the IDP at the Amathole District Municipality.

According to Porter in Cloete and de Coning (2014:256), there are three basic organisational models that depict the approaches to institutionalise policy analysis. These include the adhococracy approach which minimises the dependence on regular patterns of policy advice and relies on policy managers to distribute assignments and decide on the level of policy advice taken. The centralised management capacity approach relies heavily on policy advisors close to the policy manager to filter the ideas, proposals and recommendations of other agencies and bureaus. The multiple advocacy approach which embodies what the Amathole District Municipality aims to achieve through its IDP is designed to expose the decision-makers to express arguments and alternative perceptions raised by proponents or advocates thereof themselves.

As opposed to the centralised management approach which emphasises continuity through central managerial staffers responsible for overall coordination and policy management, the bureaucratic multiple advocacy approach ensures continuity through the various interdepartmental committees responsible for coordination as a whole and the broad management of policy and planning challenges. The analysis of the collected data revealed that the utilisation of the bureaucratic multiple advocacy approach was effective in making optimal use of the limited capacity available at the local municipalities within the district by working in unison with relevant stakeholders thereby ensuring that integrated development planning is coordinated and cohesive as well as establish techniques to enhance their capacity.

As is often the case with most municipalities in local government, capacity challenges are common and this lack is not only limited to human and financial resources. The local municipalities within the Amathole district are faced with poor debt collection which affects



its ability to effectively render municipal services since revenue is required to keep municipalities functional. The under-capacitated local municipalities within the district are often short of skilled officials to occupy key managerial positions; effective methods to attract and retain skilled officials to the rural municipalities as well as efficient performance management systems. However, data gathered from the respondent proved that the lack of human resource did not severely impede implementation at the municipality because it had prioritised support to under-capacitated municipalities. The Municipal Support Unit was established in the municipality to provide Engineering, Finance, Human Settlements, Corporate Services, IDP and PMS support for local municipalities who are unable to exercise their functions and powers due to a lack of capacity. An assessment was conducted in the 2012/13 financial year. The municipality identified projects that were assimilated into its operational plan and the Service Delivery and Budget Implementation Plan of the Strategic Planning and Management Department.

The case study on the Amathole District Municipality revealed that the most pertinent capacity challenge which affected the municipality's ability to implement IDP was the lack of adequate coordination between officials responsible for implementation; lack of regulatory framework regulating and binding participation of other spheres and role in IDP; absence of a central planning data bank/ repository in the province and district; different systems and methodology used to conduct needs verification and prioritisation within the district; insufficient political and administrative buy-in during the IDP process as well as a lack of adequate oversight over implemented initiatives to ensure that the overall envisaged impact is achieved. The municipality prioritised the provision of technical support to local municipalities within the district to assist in the compilation of the IDP. However, the challenges to building capacity amongst the primary stakeholders remains a constraint to successful policy implementation.

Despite the National Capacity Building Framework for Local Government's attempt to develop a framework to guide municipalities, mainstream capacity building initiative and efforts to improve its capacity, an apparent policy gap exists. There is a lack of a framework to target consistency and cohesion between local government and its institutional and environmental capacity. The inter-connected relationship between the five

variables which affect implementation is quite visible. The collected data revealed that capacity cannot be enhanced significantly if there is a lack of provision in the policy content and the context within which a policy is implemented. This plays a significant role in shaping the capacity of the relevant stakeholders involved in implementing a policy. It is also evident that through relevant stakeholder commitment to build capacity and find useful methods to employ the limited capacity available, a significant contribution can be made to the overall implementation of a policy.

#### **5.4.5 Role of policy clients and coalitions in implementing policy**

The assistance from policy clients and coalitions can significantly contribute to the successful implementation of a policy. Scharpf in Brynard (2005:14) highlights the significance of coalitions: “It is unlikely, if not impossible, that public policy of any significance could result from the choice process of any single unified actor. Policy formation and policy implementation are inevitably the result of interactions among a plurality of separate actors with separate interests, goals and strategies”.

Whereas some degree of success has been achieved by the South African government through its adoption of the cluster approach in an effort to improve policy coordination and integrated service delivery, technical committees established to ensure alignment of activities by different sectors have been unsuccessful in accomplishing interdepartmental co-operation at a broader level. This failure can be attributed to not taking into consideration the institutional context within which the clusters are formed. Demographic challenges such as population dynamics, transformational change within the area as well as urban/rural divisions can significantly affect the manner in which the municipality co-operates with external stakeholders and ultimately delivers services to the communities.

The Amathole District Municipality has prioritised forging coalitions with key stakeholders who are greatly affected by the IDP policy and who can significantly affect the implementation of the policy. A range of stakeholders are consulted throughout the policy formulation stages of the IDP to encourage debate and discourse on issues crucial to policy-making and implementation. The coalition formed by Mquma Local Municipality is one such example of a successful partnership formed to build capacity among the

unemployed youth in the district on agricultural farming. The Local Economic Development Initiative is evidence that stakeholder participation and partnerships are prioritised within the district.

The Amathole Economic Development Agency (ASPIRE), the development agency wholly owned by the Amathole District Municipality is recognised as a relevant stakeholder that can play a significant role in assisting to achieve the IDP and improve local economic development interventions in the district. As an economic development agency, ASPIRE's primary aim is to play an advisory role within the district on regional economic growth and ultimately promote the regeneration of decaying small towns in the Amathole region. Its programmes focus on town-centre development, corridor investments and developing markets. Through greater collaboration with the agency, the Amathole District could introduce interventions targeted at improving the socio-economic conditions of its citizens and lead the municipality towards accomplishing its developmental goals as set in IDP and the LED strategies. The respondent expressed dissatisfaction in the poor economic activity within the district and how it impeded development in the communities. Moreover, municipality's IDP objectives were stifled but prioritising greater collaboration with the economic development agency could help drive socio-economic development forward.

#### **5.4.6 Significance of communication as an adequate circumstance for effective policy implementation**

Communication is generally excluded as a sixth critical variable under the 5C Protocol of policy implementation. However, its significance and relevance to ensure the implementation of policy cannot be overlooked because it plays an integral role in aligning all other variables to function in unison. Communication plays an integral role in the implementation of the IDP because it facilitates a relationship between the municipality, various stakeholders and communities involved and affected by the policy; it ensures that officials responsible for executing the tasks required to achieve goals are informed of what is expected, how they are expected to operate and with whom they will collaborate.

