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**Tsako, Vuyiwe Princess**

**2018**

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**UNIVERSITY OF WITWATERSRAND**

**WITS SCHOOL OF GOVERNANCE**

# INTERGOVERNMENTAL RELATIONS IN KWAZULU-NATAL DISTRICT MUNICIPALITIES

**BY**

**VUYIWE PRINCESS TSAKO**

**A thesis submitted to the faculty of Commerce, Law and Management, University of the Witwatersrand, in fulfilment of the requirements for the Degree of Doctor of Philosophy**

**2018**

## ABSTRACT

The study is aimed at understanding and explaining the challenges of Intergovernmental Relations (IGR) in KwaZulu-Natal district municipalities. The municipalities involved are Ugu, Harry Gwala and uThungulu district. This is a qualitative study aimed at contributing to existing knowledge on IGR. The data collection was undertaken through document review, focus groups and face-to-face interviews. The participants were Mayors, Municipal Managers and IGR officials within these district municipalities.

This research presents three major arguments that clarify the challenges of IGR in KwaZulu-Natal district municipalities. The first and overarching argument relates to municipal culture and bringing to light the existence of multiple cultures that manifest themselves within the dominant culture of the municipalities studied. Data collected on the effects of culture on IGR provide evidence that multiple cultures exist within these three municipalities' IGR arrangements, which oppose the required culture and affect the achievement of IGR objectives. For the municipalities to achieve this level of functionality, the minimum required culture is the one where there is a sense of shared and common values, beliefs, vision and purpose that emphasise the need for co-operation and consensus and adherence to applicable norms and standards. This multiple culture aspect translates into different beliefs and views by the different spheres of government on IGR, which ultimately lead to lack of co-operation and consensus.

The literature suggests that cultural assessment and management may contribute in mitigating the effects of multiple cultures and improve the achievement of municipal IGR goals. The multiple culture under discussion has an effect on the attainment of IGR objectives, that of ensuring co-operation by all spheres of government in the delivery of services. In consideration of the above assertion, this equates to the view

that multiple cultures impinge on goal achievement and lead to an unconducive environment for IGR to function, characterised by the lack of co-operation and shared vision.

The second argument relates to the municipal political environment. The study views the environment in which these municipalities operate as being characterised by political instability, uncertainty and patronage and highlights the effect that this environment has on the effective functionality of IGR. Data collected confirmed that political instability affects goal achievement and the culture within these municipalities.

The third and last argument relates to goal setting as it forms an integral part of IGR functionality within the municipalities studied. The literature suggests that effective goal-setting requires monitoring and evaluation on their implementation. These three arguments presented above sustain the theoretical perspective of this study that connects with the contingency theory of organisational theories, and emphasises that culture, environment and goals influence the design and function of organisations.

While the broad theory guiding this investigation associates IGR functionality with the three contextual issues such as goals, culture and environment, the theoretical viewpoint associated with this study suggests that these contextual issues have helped to cultivate the relationship between the contingency theory and IGR, characterised by the presence of multiple cultures, political instability and lack of goal setting within these municipalities being studied . A critical analysis of the data collected and its interface with contingency theory also emphasise the effect of multiple cultures, political unstable environment and lack of goal setting that results in the inability of IGR to achieve its objective, that of ensuring co-operation in the manner in which services are delivery by the three spheres of government.

The study underscores and expands on the value of culture, goals, and environment as depicted in the conceptual framework to help understand the challenges of IGR functionality in KwaZulu-Natal. It suggests that for IGR to be functional, proper consideration of the environment in which the municipalities operate is important and it affects the organisational culture and the achievement of IGR goals.

## DECLARATION

I hereby declare that this dissertation is my own unaided work. It is being submitted in fulfilment of the requirements of the Doctoral Degree at the Wits School of Governance in the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination to any other University.

This thesis does not contain any other person's writing, data, pictures, graphs or other information, unless specifically acknowledged as being sourced from other persons.

_____

**VUYIWE P. TSAKO**

_____

**DATE**

## DEDICATION

This dissertation is dedicated to my father, Don Nikelo Marambana; it was through his vision that I had the strength to embark on this research mission.

To my children Lubabalo, Sibusiso and Ayakhanya Tsako, my mother Eleanor Marambana, my sisters Nonkulukelo, Nomfusi and Ntombekhaya Marambana, and lastly my brother Siwalala Marambana, thanks for the love, belief and enormous support.

Giving up has not been an option throughout my studies because of all of you.

## ACKNOWLEDGEMENTS

This dissertation would have been a futile exercise, if it were not for the aid, guidance and supervision of the Omnipotent Lord of the Universe, God the Almighty - the creator of all and everything.

However, the steadfast contributions of the following people cannot be overlooked:

Dr Horácio Zandamela, my supervisor, for his supervision and mentorship throughout the study. My sincere gratitude goes to him for audaciously guiding me throughout till the ultimate end. Without his support, the voyage might have been fruitless.

My entire family, to whom I feel indebted and grateful for their steadfast credence and belief in me; without them I would be itinerant.

Colleagues, officials and individuals who chose to participate in the study, either directly or indirectly, I appreciate the priceless co-operation and support they have rendered to me during this academic endeavour.

Lastly, to my two friends, Chuma Mqoboli and Maxwell Mbili, whose support cannot be overstated.

## LIST OF ABBREVIATIONS AND ACRONYMS

| | |
|---|---|
| ALGA | Australia Local Government Association |
| ANC | African National Congress |
| CDWP | Community Development Worker Programme |
| COAG | Council of Australian Governments |
| COGTA | Department of Co-operative Governance and Traditional Affairs |
| DIMAFO | District Mayors Forum |
| EXCO | Executive Committee |
| HOD | Head of Department |
| IDP | Integrated Development Plan |
| IGR | Intergovernmental Relations |
| IGISA | Intergovernmental Institute of South Africa |
| IGRFA | Intergovernmental Relations Framework Act |
| KZN | KwaZulu-Natal |
| LGA | Local Government Administration |
| MM | Municipal Manager |
| NCIR | National Council of IGR |
| NCOP | National Council of Provinces |
| NCOS | National Council of State |
| NGO | Non-Governmental Organisation |
| PCF | Premier's Co-ordinating Forum |
| RSA | Republic of South Africa |
| SA | South Africa |
| SADC | Southern African Development Community |
| SALGA | South African Local Government Association |
| SLGJA | State - Local Government Joint Account |
| USA | United State of America |

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# CHAPTER ONE
# INTRODUCTION

## 1.1 INTRODUCTION

Intergovernmental Relations (IGR) relates to co-operative governance or co-operation amongst the three spheres of government in the way they conduct their activities. This co-operation translates to the National government, Provincial government and Local government cooperating with one another in the delivery of services to the community. In a ten-year review that was conducted by Malan (2005) on IGR and co-operative government in South Africa (SA), this author concluded that the IGR system is affected by the existence of IGR processes as well as structures whose status, role and interrelationship remain uncertain and lack IGR institutional definition, direction and purpose. This has led to the conclusion that there are certain organisational contextual dimensions that affect the functionality of IGR in local government.

In another study carried out by the Department of Co-operative Governance and Traditional Affairs (COGTA, 2012), the functionality of IGR in SA and KwaZulu-Natal to be specific was assessed where Ugu, Harry Gwala and uThungulu district municipalities were part of the study. The study concluded that IGR is non-functional in that district municipalities have not established IGR structures; the role and mandate of IGR is not clear; policy documents were not in place and there was lack of dedicated officials to coordinate IGR activities, lack of co-operation and commitment (COGTA, 2012).

The functionality in the study (COGTA, 2012) is looked at in relation to the ability of IGR forums to discuss new and existing government policies; to discuss progress and problems in service delivery within the district;

co-ordination of planning initiatives by a district municipality; support given to other municipalities within the district; the manner in which the IGR forums are constituted in terms of membership; the role and mandate of IGR forums in ensuring vertical and horizontal coordination of programmes and other service delivery issues; frequency of meetings of the IGR forums; and availability of technical operational support to coordinate all IGR activities within the district.

The researcher's general understanding of the problem, given the above explanation is that of non-functionality of IGR. In examining the challenges affecting functionality of IGR in KwaZulu-Natal (KZN) district municipalities, the researcher believes that certain contextual issues or dimensions that shape the organisational functionality should be examined which have a bearing on the functionality of IGR. According to Daft (2007) organisations are not stagnant and they keep on adapting to changes imposed by the external environment, which normally affects the functionality and hence the research of this nature. In this study, IGR will be considered from a district municipality perspective. This is due to the legislative role of the district municipalities in co-ordinating IGR activities within their authority as stipulated in the IGR Framework Act of 2005 (COGTA, 2005).

## 1.2 BACKGROUND

### 1.2.1 Field of research

The research focuses on examining the challenges affecting the functionality of IGR in KwaZulu-Natal district municipalities. The specific area of research assumes that IGR is non-functional, given the assessment that was done with all district municipalities by COGTA in 2012, which identified areas that affect functionality with specific reference to KZN district municipalities.

This research aims at advancing fundamental knowledge on IGR functionality, examining this phenomenon regarding IGR dimensions and building or testing theoretical justification by answering the 'why' question. The view of the researcher is that this type of research provides a foundation of understanding and expands on the existing theories (Neuman, 2011). The study seeks to contribute to the area of Public Policy, which is regarded as being centrally concerned with the organisation of government policies and programmes as well as behaviour of officials formally responsible for their conduct, this given the fact that IGR is a legislated function that should be implemented by appointed and elected government officials.

Public policy emerged in the 1960s as a multi-disciplinary field and as an academic discipline and brings in elements of many social science fields and concepts, including political economy, sociology, economic and public management and policy analysis, all as applied governmental administration (Dunn, 1982).

Kiln (1997) interprets public policy as the result of interaction between various actors trying to influence the policy process in the direction most favourable to them. Fischer (2003) describe public policy as a political agreement that relates to a course of action or intention aimed at resolving or mitigating problems or political agenda. However, this research focuses on IGR as a public policy issue directly or indirectly affecting the citizens.

Policies exist at different levels, for example, family policies, organisational policies and government policies. Government policy is also referred to as public policy and guide decisions that relate to society (Dunn, 1982) and this research focuses on the government policy. In relation to the above, public policy is about the proposed plans or guidelines by government, which should be followed to reach the desired goals and the effect of environmental changes on the implementation. Public policy, indeed, is

also an authoritative statement on what government chooses to do or not to do and incorporates, or implies, the authoritative allocation of values for the whole society.

Whilst public policy making involves five components which are agenda setting and identification of issues or problems, policy formulation, adoption, implementation and assessment, attention is drawn to the most relevant component in relation to this study, which is policy implementation. Policy implementation involves activities resulting from the official adoption of a policy and it is what happens after a law has been passed and involves the process and outcomes. However, the policy process involving actioning of the policy whilst policy outcomes refers to how the policy problem is effected (Hanekon & Bain, 1990). IGR functionality is looked at from a policy implementation perspective and the challenges identified, which forms the background of this study, are informed by both the implementation process (which entails interactions amongst the role-players) and outcomes as it relates to the desired goal of IGR, i.e. service delivery.

Although theoretically the role-players in the policy implementation environment are guided by the mandates legitimised by the policy makers (the legal imperative), they are also influenced by their own predispositions and attempts to gather support for their implementation. Hence the policy implementation environment should not be regarded as a phenomenon that follows only after policies have been adopted by the policy makers, but that the implementation environment can also be influenced by the composition, disposition and interaction of its role-players, namely the elected members and public officials (Nakamura and Smallwood, 1980). In this study of IGR as public policy, IGR has been looked at from the organisational contextual dimension and issues affecting the functionality are identified as goals, culture and environment, whilst the environment remains a central issue of concern. The implication

of Nakamura and Smallwood's (1980) view supports how IGR implementation is viewed − as co-operation amongst the different role-players within the spheres of government in delivering community services, whilst co-operation is regarded by the researcher as the process and service delivery as an outcome. It is the view of this researcher that when functionality is a problem it depicts the rationale for the existence of IGR which is regarded as the ability to ensure co-operation by government spheres on the provision of services to the community.

### 1.2.2 Legislative background

The RSA Constitution (1996) makes provision for government to have three spheres that consist of local, provincial and national government, which are interrelated, distinctive and interdependent in nature. By so doing, the Constitution seeks to emphasize the new relationship of cooperation among the levels of government noting that the principles of cooperative governance have been constitutionalized (Reddy, 2001). This, according to Simeon and Murray (2001), took place after considerable debate about whether a democratic South Africa should be constituted on federal lines. The 1996 Constitution adopted three "distinctive, interdependent and interrelated" spheres of government, which emphasises "Co-operative government" following the German model, which emphasises concurrency, provincial delivery of national policies, and provincial representation at the center. The development of IGR Framework Act (2005) paved the way-forward on how spheres of government should work together and key considerations include inter alia, ensuring coordination between central and provincial government and at the same time providing opportunities for provincial and local government autonomy (IGR Framework Act, 2005). This requires that the constitutional status, powers and functions of each sphere must be respected and a sphere must remain within its constitutional powers; and when exercising those powers, a sphere must not do so in a manner that

encroaches on the geographical, functional or institutional integrity of another sphere (interrelatedness). They have to exercise their powers and perform their functions within the regulatory framework set by the provincial and national government, which is also responsible for monitoring compliance with that framework and, if need be, intervening when constitutional or statutory obligations are not fulfilled (distinct) and only collectively and in co-operation with one another can they *provide government*? that meets the need of the country as whole (interdependent) (IGR Framework Act, 2005).

Tapscott (2000) looked at the challenges of cooperative governance in South Africa and further made an emphasis that, while the government is anxious to develop a regulatory framework for IGR, it is unlikely that legislation on its own will promote greater intergovernmental co-operation and co-ordination and that administrative capacity and the evolution of accepted models of interaction are likely to be of equal or greater importance. This, in real sense implies that while legislation is important, the effectiveness of the IGR function depends on those who are entrusted with its implementation. This view by Tapscott also contributed on the research approach that focuses on IGR not only from a legislative perspective but also taking into consideration organisational contextual dimensions.

The Intergovernmental Relations Framework (2005) assigns the district Mayors and Municipal Managers to ensure good intergovernmental relations within their areas of operation. This implies that, structural arrangements for the coordination of IGR function should be in place and that such cooperation should enable service delivery improvements.

Cameron (1995) remarked on the Constitution Act of 1993, which showed some features of federalism, consisting of a senate that represent provincial interests, powers and constitutional court which act as the final authority in resolving IGR conflict. Cameron (1999) provides clarity on the

Constitution, as the successor of the Constitution Act of 1993, which makes the former supreme in the country and that any law inconsistent with it is invalid. The idea of co-operative governance emphasises on the need for IGR and co-operation and participation (Cameron, 1999).

The Constitution obligates the government to support continuous co-operation and relations between the three government spheres, and provides a set of principles of co-operation and IGR to be followed. The principles of co-operative government are detailed in section 41 of the RSA Constitution (1996) that the spheres of government and other state entities must adhere to. This section mandates all spheres of government and the state entities within the spheres to co-operate with one another and in good faith by nurturing good relations, supporting each other; advising and consulting with each other on issues of common interest; co-ordinating the actions against one another; complying to stated and agreed policies and procedures; and circumvent legal proceedings against one another (The Constitution of South Africa, 1996).

The role of the District IGR as defined by the IGR Framework Act (IGR Framework Act, 2005) defines IGR functionality and includes establishing consultative forums for the districts and their local municipalities, the ability of spheres of government within the district to consult and advise one another on issues of common interest, ensuring that national and provincial policies are implemented, and to enact legislation with regard to matters pertaining to local government within the district; ensuring functional IGR forums; dealing with matters raised in the Premier's IGR forum which affects the district; giving mutual support to the local municipalities. In terms of section 88 of the Local Government Municipal Structures Act of 1998, it is the duty of the district municipality to ensure that planning and development is done in a coherent manner; and ensuring alignment of government plans and any other strategic matters (Local Government Municipal Structures Act, 1998). Given the legislative

background, the role of a district municipality is to ensure the functionality of IGR through its coordination function.

### 1.2.3 KwaZulu-Natal context

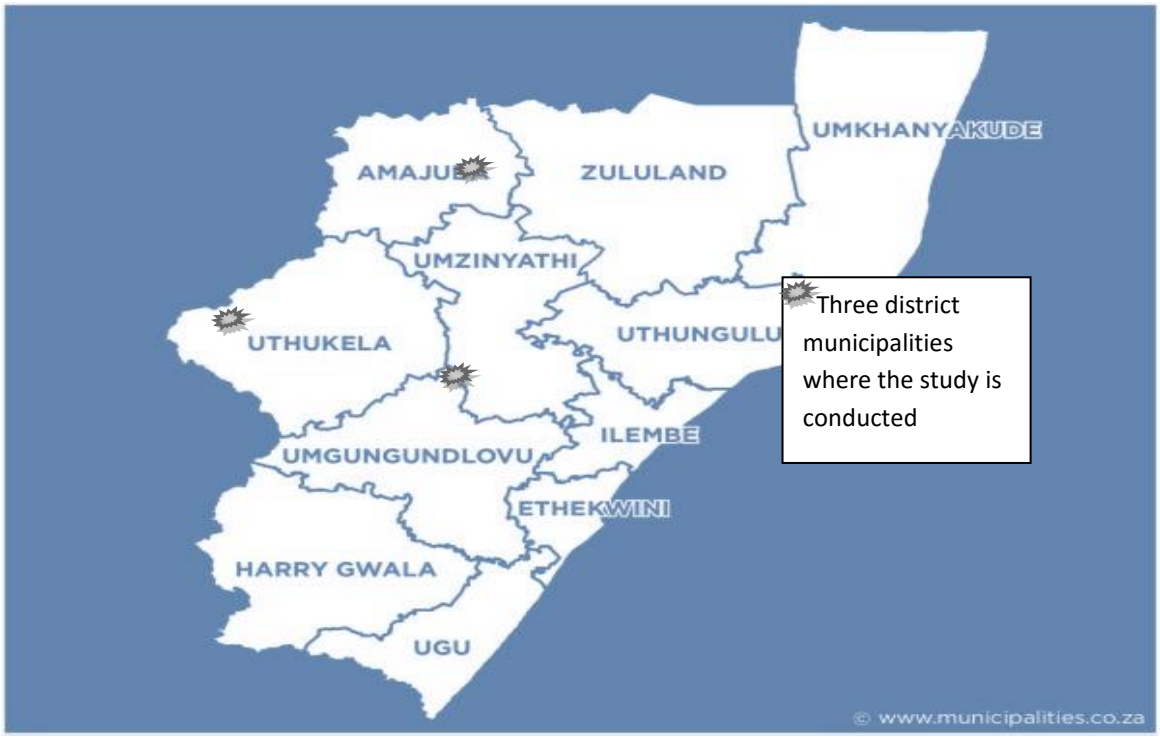
KwaZulu-Natal Province (KZN) is known as “the garden province” and is a province of South Africa which was created through the merger of the Zulu Bantustan of KwaZulu (“Place of the Zulu” in Zulu) and Natal Province in 1994. The Province is situated in the south-east of the country and sharing borders with Swaziland, Mozambique and Lesotho. KZN is comprised of 10 districts: Ugu, Harry Gwala, Zululand, uMkhanyakude, Uthungulu, Amajuba, uMzinyathi, uThukela, iLembe, uMzinyathi and one Metropolitan municipality, which is eThekwini. Each District municipality has approximately 5 or 6 local municipalities within its jurisdiction. This study is within the context of KZN and with a focus on Uthungulu, Ugu and Harry Gwala District municipalities.

Uthungulu District municipality consists of six local municipalities which are, Ntambanana, uMfolozi, Mthonjaneni, uMlalazi, City of uMhlathuze and Nkandla municipalities. The seat of the municipality is at Richards Bay; its population comprise of 907 519 people and with an area of 8 213km$^2$.

Ugu District municipality is comprised of six local municipalities which are Umzumbe, Hibiscus Coast, Umdoni, Ezinqoleni Umuziwabantu and Vulamehlo municipalities. The seat of Ugu District municipality is at Port Shepstone, with a population of 722 484 and covering an area of 5 047km$^2$.

Harry Gwala District municipality consists of five local municipalities which are Ingwe, KwaSani, Greater Kokstad, Ubuhlebezwe and Umzimkhulu local municipalities. The seat of Harry Gwala district municipality is at Ixopo. Its population is 461 419 people and with an area of 10 547km$^2$. The district municipalities under study are reflected in Figure 1.1 below.

**Figure 1.1 The map of KwaZulu-Natal district municipalities**




Source: Stats SA (2011)

Figure 1.1 above provides the map of 10 district municipalities and 1 metropolitan municipality in KwaZulu-Natal. The highlighted districts are those in which this study is located, namely Ugu, Harry Gwala and uThungulu district municipalities. With the recent re-demarcation of municipal boundaries that took place in the 2016/2017 financial year, the district municipalities were re-structured as follows:

- Ugu District municipality – Ray Nkonyeni local municipality (incorporates Hibiscus Coast and Ezinqoleni local municipalities); Umuziwabantu local municipality; Umdoni local municipality (incorporates 65% of Vulamehlo local municipality and Umzumbe local municipality);
- Harry Gwala district municipality – Dr Nkosazana Dlamini-Zuma local municipality (merger of KwaSani and Ingwe local municipalities); Greater Kokstad local municipality, Ubuhlebezwe local municipality and Umzimkhulu local municipality; and

- Uthungulu District municipality (now referred to as King Cetywayo district municipality) – Umfolozi local municipality; City of uMhlathuze (incorporating Ntambanana); uMlalazi local municipality; Mthonjaneni local municipality; Nkandla local municipality.