Despite the tremendous effort made by the local municipalities, provincial and national governments and key stakeholders to engage regularly and work together to ensure that plans are aligned across different sectors, the municipality is often faced with the

challenge to coordinate efforts such that it will utilise various resources, while avoiding wastage and duplication. Service delivery is a distorted process that requires input from various government departments that are not always on the same sphere of government which complicates the process of implementing policy and delivering services. Clear and regular communication between the municipality and the participant stakeholders in the implementation of IDP can provide support to all the stakeholders and ensure that officials are aware of the input required from the organisation to achieve the policy objective. Government intervention will always operate within a fragmented environment. Consequently, it is imperative that municipalities make an effort to ensure that initiatives are harmonised and coordinated. Communication is an essential variable that can positively influence the success of the implementation of a policy.

## **5.5 Conclusion**

A number of studies place emphasis on a lack of skilled officials as the fundamental reason for institutional capacity challenges. Cooperative governance as a policy position in the National Capacity Building Framework for Local Government is accentuated in most studies and this approach to local government is focused on not only because the framework seeks to improve coordination and monitoring capacity-building and training to municipalities but establish municipal capacity and initiatives that will lead to the fulfilment of a prearranged impact and provide an approach that will facilitate sustainable municipal capacity by addressing individual, institutional and environmental capacity gaps.

The ability to bridge the gap between the intention of a policy and the achievement of the policy objectives is the ultimate assessment of the South African government's ability to successfully effect development required to close the inequality gap in the country and create the developmental state that it has been working towards. One of the justifications for poor policy implementation as stated in the problem statement of this study was the lack of adequate municipal capacity within local government that is often a disadvantage to smaller, under-resourced municipalities such as the local municipalities under the Amathole District Municipality's jurisdiction. The field research conducted in this chapter confirmed that although a lack of capacity can significantly debilitate successful

implementation of the objectives identified in IDP; there are a number of factors that can impinge on implementation.

Despite being faced with financial and human resource capacity and governance challenges, the Amathole District Municipality sought to provide capacity-building training initiatives to its under-resourced and overburdened local municipalities and acknowledges its responsibility to establish approaches to manage the severe service delivery backlog experienced by the municipality as evident in its IDP. This will, however, not be without its challenges as revealed in the analysis of the data generated through the 5C Protocol Model. In the following chapter, recommendations will be provided to assist the Amathole District Municipality to establish approaches and techniques to implement its policies successfully and achieve policy objectives and hopefully serve as a guide to help other municipalities within South Africa, followed by a conclusion of the study.

## CHAPTER 6: RECOMMENDATIONS AND CONCLUSION

### 6.1 Introduction

South Africa is characterised by moderate levels of growth which are tied in with high levels of poverty and inequality. It is apparent that there is a strong need for development plans that balance economic growth and human development to be designed in order to facilitate inclusive growth and construct a South African developmental state. Considerable emphasis was placed on the concept of a developmental state throughout this study and to grasp the purpose of this research, it is useful to recap the most common characteristics that define a developmental state. A developmental state is characterised by efficient institutional interventions, focusing on promoting economic growth and human development. In order to achieve this, a detailed plan outlining how the structure of the state bureaucracy will aid both economic growth and human development is essential and that the challenges which have shaped the public policies intended to find this balance are identified and more importantly, that the policies focus on well-organised implementation. Policy analysis is an important aspect of identifying the most prominent topics and challenges which shape the process of creating a developmental state. It not only focuses on the proposed plans or objectives of a policy but it draws attention to what has been achieved and how.

The fifth chapter of this study focused on the analysis of the empirical data collected through an interview conducted at the Amathole District Municipality which provided more insight that provides the basis of the final chapter. This chapter will highlight the key issues that were identified in the preceding chapters and summarise the findings from each chapter to draw conclusions of the research findings. Recommendations are provided on how the National Capacity Building Framework for Local Government can best be implemented to ensure that municipalities have sufficient capacity to fulfill their developmental mandate and efficient implementation of IDP that is responsive to community member's needs. In addition, the study will propose areas that should be further researched on in future for the improvement of municipalities' capacity to implement IDP through frameworks introduced by national government such as the National Capacity Building Framework for Local Government.

## 6.2 Summary of previous chapters

Chapter one provided the background to the developmental challenges surrounding government. The chapter placed local government at the centre of the developmental state dispute because of its close proximity to the grassroots of South African society and community members who play a significant role in democracy and are the most affected by poverty and inequality. This chapter further identified the problem statement, research questions which would guide the study and discussed the research methods that would be utilised in the investigation. Clarification of the key terms used in the study and how the study is grounded into the field of public policy and administration was provided.

The study intended to utilise a mixed-method strategy to conduct the research because of its ability to best acquire responses from the participants and reliability through different methods of research. The study utilised interviews, a questionnaire and case study as research instruments but due to time constraints and limited resources, the questionnaire did not have the intended impact because both the interview and questionnaire were responded to by a single respondent and not a number of participants with varying opinions. The lack of efficient policy implementation as a result of insufficient capacity at municipalities was identified as the problem statement of this research study. The failure to deliver services to community members led to service delivery protests that swept through all areas of South Africa over the last decade.

The chapter highlighted the research objectives of the study which included finding lessons that South Africa can draw from the East Asian economies in building a developmental state, establish innovative approaches to utilise municipalities varying capacity to implement responsive and credible Integrated Development Plans, encourage the participation of the public in the drafting of the IDP and ultimately help municipalities fulfill their developmental mandate.

Chapter two of the research study deliberated on the concept of a developmental state and investigated the formation of the developmental state theory. The origins of the developmental-state approach which emerged in the 1970s in East Asia were highlighted and the key features that define these states were explored to identify features that South

Africa needs to improve to achieve its objective. The conceptualisation of a developmental state cannot be discussed outside the theoretical debate about the role of the state in economic development. This concept was applied in a domestic context through a historical journey of the creation of a developmental state in South Africa by examining policies implemented by the national government after 1994 in efforts to promote economic development and address inequality, particularly at the local sphere of government.

Chapter three expounded upon the implementation of programmes, policies and frameworks that support the notion of a developmental state bureaucracy and seek to alleviate poverty and balance inequality. The international and regional mechanisms that have influenced the South African developmental agenda were also investigated. The relationship between public policy implementation and the developmental state was summarised in this chapter and the variables that may affect policy implementation were discussed. Close attention was drawn to the role that the political-administrative interface, institutional capacity and public participation plays in the policy formulation and implementation process as well as monitoring and evaluation. The 5C- Protocol of Policy Implementation was discussed as a tool for analysis on how different variables can affect the implementation of a policy.

Chapter four presented the case study and shared the situational analysis of the progressive needs of communities in Amathole District Municipality. An analysis of the development and the institutional arrangements of Amathole District Municipality are a crucial step in development planning and an integral component of the process which includes assessing the impact of the interventions, policies and programmes focused on the social and economic progress of its communities through delivery of basic services such as water, sanitation, housing and health services. This chapter also outlined the demographic, economic and infrastructural overview of Amathole District Municipality through statistical information on poverty and inequality levels in order to analyse the efforts made by the municipality in implementing the National Capacity Building Framework for Local Government to improve on its policy-making and implementation.



Chapter five presented the results of the empirical data collected from an interview and questionnaire from a research participant at the Amathole District Municipality of their understanding and experiences in the implementation of National Capacity Building Framework for Local Government. Additional data was collected through an analysis of the Amathole District Municipality which served as the case study. The aim of the empirical research was to explore whether the officials at the ADM identified with the National Capacity Building Framework for Local Government and IDP within the municipality as well as investigate the challenges faced by the Amathole District Municipality when implementing Framework and the Plan. An analysis of the research results was embarked upon to assess the success or failure in policy implementation through the 5C Protocol Model which queried the appropriateness of the content of Integrated Development Plans; role of the institutional context within which the Plan is implemented; the commitment of relevant actors to implement policy; capacity of the Amathole District Municipality to implement policy, including the clients the policy is expected to serve; coalitions formed in implementing policy as well as the role of communication between stakeholders for effective policy implementation.

The researcher gathered from the single respondent and the case study that there is no clear path between policy-making and implementation and the ability of local government to successfully implement policy is affected by a number of factors other than human capacity. Chapter five revealed that insufficient capacity undoubtedly served as a disadvantage to successful policy implementation but a range of other challenges commonly faced by South African municipalities hindered effective policy implementation. The absence of consistent political oversight and evaluation of implementation, incoherent communication between actors involved in implementation and insubstantial commitment from leadership all contributed to the burdens faced by the Amathole District Municipality in implementing responsive and sustainable Integrated Development Plans. It is based on the findings that the municipality can adopt measures to improve its policy implementation and ultimately accelerate social and economic development at a rate that will improve the living conditions of its community members and help contribute to the developmental state vision of South Africa. The chapter also proposed prospective areas for further research that can enhance knowledge on the subject and provide long-term solutions to socio-economic development in developing countries such as South Africa.

### 6.3 Findings and recommendations

The purpose of this study was to analyse ways in which local government, particularly Amathole District Municipality interpreted and implemented the National Capacity Building Framework for Local Government to strengthen its ability to draft and implement sound Integrated Development Plans which would help the municipality achieve its developmental mandate. The study used the 5C- Protocol Model to assess the Amathole District Municipality's journey through the IDP implementation process. The 5-C Protocol Model accentuates five critical variables related to policy implementation which include policy content; policy context; commitment of the implementing institution; capacity to implement policy and the role of policy clients and coalitions. Communication as the sixth variable was of significance for this study and was included as a key aspect for successful policy implementation. The study expounded on how the five variables interact and impact on each other. The context of the study was prompted by the South African National Government's revival of the pursuit of a developmental state. As the sphere of government closest to communities which are directly affected by unemployment, poverty and inequality, local government was selected as an area for this study. Moreover, the municipal protests which have occurred across South Africa over the last decade reflects the communities' displeasure with the quality and lack of services they receive.

The historically disadvantaged municipalities with varying legacies and backgrounds which fall within the Amathole District Municipality's jurisdiction made it an appropriate institution to investigate whether the widely acknowledged "one size fits all approach" adopted by the national and provincial spheres of government in terms of economic and planning arrangements have been effective in helping municipalities like itself to deliver on their mandates in a cohesive and coherent manner. The key findings of the study are discussed below.

#### **Finding 1- Lack of comprehension of the National Capacity Building Framework for Local Government**

The Amathole District Municipality has made efforts to implement the National Capacity Building Framework for Local Government. A Municipal Support Unit was established to implement the objectives outlined in the framework but in reality, a number of challenges

have arisen such as build the capacity of the local municipalities within its jurisdiction. The “one size fits all” approach promoted by the provincial and national government does not consider the integration challenges faced by municipalities such as the Amathole District Municipality which is responsible for local municipalities with varying historical legacies and capacity to deliver services and raise revenue to keep their offices functioning at a sustainable rate. The respondent who was interviewed remarked on how municipal officials often had to implement recommendations made by provincial or national government even if irrelevant to the Amathole District. These recommendations serve no purpose for the municipality to achieve any development objectives but simply overburden the already under-capacitated municipalities.

Although the Municipal Support Unit established by the Amathole District Municipality is well-intentioned, it is an example of how initiatives aimed at capacity-building are often not as effective as planned. An analysis of the respondents answer to a question of how the district municipality assists its local municipality’s wherever gaps are revealed was: the local municipalities are not provided with the skills required to strengthen their ability and capacity but with short-term solutions which do not entirely achieve the objective set out by the National Capacity Building Framework for Local Government which is to support and train the officials to be independent.

Based on the respondent’s opinion, it was revealed that the most dominant capacity challenge experienced by the municipality is its ability to manage different institutions and to operate functionally within the policy environment. The National Capacity Building Framework for Local Government directs significant effort to individual capacity-building in local government and in the process overlooks the need to adequately address the local government’s inter-relatedness to institutional and environmental capacity to improve its overall capacity for each municipality.

## **Recommendation**

Progress towards development goals can only be considered sustainable and constructive to create a developmental state if it is inclusive of municipal growth at an individual, institutional and environmental level. The content of the National Capacity Building

Framework for Local Government needs to provide guidelines of how local government should go about bridging the municipal capacity gap to function and relate to their environment.

The National Capacity Building Framework for Local Government proposes that municipalities be differentiated according to their capacity needs and abilities to function and generate revenue but municipal fragmentation further complicated the complex municipal structures within which implementation must take place. The Framework mentions the capacity of differing municipalities but should also include guidelines of how district municipalities such as the Amathole District Municipality should target their efforts towards providing lasting capacity building initiatives and how the provincial sphere of government which provides monitoring and oversight will manage the relations between the different spheres and ensure that there is collaboration between stakeholders to optimise capacity for municipalities benefit.