The implications for this research are minimal in that the restructuring took place within the same districts. However, with regard to Vulamehlo Municipality, which is situated at Ugu district, 65% of the municipality was merged with Umdoni local municipality (Ugu district) and 35% was taken over by Ethekwini municipality (outside Ugu district). This takeover mainly affected the employees, assets and areas of dermacation, where in this case three of the eight wards of Vulamehlo municipality were taken over by eThekwini and five by Umdoni local municipality.

### 1.2.4 Current studies in the field

Current and recent studies in the field of IGR include research done by Sokhela (2006). The purpose of the research was to ascertain whether IGR facilitates performance within the local government sphere to improve the role played by IGR, especially the impact on service delivery and with reference to Tshwane Metropolitan Municipality. The referred to municipality is referred to as category “A” (metropolitan) municipality and this research was specific to IGR and the impact on service delivery. The researcher recommended that further study should be pursued with category “C” municipalities, to look at the functionality of IGR and due to the district legislative role on IGR. A category “C” municipality is a District municipality and by its nature it has legislative and executive authority within an area that includes more than one municipality.

In a study conducted by Malan (2005), a review of IGR was done in relation to legislative mandate where it was concluded that the system of

IGR has its own deficiencies. The conclusion was drawn in relation to the inability of the IGR system to execute and determine key national priorities that involve all stakeholders and the management of service delivery programmes. In this research, IGR was found to have challenges of functionality and in relation to its Constitutional mandate, which includes the ability of IGR forums to discuss new and existing government policies; the ability of IGR forums to discuss progress and problems in service delivery within the district; co-ordination of planning initiatives by a district municipality; support given to other municipalities within the district; the manner in which the IGR forums are constituted in terms of membership; the role and mandate of IGR forums in relation to vertical and horizontal co-ordination of programmes and other service delivery issues; frequency of meetings of the IGR forums; and availability of technical operational support to coordinate all IGR activities within the district.

The indicated studies were conducted based on the constitutional mandate on IGR and the role on service delivery and it was concluded in both studies that IGR is not functional. The research aim at expanding on the notion of functionality on IGR and look at different organisational contextual perspectives or dimensions that affect IGR functionality. The researcher examined the functionality of IGR in relation to three district municipalities, uThungulu, Harry Gwala and Ugu.

## 1.3 PROBLEM STATEMENT

The problem is that of non-functionality of IGR and relates to three district municipalities: Harry Gwala, Ugu and Uthungulu district municipalities. The problem of non-functionality is based on the assessment conducted by COGTA in South African district municipalities, which concluded that IGR arrangements and/or structures within these municipalities led to, amongst others, lack of co-operative decision-making, alignment of priorities, proper budgeting of activities across interrelated functions,

co-ordination of IGR function and delivery of services to the community (COGTA, 2012). IGR challenges highlighted in COGTA report were consistent with a ten year review study on IGR and service delivery in South Africa commissioned by the Presidency (Layman, 2003). Layman' (2003) report brought into light that challenges of IGR coordination are due to unco-ordinated and unilateral planning and delivery of services by the spheres of government, which contributes to fragmented service delivery. In spite of this, Ile (2010) in her study reflected on the need for effective and efficient management of IGR in South Africa as the means to improve service delivery. In this regard, reference was made on the slow pace and poor service delivery and the need to improve cooperation amongst the government stakeholders. Challenges of IGR were further highlighted in the policy speech of the then Minister Tokyo Sexwale, who highlighted fundamental problems of the provision of bulk infrastructure and their effect on slow housing delivery projects. He reiterated on the need for more integrated, planned and coordinated approach to service delivery and across all spheres of government (T. Sexwale, Policy Speech, November 24, 2010). These considerations suggests that IGR does have effect on service delivery and the objective of this research is to look further on the organisational contextual dimensions associated with IGR and challenges affecting its functionality.

The organisational dimensions in this study relate to some key concepts that inform the building blocks for the theoretical framework that can either be contextual or structural in nature (Daft, 2007).

Adams (1997) focused on the different aspects of IGR including in relation to intergovernmental fiscal relations, in which the aim was to differentiate key drivers that determine the extent of implementing a system of IGR in relation to fiscal issues in South Africa. The information compared aspects of the South African constitution and how they affect IGR. This complements the focus of Amusa and Mathane (2007), whose study

provided an analysis of South Africa's evolving Intergovernmental Fiscal Relations (IGFR) system. The study concluded that, whilst IGR arrangements are in place, the functionality remains a matter for concern.

In contrast, Malan (2005) focuses on the IGR system and how this evolved over the past ten years of democracy in South Africa. Failures and successes of the current IGR were properly analysed in relation to constitutional and legislative provisions.

The need for this research is informed by the knowledge gap identified by the researcher. This relates to previous studies conducted on IGR functionality, in that there has been no explanatory research on the challenges or issues that affect such functionality. Whilst IGR is a function performed by organisations, functionality has always been linked to constitutional and legislative imperatives, and the existing studies have not examined this issue from the perspective of an organisation, so as to be specific on contextual dimensions affecting the functionality within an organisation. Therefore, in attempting to address this lacuna, the researcher has built on the existing knowledge on IGR functionality and introduced organisational contextual dimension aspects. From a theoretical perspective, there is some knowledge on how IGR should be conducted, but challenges of functionality have been considered from constitutional and legislative perspectives and there is limited information on the organisational contextual issues that affect the functionality.

## 1.4 RESEARCH PURPOSE

Terre Blanche, Durrheim and Painter (2006) indicate in their analysis of the purpose statement that the study should clarify three stages, which are (1) the aim of research in general terms; (2) the explanation of the research background, the importance and justification of findings for the research; and (3) primary research questions in relation to the study. The

need for conducting this research has been informed by the challenges of IGR functionality as presented in the study conducted by COGTA in 2012. The study revealed that IGR is not functional and is affected by the issues within the municipalities such as the ability of IGR forums to discuss new and existing government policies; to discuss progress and problems in service delivery within the district; co-ordination of planning initiatives by a district municipality; support given to other municipalities within the district; the manner in which the IGR forums are constituted in terms of membership; the role and mandate of IGR forums in ensuring vertical and horizontal co-ordination of programmes and other service delivery issues; frequency of meetings of the IGR forums; and availability of technical operational support to coordinate all IGR activities within the district (COGTA, 2012).

As the aim of IGR is to ensure co-operation in the way services are delivered to the community and according to the researcher when IGR is not functional delivery of such services might be interrupted or not be conducted in a coherent manner. The research covers the Ugu, Harry Gwala and Uthungulu district municipalities in KwaZulu-Natal. The research goal is explanatory in nature and aims at understanding why there are challenges of IGR functionality in KZN district municipalities. According to Neuman (2011), explanatory research is considered when encountering an issue that is known and detailed, and where the researcher aims to identify explanations or reasons for why such a situation exists. This research has built on the existing knowledge about IGR functionality and by identifying the reasons something occurs it is possible to extend and build theory. In this regard, while IGR has normally been viewed from a legislative point of view, the researcher introduced knowledge on organisational contextual dimensions and the relationship with IGR. Whilst there are different views on organisational theories, the researcher reflected on the issue of contingency theory to be specific and added that, in ensuring organisational effectiveness, it is important to look

at factors such as goal setting, decision making, environmental certainty and uncertainty and the existence of multiple and dominant cultures.

## 1.5 RESEARCH QUESTIONS

Maree (2007) notes that research questions should provide the researcher with a clear focus for collecting data and should avoid shifting from the original aim by drawing the attention of the researcher on key aspects. In attempting to achieve the research objectives, the following research questions guided the research:

a) What are the organisational contextual dimensions associated with the challenges affecting the functionality of IGR within the district municipality?
b) How can such organisational contextual dimension effects be managed to ensure functional IGR?
c) Why are there challenges affecting the functionality of IGR within the district municipality?

## 1.6 RESEARCH OBJECTIVES

The study aims to achieve the following objectives:

a) Understanding organisational contextual dimensions associated with the functionality of intergovernmental relations within Ugu, Harry Gwala and Uthungulu district municipalities;
b) Providing an understanding as to how the identified organisational contextual dimensions effects can be managed to ensure functional intergovernmental relations; and
c) Given the organisational contextual dimensions, the study seeks to understand why there are challenges affecting the functionality of intergovernmental relations within Ugu, Harry Gwala and Uthungulu district municipalities.

## 1.7 STRUCTURE AND ORGANISATION OF THE THESIS

**Chapter One: Introduction:** The chapter gives a general introduction to the research topic and problem. The background to this study is clearly articulated as it relates to the field of study, context, legislative background and current studies in the IGR field. The research problem is isolated and more focus is given to the research context, knowledge gap and the research need. The study aims at understanding why there are challenges associated with the functionality of intergovernmental relations within KZN district municipalities. The objectives of the study as stipulated, serve as an indicator of what the research seeks to achieve.

**Chapter Two: A general overview of Intergovernmental Relations:** The chapter gives a general overview of IGR in South Africa, across the spheres of government, within the context of local government first. The role of a district municipality in relation to IGR is explained and how functionality is viewed within the context of IGR. The chapter further looks at IGR from an international perspective and draws some lessons,

similarities, differences and conclusions on how IGR activities are conducted in relation to other countries. Countries selected include Nigeria, Zimbabwe, Kenya as well as Australia.

**Chapter Three: Organisational contextual dimensions and IGR:** As Chapter three bridged a gap by introducing contingency issues that looked at organisational contextual dimensions as being more relevant to the problem, this has led to the introduction of more relevant literature review focusing on organisational contextual dimensions and IGR. Contextual dimensions referred to in this chapter are goals, culture and environment. Chapter three further demonstrates the relationship between organisational contextual dimensions and IGR.

**Chapter Four: Theoretical and conceptual framework:** The chapter seeks to examine the organisational theories underlying the organisational effectiveness in relation to IGR and the specific concepts as they are further outlined in the conceptual framework. The theoretical framework explains some relationship among the identified phenomena and IGR functionality and further build theories in relation thereto. In this chapter, contingency theory of organisational theories was chosen on the basis relevancy and underpins the conceptual framework and the related concepts. The concepts as informed by contingency theory focus on contextual issues or dimensions such as (1) organisational goals; (2) environment; (3) culture; (4) technology; and (5) size. These concepts are analysed to show how they fit within the IGR functionality context. The researcher approached the issue of conceptual framework based on relevancy and further focused on goals, culture and environment as key concepts that were chosen out of the five.

**Chapter Five: Research methodology:** This chapter provides for the design and the methodology that the research is aligned to. It introduces data collection techniques relevant to the study which are face-to-face

interviews, document analysis and focus groups. The chapter further outlines how data collected through these techniques is presented and analysed to explain the challenges affecting the functionality of IGR in KZN district municipalities. Cross-case analysis technique has been introduced as the relevant approach in analysing data across cases.

**Chapter Six: Challenges affecting the functionality of IGR in KZN District municipalities:** This chapter depict research findings from the three selected cases. Provision is made of the background information for each municipality, collected through analysis of documents applicable in each municipality. It presents data collected in relation to the functionality of IGR. The contextual dimensions affecting the functionality of IGR form the basis for presentation of data.

**Chapter Seven: Understanding IGR functionality within KZN district municipalities:** This chapter focuses on presentation and analysis of findings across cases. As indicated in chapter one of this report, the aim of the research is to understand the challenges affecting the functionality of IGR within KZN District municipalities and Ugu, Harry Gwala and Uthungulu. The research questions were selected to guide this search for understanding and the discussions in the conclusion section are also guided by the research questions.

**Chapter Eight: Conclusion and recommendations:** The chapter serve as the conclusion of the research by introducing thematic issues relevant to the study, theoretical contribution and areas of consideration for further research. The chapter makes certain conclusions and recommendations in line with the case findings.

## 1.8 SUMMARY

The research aimed at examining the challenges affecting the functionality of IGR in KZN district municipalities, by focusing on the organisational contextual dimensions which are goals, culture and the environment. The section gives a clear background to the study, referencing to the field of research, legislative background and the context as well as current studies in the field.

The chapter provides for a properly researched problem statement which emanates from the previous studies conducted on the functionality of IGR in KwaZulu-Natal. The problem is looked at from the perspective of the problem itself, the knowledge gap, the contextual basis for the study as well as the research need. Other aspects addressed in this chapter include research purpose, questions and objectives as well as structure and outline of the chapters. The next chapter presents the general overview of IGR and serves as the first chapter on literature review.

# CHAPTER TWO
# A GENERAL OVERVIEW OF INTERGOVERNMENTAL RELATIONS

## 2.1 INTRODUCTION

Chapter one introduced and explained background to the study, the research problem, research questions and objectives, the purpose of the study and gave an outline of the chapters of the study. This chapter presents literature on IGR, the role of district municipalities in ensuring co-ordination of IGR and further provides more understanding on the issue of functionality. The chapter further provides an overview of IGR from an international perspective, and includes countries such as Kenya, Australia, Zimbabwe and Nigeria. According to Neuman (2011), literature review should be a critical analysis of what others have written as well as the central issues and debates surrounding a research concept or topic. However, this research has attempted to critically analyse IGR and generally, regardless of the sphere of government and commences by giving an over of IGR in South Africa.

## 2.2 AN OVERVIEW OF IGR IN SOUTH AFRICA

### 2.2.1 Background

There is insufficient evidence regarding the exact historical moment when the concept of IGR originated. According to Wright (1988) IGR originated in the United States during President Roosevelt's New Deal Era. The origin of IGR was because of the challenges posed to the different tiers of government in the co-ordination of their state affairs. This author argues that the challenge of welfare states as it relates to effectual service delivery within limited means, stringent macroeconomic frameworks and chronic societal imbalances during history, has influenced governments to

improve on centralised regulatory control in favour of sufficiently devolved and decentralised service delivery systems.

After 1994, South Africa agreed on a system of co-operative governance as required by the Constitution and further provides the platform for IGR and co-operative governance (Levy & Tapscott, 2001). Du Plessis (2004) suggests that the interrelatedness and interdependence of the government spheres as referred to in the Constitution assumes that local government accomplish its functions within the provincial and national policy framework. It should be noted that the priorities for government are regulated nationally, although operations may differ from one municipality to another.

Even though the Constitution details the principles of co-operative government and IGR to which all spheres of government must adhere, the basis for these relations is respect for one another's powers and functions, constitutional status as well as on promoting mutual trust by informing, consulting and supporting one another on matters of common interest (Anon, 2004). In other words, each sphere has the responsibility for ensuring reservation of peace, unity and indivisibility within the republic, as well as providing transparent and effective, coherent and accountable government for the republic.

Although Adedire (2014) argues that municipalities are not exclusive of other of government departments and he further emphasised that there should be interaction between the local and other government departments. This author further posits that for the good relationship to exist between these spheres of government, the constitutional role of local government must be clarified, election should be the means of choosing leaders at the local level and not appointment, judiciary should be independent.

Irawanto, Supriyono, Muluk and Noor (2015) regards Intergovernmental Relations as a form of relationship mainly between the central and local governments or among the local governments. This form of the relationships normally changes in line with the dynamic developments, both internal and external changes, of a country. In terms of the quality of these relationships, it can be seen from various aspects such as the role of government, the interactions of public officials, the sustainability of communications, the role of administrator and the focus on the policy. This view was initially brought to light by Steytler, Fessha and Kirkby (2006), who defined IGR as encompassing complicated and interrelated relations that exists between the government spheres, and how these relations could be better managed.

Notwithstanding the above, the manner in which IGR is viewed has been consistent throughout, hence Opeskin (1998) regards IGR as concerning itself with interactions and transactions conducted by executives between and amongst governments in the country. It is clear from the above assertions that IGR does not restrict itself to government entities but to recognise relations amongst officials from all combinations of government entities and includes within it a range of informal and otherwise submerged actions and perceptions of officials. Furthermore, it was argued that the equality of stakeholders within the IGR environment removes the hierarchy status in favour of providing an operational platform where no level assumes superiority other than the object of ultimate accountability. According to Malan (2005), inter-relatedness symbolises co-operation that should be achieved through planning jointly, fostering good relations, and avoiding conflict. IGR is regarded as critical, mainly for the implementation of policies and the attainment of government objectives.

In the view of the foregoing, the relations that exists among the spheres of government are regarded as difficult and interdependent and in that same

vein Fox and Meyer (1995) suggested that co-ordination of public policies among these spheres should be done through reporting requirements on some programmes, financial support, budgetary processes, planning and communication among government officials. Whilst IGR intends to promote co-operation and participation by ensuring that same programmes and policies satisfy the needs of the community, Agranoff (2004) discovered that ineffective IGR and co-ordination is regarded as being due to problems of management and capacity rather than procedures and structures.

Government facilitated various initiatives including ensuring that IGR structures, policies and procedures are in place, however the question has been on the capacity of those entrusted to coordinate the effective, efficient and functional IGR (Thornhill, Malan, Odendaal, Mathebula, Van Dijk & Mello, 2002). In ensuring compliance by everyone, it was the view of Mathebula (2004), that constitutional provisions should allow the system of IGR in emerging democracies to be made obligatory.

Notwithstanding the above, Fox and Meyer (1995) refers to IGR as a system involving administrative and fiscal processes where spheres of government share resources, given conditions that should be met as the determinant of areas of support. He further mentions that IGR is a set of informal and formal processes including some arrangements within the institutions and structures for co-operation among the spheres of government. The practical mechanisms and techniques for managing IGR are remarkably similar around the world. For Trench (2012), the common pattern includes extensive, routinized co-ordination involving not just regular ministerial meetings but extensive liaison by officials, through meetings, individual telephone calls and group conference calls and email. There are questions about just how intensive such networks are and how frequent interaction is whether it has an institutional focus and how much it depends on bilateral or multilateral co-ordination. Concomitant to that, the

primary issues has been whether the different role-players have the capacity to implement effective IGR for the benefit of the community. Attention should therefore be given to the challenges of co-operative IGR. The challenges of IGR that appeared to date are indicated below (Venter, 2001).

### 2.2.2 Lack of formal structures for dispute resolution

Agranoff (2004) argues that the lack of formal structures that assist in facilitating intergovernmental disputes contributes to the functionality of IGR. In conflict situations, courts are used to settle those matters. Whilst the Constitution provides for the establishment of formal structures to facilitate resolution of disputes, this has not yet been established. According to Ile (2010), the legislation that formalise IGR also provide clarification on IGR and the structures within the governmental system. Taylor (2003, p. 197) states that "one of the biggest problems in the experience of municipalities has been adjusting to their new developmental mandate in terms of setting up suitable structures, decisions and procedures within the municipality itself, to make it capable of responding to service delivery appropriately".

Whilst there is a lack of structures to facilitate disputes between organs of the state, this implies that there is a risk of government entities bringing the disputes to law courts for adjudication. The understanding of the researcher is that there is clear provision on how disputes should be resolved amongst the organs of the state, which is currently not exercised.

### 2.2.3 Provinces lack capacity

The constitution mandates Provincial government to provide support to local government. However, challenges of capacity within the provincial governments make it impossible for this function to be carried out

effectively and efficiently. Generally, major capacity challenges within the Provinces are in administration, finance, strategic planning (Centre for Development Enterprise, 1999). Consequently, Botha (1996) suggests that capacity development should be prioritised by national and provincial government to sustain new governmental systems. Levy and Tapscott (2001) highlighted the need to capacitate IGR role-players within local sphere arrangements with the view that National and Provincial departments have capacity to do so. However, Sizane (2000) suggests the need for clarification of provincial government role in relation to concurrent functions.

### 2.2.4 Efficiency and effectiveness of decision-making

Wright (1988) observes that policy and programme alignment, the kind of relationship between IGR structures, the provincial executive committees and the cabinet have not really stabilised and therefore affect the ability to work in congruence with each other. According to the author, this has a negative impact on arranging resources for IGR system, especially in aligning budgetary process to planning. Botha (1996) views this as having impeded accelerated integrated service delivery. Malan (2005) suggests that decisions that are taken at IGR level should encompass scarce resources, overflow of services, accountability and poor economic conditions. This requires those involved in IGR to effectively take decisions for the betterment of the nation.

This suggests the necessity and importance of integrated planning by all spheres of government. Considering the inability to ensure integration, it is the view of this research that the ability of IGR to function optimally might be challenged and affect coherent provision of services to the community.

### 2.2.5 Excessive bureaucracy

The concept of excessive bureaucracy refers to the large numbers of IGR structures, the processes and procedures which underpin the IGR system and the frequency of meetings. The lack of attendance of IGR meetings by senior public officials is also a matter of concern (Botha, 1996). According to Ismail, Bayat and Meyer (1997), co-operative governance should assist in resolving problems and decision making in relation to IGR. It should address the challenges experienced by large bureaucratic institutions when co-ordinating their government administrative functions.