### **Finding 2-Use of unreliable data ineffective in policy-making and development**

Good quality reliable data is vital to improve socio-economic conditions for its citizens as well as crucial that governments, institutions and policy-makers have clarity of a country or regions development status in order to plan properly, fund and evaluate development objectives as well as take effective policy-decisions. The Amathole District Municipality relies on the national statistics provided by StatsSA to inform their development planning. The last census was conducted in 2011. The respondent highlighted that the municipality often conducts its own survey to determine the district's progress towards development objectives and improving its citizen's socio-economic circumstances. Data plays a significant role in helping policy-makers use evidence-based research to inform development decisions. The lack of accurate and timely data of socio-economic conditions can serve as an impediment to policy implementation and the evaluation of the progress made in developing the district. This is evident in the unceasing service delivery backlog experienced by the Amathole District Municipality.

### **Recommendation**

For data to be of value to government, policy-makers and development agencies, it must be accurate, timely, disaggregated and widely available. The Amathole District Municipality's IDP 2015/16 does make mention the need to have a repository with relevant data that can be widely available to all municipalities and provincial government departments. It would be useful for the municipality to consider public-private partnerships when generating data to ensure that it is unbiased, accurate, and relevant, of high quality and a collective effort by involving institutions from different sectors. This transparent process can be greatly assisted by building quality control mechanisms which will encourage accountability and improve the quality of the data that will be produced.

### **Finding 3-Lack of policy coordination and coherence**

The Intergovernmental Relations Framework 2005 stipulates a clear division of roles and responsibilities of the various types of municipalities within South Africa as well as the functions and powers they each have but in practice, the Amathole District Municipality has experienced tension when working with the other spheres of government. This often resulted in duplication of programmes in the District and a waste of public expenditure. Moreover, the prioritisation of different and unrelated sectors by different provincial departments in the province has impeded the overall impact of development and interrupted the systemic and organised approach to development planning. Furthermore, the lack of adherence to the IDP as a central planning tool within the district has resulted in a complex local sphere of government since there are a number of stakeholders who play a role in the implementation of the IDP. Legislation prescribes that other spheres and sector departments must integrate their programmes with local government by working directly with municipalities and integrating programmes into municipal IDPs. However, coordinating efforts between different stakeholders becomes multifaceted when there is no visible central authority to ensure that the municipalities work cohesively with all other stakeholders involved in the implementation process.

An analysis of a response provided by the respondent on the role played by external stakeholders in the IDP and initiatives undertaken by the municipality to promote economic development in the district revealed that the Amathole District Municipality often viewed public participation as merely consultative and did not seek to include external

stakeholders in implementing policy objectives aimed at enhancing socio-economic development satisfactorily. Such an approach to public participation assumes that only trained bureaucrats within Amathole District Municipality are more knowledgeable about the socio-economic challenges experienced by citizens within the district and reduces the citizens to mere guides in the policy implementation process whereas they are part and parcel of the entire process because they are the main beneficiaries of all IDP initiatives.

## **Recommendation**

There are a number of Intergovernmental Relations Implementation Protocols and a framework in place as part of broader cooperative governance initiatives. Significant progress in realising the districts development objective will not be possible until all the stakeholders involved in socio-economic development in the district work hand in hand with the Amathole District Municipality to ensure that there is mutual understanding and alignment of policies and programmes that must be implemented within the district. As the primary beneficiaries of the IDP programmes, the community members should be placed at the centre of all decision-making not just in terms of drafting IDP but included in and encouraged to contribute to the development of their region through programmes that will build the skills base of the community members within the Amathole District. The responsibility to enhance development does not only rest in the hands of the municipality but should be an inclusive process that encourages social cohesion and empowers all members of its community with skills that will help them sustain themselves in the long-term. It is not enough to just consider the voices of community members in policy-making but it will be beneficial to have the citizens of a democratic country such as South Africa to play an active role in matters affecting them.

As a small and financially-incapacitated municipality within an area with limited economic development, Amathole District Municipality can benefit by collaborating in the form of public-private partnerships to develop programmes that leverage the partnering institution's expertise to develop that sector within the District. Agriculture contributes markedly to the economy of the rural district and the project introduced by the municipality in 2016 revealed how working with different stakeholders can boost the economy and provide community members with skills and improve their opportunities of employability or

commence their own small business which will not only ease the burden on government social grants but provide income for community members and in turn revenue for the municipality through rates.

#### **Finding 4-Absence of political oversight in monitoring and evaluating policy implementation**

A profound revelation revealed during the research study was the escalating need by the Amathole District Municipality to perceive an improvement in political party leader's participation in monitoring the development of projects undertaken in the communities of the District. The respondent's response to how the municipality ensures that there is adequate participation by the public in drafting IDP and its implementation revealed: the municipality largely perceives public participation as a consultative process when drafting IDP which creates the impression that Amathole District Municipality assumes a somewhat elitist position in the policy decision-making process and towers above the citizens. This negativity undermines the nature of the South African electoral system and the effect it has on accountability. The respondent further highlighted that the absence of political oversight as an implementation gap impedes the success of policy implementation because the municipality is unable to consistently monitor the progress and programme objectives because of the limited staff versus the severe service backlog. An additional challenge that the respondent brought to light was that increased political leader involvement in the monitoring and evaluation process often posed difficulty for local officials to decide between IDP that is influenced immensely by the political party manifesto and unfeasible or enhancing accountability to citizens by ensuring that IDP is responsive to their needs and realistic.

#### **Recommendation**

The visibility of political leaders in monitoring the implementation of programmes within communities would assist the municipal officials to identify any delay or impediment that negatively affects the policy implementation process which may go unnoticed. Local government including the other spheres are bound by the South African Constitution to ensure that public administration is accountable, people's needs are responded to, the public is encouraged to participate in policy-making and transparency is fostered by

providing the public with timely, accessible and accurate information. Increased involvement by political party leaders in the policy implementation process will not only aid to ensure that the municipality delivers on the execution of policy objectives but will also hold the Amathole District Municipality accountable.