According to the researcher, this implies that whilst it is important for IGR procedures and processed to be aligned, it is clear from the section above that the frequency and meeting discussions have a direct impact on the unavailability of such procedures and may lead to IGR challenges of functionality.

### 2.2.6 Participation in provincial legislative process

Botha (1996) observes that provincial local government associations must be part of IGR arrangements within the provincial legislative processes. Notwithstanding this, Wright (1988) regards IGR as concerning itself with interactions and transactions conducted by executives between and amongst governments in a country. This author argues that IGR does not restrict itself to government entities but to recognise relations amongst officials from all combinations of government entities, it emphasises the human dimension of governance as it transcends the legalistic focus and includes within it a range of informal and otherwise submerged actions and perceptions of officials. Furthermore, and according to Agrannof (2004), the equality of stakeholders within the IGR environment is important as it removes the hierarchy status in favour of providing an

operational platform where no level assumes superiority except that of ultimate accountability.

It is clear from the section above that IGR is concerned with co-operation by Local, Provincial and National government and such co-operation determines the functionality of IGR.

### 2.2.7 Organised local government in the provinces

IGR needs to be strengthened to take advantage of opportunities and inform provincial recommendations to the South African National Council of Provinces (NCOP, 1998). Proper mechanisms must be developed to empower provincial organised local government's interaction with legislatures so that provincial mandates are implemented as informed accordingly (Oh, 1999). However, Hattingh (1998) views the South African system of government as decentralising authority and accords executive, legislative and other powers to the provinces and municipalities to accelerate decision-making and ultimately service delivery thereby improving the quality of life of the population. On the strength of the above, the remark that Pettigrew (1987) made argued that the premise for analysing organisational change revolves around managing its context and process and suggested on the need to look at contextual issues pertaining to the organisation, which such issues affect the functionality of IGR.

The system of IGR in SA is viewed by the researcher as being of a high standard in comparison to other countries. This is due to the decentralised authority and powers afforded to other spheres of government, which leads to quick decision-making and improved service delivery. Whilst this system of government is regarded by the researcher as being effective, the challenge might be the ability and capacity of the implementers to affect the decisions taken at an IGR level. This might be premised on the previous arguments on lack of capacity to deal with IGR issues.

### 2.2.8 Relationship between local, provincial and central government in South Africa

Local government is regarded as central to the provision of community services within the area of jurisdiction. While local government as compared to other spheres of government is closer to the people, it is true municipalities should obtain the co-operation and participation of the citizens to determine the quality of services provided. It is expected that local government plays a pivotal role to ensure that provision of basic services such as refuse removal, water, electricity and sanitation happens in an acceptable manner. Local government also should aim to promote sound relationship between the 'governors' and the 'governed' by:

- ensuring proper linkages between the people and government;
- promoting participation by community; and
- ensuring a democratic political system that is flourishing (Heymans & Tötemeyer,1988).

IGR is viewed by Venter (2001) as occurring both horizontally and vertically. The vertical relations ensue between local, provincial and national government departments, whilst horizontal relations take place amongst different municipalities in the same district. Relations at the horizontal intergovernmental level are said to differ from vertical relations in three spheres. According to Kahn, Madue and Kalema (2011), at this level their power is highly informal although it may still be a factor in relation to smaller and larger institutions; there is no difference negotiating ability and although there is interdependence it differs in terms of resources needed such as information and financial resources. There is a need for public sector institutions to attain the expected levels of excellence. This should be demonstrated through the actions in IGR, also on the ability of local government to foster the democratization process (Ranson, Jones & Walsh, 1985).

The case of fracking represents an unusual case of the involvement of the federal government in a newly emerging area. Historically, the federal government has played a primary role in regulatory policy by setting broad parameters whilst the state and local governments act as the principal implementers. However, the case of fracking "is unusual because, unlike a classic federalism problem in which states act in the absence of federal regulation, here the federal government has largely and deliberately cut itself out of the regulatory picture in ways that are seemingly more conducive to the big business interests in the state and the states themselves (Warner & Shapiro, 2013).

Prior to the implementation of the IGRFA, IGR structures at the local sphere of government included the district advisory forum, district mayors' forum, municipal managers' forum, integrated development planning forum and in some instances economic development forum (Edwards, 2008). However, it is said that some of these forums exist merely in name due to lack of attendance of IGR meetings, poor communication amongst the role players, misconception of the district municipality IGR role (Edwards, 2008). Thus, IGR forums at the local sphere failed to facilitate co-operation and to coordinate their constitutional mandates to achieve efficient service delivery (Steytler & Jordan, 2005). After 2005 the existing structures were reconstituted to ensure compliance with the IGR Framework Act (2005).

Ile (2007) regards properly-managed IGR structures as being key in improving service delivery to the community. Highlighting the difficulties in managing IGR structures, Ile's study further explains the importance of commitment by spheres of government and the role alignment in relation to IGR. On the strength of the above, the study revealed a range of IGR complexities around the management of structures, the inevitability of overlaps, and the need to strike a balance between independence and the alignment of roles amongst government units. From the analysis, Ile (2007) identified the emerging trends and the extent to which they can

facilitate or hinder delivery in a particular department or ministry. Accordingly, critical elements needed for successful IGR management in both unitary and federalist systems were largely the same and linked to the principles of Public Administration and these elements were formed into a formula captured as: C+ 3C+ 3P+ L (Commitment plus communication, co-ordination and capacity, project management, planning and policy management and, finally, leadership). This brings to the fore and support the view by others (Tapscott, 2000; Levy and Tapscott, 2001 and Boris, 2015) that capacity in co-ordinating IGR activities is key on the successful implementation of IGR.

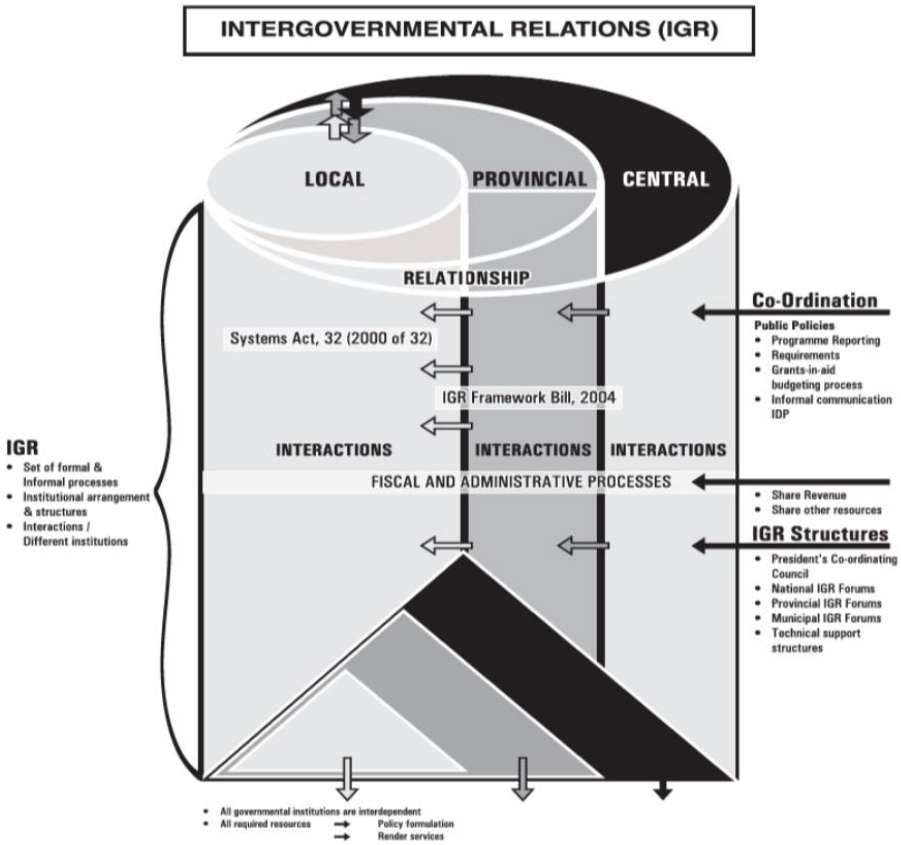
Figure 2.1 below is the graphic reflection of intergovernmental relations in SA, as suggested by Geldenhuys (2005). A concise explanation of intergovernmental relations reflected in this figure is necessary to put specific actions for excellence in perspective. In relation to Figure 2.1, the outside context includes economic, social, competitive and political in which the organisation exists. The inner context refers to such elements as structure, corporate culture and political context that exist within the organisation and through which ideas for organisational change must proceed.

Figure 2.1 suggests that the integrated development planning processes as outlined in the Municipal Systems Act of 2002 and the Intergovernmental Relations Framework Act of 2005 are analysed to include financial and administrative requirement that support IGR. This refers how revenue is shared by local, provincial and national government and how other resources are distributed, given the condition that should be met as required. Geldenhuys (2005) confirms the prevailing influence of fiscal relations between the spheres of government through the distribution of income and budget approvals. Subsidising of various government institutions as well as the lending and borrowing of money to finance capital expenditure also reflects the importance of fiscal relations

in this environment. Agranoff and Radin (2014) notes that bargaining and exchange relationships remain an issue on fiscal relations, which extend beyond programme requirements and include knowledge, information, resources, and issues. Finally, the two authors emphasised the importance of negotiation as the primary of participatory government, given other IGR processes, financial parameters and IGR network processes (Agranoff & Radin, 2014).

IGR is regarded as consisting of formal processes, informal processes, IGR structures and other arrangements amongst the institutions. This normally takes place multilateral and bilateral co-operation among the tiers of government, as indicated in Figure 2.1. The IDP action and the assessment process in the milieu of local government democratization are viewed by Geldenhuys (2005) views the IDP assessment as the process within the setting of local government and as a catalyst of co-operative governance; IGR therefore reveal the key interactions and the relationship that exist among the government institutions.

**Figure 2.1: Intergovernmental relations in South Africa**




Source: Geldenhuys (2005)

Figure 2.1 above reflects that, at the local government level, the IDP assessments is regarded as IGR interaction as it involves municipalities and the sector departments. The unique characteristics of IGR arrangements and political system becomes more complex and interdependent. These complex systems are due to the increase in number of officials serving in the IGR structures from IGR institutions, the frequency of IGR meetings, the importance of behaviours involved in IGR interactions. The formation of IGR structures at national, provincial and local levels includes structures such as President's Co-ordinating Council, Provincial and Municipal IGR structures.

In chapter 2 of the Intergovernmental Relations Framework (IGR Framework Act, 2005), the establishment of intergovernmental structures is required on the three levels of government. These IGR structures are forums for intergovernmental consultation and discussion. They include the President's Co-ordinating Council, National Intergovernmental forums, Provincial Intergovernmental forums; Municipal Intergovernmental forums; and other structures such as technical support structures. The focus of this research has been on Municipal Intergovernmental forums. Thornhill et al. (2002) believes these structures are key in ensuring that each sphere of government operates smoothly.

As illustrated in Figure 2.1, the extent and nature of relationship between the different tiers of government differs as these are informed by the levels of co-operation; it is subject to changes within the system of local government, the extent of interdependence, where provision of resources is made by a government department or external organisation for the municipalities to survive. In the view of Chapman (1993), the provision of resources assists in service delivery and policy formulation with the support of role-players, as influenced by their attitudes and behaviours.

Finally, the IGR overview presents similarities and some differences in the way IGR is viewed. For some authors, IGR is viewed from a fiscal

perspective between the government structures and through allocation of financial resources. However, some authors view IGR from a legislative point of view to promote mutual trust by supporting each other. Whilst there are different perspectives, the challenges remain the same in that IGR is viewed amongst other things as being hampered by lack of proper co-ordination, limited capacity to implement policies and poor efficiency of decision-making. While this view is not specific to District municipalities, this suggests the same line of argument with regards to the research problem, in this research and on areas affecting IGR functionality. As IGR happens at a local, provincial and national sphere, there is a view that IGR structures exists merely in name as they are characterised by lack of commitment, misperceptions on the role of the forums and lack of effective communication. This view corresponds with some of the results of this study on the IGR functionality in relation to Ugu, Harry Gwala and Uthungulu district municipalities.

## 2.3 NATIONAL PERSPECTIVE OF IGR IN SOUTH AFRICA

### 2.3.1 Emergence of IGR in South Africa - historical overview

South Africa is a democratic republic with a bicameral parliament. The national legislature consists of a 400-seat national assembly and a second 90-seat chamber known as the National Council of Provinces (NCOP). The head of state and government is the president, who is indirectly elected by the national assembly for a period of five years, and is usually the leader of the largest represented party. The national assembly seats are allocated using a proportional representation system with closed lists of one national and nine provincial lists. South Africa is a democratic republic with three spheres of government: national, provincial and local. Local government is enshrined within the constitution, which also outlines the various functions of, and resource distributions between, the spheres of government. Additionally, there are numerous Acts governing various

aspects of local government activity. The Department of Co-operative Governance and Traditional Affairs is responsible for supporting provinces and local government in fulfilling their constitutional and legal obligations. There are three types of municipality: eight urban metropolitan municipalities and two tiers of rural and urban authorities, namely 44 first-tier district municipalities and 226 second-tier local municipalities (http://www.clgf.org.uk/south_africa).

The practice of inter-governmental relations (IGR) and its management has become an important element for facilitating service delivery in the public service. The study by Kuye and Ile (2007) departs from the premise that IGR presents an opportunity for improved service delivery that is yet to be fully harnessed. This brings to the fore the view that, to fully actualize the facilitative potential that is inherent in IGR, it is necessary to identify critical elements that can assist public administration practitioners to harness the possible gains that can be made through effective IGR management. These critical elements are due to public administration activities that are described as involving decision-making, planning, advising, co-ordination, conciliation, arbitration, command and data gathering through which government carries out its responsibilities (Kuye & Ille, 2007).

The Constitution of the Republic of South Africa, 1996 (Act 108 of 1996) and conclusive Acts reflect the process of local government democratization in South Africa. It is further argued that the operational activities flowing from these Acts directly shape the success of intergovernmental relations (Geldenhuys, 2005). This view emphasises the influence of operational activities on intergovernmental relations. Similarly, the local government Integrated Development Plan (IDP) in general and the specific assessment process in particular serves as an example of the influence of these activities on intergovernmental relations. This suggests the importance of the appropriate actions and the

contribution of important role-players and government institutions to promote and facilitate intergovernmental relations in South Africa in a challenging environment. Finally, it was suggested that a focus on the involvement of other external institutions, specifically the Intergovernmental Institute of South Africa (IGISA), and the endeavour to support the promotion and facilitation of excellence in intergovernmental relations in South Africa is necessary for IGR to achieve its intended purpose (Geldenhuys, 2005).

Some studies suggest that there are challenges in the co-ordination of intergovernmental forums which resulted in a disintegration of services. Concomitant with that, the study by Mayedwa (2010) investigates options that could mitigate these challenges through acknowledging the effective application of ICTs (eGovernment) in government services. The study brings to light the view that South Africa has a functioning intergovernmental system which is not, however, effectively co-ordinated in terms of engaging each other in matters of mutual interest. On the other hand, eGovernment has promised to bring about cohesion and transparency when they are effectively employed. The study further revealed that the application of eGovernment in the intergovernmental forums has the capability to improve their operations, respond to ineffective co-ordination and improve delivery of services, and further advocates for the need to recognise eGovernment in the intergovernmental forums as a means to promote co-operative governance.

According to Mello and Maserumule (2010), the intergovernmental relations variable is explored to essentially establish any possible correlation with the poor quality of Integrated Development Plans in most municipalities. Based on the analysis of official data, theoretical insights and empirical data obtained from the municipal officials, councillors and ward committee members, these views reiterate that the current

intergovernmental relations system in South Africa does not add value to the integrated developmental planning in the local sphere of government in South Africa.

On the strength of the above, Mubangizi (2005) reflects on post-apartheid South Africa's efforts in providing sustainable public service delivery. In that regard, he attempts to analyse the opportunities and challenges in public service delivery in present-day South Africa and to explore the various ways through which the country can take advantage of those opportunities and meet the identified challenges. As a point of departure, the study interrogates intergovernmental relations and proceeds to discuss the need for transformation of the public service in the context of historical realities and human rights obligations. The discussion then notes the importance of the *Batho Pele* principles and the alternative forms of service delivery. It is then concluded that service delivery is a continuous process that requires long-term commitment, a shared vision, clear strategies and co-operation from various sectors of the society. Integration, co-operation and co-ordination are of crucial importance at the level of policy and strategy formulation where national, provincial and local spheres of government have to work together in conjunction with other role-players and various institutions that carry out actual delivery. It was further concluded that transformation of the public service needs to be hastened and more use of alternative forms of service delivery considered. Furthermore, the role of non-state actors should not be underestimated. In particular, Non-Governmental Organisations (NGOs) should be given more space and opportunity to be involved in public service delivery (Mubangizi, 2005).

The study by Geldenhuys (2008) emphasises that the crux of effective intergovernmental relations in democracies worldwide is the achievement of service excellence in government spheres. Similarly, this highlights that the nature and extent of intergovernmental relations in a country directly

affect applicable operational activities. On the operational level, actions and contributions of specific role-players and government institutions in democratic environments form the foundation for the promotion and facilitation of intergovernmental relations in challenging circumstances. In this regard Geldenhuys (2008) regards local governments across the world as the most direct sphere of government, influencing the daily lives of all citizens. This further underscores the importance of intergovernmental structures and relations involving higher spheres of government as having paramount importance for any kind of service excellence demanded and expected by citizens in a democratic dispensation.

Accordingly, this is an expectation shared by citizens worldwide and one of the key issues in the reform proposals in countries such as the United States, England and various European nations as well as for other democratic countries (Agranoff, 2004). That remains in large part the reason why achieving effective intergovernmental relations is under constant scrutiny, where the key is to create a climate conducive to service excellence and by doing so to restore faith and trust in government in general.

The examination of the practical application of intergovernmental relations (IGR) and co-operative government at the City of Tshwane Metropolitan Municipality (CTMM) Department of Housing and Human Settlements was conducted by Senoamadi (2014). The need for rolling back political interference, the regular review of legislation to remain current with the changing environment and international standards and improved institutional communication were some of the observations and arguments that the research established. The enabling policies, laws and regulations that are in place were good in principle but still limited in their practical application. It is argued in this research that housing and human settlements are a provision that is central to the democratic and

developmental trajectory of the Republic of South Africa, and that the provision of sustainable human settlements enriches the livelihoods of communities in so far as other services such as education, recreation, health care, electricity, economic opportunities, safety, transport and communication are also dependent on the availability of sustainable human settlements and the amenities that relate to this. It was recommended that if the policies, regulations, laws and goals that govern the IGR towards the delivery of sustainable human settlements are to achieve maximum fulfilment, there is a need for vigorous monitoring and evaluation mechanisms that will ensure that budgets are efficiently used, that standing decisions are implemented, and that partisan politics, corruption and opportunistic tendencies are eliminated as these undermine the attainment of good performance and delivery.

The current manifestation of instability in societies around the world presents serious concerns. The phenomena of maladministration, corruption, unrest, protests, failure in leadership, and the results of protest marches and poor service delivery, suggest that the value, functioning and contribution of co-operative governance and intergovernmental relations cannot be realised(Coetzee, 2010). In this context, when public protests and instability are analysed, the main issue identified at the heart of the problem concerns co-operation, implementation and co-ordination between the various spheres of government. Similarly, co-operation is needed to ensure satisfactory service delivery. There is thus a need to assess whether there is a direct relationship between poor service delivery, public protests and co-operative governance and good governance (Coetzee, 2010).

### 2.3.2 South African IGR constitutional mandate

The new Constitution refers to ‘spheres’ instead of ‘tiers’ of government and seeks to emphasize the new relationship of co-operation among the

levels of government. In this regard, it should be noted that the principles of co-operative governance have been constitutionalized. National legislation may establish structures and institutions to promote and facilitate IGR. Furthermore, it must provide necessary mechanisms and procedures to facilitate the settlement of IGR disputes (Reddy, 2001).

The South African Constitution (1996), with its emphasis on co-operative government, sets out the structure of the state and delineates in broad terms the responsibilities of the different levels of the public sector. The constitution, however, only provides the enabling framework for the development of a system of IGR (Tapscott, 2000). As a result, the operationalization of the policy for co-operative government is in formation and manifests the extant tensions between a unitary and a federal model of the state. Accordingly, the shortcomings that were identified by Tapscott (2000) in the system of IGR lead to poor co-ordination within and between the different structures of government and limit its capacity to delivery multi-sectoral social programmes. While the government has developed a regulatory framework for IGR, the view is that it is unlikely that legislation on its own will promote greater IGR co-operation and co-ordinate administrative capacity and the evolution of accepted models of interaction are likely to have equal or greater impact.

Notwithstanding the constitutional provisions, the system of IGR and co-operative governance in South Africa is seen as rapidly evolving, not only because of its constitutional or legal framework but also because of the statutory commitment of the various spheres of government to the implementation of the principles of co-operative governance and IGR (Malan, 2005).