### **Finding 5-Limited budget availability and commitment to implement policy**

The Amathole District Municipality faces sizeable budgetary constraints due to the lack of adequate municipal budget targeted at implementing IDP objectives and its inability to generate revenue for the municipal services it provides to its community members. A large population of the Amathole District is unemployed and, therefore, unable to pay for municipal services. Chapter 5 revealed that the Amathole District Municipality has been faced with corruption and political scandals implicating a number of key senior officials in the run up to the 2016 local government elections. This challenge alludes to a leadership crisis. When key officials who are responsible for the overall municipality and units that play a significant role in developing the IDP are connected to scandals which relate to the misuse of public funds, commitment from local government officials to implement policy objectives will undoubtedly be compromised. An organisation may have the technical capacity to accomplish a particular task, but without the strong commitment from its leadership, it may lack adequate resources or the appropriate regulatory framework to accomplish these tasks. As a rural and under-capacitated municipality, the Amathole District Municipality is faced with the challenge of attracting highly qualified employees to its local municipalities particularly in fields where there are a limited number of experts or skilled candidates available, for example, engineering. The budget constraints experienced by the municipality further inhibits its ability to employ an adequate and skilled human resource for its local municipalities.

### **Recommendation**

The need to not only improve infrastructure development, access to water and sanitation but increase the resources targeted at capacity-building and the creation of economic opportunities for participation by the community becomes increasingly important so that community members are employed and able to pay for municipal services. This would enable the Amathole District Municipality to promote socio-economic development in the



district. The lack of adequate financial resources will constrain policy implementation and the municipality's efforts to empower its community members and promote sustainable development in the district. Despite the prevailing financial capacity challenges, the municipality should strive to groom employees with the ability to utilise their skills effectively to supplement performance. External capacity challenges may be high but an improved use of skills can help the municipality improve its performance since they will be able to improve their operational processes. The Amathole District Municipality can benefit considerably from partaking in municipal service partnerships with international development agencies, donors or organisations to receive funding for their local development initiatives as well as gain skills from organisations with greater skills and expertise on development-oriented fields.

### **Finding 6-Complex implementation structure**

The empirical research also revealed that tensions exist between local government and the other spheres of government, particularly the provincial sphere which often interferes with plans for smooth implementation. The Amathole District Municipality has experienced duplication of programmes because of the lack of communication between the multi-stakeholders involved in service delivery. Municipalities have become complex as service delivery projects are cross-functional between different government departments. This has created confusion over resourcing as well as roles and responsibilities. The traditional bureaucratic structures that typify government institutions fail to be flexible and adjust to the changing environment that multi-project service delivery environments bring. The respondent highlighted the “one-size fits all” approach that is often proposed by national government which in most instances has led to the municipality focusing on meeting the criteria set by the other spheres of government and compromising their duties. This has a negative impact on the quality of services produced by the municipality because the proposed plans are not always relevant to the district and may not always lead to efficient policy implementation and service delivery.

### **Recommendation**

It is important that the Amathole District Municipality considers the IDP as the central planning tool that provides local municipalities and other stakeholders with a strategic

focus to serve as a guide to achieve its strategic objectives. It would also be beneficial for the municipality to approach policy-implementation for service delivery from a project management perspective. It has been proven in a number of government departments across the world that such an approach has been beneficial for effective service delivery. Project management has been instrumental in providing a framework that can guide policy-makers on the implementation of policy objectives for organisations that have projects that cross departmental units because it provides a *modus operandi* and helps turn policies into action. The additional benefit of implementing policy from a project management perspective is that it allows for continuous evaluation of implementation against policy content. Project management also enables officials responsible for policy implementation to frequently effect changes, adapt to a changing policy environment and correct any financial miscalculations that may jeopardise the overall success of policy implementation.

#### **6.4 Potential areas for further research**

This research study examined how capacity challenges affect the implementation of policy at the Amathole District Municipality. The empirical research revealed a number of policy implementation challenges. Local government could benefit by comprehending the issues if further research is conducted on the following areas related to policy formulation and implementation at local government level. First, policy implementation influenced by political party manifesto vs. community needs and feasible development goals. Second, the role political leadership plays in managing developmental local government. Third, the concept of a developmental state in countries principled on cooperative governance and its multi-stakeholder approach to local government. A great deal of attention is paid to the role that individual capacity plays in improving municipal capacity. However, the greatest challenge experienced by municipalities in an increasingly globalised world is the role that local government's inter-relatedness to institutional and environmental capacity plays in improving overall municipal capacity.

#### **6.5 Conclusion**

This chapter summarised the preceding chapters followed by a brief outline of the challenges experienced by the Amathole District Municipality as revealed by the research

findings, including recommendations to address the challenges. The primary objective of this research study was to explore how capacity challenges that exist at the Amathole District Municipality have influenced its ability to implement policy. The research examined how the municipality's implementation of the National Capacity Building Framework for Local Government helped improve its ability to formulate and successfully implement the municipalities Integrated Development Plan. The 5-C Protocol Model was applied by the study as a yardstick to evaluate the implementation of the IDP.

The context of the study was prompted by the growing need to have all the drafted policies by the democratically elected South African government implemented and functional. Regardless of all the governments' efforts to redress inequality and accelerate socio-economic development in South Africa, local government is still fraught with capacity challenges, severe service delivery backlogs and cases of maladministration which has had a negative impact on the successful implementation of policy and hindered the kind of level of professionalism and skilled bureaucracy required for the construction of a developmental state as envisioned in the National Development Plan. The municipal service delivery protests that have swept through South Africa revealed that its citizens have grown frustrated at the lack of service delivery and development in their local economies. Community members from a number of municipalities condemn their lack of access to basic amenities and the slow progress made to improve the quality of life of the South African citizenry. It is apparent that local government as the sphere closest to communities and mandated to play an essential role in implementing policies and programmes will action all goals aimed at providing services to communities in a sustainable manner, promote social and economic development and encourage the involvement of communities and community organisations in matters of local government. The research examined the policy implementation challenges faced by the district municipality when initiating programmes or projects that would improve the municipality's capacity and ability to drive socio-economic development in the district.

The Amathole District Municipality was utilised as the case study. The principal research questions which guided the research included: What role does institutional capacity play on the IDP and what institutional capacity challenges exist at Amathole District

Municipality? Has the municipality succeeded in enhancing greater public participation and implementing systems and procedures for the effectiveness of its IDP? What monitoring and evaluation mechanisms have been developed to measure the Amathole District Municipality's performance to implement the IDP? The data collected from the empirical research was analysed based on the 5C Protocol Model. The study revealed that Amathole District Municipality is experiencing a number of challenges which are not only linked to capacity but include a complex implementation structure; lack of commitment to implement policy; absence of political oversight in monitoring policy implementation; lack of policy coordination and coherence; use of unreliable data in policy formulation and a lack of conception of the National Capacity Building Framework for Local Government.