According to Bhorat, Hirsch, Kanbur and Ncube (2014), the local government sphere comprises eight metropolitan municipalities (Category A), 44 district municipalities (Category B) and 205 local municipalities

(Category C). In contrast to provincial government, municipalities in principle do have access to significant own revenue sources such as property rates and revenues earned from sale of services such as water, electricity and sanitation. In the light of the foregoing, IGR transfers to local government (to fund national government policy of free basic services) have been continously increasing, although municipal own revenue sources have dwindled and the impact of the aftermath of the 2008 global financial crisis on unemployment, poverty and affordability of municipal services can still be observed.

Ile (2010) considered the extent to which IGR could be maximized as a facilitative element in governance and argued that what needed to be earnestly pursued are the integrated and improved administration processes as well as co-ordinated and aligned governmental systems. Poor service delivery is seen as a challenge that can be better managed through a stronger IGR system. On the strength of the above and in the promotion of strong IGR, attempts must be made to move towards an outcome-oriented IGR, which seeks to create opportunities for genuine negotiations and the development as well as sustainability of a shared vision (Ile, 2010).

### 2.3.3 IGR WITHIN THE CONTEXT OF LOCAL GOVERNMENT

Service delivery concerns by marginalised communities often lead to violent protest actions within the sphere of local government. Even though government is trying to resolve the problems that contribute to such protest actions, it is argued that some are political driven whilst some are motivated by real failures of service delivery. While not all service delivery challenges fall within the scope of local government, the argument is that disgruntled communities find local government offices most accessible to demand service delivery. In this regard, the blame is then placed on the co-ordination function of IGR and especially on service delivery issues.

Accordingly, lack of proper IGR co-ordination leads to the voices of citizens being ignored and ineffective or poor service delivery, thus contributing to the frustrations experienced by community members (Mathoho, 2011).

Malan (2005) explicitly clarified the system of IGR as being of importance where policies are drafted or projects and programmes planned are implemented. This view reiterates that through IGR institutional arrangements and their operation, co-operation in a spirit of mutual trust is expected from all government institutions involved in IGR to ensure the success of programmes and projects being implemented. In contrast, Cameron (1994, p. 23) argues that intergovernmental relations as "the geographical division of powers among the various spheres of government in the nation-state. The division of powers implies that each structure has a unique and independent role to play in the intergovernmental domain".

This view is complemented by Peters and Pierre (2001), who suggests a model of multi-level governance that features collaborative exchanges and joint decision-making between institutions at different levels of the political system. Peters and Pierre (2001) further argues that this type of IGR should play a more prominent role due to what appears to be an increasing degree of institutional overlap in terms of competencies and of growing political, economic and administrative interdependencies.

Kirkby, Steytler and Jordaan (2007) further emphasizes the establishment of the district municipal IGR forums by the district Mayors to realise the goal of co-operative governance within the district municipality. The forum is suggested by the author to consist of the district mayor and the mayors (or designated councillors) of all local municipalities in the district. The author further suggests that the district IGR forum establishes a forum to enable IGR operations between a district and its local municipalities and the forum's first role should be deliberation on issues that affect the

municipalities within the district. This would include commenting on implementation of the legislation, including draft policies. Secondly, the members of IGR forums are expected to consult on development in the district, such as service provision, district planning and harmonising strategic and performance plans.

Edwards (2008) suggests that IGR structures at a local level are consultative mechanisms that are meant to facilitate IGR interactions and dialogue on common matters pertaining to municipalities including coherent planning, policy development and alignment of strategic plans amongst the government institutions.

At a municipal level, the Integrated Development Plan is a key IGR instrument. Malan (2005) argues that the true test of effective IGR is to be able to negotiate effectively at forums across party political lines. Thus, the clarification of the division of functions and powers as well as the improvement of relations between the local municipalities and the district through the establishment of effective district municipality intergovernmental forums is important. Another imperative is that government must provide workshops and training sessions to understand different functions of the stakeholders involved, as well as to emphasise the requirements and rationale of the Intergovernmental Relations Framework (IGR Framework Act, 2005).

In the views of Malan and Mannadalizade (2012), it is evident that although the department of education regards IGR as essential in the implementation of their programmes, there are no structures in place to promote values of participatory and co-operative governance between the public service and local government. IGR structures should exist to support the mandates of government in achieving the national goals and objectives.

The approach to service delivery is summarised by Mathebula (2011) in a perspective of local government, who refers to IGR as being interactive in nature. This is about co-operating with one another for the sole purpose of achieving common, and in some instances different, service delivery goals. The author further aligns himself with Wright (1974) who mentions that the interactive nature of IGR manifests itself as contact, communication, connecting as well as creating some form of non-transactional synergy often at service delivery level. The researcher's view and understanding of IGR can be further attributed to the fact that the local sphere of government is central in ensuring that IGR functions properly, hence the focus of this research.

### 2.3.4 South African IGR institutional arrangements

Through the establishment of various institutional arrangements for IGR and the successful operation of the IGR structures, it is expected that all spheres of government will continually strive to co-operate with one another in mutual trust and good faith. Without effective co-operation of IGR in South Africa, programmes and projects cannot succeed (Malan, 2005).

In their examination of the intergovernmental relations impact on local government with regard to the oversight role of the Portfolio Committee on Local Government and Traditional Affairs, Kanyane and Nazo (2008) identified some critical issues raised that cut across spheres of government and present a challenge in terms of the Intergovernmental Relations Framework Act, 2005 (Act 13 of 2005). Accordingly, what is regarded as critical to interrelations and interactions at play is the role played by Parliament and provincial legislatures in overseeing policy development, implementation, budgeting and reporting across and within the three spheres of government, hence the extablishment of the Portfolio Committees oversight functionality. Similarly, the aim of oversight

functionality is to ensure that, *inter alia,* public resources are used for public gain. What remains a research inquiry in the whole Intergovernmental Relations (IGR) debate is "to what extent does the Portfolio Committee on Provincial Local Government hold municipalities accountable for their actions?" (Kanyane & Nazo, 2008).

Kanyane (2016) observes that, although succinctly conceptualised in the scholarly literature and legally well nuanced in the prescripts of the Constitution, IGR is complex in practice and therefore needs further clarification and practical application. He further suggests that it is not possible for the state to function properly without effective daily interplay of IGR among the three spheres of government, transversally across and within provinces and state departments. Concomitant with that view, the time spent over 21 years of democracy in deepening and institutionalising the democratic process and institutional engineering now needs to be coupled with developing strategies to ensure effective participation and the meaningful engagement of citizens in the decision-making process. Institutional efficiency is not adequate. Therefore, according to Kanyane (2016), the following problems need immediate attention to avoid a silo syndrome in government operations: power relations; polarisation; factions and factionalism; coalition; duplication of Water Boards and Water Service Authorities' structures and their respective functions; a serious approach to meetings of the intergovernmental forums on the part of high-ranking officials; sociocultural bonds; and social cohesion in the maturing democracy. IGR should therefore not be seen as bound by routine compliance with the regulatory framework, but instead as an effective tool to facilitate authentic commitment to, and interest in, service delivery in achieving the developmental outcomes of the capable state in the future (Kanyane, 2016).

Malan (2005) views the system of intergovernmental relations and co-operative government in South Africa as rapidly evolving, not only

because of its constitutional and/or legal framework but also because of the statutory commitment of the various spheres of government to the implementation of the principles of co-operative government and intergovernmental relations. This system of intergovernmental relations is necessary where policies are drafted or projects and programmes planned are implemented. Through the establishment of various institutional arrangements for intergovernmental relations, and the successful operation of these structures, it is expected that all three spheres of government will continually strive to co-operate with one another in mutual trust and good faith. Without the effective operation of intergovernmental relations in South Africa, projects and programmes cannot succeed. The intergovernmental relations system in South Africa and its evolution over the past ten years within a democratic dispensation will be reviewed with reference made to the successes and failures of the current system of intergovernmental relations and possible solutions to address identified shortcomings.

In South Africa, the functioning of the different spheres of government is stipulated in the 1996 Constitution and consolidated through the notion of intergovernmental relations (IGR). More importantly, intergovernmental relations are aimed at promoting positive co-operative governance across national, provincial and local levels of government, including the facilitation of operations between and among existing public departments within the public sector. Tshishonga and Mafema (2012) interrogated the importance of operationalising intergovernmental relations more particularly in delivering services to poor and marginalised citizens. The challenges and prospects embedded within intergovernmental relations were examined in the context of the Community Development Worker Programme (CDWP) and the role played by community development workers employed by the National Department of Co-operative Governance and Traditional Affairs and deployed to work at local government level (Tshishonga & Mafema, 2012). According to Greyling (2016), co-operative governance principles

are not necessarily always applied in practice and many challenges have been encountered, despite the fact that there are structures and policies in place to deal with the existing statutory framework on co-operative governance, although the interpretation, meaning and implementation needs to be addressed. Similarly, challenges reported range from lack of good governance, tensions between the relative autonomy of spheres of government, access and quality of services, poor co-ordination, lack of clarity on role division and capacity building. This suggests that the ability to manage the implementation of intergovernmental relations (IGR) is a challenge across all spheres of government. The core challenge of co-operative governance finds strategic expression in the work of the IGR forums. In order to address these challenges, Greyling (2016) investigates various possible solutions and proposes some practical guidelines for the implementation of co-operative governance for both managers and public policy-makers. On the strength of the above, the need to find viable sustainable development systems that include developing and maintaining effective integrated partnerships and common public goals was expressed. The importance of effective leadership, as well as developing and maintaining effective systems to quantify local government-based sustainable development, especially at community level, was highlighted.

De Villiers (1997) provides an overview of the conduct of IGR in South Africa, with special reference to the functioning of institutions and forums that are involved in IGR. The purpose of the NCOP is emphasised as being to represent provincial interests in the National Legislature process, and to provide a basis for representation in the NCOP for a permanent and rotating delegate from each province. This brings to the fore the view of Dlanjwa (2013), that even though the Premier's Forum – which is a Provincial IGR structure – is inclusive of local municipalities' participation and engagement, processes prior to and during meetings does not allow for municipalities to provide their input. As a result, the forum in practice functions as an intensive information session for municipalities with little

opportunity for consultation and deliberation on issues that represent the municipalities' point of view or interests. The approach adopted lacks effectiveness in incorporating municipal contributions and discussions that are influenced by the interests of local government in the province (Dlanjwa, 2013).

## 2.4 BACKGROUND OF THE DISTRICT MUNICIPALITIES AND THEIR INTER-GOVERNMENTAL ROLE

District councils were established during the initial phases of transformation within local government (during 1995−2000). The allocation of functions to them was not clearly defined by the interim Constitution or the Local Government Transition Acts, leaving their regulation to provincial governments (Edwards, 2008). The Municipal Demarcation Board determines the boundaries of municipalities and that leads to the establishment of district municipalities.

The Municipal Structures Act (1998) provides for separation of powers and allocates key responsibilities such as sanitation, water, bulk electricity, municipal health services and other functions such as fire-fighting, disaster management, tourism and local economic development to the district municipality. The remaining functions are assigned to local municipalities. This standard division could be changed by the national Minister of Provincial and Local Government who is empowered to authorise local municipalities to perform district functions such as provision of water, electricity, sanitation and municipal health. The provincial Members of the Executive Council (MECs) for local government could also authorise local municipalities to perform the remaining district functions depending on where the capacity to discharge the functions existed. According to Levy and Tapscott (2001), this approach resulted in lengthy decision-making process that permits ongoing change and an asymmetrical delegation certain functions.

Whilst Malan (2005) sets out four key aims for developmental local government as informed by White Paper on Local Government, the provision of a basic level of household services, especially electricity, sewerage and water, to households without these services, should take priority. Secondly, municipalities should seek to ameliorate the 'spatial legacy of apartheid separation' through the integration of previously segregated urban areas. Thirdly, local economic development should be stimulated through local economic growth and local job creation. Finally, community empowerment and redistribution should be addressed.

The Municipal Structures Act (1998) reflects the IGR responsibilities as identified in the White Paper. The overall purpose of district municipalities, as the Act states, is to achieve sustainable, integrated and equitable socio-economic development of the communities within their remit. Kirkby, Steytler and Jordaan (2007) argues that a District municipality can achieve this through co-ordinating its integrated development planning.

To give effect to the above, the Municipal Systems Act reinforces the applicability of the co-operative principles in terms of the Constitution to intra-local government relations by promoting close co-operation between local and district municipalities as an integral aspect of the IDP. According to Botha (1996), district municipalities have municipal executive and legislative authority over significant spatial areas, with primary responsibility for district-wide planning and capacity-building. Within the local jurisdiction of each district municipality there are typically several individual local municipalities which share their municipal authority with the district municipality. The district municipalities administer and make rules for a district, which includes more than one local municipality and sector departments. At lower-tier level are local municipalities, referred to as category B structures of government (Cameron, 2001).

Van Der Westhuizen and Dollery (2009) explain that the functions of a district municipality as compared to local municipalities include planning for development for the district municipality as a whole; providing bulk water supply that affects a large proportion of the municipalities in the district; supply of bulk electricity; providing municipal health services for all municipalities in the district; provision of bulk sewerage purification works and main sewerage disposal; providing waste disposal sites for the whole district; providing municipal roads and storm water drainage for the district municipality area; as well as municipal public works, street lighting, municipal parks and recreation facilities.

In relation to IGR, Thornhill et al. (2002) reflects on the role of the district municipality in ensuring the establishment of IGR Forums within the District, ensuring their functionality and in partnership with Local Municipalities and other spheres of government. This is in support of the IGR Framework Act (2005) which requires the District Municipalities coordinate IGR between the district municipality, the local municipalities and sector departments in the district. This explains why the District municipality is identified and given its constitutional role and mandate on IGR issues.

### 2.4.1 Definition of District Intergovernmental Relations functionality

The functionalist perspective can be traced back to Parsons (1967) and has its roots in anthropology. This perspective focuses on social systems and how they operate, how they change, and the social consequences they produce. In trying to explain an aspect of a social system, functionalism asks several basic questions such as: How is this aspect related to other aspects of the system? What is its place in the overall operation of the social system?; What kinds of consequences result from this?; How do these consequences contribute or interfere with the

operation of the cultural values and the realization of the cultural values on which the system is based?

In relation to this research, IGR functionality is defined as the ability of IGR forums to discuss new and existing government policies; to discuss progress and problems in service delivery within the district; co-ordination of planning initiatives by a district municipality; support given to other municipalities within the district; the manner in which the IGR forums are constituted in terms of membership; the role and mandate of IGR forums in ensuring vertical and horizontal co-ordination of programmes and other service delivery issues; frequency of meetings of the IGR forums; and availability of technical operational support to coordinate all IGR activities within the district (State of local government IGR, 2012).

According to Steytler and Jordan (2005), the strategic aims of the system of IGR are promote co-operative decision-making and ensuring that decisions taken are implemented by all role players. This author further defines the functionality of IGR in terms of the nature and form of IGR meetings, service delivery considerations, means to achieve vertical and horizontal planning, identification of areas of support, frequency of meetings, role and mandate, constitution and membership as well as technical support given to IGR structures.

In summary, the core existence of the district municipalities is mainly to support provision of services at a local municipal level. This emphasises the IGR role of a district municipality to consult and cooperate with the local municipalities on provision of services to the community. This means that, whilst a district municipality provides such services as sanitation, water, municipal health, bulk electricity and other functions to the community, the provision can only happen through proper co-ordination, consultation and co-operation at a local municipal level.

In relation to IGR, it is the role of a district municipality to coordinate the formation of IGR structures and ensure functionality, thereby promoting participation with all IGR stakeholders. In relation to the legislation and in practice, local municipalities do not have an IGR co-ordination role but their role is to ensure support and co-operation, hence the need for research of this nature. The study that forms the basis of this research focuses on the district municipalities nationally and their IGR role, where in terms of the results there were no challenges identified in local municipalities as being the reason for non-functionality of IGR.

The functionality of IGR is thus defined from a district municipality perspective and includes the ability of IGR forums to discuss new and existing government policies; to discuss progress and problems in service delivery within the district; co-ordination of planning initiatives by a district municipality; support given to other municipalities within the district; the manner in which the IGR forums are constituted in terms of membership; the role and mandate of IGR forums in ensuring vertical and horizontal co-ordination of programmes and other service delivery issues and frequency of meetings of the IGR forums; and availability of technical operational support to coordinate all IGR activities within the district.

## 2.5 IGR OVERVIEW OF THE SELECTED INTERNATIONAL SYSTEMS

### 2.5.1 Introduction

This section discusses the literature on the role and relationship between levels of government, intergovernmental relations from a global viewpoint and at a continental level, using a country-specific perspective. Where possible, a comparative study is undertaken as comparison is a natural human activity (Landman, 2000). The narrative contained herein outlines the significance of IGR in selected countries, namely Zimbabwe, Nigeria, Kenya, Australia and South Africa.

Four countries, namely Zimbabwe, Australia, Nigeria and Kenya, were selected to provide a global and African view of IGR. The selection of these countries was made on the basis that they fall within diverse classification. The international case is drawn from the developed and industrialised nations while the remaining three are from the developing world, specifically the African continent, where both are leading countries on the African continent. The selection of the countries is informed by the fact that the three African countries, namely Zimbabwe, Nigeria and Kenya, are democratic and unitary states, although they comprise different systems and/or tiers of government, which results in differing powers and functions, whereas Australia operates on a multi-level system of governance.

From the IGR perspective, IGR has its roots in Nigeria and the United States and can be traced back to the early 1930s until the 1950s (Bello, 2014). The nature of IGR between state and government does not reflect differently from federalism. It is the master-servant relationship in which the local government subsists at the mercy of the state government. Australia's constitution is highly synchronised and emphasises the importance of IGR for effective operations. In South Africa, IGR is determined by the constitution and recognises the three tiers of government (federal, provincial and local). There are nine provinces and the number of IGR structures are informed by statutory arrangements for specific sectors.

The relevant contextual information that enables the analysis and contrasts or comparisons that are utilised in the research are explained below. An attempt is made to highlight the developments of the existing intergovernmental system and the constitutional imperatives. This is presented with a view to demonstrate the management of

intergovernmental relations, showcasing processes which enable in-depth deliberations on some of the challenges pertaining to IGR.

The aim is to provide and understand the specific contexts in an attempt to operationalise intergovernmental relations with the view to sharing knowledge that provides an understanding and acumen as to what works, how it operates, and possible explanations about the current situation. The need to proceed from a broad viewpoint is an acknowledgement of the highly co-operative nature of relationships and influences that are cross-border in description and further reinforces the concept of globalisation.

According to Simeon and Murray (2001), globalisation leads to challenges for intergovernmental relations. Though it may be setting up pressures for decentralization (that is, as national governments lose control over the policy instruments that are traditionally in their hands, and as national economies become less integrated internally and differentially integrated into the wider world), intergovernmental relations within the setting of a globalised world might be providing an opportunity to set up common standards that ensure the minimum delivery of services to the community. It also encourages co-operation as countries and their inherent subnational units become increasingly effective in the international arena, given the fact that they can speak with one voice.

Whichever viewpoint is more applicable according to Landman (2000), within the globalised world relationships no longer stop within the borders as global forces have powerful effects on domestic or local relationships. The character of any country is projected into the international arena, hence the focus in this chapter on IGR international and continental cases. This framework is endorsed by Almond, Powell and Mundt (1993), who notes that in the study of political and administrative systems, there exists a need to know the underlying propensities and actual performance over a given period. Through profiling or drawing a distinction among various

states, one can understand issues concerned with the intergovernmental relations in that society, contrast capabilities, the culture of organisations, constitutional mandates, conversion functions and relationships between functions and structures. Opeskin (1998) regards IGR as affecting the extent to which spheres of government effectively participate with each other in power-sharing, including executive mechanisms, co-operative agreements, and judiciary and legislative mechanisms that facilitate government machinery.

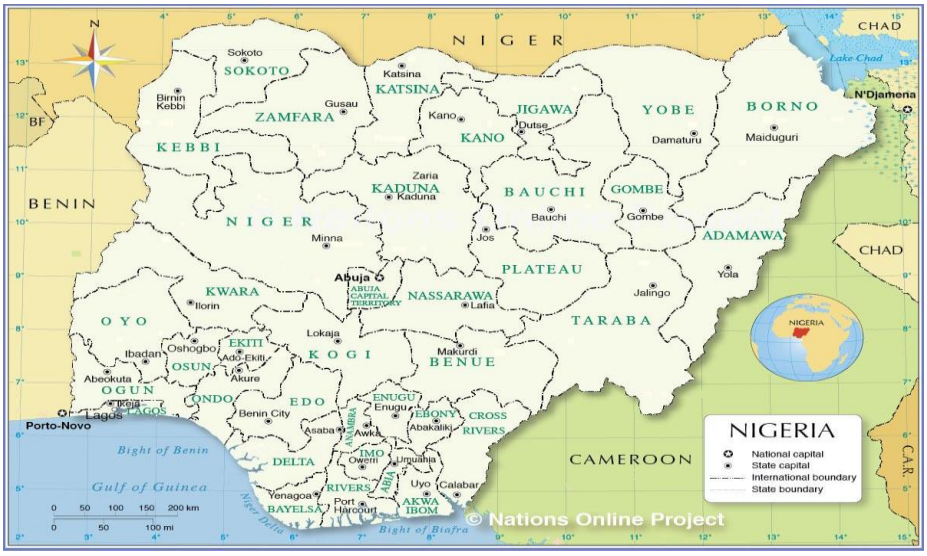
The extent to which authority and power is managed by all spheres of government is important. A brief discussion on the key roles of IGR is provided and contextualised within the selected cases and with specific reference to Kenya, Nigeria, Zimbabwe and South Africa.

### 2.5.2 Intergovernmental relations in Nigeria

#### *2.5.2.1 Introduction*

It is acknowledged by Bello (2014) that IGR originated in the United States of America in the 1930s. He further alludes to the fact that this idea of IGR was brought by British colonial interests to Nigeria. Furthermore, the Constitution of Nigeria (1999) recognises IGR as a tool to manage conflicts, promote co-operative governance and improve service delivery among government units. Figure 2.2 depicts the map of Nigeria.

**Figure 2.2: Map of Nigeria**




Source: http://nationsonline.org/oneworld/map/nigeria

The Constitution of Nigeria (1999) recognises the following IGR institutions as a means to facilitate co-operation among the three spheres of government:

- The National Assembly;
- The Supreme Court;
- The Council of States;
- The Federal Charter Commission;
- The Independent Electoral Commission (IEC);
- The National Economic Council;

- The National Population Commission; and
- The National Council of IGR (NCIR).

Various forms of relations existed in Nigeria between the federal and state government and between the state and local government. Local government was recognised during the 1976 Local Government Reform and was accorded constitutional status. The federal government is viewed as an extension of state government and a conglomeration of 774 local governments and six area councils that constitute 36 states (see Figure 2.2 above) and federal capital territory that forms the federal government (Onwughalu, 2016).

As is the case in South Africa, local government in Nigeria is recognised as the third sphere of government. However, Funsho (2013) emphasises the critical role of local government in Nigeria as including identification of rural and local needs and mobilising resources to meet those needs. This view gives effect to the provisions of the Local Government Reform Guidelines (1976) which provides that local authorities are expected to understand and facilitate people's demands as their role is at the grassroots level, and this view was further incorporated in the Nigeria Constitution of 1999. This recognises the three tiers of government in Nigeria to include federal, state and local government which are regarded as being autonomous and operate within their area of jurisdiction. Oguna (1996) refers to local government autonomy as the freedom of local government to manage and have control over its own functions and includes financial, political and administrative autonomy, while financial autonomy refers to the freedom of local government to manage its financial allocations, revenue and budget independently.

As with many countries, Local Government in Nigeria has its powers derived from the Nigerian Constitution (1999) and includes roads construction and maintenance, street lights, drains and public highways,

sewerage and refuse removal, education and health. In order to deliver on its mandate, local authorities depend on the state grant that is directly deposited to the State–Local Government Joint Account. While each sphere of government has its powers and functions, there are some exclusive issues reserved solely for the federal government, while in accordance with the legislation, residual issues are reserved for the state government to address (Kizito & Fadila, 2015).

#### *2.5.2.2 Nigeria State-Local Government Joint Account (SLGJA)*

The State–Local Government Joint Account was established in terms of the Nigeria Constitution as a special vehicle where allocations are made to local government by Federal Government – meaning transfers take place from the Federation account and from Government of the State to Local Government Councils (Section 162, 1999 Constitution of Nigeria). The following extracts highlight the provision of section 162:

> "Each state shall maintain a special account to be called 'State - Local Government Joint Account', into which shall pay all allocations to the local government councils of the state from the Federation account and from the Government of the State"; and that
>
> "Each state shall pay to local government council in its area of jurisdiction such proportion of its total revenue on such terms and in such manner as may be prescribed by the National Assembly" (section 162,1999 Constitution of Nigeria).

The problems of inter-fiscal relations in Nigeria has always been provoked by a number of factors including over-dependency on statutory allocations from the centre and a skewed federal system fostered by colonialists (Britain) and continued by subsequent governments. It is acknowledged that the situation was exacerbated by widespread corruption, escalating poverty, ethnic politics, disease, ignorance and violence. There is a need

to ensure equitable allocation for resources to all tiers of government that matches their responsibilities (Onwubiko, 2014).

Whilst financial autonomy in Nigeria is governed by the applicable laws, Oguna (1996) emphasises the need to ensure good fiscal relations amongst and within the three tiers of government. Okafor (2010) also considers Nigerian financial autonomy in relation to SLGJA and remarks on the interference by state government in the financial autonomy of local government through SLGJA and how this interference undermines the provision of service delivery in Nigeria. The author further recommends constitutional amendments that should give effect to the establishment of the Independent Audit Agency to monitor, inspect, audit and ensure accountability in the use of these allocations by local government, with such an agency to comprise federal, state, local government and private representatives.

Beyond the function of revenue generation or allocation, fiscal relations are viewed by Shiyanbade (2017) as having influenced governance positively by creating the expediency of transparency and responsiveness in government and across all three tiers of government. This brings forth the view that lack of fiscal autonomy or being independent of local government, and delays in local elections resulted in poor service delivery. Shiyanbade (2017) emphasises the need for local government to focus more on internal revenue generation in order to avoid over-reliance on allocations from the federal account.

The challenges of SLGJA were further examined in relation to the impact on rural development in Nigeria by Kizito and Fadila (2015) who explained the challenges of mismanagement of SLGJA, characterised by the existence of manipulation by state governments and which led to the inability of many local and state governments to conduct local government elections. Constitutional amendments to ensure the weakening of the SLGJA were recommended and the inability to provide services to the

people at the grassroots level was highlighted as a consequence. This brings to the fore the view by Eroke (2012), who elaborated on the interference of state governments in local government administration, more particularly on funds utilisation which suggests that the elected local government councillors and officials cannot be trusted with the running of their respective local government, rather than being a team of competent politicians elected for a purpose. This author went further to suggest that there was a disjuncture between the local government councils and the people, where elected local government council officials no longer consider themselves accountable to the people, and instead consider themselves accountable to the state governor (Eroke, 2012).

As observed by Kizito and Fadila (2015), the moribund state of SLGJA highlighted rural development challenges at the grassroots level in Nigeria that were linked to poor governance of the state.

#### *2.5.2.3 Contending issues in the management of IGR in Nigeria*

Inyang (2014) examined challenging issues in the management of IGR in the Nigerian Federal administration and highlighted the increasing dependence of the state and local governments on the federal government as well as the ambiguity of federal government in areas considered the exclusive power of the state and local government and IGR fiscal relations. In this regard, he advocated for IGR to mutually share power and for the equal participation of citizens in government activities.

An evaluation done by Yuguda and Usman (2014) on service delivery performance in Nigeria reveals some failures and connections between these service delivery failures with fiscal decentralisation. Key issues raised highlight the problematic fiscal jurisdiction that exists between local government and the state, which constrains service delivery, more especially in rural areas. The State–Local Government Joint Account was raised as a challenge which requires further attention. From the political

perspective, the need for improvement of the Nigeria Constitution (1999) was emphasized by Lawson (2011), who noted the following key aspects: Overdominance of the federal government in relation to IGR:

- The weak mechanisms and institutions for IGR co-ordination; and
- The need for IGR to focus on horizontal relations that foster inter-state co-operation and possible use of National Council of State (NCOS) to ensure such co-operation.

Though not the case with Nigeria, it was suggested that the NCOS should serve the same purpose as the IGR Standing Advisory Council, which is in operation in some federations such as Australia, the United States of America and India (Roberts, 1999). Factors militating against performance of local government administration in Nigeria were articulated by Oviasuyi, Idada and Isiraojie (2010), who highlighted the need for constitutional amendment to enable the state governments to adopt greater flexibility in order to allow local government to provide service delivery to the community.

Chukwuemeka, Ugwuanyi, Ndubusi-Okolo and Onuoha (2014) highlighted the challenges confronting local government in performing according to their mandate using the Nigerian Federal system of government and noted that, whilst local government is expected to deliver services to the grassroots level, they are constrained in the performance of such roles by poor political leadership, inadequate finances and insufficient autonomy, leading to local government eroding the capacity to perform according to their mandate and contribute meaningfully to the developmental roles. This brings to the fore the view that challenges confronting local government administration in ensuring efficient and effective service delivery includes lack of funds, corruption, and undue political interference as major constraints that result in the inability of local governments to fulfil their mandate. Corrective measures should therefore include constitutional

reforms to ensure autonomy of local government, revenue enhancement and capacity building (Boris, 2015).

Adedire (2014) in examining local government and IGR in Nigeria gave specific attention to the period 1999 to 2014 and noted that local government is not mutually exclusive from other tiers of government, hence more interaction and co-operation is needed betweenthese tiers. Furthermore, for a productive relationship to exist amongst the three tiers of Government, the issues of SLGJA should be reversed, constitutional status of local government must be clarified and interference by other spheres of government at local levels should be avoided. On the strength of the above, local government autonomy contributed to local government being used as an appendage of federal and state government and such a situation being attributed to the ambiguity of the Nigerian Constitution (1999).

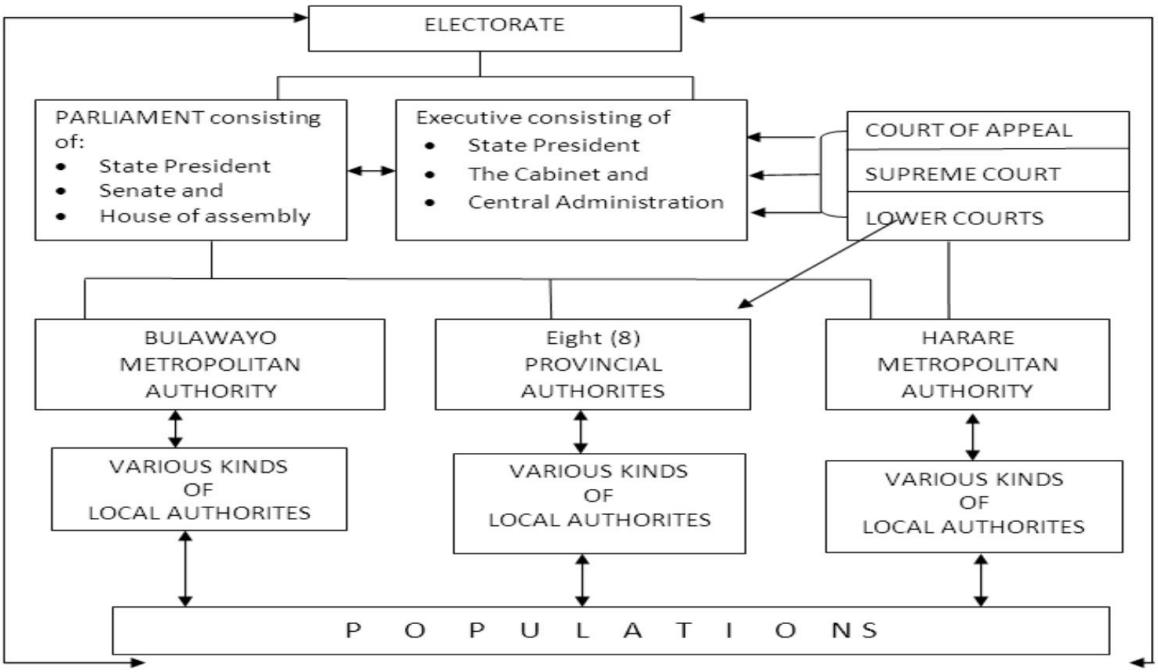
Olusadum and Anulika (2017) notes the effectiveness of IGR practice as a *sine qua non* for the promotion of good governance in a federation like Nigeria, and examine the interconnectedness between good governance and IGR and the effect on rural communities. They conclude that the major setback to good governance at the grassroots level is the ambiguous position of the Local Government Administration as provided for in the constitution of 1999, which allows for the opportunity for the state to abuse the resources of the Local Government Administration (LGA) and viewed SLGJA as an instrument of oppression and counter to good governance at local government level.

### 2.5.3 Intergovernmental relations in Zimbabwe

Zimbabwe is referred to as a unitary and democratic state, both constitutionally and politically, with three tiers of government being national, provincial and metropolitan councils and local government. In

terms of the Zimbabwe constitution (Amendment No. 20) of 2013, local government in Zimbabwe consists of rural district councils and different types of urban district councils (Chakunda, 2015a). Figure 2.3 below represents the hierarchy of authorities within the Zimbabwe government.

**Figure 2.3: The Zimbabwean Hierarchy of Authorities**




Source: Marume (2013)

The three tiers of government are expected in terms of section 265 of the Zimbabwe Constitution of 2013 (as amended) to co-operate with one another, in particular by informing one another and consulting one another on matters of common interest and harmonising and co-ordinating their activities. As indicated in Figure 2.3 above, the Zimbabwe government consist of three levels of government, namely national, provincial and local government. Urban councils represent and manage the affairs of people in urban areas, whilst rural councils represent and manage the affairs of people in rural areas. The Executive authority of Zimbabwe vests in the President who exercises it subject to the constitution and through the cabinet (Zimbabwe Constitution 1980, 2013).

Chikunda (2015b) in attempting to understand power distribution in Zimbabwe between central and local government makes reference to central-local government relations as characterised by horizontal and vertical power dimensions between central and local government. He further suggests that Zimbabwe local authorities are regarded as creatures of statute and should act within the legislative framework provided by the central government. In view of the above, the challenge of power distribution became central and allegations made against the Minister of Local Government for interfering in the local authority's affairs. Whilst the nature of such interference is not clearly defined, it was concluded that the legislative framework of local government in Zimbabwe gave powers to the Minister of Local Government to supervise or act and put in place interventions for local government authorities to function properly, suggesting that what is referred to as interference might mean intervention in the true sense.

Subsequent to the Lusaka Declaration, the South African Development Community (SADC) was formed, comprising of Angola, Botswana, Lesotho, Malawi, Mozambique, Namibia, Swaziland, Tanzania and Zimbabwe. The value of this institution was assessed by Thornhill and Van Dijk (2002), where their focus was on outlining IGR first and to find commonalities with regard to SADC members' IGR systems. In this aspect, the viability of IGR was said to be influenced by the size of the country, population composition and government type. A consideration was made of co-operative governance structures in 14 SADC countries, where it was concluded that South Africa has progressed furthest with its efforts to promote co-operative governance and has provided such guarantees in their constitution. While the view shared by Thornhill and Van Dijk (2002) may be relevant in terms of constitutional provision, the issue of whether such constitutional provision leads to the functionality of IGR at local government level is one area of consideration in this research.

### *2.5.3.1 Centre local relations in Zimbabwe*

Despite its unique aggregation of experiences, Zimbabwe is known to share political, economic, social and historical characteristics with a number of other countries. However, the principal factor that shaped Zimbabwe IGR is the existence of Central Local Relations (Schwartz, 2014) where local government is regarded as a crucial facet and tier of governance and sufficient investment has to be made into this level of government to ensure sustainable development, adequate delivery of services and accountable governance that is underpinned by active citizen participation in decision-aking processes. Local government is considered important as it is the level of government that is closest to the people, as it relates to structures, institutions and processes which happen at local level. However, there are challenges that need to be addressed in order to ensure that the country has a vibrant local government architecture, and these include central local relations and dual governance structures in Zimbabwe (Nkomo, 2017).

Nkomo (2017) believes that urban governance in Zimbabwe will continue to experience interference from central government, particularly on issues of budget ratification and appointment of key officials. This has led to the conclusion that there is an urgent need for the country to move towards a devolved system of government as envisaged in Chapter 14 of the Zimbabwe constitution. Chapter 14 of the Zimbabwe constitution states that:

> "It is desirable to ensure the equitable allocation of national resources and the participation of local communities in the determination of development priorities within their areas and there must be devolution of power and responsibilities to lower tiers of government in Zimbabwe" (Zimbabwe Constitution 1980, 2013, pp.123-124).

Despite constitutional provisions, the state of centre-local relations became a topical debate in Zimbabwe to the extent that Nyikadzima and Nhema (2015) identified the need to conduct an assessment of the implications for service delivery. In the Chitungwiza municipality, findings revealed that centre-local relations between central government and Chitungwiza municipality were highly centralised, resulting in the Ministry of Local Government taking power and control over the municipality. While the view of Nyikadzima and Nhema (2015) was that the Minister is supposed to play a strategic role in policy formulation, it was stated that at the Chitungwiza municipality that role extended to the involvement of the Minister in the day-to-day running of the municipality, leaving little room for Councillors and community members to play their role. As it is the case in South Africa, local government in Zimbabwe is expected to be independent and autonomous. The case of Chitungwiza municipality centralising government relations led to challenges of service delivery, erratic water supply, roads with potholes, and poor refuse collection. In this study of Chitungwiza municipality, the practice of intergovernmental relations was dominated by hyper-centre relations and lack of co-operation between the Ministry of Local Government and local government (Nyikadzima & Nhema, 2015).

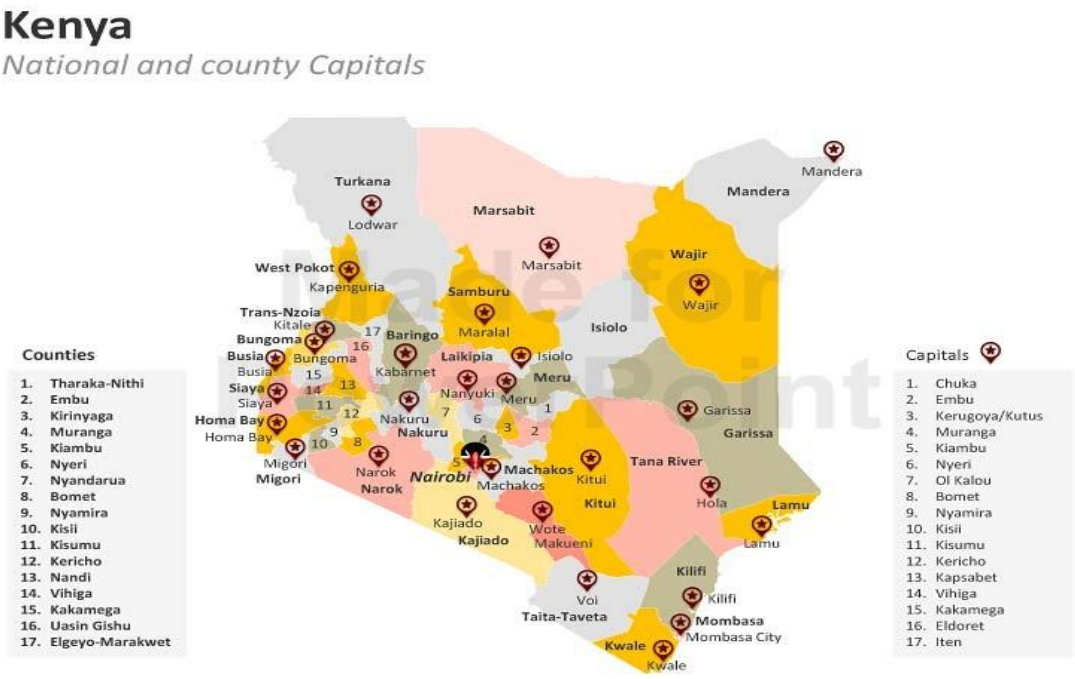
While the issues of central–local relations remained an issue in Zimbabwe, Sibanda (2013) supports the need for evolution of the decentralisation policy in Zimbabwe where the attempts mainly focused on checking the power of the executive in a bid to institutionalise separation of powers by empowering the legislative and judicial arms of the state. However, the most critical power-sharing objective was the reform of intergovernmental balance between the central government and subnational government structures: the provincial, urban and rural local authorities. This was captured in the ideology of devolution of power, which was set down as a fundamental principle of good governance, repealing the centralised system of government.

Muchadenyika (2013) explored the implications of the Zimbabwe Constitution on central-local relations in Zimbabwe and identified the need for redefining centre local relations to embrace the Constitution of Zimbabwe Amendment (No. 20) Act of 2013. The constitution provides for devolution of powers and functions to local government. Muchadenyika (2013) concluded that local government IGR capacity in Zimbabwe is affected by, *inter alia,* lack of accountability, political interference and conflict amongst officials and administrators. The implications of the Constitution on central–local relations in the associated challenges in the Zimbabwe local government system were further identified by Jonga (2014) to include the areas of revision which encompass decentralisation and alignment of local government institutions in such a way that they support national strategies and the vision for development. It was the view of Jonga (2014) that this challenge emanated from the colonial period and after Zimbabwe gained its independence.