The study revealed that the process of implementing government policy is complex and the success of policy implementation is uncertain because the multifaceted process may involve numerous stakeholders with varying procedures to abide by and the variables that affect implementation have an impact on each other. However, the development planners are faced with difficulty when trying to identify the policy gap or error that may have impeded implementation or resulted in partial fulfillment of the agreed policy objectives.

The primary recommendations proposed to Amathole District Municipality concern the need for the municipality to improve its relations with all stakeholders involved in the implementation of policy that will promote socioeconomic development and efficient service delivery. It is through building strong and mutually-beneficial partnerships with other government spheres, donor agencies, private sector organisations and community members that the municipality will develop its human capacity, establish approaches to boost the districts economy and source funding and expertise from knowledgeable institutions and ultimately have the ability to implement policy that will have an impact on the quality of life of the South African citizenry which will aid in the construction of a developmental state.

## LIST OF REFERENCES

- African National Congress. 1995. Freedom Charter. Available at: [http://www.historicalpapers.wits.ac.za/inventories/inv\\_pdfo/AD1137/AD1137-Ea6-1-001-jpeg.pdf](http://www.historicalpapers.wits.ac.za/inventories/inv_pdfo/AD1137/AD1137-Ea6-1-001-jpeg.pdf) (Accessed on: 28 July 2016).
- African National Congress. 1994. The Reconstruction and Development Programme. Johannesburg: Umanyano Publications.
- African National Congress. 1994. Strategy and Tactics of the African National Congress. Available at: <http://www.anc.org.za/show.php?doc=ancdocs/pubs/umrabulo/umrabulo.htm> (Accessed on: 30 July 2013).
- Akojee, S. 2010. Intermediate skills development in South Africa: Understanding the context, responding to the challenge. Human Sciences Research Council: Cape Town.
- Ayee, J.R.A. 2005. Public Sector Management in Africa. Economic Research Working Paper. No. 82. Available at: <http://www.afdb.org> (Accessed on: 18 June 2013).
- Butler, A. 2010. Consolidation first: institutional reform priorities in the creation of a developmental state in South Africa. In constructing a democratic developmental state in South Africa: potential and challenges. Cape Town: HSRC Press.
- Creamer, K. 2010. Towards an appropriate macroeconomic policy for a democratic developmental state in South Africa. In constructing a democratic developmental state in South Africa: potential and challenges. Cape Town: HSRC Press.
- Department of Public Service and Administration. 2012. Study on the Repositioning of the South African Public Service: Context, overview and emerging issues. Discussion document. Version 7.
- Eastern Cape Socio-economic Consultative Council. 2011. Policy choices for a developmental state.
- Edigheji, O. 2005. A Democratic Developmental State in Africa? A concept paper. Research report 105. Centre for Policy Studies.
- Edigheji, O. 2010. Constructing a democratic developmental state in South Africa: potentials and challenges. Cape Town: HSRC Press.
- ENCA. 2016. Amathole District Mayor granted bail. Available at: <http://www.enca.com/south-africa/amathole-district-municipality-mayor-granted-bail> (Accessed on: 17 July 2016).
- Evans, P. 1989. Predatory, Developmental and other apparatuses: A Comparative Political Economy Perspective on the Third World State. *Sociological Forum*. 561 -587.

- Evans, P. 1995. *Embedded Autonomy; States and Industrial Transformation*. Princeton, New Jersey: Princeton University Press.
- Evans, S. 2013. The Kings things: Behind Dalindyebo's move to the DA. *Mail & Guardian*. Available at: <http://www.m.mg.co.za/index.php?view=article&urlid=2013-07-15-abathembu-king-joins-the-da> (Accessed on: 10 August 2015).
- Fine, B. 2003. *Beyond the Developmental State: towards a Political Economy of Development*. Available at: [http://www.iese.ac.mz/lib/cdoc/base/fd\\_239.pdf](http://www.iese.ac.mz/lib/cdoc/base/fd_239.pdf) (Accessed on: 30 June 2015).
- Freund, B. 2007. South Africa as developmental state? *Africanus*. 37 (2): 191-197.
- Gelb, S. 2007. Macroeconomic policy in South Africa: from RDP through GEAR to ASGISA. In Gunnarsen, G., Manus M.P., Nielsen, M. & Stolten, H.E. (Eds).
- Grant Thornton. 2013. Doing business in South Africa. An interview with Deepak Nogar. Available at: <http://www.sabc.co.za/news/a/03ff68804a22559ba206eba53d9712f0/Amathole-district-municipalities-move-to-cost-a-whooping-R200-million-20151008> (Accessed on: 15 July 2016).
- Gumede, W. 2009. Delivering the democratic developmental state in South Africa. Development Planning Division. Working Paper Series No 9. DBSA: Midrand.
- Harper, P. 2013. Magashula: I regret my actions. City Press, 14 July 2013. Pg. 5.
- Hill, M. & Hupe, P. 2002. *Implementing Public Policy*. London: Sage Publications.
- Hirsch, A. 2005. Season of hope: economic Reform under Mandela and Mbeki in Hirsch, A. & Hines, S (Eds). University of Kwazulu Natal Press.
- Hughes, T. 2011. Working for Development in Southern Africa: Bridging the Gap between Government and Business. SAIIA: Occasional Paper No. 104.
- Johnson, C. 1982. *MITI and the Japanese Miracle: The Growth of Industrial Policy, 1925-1975*. Stanford University Press. Stanford. California.
- Kuye, J.O. & Nhlapo, N.V. 2011. Role of Civil Society in the implementation of Poverty Alleviation Programmes. *African Journal of Public Affairs*, 89-104.
- Kwon, H. 2009. Policy learning and transfer: The experience of the developmental state in East Asia. *Policy and Politics*. 37: 409-421.
- Leftwich, A. 2000. *States of Development: On the Primacy of Politics in Development*. New York: Polity.
- Leggasick, M. 2007. Flaws in South Africa's "first" economy. *Africanus*. 37 (2): 111-144.

Lehloesa, T.L. 2000. South Africa's Growth, Employment and Redistribution Strategy in the Context of Structural Adjustment Programmes in the South. Unpublished thesis for the degree of Masters of Arts (International Studies) Rhodes University.

Local Government Handbook. Amathole District Municipality (DC12). Internet: <http://www.localgovernment.co.za/districts/view/2/Amathole-District-Municipality> (Accessed on: 10 November 2016).

Local Government Handbook. Amathole District Municipality (DC12). Internet: <http://www.localgovernment.co.za/districts/view/2/Amathole-District-Municipality#map> (Accessed on: 10 November 2016).

Maphunye, K. 2009. Public Administration for a Democratic Developmental State in Africa: Prospects & Possibilities. Centre for Policy Studies: Johannesburg, South Africa.

Maserumule, M.H. 2010. Consolidating a developmental state agenda: a governance challenge. Cape Town: HSRC Press.

Marais, H. 2001. South Africa: Limits to Change- The Political Economy of Transition. Zed books Ltd & University of Cape Town Press: London, New York & Cape Town.

Mavovana, C. 2016. Amathole district municipality's move to cost a whopping R200 million. Available at: <http://www.sabc.co.za/news/a/03ff68804a22559ba206eba53d9712f0/Amathole-district-municipalitys-move-to-cost-a-whooping-R200-million-20151008> (Accessed on: 17 July 2016).

Mkandawire, T. 2001. Thinking about developmental states in Africa. *Cambridge Journal of Economics*. 289- 3.

Mkhabela, M. 2013. Sisulu has noble idea: Minister aims for Rolls-Royce public service. *Sowetan*, 4 June 2013. Pg. 13.

Mlokoti v Amathole District Municipality & another (1428/2008) [2008] ZAEHC 184; 2009 (6) SA 354 (ECD); [2009] 2 BLLR 168 E; (2009) 30 ILJ 517 (E) (6 November 2008). Available at: <http://www.saflii.org/za/cases/ZAECHC/2008/184.html> (Accessed on: 28 June 2013).

Mothae, L. 2008. Training as an essential tool for successful local government. Developing the culture of learning in municipalities. *Journal of Public Administration*, 43 (6):820-830.

National Capacity Building Framework. National Planning Commission.2011. National Development Plan. Available at: <http://www.poa.gov.za/news/Documents/NPC%20National%20Development%20Plan%20Vision%202030%20-lo-res.pdf> (Accessed on: 26 March 2016).

Ndlangisa, S. & Harper, P. 2013. Performance or Politics? City Press, 14 July 2013. Pg. 4.

Netshitenzhe, J. 2011. A developmental state: South Africa's developmental capacity. Mapungubwe Institute for Strategic reflection. Available at: <http://www.mistra.org.za/Library/ConferencePaper/Documents/South%20Africa's%20Developmental%20Capacity.pdf> (Accessed on: 11 July 2013).

News24. 2013. Controversial secrecy bill passed. Available at: <http://www.news24.com/SouthAfrica/Politics/Information-bill-passed-20130425>. (Accessed on: 18 May 2014).

NGO Pulse. 2012. Examining the Notion of a Developmental State Making a Case for a Developmental capable state. Available at: <http://www.ngopulse.org/article/examining-notion-developmental-state-making-case-developmental-capable-state> (Accessed on: 14 February 2013).

Nzwei O.I. & Kuye, J.O. 2007. The developmental state and conceptual interpolations: A comparative policy targeting for South Africa within a global context. *Journal of Public Administration*. 24 (3): 195- 210.

Pillay, D. 2007. The stunted growth of South Africa's developmental state discourse. *Journal of Development Studies*. 37 (2): 198- 216.

Sesant, S. 2016. Money stolen by the Amathole Mayor was meant to fund beauty pageant. Available at: <http://ewn.co.za/2016/05/25/Money-stolen-by-Amathole-mayor-was-meant-to-fund-beauty-pageant> (Accessed on: 17 July 2016).

Sesant, S. 2016. Political Conspiracy at Play following arrest of EC Mayor. Available at: <http://www.ewn.co.za/2016/05/30/Political-conspiracy-at-play-following-arrest-of-EC-mayor> (Accessed on: 17 July 2016).

South Africa. 1994. *Public Service Act, 1994* (Act 103 of 1994). Pretoria: Government Printer.

South Africa. 1996. *Constitution of the Republic of South Africa Act, 1996*(Act 108 of 1996). Pretoria: Government Printer.

South Africa. 1998. *The White Paper on Local Government*. Pretoria: Government Printers.

South Africa. 1998. *Local Government: Municipal Structures Act, 1998* (Act 117 of 1998). Pretoria: Government Printer.

South Africa. 2000. *Local Government: Municipal Systems Act, 2000* (Act 32 of 2000). Pretoria: Government Printer.

South Africa. 2003. *Local Government: Municipal Financial Management Act, 2003* (Act 56 of 2003). Pretoria: Government Printer.

South Africa. 2005. *Intergovernmental Relations Framework Act, 2005* (Act 13 of 2005). Pretoria: Government Printer.



Terre Blanche, M., Durrheim, K. & Painter, D. 2006. *Research in Practice: Applied Methods for Social Sciences*. 2<sup>nd</sup> edition. Cape Town: UCT Press.

Thornhill, C. & van Dijk, G. 2002. *Journal of Public Administration*. 37 (3): 187-211.

Van Dijk, G. & Croucamp, P.A. 2007. Social origins of the developmental state: Reflections on South Africa and its local sphere of government. *Journal of Public Administration*. 42 (7): 664-675.

Visser, W. 2004. Shifting RDP into GEAR. The ANC governments' dilemma in providing an equitable system of social security for the "new" South Africa. Paper presented at the 40<sup>th</sup> ITH Linzer Konferenz, 17 September 2004.

Wessels, J.S., Pauw, J. & Thani, X.C. 2009. Taxonomies for the analysis of research designs in Public Administration. *Administratio Publica*. 17(2).

Wolpe, H. 1995. The uneven Transition from Apartheid in South Africa. *Transformation*. 27.

## **ANNEXURE A:**

### **Interview and questionnaire schedule for evaluating the Amathole District Municipality's IDP formulation and utilisation of the National Capacity Building Framework for Local Government to improve capacity.**

#### **Introduction**

My name is Vuyokazi Ngqebe, an MPhil. Public Policy student in the School of Public Management and Administration at the University of Pretoria. As part of the degree, I am required to complete and submit a dissertation on a topic of my choice. I am conducting research entitled "Issues of developmental states: IDPs and capacity at the Amathole District Municipality of South Africa", under the supervision of Professor J.O. Kuye.

I would sincerely appreciate your assistance in answering questions that I have prepared in order to grasp the Amathole District Municipality's understanding of IDP and application of the National Capacity Building framework for Local Government. The completed interview questions and questionnaire will help identify the fundamental capacity challenges at the municipality as well as propose approaches to improve the identified challenges.