### 2.5.4 Kenya Intergovernmental relations system

Kenya is a democratic republic with a bicameral parliament consisting of two houses, the National assembly and the Senate. There are 47 county governments that are responsible for collecting taxes, where 15% of the collected revenue is allocated to the county government. County Governments receive revenue from Central Government through the Local Authorities Transfer Fund (LATF). In terms of the Kenya Constitution, County Governments are assigned functions such as social welfare, public health, education, housing and town planning, transport, environment and public sanitation, sports and culture, economic development, trade and industry, tourism and agriculture, whilst the Central Government is responsible for fire management, civil and criminal justice and education (excluding pre-school and adult education). Figure 2.4 below represents

the map of Kenya with 47 counties (UNDP, 2017). **Figure 2.4 Map of Kenya**




Source: Map of Kenya (n.d.)

According to Boex and Kelly (2011), the new structure of governing power between the centre and subnational regions was introduced and adopted with the new Constitution of Kenya in 2010, thus replacing the previous constitution, which regarded the public sector as highly centralised, with vertically deconcentrated systems at provincial and district levels. In terms of the Kenya Constitution, the public sector consists of two tiers of government, which are national and 47 elected county governments (see Figure 2.4 above). There is no legislation to guide governance structures below national or county level.

The Constitution of Kenya set limits for IGR fiscal transfers and assigns subnational government taxes with a limited base. Article 212 of the Constitution of Kenya of 2010 enjoins legislature to exercise control over subnational governments. In relation to the Kenya local government system, it is understood that laws and regulations governing

intergovernmental fiscal relations should include conditions to incentivize fiscal discipline and better fiscal performance and that local government should set their own revenue targets (Mwenda, 2010).

In view of the foregoing, the Kenya IGR Act (The Act) provides a framework for consultation and co-operation between the national and county governments and amongst county governments. According to the Act, IGR in Kenya is based on principles of inclusive and participatory governance, promotion of equality and equity in service delivery provision. Therefore, the IGR arrangements are comprised of 1) National – County Government Co-ordinating Summit, where the president and 47 county governors meet twice a year; 2) Technical Committee, which is the meeting comprising 8 members, the chairperson appointed by the Summit and the Secretary; and 3) Council of County Governors, which is the forum of all 47 selected county governors. The forums meet to consult each other on issues of common interest, for information sharing and to consider issues of co-operation on the delivery of services (Kenya IGR Act No. 2, 2012).

The two tiers of government in Kenya are said to be distinct and interdependent. The Kenya IGR Bill of 2012 seeks to establish a framework for IGR consultation and co-operation and provides mechanisms for resolution of IGR disputes when they arise (Oduor & Thitu Kimani, 2012). However, there have been institutional, intergovernmental and resource challenges in Kenya which contribute to tensions between the National and County governments over resource allocation and conflict between various actors involved in the implementation of devolved systems of government. Challenges experienced by IGR in Kenya include absence of administrative procedures for establishing and managing IGR sector forums, decisions of forums that are not binding and the absence of enforcement mechanisms for forum decisions (The Presidency Ministry of Devolution and Planning, 2016).

Whilst articles 202 and 203 of the Constitution provide for the establishment of an agreed framework to guide IGR fiscal transfers and allocation of resources between the two levels of government, there is still no guideline to clarify a cohesive oversight framework for fiscal flows between two levels of government (Kenya Constitution, 2010).

### 2.5.4 Intergovernmental relations in Australia

Multi-level governance refers to negotiated non-hierchical exchanges between institutions at the transnational, national, regional and local levels. Taking this one step further, the definition could be expanded to denote relationships between governance processes at these different levels which can also take place between transnational and regional levels, thus bypassing the state level (Peters & Pierre, 2001). Figure 2.5 below highlights the map of Australia with key cities.

**Figure 2.5: Map of Australia**




Source: Premium Time (2015)

Australia is a constitutional monarchy with a federal division of power and comprising six states and two territories (see Figure 2.5 above). Local government is under the jurisdiction of each state and territory government. There are 564 local government areas in Australia – all are single tiered. Australia's National Constitution does not make any reference to local government, even though local government is recognised in all state constitutions and federal legislation. Functions of local government include planning and development, environmental management, good governance promotion and well-being (www.regional.gov.au/local).

**Table 2.1: Distribution of local government areas in Australia**

| State | Number of local areas | Population (census 2011) | Populations (estimate 2014) |
|---|---|---|---|
| New South Wales | 155 | 6.917.658 | 7.544.500 |
| Victoria | 79 | 5.354.042 | 5.866.300 |
| Queensland | 77 | 4.332.739 | 4.740.900 |
| South Australia | 74 | 1.596.572 | 1.688.700 |
| Western Australia | 138 | 2.239.170 | 2.589.170 |
| Tasmania | 29 | 495.354 | 515.354 |
| Northern Territory | 11 | 211.945 | 246.346 |
| Australian Capital Territory | 1 | 356.586 | 387.586 |

Source: Department of Infrastructure and Regional Development Communication with CLGF

These do not form a separate tier of government but provide a basis for councils to collaborate in the joint delivery of services and advocacy before other levels of government. The primary forum for IGR in Australia is the Council of Australian Governments (COAG), which comprises Prime Ministers, State Premiers, Territory Chief Ministers, and the President of Australia Local Government Association (ALGA).

In 2006 an IGR agreement establishing principles to guide IGR on local government matters was signed by the Australian government, all states and territory governments and ALGA. ALGA established a framework within which services are to be funded and delivered to the community at the local level. Councils have statutory responsibility to provide local infrastructure, health, water, sewage amenities and community services (www.abs.gov.au/websiteedbs/censushome.nsf/hom/data)

A process of reform of IGR arrangements was initiated in Australia in 1990 to improve national efficiency and international competitiveness and to improve the delivery and quality of services that government provides. While reflecting on the federal government frustrations at the limits imposed by the federal system on its political power and administration capacity, the process was intentionally co-operative, incorporating all state and territory government leaders, including representatives of local government. It was concluded that political and bureaucratic IGR objectives, combined with lack of adequate appreciation of federal principles, led to an attempt to supplant participatory politics with the relatively less accessible and responsive managerial structures of IGR (Fletcher & Walsh, 1992).

Federations employ a large variety of mechanisms for conducting relations between central, regional and local levels of government. Those mechanisms span the executive, legislative and judicial branches of government within each level. Executive involvement ranges widely in degree of formality, from the making of formal IGR agreements to informal liaison between government officers. Executive mechanisms have also evolved for correcting vertical and horizontal fiscal imbalances in federal systems. Legislature plays an important role in giving the force of law to co-operative policies initiated by the executive and involves mechanisms such as delegation of powers from one government to another (Opeskin, 2002).

Table 2.2 below provides a comparison of systems of government and distribution of powers in South Africa, Nigeria, Zimbabwe, Kenya and Australia.

**Table 2.2: Cross-country illustrations on IGR and system of government**

| ISSUES | SOUTH AFRICA | NIGERIA | ZIMBABWE | KENYA | AUSTRALIA |
|---|---|---|---|---|---|
| System of govern-ment | Unitary and democratic state with three tier system of government | Federal system of govern-ment with three tier system of government | Unitary and democratic state, with three tier system of government | Unitary and democratic with two tier system of government | Centralised federalism, delegation of legislative authority from state to federal government |
| Distribution of powers | Powers distributed amongst the three spheres and derived from RSA constitution | Exclusive to federal and con-current to residual lying at regions | Powers distributed amongst national, provincial and metropolitan councils and local government | Powers distributed amongst the two spheres, County and Central gov ernment | Political inter-dependence, powers distributed amongst organs of the state ( 6 states and two territories) |

Source: Own (2016)

Table 2.2 provides for the illustration across the identified countries in relation to the system of government, distribution of powers and the IGR system applicable in a country. The illustration reflects different systems of government ranging from unitary, federal, centralised and decentralised to asymmetrical federalism. The system of government has direct relationship with the distribution of power, which informs the IGR system. The importance of this reflection is to create an understanding of different

IGR systems within these countries, which serve the same purpose as that of ensuring co-operation and partnership.

## 2.6 SUMMARY

In this chapter, an attempt has been made to sketch the context in which this research is located, i.e. intergovernmental relations. The chapter provides an in-depth overview of intergovernmental relations, the IGR role of District municipalities and how IGR functionality is described. A selection of IGR international practices was discussed based on both developed and industrialised (Australia) as well as developing countries (Nigeria, Zimbabwe and Kenya).

An overview of IGR provides literature on how IGR is viewed. For some authors, IGR is viewed from a fiscal perspective between the government structures and through allocation of financial resources. However, some authors view IGR from a legislative point of view, where it is seen as a means to promote mutual trust by supporting and consulting each other on matters of common interest.

As IGR happens at a local, provincial and national sphere, there is a view that IGR structures exist merely in name as they are characterised by lack of commitment, misperceptions on the role of the forums and lack of effective communication. In relation to local level, one emphasis is that IGR goals can only be realised through the establishment of functional IGR forums with clear roles and responsibilities. This further emphasises the IGR role of a district municipality to consult and co-operate with the local municipalities on issues of service delivery.

The functionality of IGR is defined from a district municipality perspective and includes the ability of IGR forums to discuss new and existing government policies; to discuss progress and problems in service delivery

within the district; co-ordination of planning initiatives by a district municipality; support given to other municipalities within the district; the manner in which the IGR forums are constituted in terms of membership; the role and mandate of IGR forums in ensuring vertical and horizontal co-ordination of programmes and other service delivery issues and frequency of meetings of the IGR forums; and availability of technical operational support to co-ordinate all IGR activities within the district.

The Australian government system allows for distribution of powers among the organs of the state while providing for a unique delegation of legislative authority from state to federal government. It can be concluded that with this type of arrangement, and especially in Australia, decision-making is centralised and there is high dependency on the State for the provision of resources. This prevents IGR from being implemented at a local level and issues are left for central decision-making.

South Africa, Kenya and Zimbabwe have unitary and democratic systems of government, with some differences in the levels of government, in that Zimbabwe and South Africa have a three-tier system while Kenya has a two-tier system. This arrangement also shapes the distribution and nature of powers and functions and allows for decentralisation of some functions, whilst others are centralised to the State government. Within the African context and with specific reference to Kenya, Nigeria and Zimbabwe, the research has broadly sketched the mode of governance and political and administrative organisation and has tracked the metamorphosis to the status in the selected countries. An understanding of the governance challenges that face these diverse nations provides lessons for the rest of the continent and cascade down to the local level. In essence, the challenges posed by the Nigera Federal system of governance manifest through the experiences generated from the Nigeria-State Local Government Joint Account, where central and

provincial government exercised full control of this account to an extent where service delivery at grassroots level was compromised due to mismanagement of thereof.

The aim of IGR is to ensure co-operation among the spheres of government and clear co-ordination in the delivery of services to the community. Challenges to IGR comprise diverse areas that include lack of IGR co-ordination and co-operation (Nigeria), absence of IGR policy framework and lack of implementation of resolutions (Kenya), political bureaucratic IGR objectives and less responsive IGR structuctures (Australia) and lack of accountability coupled with political interference (Zimbabwe). These challenges are contextual in nature in that they relate to the achievement of IGR goals, the influence of the political environment and some cultural practices such as co-operation and accountability that manifest themselves and affect IGR within these countries.

# CHAPTER THREE
# ORGANISATIONAL CONTEXTUAL DIMENSIONS AND IGR

## 3.1 INTRODUCTION

This review focuses on the relationship between organisational contextual dimensions as outlined in the previous chapter and IGR. Chapter two focused on the first part of literature review, by giving an overview of IGR, which served as foundation and led to the identification of theories. The theoretical and conceptual framework exposed five concepts underlying IGR functionality and from those, three concepts were identified which informed this second chapter of literature review. In embarking on the process of literature review, the researcher identified relevant and recent literature on organisational contextual dimensions and IGR and focused attention on goals, culture and environment. The literature was then analysed and organised prior to writing this chapter.

This chapter starts by defining organisations as social institutions which are focusing on goals that are structured and formulated and influenced by the external environment (Daft, 2007).

The researcher examines perspectives that underlie the functionality of a function and policy implementation within an organisation, which are contextual in nature. IGR is one of the municipal functions and hence its non-functionality is viewed within the context of these dimensions and the elements related thereto. Chapter 3 (section 41(2)(a)–(b) of the Constitution of South Africa states that an Act of parliament was establish or provide for structures and institutions that promote IGR.

The idea of looking at IGR functionality emanates from the study conducted by COGTA, where the results showed that the functionality is

affected by the nature and form of IGR meetings, service delivery considerations, means to achieve vertical and horizontal planning, identification of areas of support, frequency of meetings, role and mandate, constitution and membership as well as technical support given to IGR structures. As indicated in chapter one, the problem is that of non-functionality of IGR. The areas of functionality as stated relate to contextual dimensions of an organisation and forms the basis of literature review in this chapter.

Within this context, IGR is defined by Fox and Meyer (1995) as those processes which are formal or informal in nature, or institutional participative arrangements and forums or structures for co-operation among the spheres of government. Kahn, Madue and Kalema (2011) further alludes to the fact that within the IGR arrangement, there should be beneficial and mutual relations that exists between government institutions. At local government level, provision is made of different categories of municipalities with separate powers, which are metropolitan, district and local municipalities (Cameron,2000).

According to Taylor (2003, p297), “One of the biggest problems in the experience of municipalities has been adjusting to their new developmental mandate in terms of setting up suitable structures, divisions, procedures within the municipality itself, to make it capable of responding to IGR appropriately”. (The author further defines varying patterns in IGR and indicates some structural dimensions that appear to capture the major aspects of variations which include institutionalization or formalization, to what extent the institutions of IGR are built into formal governing structures, to what extent the operations of the institutions themselves are governed by explicit procedures and formal decision-making and rules and if the institutions are fluid and ad hoc, developing and changing according to the political needs of the participating government.

According to the author, it is important to distinguish between the constitutional provisions that shape the overall structure and character of the government system and the more focused institutional structures that have been developed to foster co-ordination in IGR. In relation to the above, Cameron (1994) suggests that the relations among government institutions assume their independent role because of the community of which they serve, the constitutional arrangements, the organs of the state of which they are in part the expression, and the conditions which underpin the existence of that organisation, either external or internal.

While it is easy to overlook the technicalities of these processes and to concentrate on the analysis of the structures and mechanisms by which IGR is regulated or co-operation is fostered, there is, however, another and ultimately more important context within which to set IGR, namely the framework of democratic norms and standards and values. As indicated by Cameron (1999), there are deep democratic challenges facing modern government of every type, including democratic issues and accountability which confront government in their interactions.

## 3.2 ORGANISATIONAL CONTEXTUAL DIMENSIONS AND IGR

Organisational contextual dimensions include consideration of issues such as culture, environment and organisational goals. These dimensions are regarded by Daft (2007) as forming the basis for the functionality and influence other functions within the organisation. The researcher has approached the issue of contextual dimensions from a cultural, environmental and strategy/goal perspective.

The above view is notwithstanding the fact that IGR is often associated with governance issues and the researcher's choice to consider organisational perspective provides a new perspective not common in the way IGR is considered. This view has emerged due to the identified

problem, which is that of non-functionality of IGR as it is affected by the contextual dimensions of the organisations under study. Certain authors strongly identified aspects that underlie IGR functionality, which are human relations and behaviour (Agrannoff, 1996) while Wright (1988) further highlights five dimensions which are relationships, attitudes, activities, involvement of partners and policy dimension. Wright (1988), stated that for a function to be effective, one must consider contextual issues first as they affect structural issues within the organisation.

Chattopadhyah (1999) suggests different contextual dimensions that shape the functionality of IGR and that include legislative federalism, which assumes that IGR is found among the executives, but the challenge is how well elected members of the local and provincial legislature are able to monitor and scrutinise, oversee and debate how their government is performing while the second aspect is that of balance of power, which requires one to establish if the relationship among government and partnership among equals looks more like a hierarchy of superior and inferior governments. Kahn, Madue and Kalema (2011) indicates that either, relationship requires IGR, but matters of hierarchy and equality are likely to lead to very different dynamics and refers to cultural issues as another dimension that should be established and whether IGR is characterised by a sense of shared values and purpose which emphasise the need for co-operation and for consensus.

IGR institutions are viewed by Malan (2005) as decision-making bodies. What matters is whether IGR institutions act as authoritative decision-makers in the government system and if those decisions become binding on all parties. This author viewed the values, commitments and ambitions of political leaders as having important effects on the conduct of IGR at a strategic and policy level. IGR processes should facilitate effective co-ordination among government, in order to minimise contradictions and duplication of government resources and activities. Chattopadhyay (1999)

concludes that patterns of IGR are informed by external factors, which are contextual factors.

One of the features of IGR as defined by Agrannoff (2004:101) is that IGR is the function which is operated through individual actions and other functionaries within government for the effective management of the affairs within the respective tiers of government. He adds by indicating non-existence of IGR relationships between governments and that these relationships occur only amongst officials who governs certain units. Agrannoff (2004, p.101) maintains that “it is human beings clothed with office who are the real determiners of what relations between units of government will be”.

Another issue is the management of intergovernmental co-ordination as being key to making federal and decentralised systems work. It involves the interplay of high politics where governments involved are of different and competing parties and undertake more routine bureaucratic processes. Inevitably the high politics plays a major role, but underlying interests of regions or units of government often mean that their approach to intergovernmental processes remain similar over time, even as government changes (Trench, 2012).

According to Poier (2002), the relations and behaviours are referred to as being elements of the contextual dimension of the organisation and underpin organisational culture and strategy respectively. Mathebula (2011) suggests that with regard to the complexities of IGR, particularly in multi-sphered governments, the axiom is that IGR is first and foremost a profound human undertaking. However, Dion (2000) suggests that in multi-ethical, multi-cultural and multi-racial societies, IGR will have to be characterised by consensus building, mutual adjustment and pacifying dominant coalitions. The growing realisation that “in diverse societies, where inter-group interactions have been non-co-operative, the

fundamental problem has been a failure to develop political institutions able to accommodate such diversity" (World Bank Report, 1998, p.13) lends further credence to the human element dominant in IGR.

Wright (1988) distinguishes five dimensions that make up the study of IGR as quoted in Agrannoff (1996), which are transcendence of IGR recognised patterns and involvement that comprised of various interactions, at national, local and regional as well as private and quasi-governmental organisations; behaviours and attitudes of officials within government; relationship between government officials involved in IGR; the a policy framework regulating such relationships; and policy implementation and evaluation. Meier (2005) alludes to the fact that while there is an agreement on the important nature of IGR for operational efficiency in relation to the organisational contextual dimensions, there has been little theoretical work that focus on the empirical research on the topic of organisational contextual issues and IGR.

Daft (2007) provides an insight on structural dimensions as they provide pointers that define the internal and external characteristics of an organisation which serve as the basis for organisational comparison. He further alludes to the fact that, in order for one to understand and evaluate organisations or a function, examination of contextual dimensions first and then structural dimensions should be conducted. Tapscott (2000) regards these contextual dimensions of an organisation as being connected and related with one another and that they could be adjusted to meet the demands of an organisation. In order for the researcher to understand the organisational traits that affect the functionality of IGR, an examination of contextual dimensions is necessary.

Therefore, challenges affecting functionality of IGR in KZN District municipalities can be better understood through the researcher's specification of a relationship between characteristics or contextual

dimensions of the organisation and the IGR function. While it may be possible to consider other theories or both trends of contingency theories, the need for concentrating on organizational contextual dimensions in examining the challenges affecting the functionality of IGR is relevant as it also contributes to existing knowledge on the functionality of IGR. Challenges that affect the functionality of IGR will be examined from a contextual perspective. Important concepts underlying contextual issues are environment, goals and strategy, size, culture and technology as indicated in chapter 3. The researcher has focused on three dimensions, which were selected based on relevancy and these are environment, strategy and culture.

Table 3.1 below is the reflection of the organisational contextual issues affecting IGR functionality, from the literature review perspective. Major sources and contributions are summarised and provide a reflection on the central issues and arguments on the contextual issues and IGR.

**Table 3.1: Reflection on organisational contextual issues and IGR**

| Organisational contextual dimensions and IGR | Major sources | Major arguments |
|---|---|---|
| | Taylor (2003); Fox & Meyer (1995) | IGR should be about the ability to set up suitable and formal procedures, institutional arrangements and divisions for co-operation. |
| | Agrannof (1996) | Human behaviour contributes to IGR functionality and includes involvement and |
| | Malan (2005) | role of officials governing certain units. IGR is about making decisions that are binding to all parties. |
| | Wright (1988) | Five dimensions that underlie IGR functionality include human elements, variety of relationships, attitudes of officials and exchange of information. |

Source: Various

### 3.2.1 Organisational culture

The role of organisational culture in IGR functionality can be explained as the ability of IGR partners to share the same beliefs and values about IGR, as well as the commitment by members to attend IGR meetings and to cooperate with each other in all IGR activities. Robbins, Odendaal and Roodt (2003) views organisational culture as resembling a sense of shared meaning by members, that distinguish one institution from the other. This implies that in each municipality there exists a set of beliefs and understanding about IGR, which such beliefs influence the IGR functionality. In relation to this definition, Arnold (2005) argued that organisational culture relates to distinctive norms, values, principles, beliefs and the manner of behaving that affect the distinct character of an organisation. These two definitions suggest that organisational culture

distinguishes one organisation from another. Therefore, organisational culture can be regarded the same as what personality is to an individual (England, 1993).

As a good organisational culture can be best instilled by good leadership, Motilewa, Agboola and Adeniji (2015) suggests, that for managers to know organisation's culture is of required standard and results in success, alignment between the organisation's culture, its structure, goals and processes which occur as a result of internal or external pressures should be ensured, and as such dis-synchronisation between the cultural and structural components of an organisation is thought to be a harbinger of decay or revolutionary potential.

Schein (1985) further views organisational culture as “a pattern of basic assumptions that are invented, discovered, or developed by a given group as it learns to cope with its problems of external adaptation and internal integration within its area of work”. This description highlights that organisational culture has created assumptions, which are accepted as a way of doing things and these have a potential of being passed on to new members of an organisation or group.

Deal and Kennedy (1999) identifies four generic cultures that exist within an organisation, and these are; the work-hard or play-hard culture, the bet-your-company culture, the tough-guy/macho culture and the process culture. However, Handy (1985) classified organisational culture in four ways to include task, role, power and person cultures. Arguable, Schein (1985) uses three levels to explain organisational culture, namely values, artefacts and basic assumptions underlying an organisation while Scholtz (1987) identifies five primary culture typologies which are creative, reactive, stable, anticipating and exploring.

The above indicated definitions pertain to organisations of any kind, social clubs, families, companies and work groups. Over time, some groups within the organisations develops a set of tacit and explicit beliefs, understanding and practices. According to Butterfield (1982), explaining and defining cultural characteristics of a group is not an easy task, as only members of the group that conform and understand expectations in a group setting.

Whilst the organisational culture as the concepts is regarded as being intangible, it is grounded in some characteristics that could be clearly identified. These are mentioned by Deal and Kennedy (1999) to include an understanding of the vision, vision and goals of organisation as they may be found in organisational strategic documents, and formal charters. Values that informs decision-making and operations within different levels of an organisation include things like continuous improvement, integrity and continuous learning and these should appear in organisation's public statements and policies.

According to Schein (1999), the focus of an organisation and management style is another indicator of values that are upheld within an organisation. This is evident in pronouncements on organisational policies and priorities, that senior managers and the perceptions from the general staff as to whether senior management can 'walk the talk'. Other indications include the relationship between employees and management. The nature of these relationships might either be competitive, collegial, distrustful or mutual supportive and affect the functionality in an organisation. Other things that inform the culture of an organisation includes routine processes, decision making, roles and responsibilities of employees within an organisation and how tasks that are extra-ordinary are dealt with in an organisation. A 'personality' distinctive to an organisation becomes apparent, when the above listed elements are put together.

The above is consistent with the analysis by Hakim (2015), that organisational culture has a huge and positive impact on the performance and commitment of both the employees and the organisation. This suggests that organisational and employee performance is affected by the type of commitment and culture within an organisation.

A survey that took place in the 1970s reveals the complex nature of organisational culture, especially in understanding attitudes, behaviours and beliefs of individual within some organisations (Brown, 1998). The work of Deal and Kennedy (1999) serve as the foundation of the organisational culture and explains the relationship between organisation success and culture.

From the human resource point of view, organisational culture is regarded to be providing flexible, non-mechanistic and imaginative way of understanding how certain institutions conduct their activities. Consequently, organisational culture is considered as the great “cure-all” for some organisational problem (Wilson, 2006). Other theoretical development involving this concept of organisational culture relates to studies on organisational theory as they concentrate on understanding organisational culture by employing classifications or typologies.

In addition, Darmawan (2013) views culture improving the consistency of certain behaviours and commitment within an organisation. The author further indicates that improved organisational culture can motivate employees to improve performance and that of an organisation respectively. This was consistent with Didit (2013), who further indicates that employee performance can mainly be improved through increased organisational culture and commitment

Hampden-Turner (1990) refers to four types of culture that exists within an organisation and these are power, role, task and atomistic culture.

Hofstede (1991) had a different approach by introducing five aspects of organisational culture, namely power distance, uncertainty avoidance, individualism/collectivism, confusion dynamism and confusion dynamism. It is the view of O'Reilly, Chatman and Caldwell (1991) that culture within an organisation can be described to include innovation, attention to detail, people orientation, outcome orientation, team orientation and stability. These reflections on organisational culture provide the variations that exist between theorists in defining this concept. These variations have evolved over time and are relevant to the concept of organisational culture. However, in relation to this study, culture is looked at from an organisational perspective and among the leaders who are participants in IGR activities and are expected to ensure that IGR is functional.

Eisner (1999) emphasises that the culture, vision and mission of any institution sets the tone for what takes place within an organisation and influence decisions and activities within the organisations. Kotter and Heskett (1992) points out that whilst organisational culture is mainly defined in the singular form, all organisations have multiple cultures that relate to different functional groups or geographic locations. Cultural analysis as suggested by Román-Velázquez (2005) helps in understanding the interactions of employees and team's members with different cultures and how they work together and share knowledge with each other. As this is the case with the organisations or municipalities that participate in IGR activities, the culture shared at an IGR level is dominantly informed by sub-cultures that emanate from different organisations and leaders.

According to Kotter and Heskett (1992), an organisation should be aware of the existing cultures and what is necessary to adjust to the required culture and consider some elements such as norms and standards, beliefs, values customer care and commitment. These elements non-

verbalised behaviour or unwritten and they describe how organisations behave as this informs its unique character (Brown, 1998).

Guiso, Sapienza and Zingales (2015) refers to social and legal norms that should be enforced and shared by most people in an organisation or the community. These norms require those in leadership to lead by example and must be shared by employees. Social and legal norms differ in that, the former has less enforcement and lesser consequences than legal norms. Legal norms violation can lead to incarceration and / any harsh punishment. Despite this limited punishment, social norms can help improve morals and ethics inside organisations.

#### *3.2.1.1 Functions of organisational culture*

The main function of organisational culture is to demonstrate the way things are done and how that give meaning to the organisation (Arnold, 2005). Making meaning is the goals of organisational culture, as members within an organisation should learn and benefit from previous employees. As a result, employees learn from mistake and trials that others could accumulate (England, 1993).

Organisational culture affects organisational behaviour is as far as work methods, interactions and personal conduct are identified and viewed within an organisation (Harrison,1993). However, Brown (1998) states that organisational culture functions include those values and beliefs which encourages employees to perform and achieve the organisational goals.

In addition to the above functions, Robbins, Odendaal and Roodt (2003) mentioned that organisational culture differs from one organisation to another as it gives a sense of identity to members of an organisation and ensures commitment by individuals. Whilst the same author regards organisational culture as the glue that binds the organisation by providing preferred norms and standards for members to follow and shapes the behaviours and attitudes of employees.

The indicated functions suggest that an organisation cannot operate without a good organisational culture, because it assists the organisation to achieve its goals. In general terms, organisational culture gives organisational members direction in achieving organisational goals (Hampden-Turner, 1990).

#### *3.2.1.2 Organisational culture and leadership*

According to Hofstede (1991), the culture of an organisation eminently influences its myriad decisions and actions. A company's prevailing ideas, values, attitudes and beliefs guide the way in which its employees think, feel and unconsciously behave. Therefore, understanding culture is fundamental to the description and analysis of organisational phenomena. For some authors such as Davis (1984) and Denison (1990), culture is considered the "glue" that holds an organisation together and for others, the "compass" that provides direction. These are but two of many such metaphors (e.g. magnet, lighthouse, exchange-regulator, affect-regulator, need satisfier, sacred cow), illustrating that organisational culture is indeed very important, but the definition is often contested.

Dimmock and Walker (2002) examines culture and leadership closely and observes that they are two sides of the same coin; neither can really be understood by itself. On the one hand, cultural norms define how a given nation or organisation will define leadership, who will get promoted, or who will get the attention of followers. On the other hand, it can be argued that the only thing of real importance that leaders do is to create and manage culture; that the unique talent of leaders is their ability to understand and work with culture; and that it is an ultimate act of leadership to destroy culture when it is viewed as dysfunctional.

Roman-Velazquez (1999) argues that if one wishes to distinguish leadership from management or administration, one can argue that leadership creates and changes cultures, while management and

administration act within a culture. It is in this sense that leadership and culture are conceptually intertwined. When the concept of culture is applied to groups, organisations and occupations, according to Bush, Qiang and Fang (1998), one is almost certain to have conceptual and semantic confusion because such social units are themselves difficult to define unambiguously. Furthermore, the concept of culture has been the subject of considerable academic debate in the last twenty-five years and there are various approaches to defining and studying culture (for example, those of Hofstede (1991); Trice and Beyer (1993); Schultz (1995); Deal and Kennedy (1999). This debate is positive in that it testifies to the importance of culture as a concept, but at the same time it creates difficulties for both the scholar and the practitioner if definitions are indistinct and usage inconsistent. As Dimmock and Walker (2002), observes, commonly used words relating to culture emphasize one of its critical aspects, the idea that certain things in groups are shared or held in common.

According to Morgan (1997), these concepts relate to culture or reflect culture in that they deal with things that group members share or hold in common, but none of them can usefully be thought of as “the culture” of an organisation or group. If one asks why the word culture is required when other concepts exist such as norms, values, behaviour patterns, rituals and traditions, one recognizes that the word culture adds several other critical elements to the concept of sharing structural stability, depth, breadth and patterning or integration.

#### *3.2.1.3 Central features of organisational culture*

Organisational culture has the following major features.

1) It focuses on the values and beliefs of members of organisations. These values underpin the behaviour and attitudes of individuals within schools and colleges but they may not always be explicit. These individual beliefs coalesce into shared values, shared beliefs, shared meaning, shared

understanding, and shared sense-making as different ways of describing culture. These patterns of understanding organisational culture also provide a basis for making one's own behaviour sensible and meaningful (Morgan, 1997).

This does not necessarily mean that individual values are always in harmony with one another. As Morgan (1997, p.137) suggests, "there may be different and competing value systems that create a mosaic of organisational realities rather than a uniform corporate culture". Dissonance is more likely in large, multipurpose organisations such as colleges and universities but Nias, Southworth and Yeomans (1989) notes that they may also exist in primary education. Fullan and Hargreaves (1992) argues that some organisations develop a 'balkanized' culture made up of separate and sometimes competing groups.

Personnel working in sub-units such as departments may develop their own distinctive 'subculture' and middle managers, or middle level leaders may wish to cultivate this as a way of developing and enhancing team effectiveness. However, as Fullan and Hargreaves (1992) suggests, such subcultures may not be consistent with the whole organisational culture.

2) Organisational culture emphasises the advancement of shared values, norms and meanings. Nias et al. (1989) indicates how norms are cultivated in a group setup as group members worked, talked and relaxed together, they start to discuss and negotiate shared meanings lead in easy prediction of each other's' behaviour. Consequently, each group member develops his own taken-for-granted norm as shred values and behaviours. Because shared meanings and ways of behaving entrenched over time. Wallace and Hall (1994) categorised management teams as the reflection of group culture with clear internal norms and often weak connections to other individuals or group.

3) Culture is normally articulated through ceremonies and rituals that are used to celebrate and support certain norms and beliefs. Schools, specifically, are rich in symbolising their norms and standards during prize-giving and other events, Hoyle (1986). This author further argues symbols are part and parcel of the culture in schools as they can construe better meaning or interpretation.

4) Organisational culture adopts the subsistence of heroes and heroines who are regarded as symbolising the values and beliefs of an organisation by exemplifying the behaviours and attitudes related to the culture of the institution. Campbell-Evans (1993) emphasises that heroes or heroines' achievements complement the culture, in that in choosing and recognising them, care is taken of cultural boundaries observed through their values.

#### *3.2.1.4 Elements of organisational culture*

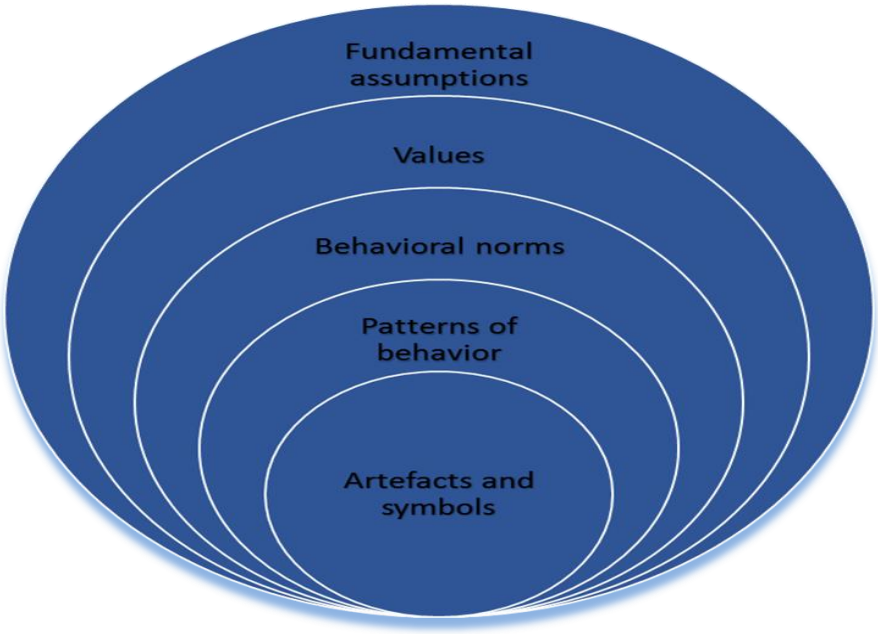
Figure 3.1 below depicts values, assumptions and beliefs that represent behaviour expected in an organisation. They have an effect in organisational effectiveness, they are not directly monitored. Assumptions represent organisational culture's deepest part and they are normally taken for granted. Wallace and Hall (1994) consider the concept of "absence cultures" within an organisation, where employee assume that they have a right to sick leave even if they are not sick.

An organisation's cultural values and beliefs are somewhat not difficult to decipher as in most situations people are aware of them. Beliefs is about individual's observation of reality. Values are the beliefs, that are regarded as stable and long-lasting concerning what is important, right or wrong, or good or bad in a certain setting (Hoyle, 1986).

Most definitions of culture recognise the significance of cognitive components such as beliefs, assumptions and values. Morgan (1997) extends the concept to include artefacts and behaviours that provide

guidance on the distinction between the visible and the invisible patterns of organisational culture. In contrast to the distinction between the visible and invisible patterns, some theorists differentiated between multiple levels. Schein (1985), as an expert in culture issues, identifies the following levels, as shown in Figure 3.1 below.

**Figure 3.1: Levels of organisational culture**




Source: Schein (1985)

In Schein's view, fundamental assumptions constitute the core and most important aspect of organisational culture. Accordingly, this author offers the formal definition of organisational culture as being "A pattern of shared basic assumptions that the group learned as it solved its problems of external adaptation and internal integration, that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think and feel in relation to those problems" (Schein,1999, p.12).

While the deeper levels may have been somewhat invisible in the past, this may no longer be the case. As a result, Wilkins (1989) indicates that

greater attention is being directed to managing culture, whilst organisations are recognising the importance of articulating and emphasising their fundamental assumptions. This is similar to what was articulated by Weick (1995), that in relation to knowledge management, greater attention becomes directed at making the tacit knowledge within an organisation more explicit and accessible.

#### *3.2.1.5 Organisational subcultures*

According to Steele (1981), when discussing organisational culture there is reference to the dominant culture; that is, the themes shared most widely by the organisation's members. However, Schein (1999) states that organisations are also comprised of subcultures located throughout its various divisions, geographic regions and occupational groups. Some subcultures enhance the dominant culture by espousing parallel assumptions, values and beliefs; others are called countercultures because they directly oppose the organisation's core values.

Schein (1999) regards subcultures and particularly countercultures as having the potential to create conflict and dissension among employees, but they also serve an important function, which is maintaining the organisation's standards of performance and ethical behaviour. Employees who hold countercultural values are an important source of surveillance and evaluation of the dominant order. They encourage constructive controversy and more creative thinking about how the organisation should interact with its environment. Weick (1995) further comments that subcultures prevent employees from blindly following one set of values and thereby help the organisation to abide by society's ethical values.

The second function of subcultures as indicated by Steele (1981) is that they are the spawning ground for emerging values that keep the firm aligned with the needs of customers, suppliers, society and other

stakeholders. Wilkins (1989) further observes that organisations eventually need to replace their dominant values with the ones that are more appropriate for the changing environment. If subcultures are suppressed, the organisation may take longer to discover and adopt values aligned with the emerging environment.

#### *3.2.1.6 Why does culture matter?*

As Schein (1990) and other management theorists have observed, organisational culture may be an abstraction, but it has powerful effects on the way organisations think and behave. Indeed, having “the right kind of culture” is a culture that is appropriate to the kind of enterprise in which an organisation is engaged and is widely acknowledged to be among the most important determinants of how effective or successful the organisation will be. According to Jones (1983), culture is important because it shapes what the organisation considers to be “right decisions”, what employees consider to be appropriate behaviours and how they interact with each other within the organisation, how individuals, work groups and the organisation as a whole deal with work assigned to them, the speed and efficiency with which things get done, the organisation’s capacity for and receptiveness to change and the attitudes of outside stakeholders to the organisation. In short, an organisation’s culture can be supportive of, or hinder, the implementation of new initiatives and the achievement of its overall goals (Steele, 1981).

#### *3.2.1.7 Why might cultural change be necessary?*

When an organisation is faced by a changing regulatory environment or has identified the need for a shift in strategic direction, the implementation of a new technology, or the introduction of new processes, the established culture may impede progress unless it, too, is changed. For that reason, the success of major organisational change initiatives is almost always dependent on cultural change (Bailyn, 1993).

What are some of the main reasons that a regulatory organisation such as the Ugu, Harry Gwala and Uthungulu district municipalities might consider embarking on a cultural change initiative? According to Ancona (1986), the reasons for organisational change include the following:

**Stakeholder expectations for change** – for instance, the organisation encounters greater scepticism about its conclusions, requiring a culture that places even greater emphasis on the quality of its processes while permitting more transparency about how it performs its functions.

**The demographics of the organisation change** – for instance, the proportion of new people or changes in leadership takes place, or a larger percentage of new employees arrive with limited background, requiring new approaches to knowledge transfer.

**The organisation's objectives change** – requiring new skills, processes and attitudes to meet the objectives.

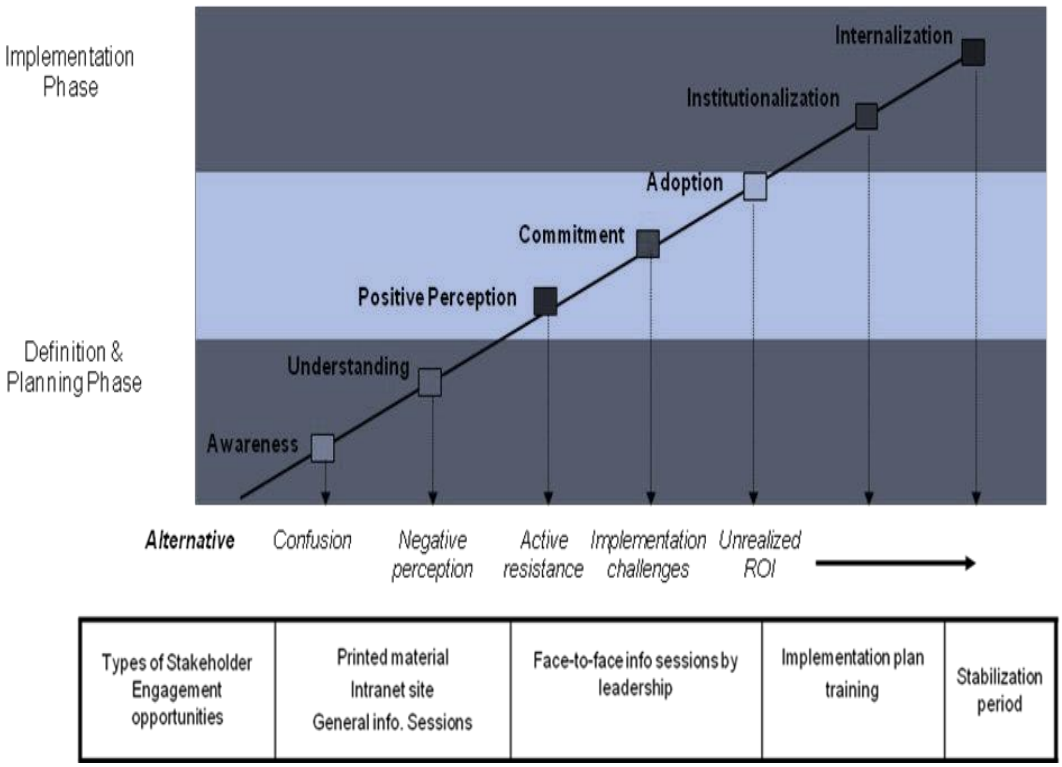
**Ingrained attitudes are producing negative outcomes** – "What our organisation does is our business – let other organisations get on with their own business"; "It is better to hoard information than share it"; "Performance isn't rewarded"; "I have an advanced degree; therefore, I already know everything I need to know". Attitudes such as these are indicative of a culture in need of change.