The focal point of this study is to identify policy formulation and implementation procedures that can be amended to assist the Amathole District Municipality including other local government organisations to initiate Integrated Development Plans that are responsive to the development needs of communities, implementable and ultimately contribute to the creation of a developmental state.

The interview and the questionnaires is for academic purposes only. These will not be used for any other purpose. Your personal information will not be disclosed but utilised to assess the general demographic background of each respondent. The interview would take approximately 30 minutes.

Kindly complete your general demographic information:

Name & surname:

Age:

Gender:

Directorate:

Department:

Position held:

## **IDP AND LED PROGRAMMES**

- What is the municipality's understanding of the IDP framework and how was it utilised as a guideline?
- How has the municipality ensured the inclusion of community members in the IDP policy formulation and implementation process?
- What are the processes and procedures followed by the municipality when developing IDP?
- What input did other stakeholders provide in the development of policies and strategies?
- What are the key service delivery priorities for the municipality and how were they prioritised?
- Are the municipality's LED programmes meaningful and conducive to enhancing or strengthening economic development?
- Is the IDP useful in advancing the economic development role of the Amathole District Municipality?

## **INSTITUTIONAL CAPACITY-BUILDING AND TRAINING**

- What is the municipality's perception and interpretation of the National Capacity Building Framework?
- How did the municipality implement the framework and ensured that it is monitored & evaluated?
- Has the municipality implemented a capacity-building framework?
- What challenges has the municipality experienced in implementing the policy?
- What approaches did the municipality adopt to enhance capacity development and achieve its mandate?
- What is required in terms of the existing legal and policy framework for capacity-building and service delivery strategies in the municipality?

- What major challenges has the municipality faced and how has it impacted on service delivery?
- What do you think should be done to strengthen the institutional capacity of the Amathole District Municipality?
- Is the Amathole District Municipality IDP Unit adequately capacitated to formulate and implement policy that will advance social and economic development?
- What training institution and courses would assist the Amathole District Municipality officials to ensure that services are delivered efficiently and effectively?
- Is the Human Resources Department helpful in providing training and development to the IDP unit?
- Does the staff in the IDP Unit have an understanding of the strategic significance of training and development of its personnel to advance the overall vision and mission of the municipality's Integrated Development Plan?

## **COOPERATIVE GOVERNANCE**

- Is the Amathole District's Municipality useful to enable public participation and interaction with the community (Civil society, business groups, Community Based Organisations, Ward Committees) on issues of development?
- Does the Amathole District manage and coordinate its IDP programme with those of local municipalities to provide coherent government, promote institutional integration and achieve integrated service delivery?
- Is access to data and statistics to communities adequate to enable meaningful public participation as well as hold the municipality accountable?
- Does the Amathole District Municipality seek or receive adequate support from stakeholders such as SALGA, development agencies or other municipalities and provincial government departments in order to cooperate and collaborate to promote institutional integration and deliver services to its communities?
- How has the Amathole District Municipality managed to overcome the challenge of collaborating with different local municipalities that have varying capacity levels and limited or no institutional foundation to build on?
- What can the Amathole District Municipality do to strengthen the link between the municipality and the community?

- Are the differences between political and administrative leadership a barrier for the implementation of programmes aimed at improving service delivery?
- Has the Amathole District Municipality successfully exonerated itself from the traditional hierarchical structures and introduced additional transparent structures to promote access to information to all including improved communication channels?

## **DEVELOPMENTAL STATE**

- A strong public service is needed for the realisation of developmental objectives. How does the Amathole District Municipality manage its scarce resources, for example, engineers?
- Have frameworks been implemented to ensure that there is adequate community participation in the formulation of IDP as a means to promote transparency or accountability and not a policy process driven by municipal officials?
- Has the Amathole District Municipality development projects and programmes been conducive to sustainable development and enable communities to develop themselves?
- Is the Amathole District Municipality IDP functional to ensure that its economic development role is progressive?
- Does the Amathole District Municipality perceive improvement in access to health, electricity, water and sanitation for all households?
- Does the municipality have adequate human and financial capacity for the collection, analysis and dissemination of accurate demographic statistics?
- Does Amathole District Municipality incorporate sustainable development planning in its IDP?
- Does the municipal staff at Amathole District Municipality and its stakeholders have an understanding of sustainability principles and processes?

- Does the Amathole District Municipality have adequate capacity to plan strategically to ensure that priorities for its future are identified through the clarification of its objectives, challenges and an analysis of the prospects for achieving these?
- How did the municipality incorporate the National Development Plans goals for local government into its policies and strategies?

**ANNEXURE B:**

**Questionnaire presented to Amathole District Municipality officials to evaluate the formulation and utilisation of the IDP and the National Capacity Building Framework for Local Government to improve capacity.**

The following criteria will be used to respond to the questionnaire below:

- 1.STRONGLY AGREE**
- 2.AGREE**
- 3.UNSURE**
- 4.DISAGREE**
- 5.STRONGLY DISAGREE**

- The Amathole District Municipality does not consult regularly with key stakeholders and interest groups during the IDP formulation process.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- Initiatives aimed at promoting sustainable development at Amathole District Municipality are not satisfactory.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- Tension between political and administrative leadership at the Amathole District Municipality affects programme implementation aimed at improving service delivery and enhancing social and economic development.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- The current IDP is responsive to the needs of the communities in the Amathole district.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- IDP Managers, Steering Committee and Task Teams have implemented appropriate plans to guarantee that policy-making is drawn closer to the public (Civil Society, Interest groups, Community -Based Organisations).

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- Tension between Ward Committee and political party differences debilitate effective public participation in the IDP process.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- Provision is made for marginalised groups to participate in the IDP processes.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- Stronger links have been developed with business groups to promote economic development.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- IDP Representative Fora has adequate decision-making powers and are not entirely limited to a consultative role.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- The IDP Fora provides the stakeholders from various contexts a platform to debate and dialogue.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- The Amathole District Municipality IDP has encouraged greater public participation and has served as a means to democratise the development planning process.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- The varying capacity levels within local municipalities has proven to be a challenge to building partnerships for the implementation of programmes that encourage development and integrated service delivery.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- Amathole District Municipality has implemented an effective Intergovernmental Relations Framework.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- Efficient monitoring and evaluation of the IDP programmes and activities take place.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------



- Career management is prioritised at the Amathole District Municipality.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

- An adequate budget is set aside for capacity building and training at the Amathole District Municipality.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>UNSURE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
---------------------------	--------------	---------------	-----------------	------------------------------