In situations such as those identified above, Douglas (1986) identifies a formal change management process that may help to increase the probability of success, maximize employee and key stakeholder involvement and buy-in at appropriate times, and increase the change competencies in the organisation.

### *3.2.1.8 What is involved in changing organisational culture?*

An organisation's culture comes into being over a period of time. According to Bailyn (1993), a newly formed group has no culture, and only a mature organisation has had time for a set of widely shared understandings and behaviours to take root. It follows that an established culture cannot be changed "overnight". It has also been said that organisational culture cannot be changed directly. What can be changed are processes and behaviours. As employees are informed, trained and equipped to do things in new ways, the culture in which they are embedded changes as a matter of course.

**Figure 3.2: The proposed change implementation process**




Source: Douglas (1986)

As illustrated in Figure 3.2, successful organisational change initiatives are usually implemented over a 3 to 5-year time span in an intensive incremental process that begins simply with awareness of the need for change and eventually leads to internalization of new patterns of thinking

and doing. The most important aspect of a change implementation process as indicated in the diagram involves stakeholder engagement, information sessions, face-to-face sessions by leadership, implementation plan training and stabilization periods.

Table 3.2 below reflects key arguments on the culture perspective of an organisation. These are summarised in relation to the importance of culture within the organisation. The importance of the argument within the IGR context is provided for in the last chapter of this report and refers to norms, standards and values that IGR role-players bring into the context of intergovernmental relations and how they affect the achievement of IGR objective, which is to ensure co-operation by all role players in government.

## Table 3.2: Reflection on culture

| **Conceptual framework (Culture)** | **Major sources** | **Major arguments** |
|---|---|---|
| | Martins and Martins (2003) | A system of shared meaning held by members, distinguishing one organisation from another. |
| | Deal and Kennedy (1999) | Shared understanding of organisational missions including goals, strategies and values that guides decision making |
| | Kotter and James (1992); Fillan and Hargreaves (1992); Wallace and Hall (1994); Schein (1999) | **Multiple cultures** associated with different functional groups, existence of sub-cultures. Cultural analysis is important to understand interactions of different teams. **Sub-culture** may not be consistent with organisational culture. **Absence culture** denotes shared understanding of being away from scheduled task. **Counter culture** oppose organisational core values and dominant culture. Sub-cultures may be **supportive** or hinder organisational functionality. |
| | Walker and Dimmock (2002); Roman-Velazquez (2005) | Importance of leadership in creating and managing culture. Leadership creates and changes culture, whilst management and administration act within. |

Source: Own (2016)

### 3.2.2 Organisational environment

Over the past fifty years, researchers have used different approaches to define the concept of organisational environment. Some of the pioneering researchers in this field include Dill (1958), Emery and Trist (1960), Thomson (1967) and Duncan (1972). Dill (1958) introduces the notion of task environment and focuses on the external environmental factors. According to him these factors have an impact on organisational goal settings. He states that the task is cognitive formulation, consisting of goals and usually also of constraints on behaviours appropriate for reaching the goals.

Trist (1965) refers to organisational environment as consisting of physical and social factors that have the potential to influence the organisation in various ways. Researchers have attempted to define the environment by elaborating, classifying and analysing its structure and role in organisational performance, whereas, according to Thomson (1967), contemporary organisational environment with its numerous affecting factors is changing so dramatically that prediction about its behaviour is difficult. In the developing countries especially, the complexities of organisational environment are greater in their number and strength due to greater uncertainties. Therefore, an understanding of organisational environment and its various complexities is essential to manage the organisation's activities effectively.

The research done by Trist (1965), followed by the work of Thomson (1967) about organisational domain, identifies the area of potential dependency for the organisation. According to the author, potential dependencies include range of products, population served and services rendered. Based on the work of previous researchers, Duncan (1972) also attempts to define the concept of organisational environment. The author states that environment is thought of as the totality of physical and social

factors that are taken directly into consideration in the decision-making behaviour of individuals in the organisation.

Organisational environment is a constantly dynamic in nature and creates problems for management (Milliken, 1987). Different researchers like Harrington and Kendall (2007) suggest that environmental dynamism comprises of changes that could not be predicted and which takes place in the organisational environments, as a result organisational dynamism and uncertainty remain the major concern for organisational theorists for over some decades (Gerloff, Muir & Bodensteiner, 1991).

The major problem for managers is inability to understand the behaviour and of change patterns in organisational environment that creates difficulties in various organisational processes like strategic planning and project evaluation (Lawrence & Lorsch, 1967). In this regard, most of the researchers suggest a detailed environmental analysis before preparing an organisational plan (Barton, 2000; Miller, 1978).

Rice (1963) explains the notion of organisational environment by classifying its structure into two broad categories; internal environment and external environment. The author defines internal environment as being informed of the relationship and interactions amongst the members of the organisation and regards other organisations and individuals as the external environment of the organisation.

Duncan (1972) further expands the work of Rice (1963) by defining internal and external environments in detail. He holds the view that internal environment comprises of all the forces operating within the organisation, while external environment comprises all the forces operating outside the organisation. Duncan (1972) identifies three elements of internal environment and five elements of external environment. The internal environment consists of personnel, functional and staff unit, and

organisational-level components. The five components of external environment are customers, technology, competitors, socio-political forces and suppliers.

All organisations operate within an external environment as a single organisation does not exist alone. It is part of a larger system that contains thousands of other elements which all mutually influence each other in a complex system that becomes the standard of living for the people. Individual organisations, such as government departments or any public entities, cannot avoid being influenced by their external environment. It influences the attitudes of people, the working conditions and provides competition for resources and power (Daft, 2007).

According to Rosenzweig and Singh (1991) this interaction allows the organisation to acquire raw materials, hire employees, secure capital, obtain knowledge and build, lease or buy facilities and equipment. Since the organisation transforms a product or service for consumption by the environment, it will also interact with its customers. This further refers to the nature of external influences and activities in the political, technical, social and economic arenas and includes community, partners and customers which form part of the study depending on their applicability and relevancy. In examining challenges affecting the functionality of IGR it is therefore necessary to analyse environments that shape these municipalities. The analysis will provide an understanding of those key variables within the environment and the extent or impact on the functionality of IGR.

#### *3.2.2.1 The environmental domain*

In a broad sense, the environment is infinite and includes everything outside the organisation. However, the analysis presented here considers only the aspects of the general environment to which the organisation and municipalities are sensitive and must respond to in order to survive. Thus,

organisational environment is defined as all elements that exist outside the boundary of the organisation and have the potential to affect all or part of the organisation. The environment of an organisation can be understood by analysing its domain within external sectors. An organisation's domain is the chosen environmental field of action (Harrington & Kendall, 2007).

### *3.2.2.2 General Environment*

The general environment consists of economic, technological, sociocultural and political or legal events and trends that affect all organisations (Chandler, 1962). Because the economy influences basic business decisions, managers often use economic statistics and business confidence indices to predict future economic activity. The best way to manage legal responsibilities is to educate managers and employees about laws and regulations and potential lawsuits that could affect a business. Court decisions and revised federal and provincial laws have placed much larger political or legal responsibilities on companies. Figure 3.3 below depicts the components of the general environment.

**Figure 3.3: Components of general environment**




Source: Carroll (1983)

Figure 3.3 above indicates components of the general environment in which organisations operate, which includes socio-cultural, technological, political/legal as well as economic environments. According to Carrol (1983), changes in technology, which is used to transform inputs into outputs, can be a benefit or a threat to a business. Sociocultural trends, such as changing demographic characteristics, affect how companies run their businesses. Similarly, sociocultural changes in behaviour, attitudes and beliefs affect the demand for a business's products and services. All components are discussed individually in the sections below.

**a) Economy**

According to Carroll (1983), the current state of a country's economy affects most organisations operating in it. A growing economy means that, in general, more people are working and therefore have relatively more money to spend. More products are being bought and sold than in a stagnant or shrinking economy. However, Burt (1983) indicates that while a growing economy does not mean that sales of an individual firm are necessarily growing, it does provide an environment favourable to business growth.

**b) Technological Component**

Technology is the knowledge, tools and techniques used to transform inputs (raw materials, information, etc.) into outputs (products and services). According to Burt (1983), changes in technology can assist organisational by providing better products or services. For example, improvements in surgical techniques and imaging equipment have made open-heart surgery much faster and safer in recent years. While changes in technology can benefit a business, they can also threaten it.

**c) Sociocultural component**

Carroll (1983) refers to the sociocultural component as the demographic characteristics and general behaviour, attitudes and beliefs of people in

a society. Sociocultural changes and trends influence organisations in two important ways. According to Chandler (1962), changing demographic characteristics, such as the number of people with skills, or the growth or decline population segments (single or married; old or young; men or women; or visible minorities and the disabled) affect how companies run their businesses.

**d) Political and legal component**

Carroll (1983) refers to the political or legal component of the general environment as including the legislation, regulations and court decisions that govern and regulate business behaviour. Throughout the last decade, new legislation and regulations have placed additional responsibilities on companies which managers should follow.

### *3.2.2.3 Environmental uncertainty*

How does the environment influence an organisation? According to Higgs (2002), the patterns and events appearing across environmental sectors can be defined along several dimensions, such as whether the environment is stable or unstable, homogeneous or heterogeneous, concentrated or dispersed, simple or complex; the extent of turbulence; and the quantum of resources available to support the organisation. These dimensions can be reduced to two essential ways the environment influences organisations: (1) the need for information about the environment; and (2) the need for resources from the environment. Sims (2002) indicates that the environmental conditions of complexity and change create a greater need to gather information and to respond based on that information. The organisation also is concerned with scarce material and financial resources and with the need to ensure availability of resources.

Young Lee (2006) further indicates that organisations must cope with and manage uncertainty to be effective. According to this author, uncertainty

means that decision-makers do not have sufficient information about environmental factors and they have a difficult time predicting external changes. Uncertainty increases the risk of failure for organisational responses and makes it difficult to compute probabilities associated with decision alternatives. Characteristics of the environmental domain that influence uncertainty are the extent to which the external domain is simple or complex and the extent to which events are stable or unstable (Bowers, 1973).

**a) Simple-complex dimension:**

Buroway (1985) refers to simple-complex dimension as concerning environmental complexity, which refers to heterogeneity, or the number and dissimilarity of external elements relevant to an organisation's operations. In a complex environment, many diverse external elements interact with and influence the organisation. In a simple environment, as few as three or four similar external elements influence the organisation. Based on the above allusion, it is the author's view that government institutions such as municipalities have a complex environment, as do public entities. Bowers (1973) highlights that a large number of external elements make up the organisation's domain, creating a complex environment. According to the same author, a family-owned hardware store in a suburban community is in a simple environment. The only external elements of any real importance are a few competitors, suppliers and customers. Government regulation is minimal and cultural change has little impact. Human resources are not a problem because the store is run by family members or part-time help (Bowers, 1973).

**b) Stable–unstable dimension:**

The stable-unstable dimension refers to whether elements in the environment are dynamic. An environmental domain is stable if it remains the same over a period of months or years. Under unstable conditions, environmental elements shift abruptly (Burawoy, 1998).

**c) Framework for assessing environmental uncertainty:**

The simple-complex and stable-unstable dimensions are combined into a framework for assessing environmental uncertainty as was suggested by Bower (1973).

**Table 3.3: Framework for assessing environmental uncertainty**

| | | |
|---|---|---|
| **Environment** | Simple + stable = low uncertainty | Complex + stable = low moderate uncertainty |
| **Stable** | Small number of external elements are similar;<br><br>Elements remain the same or change slowly<br><br>Examples: soft drink bottlers and beer manufacturers | Large number of external elements are dissimilar<br><br>Elements remain the same or change slowly<br><br>Examples: universities, chemical companies, appliance manufacturers |
| **Environment** | Simple + unstable = high and moderate uncertainty | Complex = unstable = high uncertainty |
| **Unstable** | Small number of external elements and elements are similar<br>Elements change frequently and unpredictable<br>Examples: E-commerce, fashion and clothing | Large number of external elements and elements are dissimilar<br>Elements change frequently and unpredictable<br>Examples: Computer firms, government departments and airlines |
| | **Simple** | **Complex** |

Source: Bowers (1973)

Table 3.3 suggests few external elements to contend with and they tend to remain stable. The complex, stable environment represents somewhat

greater uncertainty. Many elements must be scanned, analysed and acted upon for the organisation to perform well. Bowers (1973) further indicates that external elements do not change rapidly or unexpectedly in this environment. Even greater uncertainty is felt in the simple, unstable environment. Rapid change creates uncertainty for managers. Even though the organisation has few external elements, those elements are hard to predict and they react unexpectedly to organisational initiatives. The greatest uncertainty for an organisation occurs in the complex, unstable environment. According to Howard (1998) many elements impinge upon the organisation, and they shift frequently or react strongly to organisational initiatives. When several sectors change simultaneously, the environment becomes turbulent.

#### *3.2.2.4 Adapting to environmental uncertainty*

Given that environments differ with respect to change and complexity, the next question is, how do organisations adapt to each level of environmental uncertainty? Howard (1998) refers to environmental uncertainty as representing an important contingency for organisation structure and internal behaviours. The author further indicates that an organisation in a certain environment will be managed and controlled differently from an organisation in an uncertain environment with respect to positions and departments, organisational differentiation and integration, control processes, and future planning and forecasting. However, Padaki (2000) suggests that organisations need to have the right fit between internal structure and the external environment.

#### *3.2.2.5 Differentiation and integration*

Another response to environmental uncertainty is the extent of differentiation and integration among departments. According to Quinn and Rohrbaugh (1983), organisation differentiation is “the differences in cognitive and emotional orientations among managers in different functional departments, and the difference in formal structure among these

departments. When the external environment is complex and rapidly changing, organisational departments become highly specialized to handle the uncertainty in their external sector. Saffold (1988) identifies one outcome of high differentiation as being that co-ordination among departments becomes difficult. More time and resources must be devoted to achieving co-ordination when attitudes, goals, and work orientation differ widely. Integration is the quality of collaboration among departments. Formal integrators are often required to coordinate departments. This author further indicates that when the environment is highly uncertain frequent changes require more information processing to achieve horizontal co-ordination, so integrators become a necessary addition to the organisation structure.

#### *3.2.2.6 Organic versus mechanistic management processes*

Burns and Stalker (1961) calls this as a mechanistic organisation system. In rapidly changing environments, the internal organisation is looser, free-flowing and adaptive. Rules and regulations often are not written down or, if written down, are ignored. People must find their own way through the system to decide what to do. The hierarchy of authority is not clear and decision-making authority is decentralized. Burns and Stalker (1961) uses the term organic to characterize this type of management structure.

**Table 3.4: Mechanic and organic forms of an organisation**

| Mechanic | Organic |
|---|---|
| Tasks are broken down into specialised separate parts | Employees contribute to the common tasks of the department |
| Tasks are rigidly defined | Tasks are adjusted and redefined through employee teamwork |
| There is strict hierarchy of authority and control and there are many rules | There is less hierarchy of authority and control and there are few rules |
| Knowledge and control of tasks are centralised at the top of organisation | Knowledge and control of tasks are located anywhere in the organisation |
| Communication is vertical | Communication is horizontal |

Source: Zaltman, Duncan & Holbek (1973)

Table 3.4 summarises the differences in organic and mechanistic systems. As environmental uncertainty increases, organisations tend to become more organic, which means decentralizing authority and responsibility to lower levels, thereby providing some encouragement to employees.

### *3.2.2.7 Planning and forecasting*

According to Howard (1998), the final organisational response to uncertainty is to increase planning and environmental forecasting. When the environment is stable, the organisation can concentrate on current operational problems and day-to-day efficiency. Saffold (1988) observes that long-range planning and forecasting are not needed because environmental demands in the future are the same as they are today. With increasing environmental uncertainty, planning and forecasting become necessary. Planning can reduce the adverse impact of external shifting. Organisations that have unstable environments often establish a separate planning department. In an unpredictable environment, planners scan environmental elements and analyse potential moves and countermoves by other organisations. Planning can be extensive and may forecast

various scenarios for environmental contingencies. As time passes, plans are updated through re-planning. However, planning does not substitute for other actions, such as boundary spanning. Indeed, under conditions of extraordinarily high uncertainty, formal planning may not be helpful because the future is so difficult to predict.

**Table 3.5: Reflection on the environment**

| Conceptual frame work (Environment) | Major sources | Major arguments |
|---|---|---|
| | Howard (1998) | Every uncertainty represents an important contingency for organisational structure and internal behaviours. |
| | Quinn & Rohrbaugh (1983) | Uncertain environment increase planning and forecasting. Planning can soften the adverse impact of external shifting and some organisations establish planning departments. Co-ordination becomes difficult and more time and resources get devoted to achieving co-ordination. |
| | Dill (1958) | Task environment impact on external environment and on organisational goals setting. |
| | Lawrence & Lorsch (1967) | Lack of understanding of organisational environment creates difficulties in various organisational processes like strategic planning and project evaluation. |

Source: Various

Table 3.5 reflects the environment as the organisational contextual issue that affects the IGR function. Major contributions reflect on the notion of the general environment and it is characterised by environmental uncertainty and the task environment as it reflects on the understanding of the task by the role-players in which the organisation is mandated to perform. From an IGR perspective, this reflection is necessary in ensuring that environmental effects within the context of IGR are minimised to ensure the functionality of IGR. These contributions also refer to

environmental uncertainty and suggest that environmental scanning and proper planning should be conducted to minimise the effect on the functionality of IGR.

### 3.2.3 Organisational goals

According to Mintzberg (1994), organisational goals define the aim and purpose of an organisation, including the competitive techniques that differentiate it from other organisations and are often written down as a lasting and long-term statements of organisational intent. Robbins and Decenzo (2001) indicates that a strategy is the plan of action that describes resources allocation and key activities for dealing with the environment and for achieving the organisational goals. This further includes purpose, mandate, scope and relationship.

In this regard, Gross (1968) argues that central to the issue of organisational studies is the notion of organisational goals. The author refers to goal achievement as an integral part of all systems, because for all systems to survive must achieve whatever goals they set out for themselves. However, an organisation as the system is singled out as being that in which the problem of goal achievement has dominance over all other problems.

Daft (2007) refers to a goal as a declaration of a desired end results that an organisation wishes to attain. It describes what the organisation is trying to accomplish. Goals may be strategic (refer to where the organisation wants to be in future) or tactical (defining short-term results of an organisation). Goals serve as an internal source of commitment and motivation and guide actioning and measuring of measuring performance (Barton, 2000). According to Gross (1968), defining organisational goals assist in conceptualising and articulating the future focus of the organisation, thus allowing those in leadership for setting that direction

and ensure that a common understanding is in place of where the organisation is heading.

#### *3.2.3.1 Setting goals*

Levy (2006) refers to goals forming a central part of planning within an organisation. Organisations and managers are sometimes having multiple goals that conflict with the organisational goals. According to Moorhead and Griffin (1998) the management of goals is important for the organisation to move in same direction. In order to develop congruent goals, they should be differentiated in terms of four variable factors, namely the organisational level, the focus, the degree of openness and the time-frame.

In contrast Wagner and Hollenberg (2010) indicates that if the organisation must attain its goals, these need to be specific, flexible, measurable, attainable, congruent and acceptable. The procedure for setting goals may range from centralised to decentralised goal setting. Davis (1984) indicates that centralised goal setting takes place when the goals of an organisation are formulated by top management, and these goals encompass the entire organisation. This author further alludes to the fact that decentralised goal setting takes place when managers at each level of an organisation have the dominant influence on their departmental goals. Two basic approaches can be identified in this case, namely the top to bottom approach and the bottom up approach.

How goals are set is as important as the goal itself. Thus, it is important that goals meet specific criteria that can be used to easily assess them. One way of doing this is to use the “SMART” approach as a way of evaluating the goal; this is Specific, Measurable, Agreed, Realistic and Timebound.

According to Simms, Price and Ervin (1994), a goal is specific when it provides a description of what is to be accomplished. A specific goal is a focused goal. It will state exactly what the organisation intends to accomplish. While the description needs to be specific and focused, it also needs to be easily understood by those involved in its achievement. It should be written so that it can be easily and clearly communicated. A specific goal will make it easier for those writing objectives and action plans to indicate who is to be involved, what is to be accomplished, where it is to be done and when.

While, according to Miner (2006), in order for a goal to be measurable, it has to be quantifiable and base-line information should be established first. It will also have milestones and benchmarks towards which progress can be monitored and measured along the way. Jex and Britt (2008) further indicates that a measurable goal will answer questions such as How many? How much? and How will it be accomplished? There should be a realistic chance that a goal can be accomplished. This does not suggest that goals should be easy as in general goals should be challenging.

The organisation's leadership, and where applicable its stakeholders, should agree that the goal is important and that appropriate resources will be allocated for its accomplishment. An attainable goal should also allow for flexibility. A goal that can no longer achievable should be reviewed or removed (House, 1974).

As stated by Levy (2006), goals should be applicable and consistent with the mission and vision of the organisation. Each goal approved by the organisation should be one that moves the organisation towards the attainment of its vision. Relevant goals will not conflict with other organisational goals. As noted earlier, goals are set by or in concert with the person responsible for implementation.

In understanding IGR functionality, it is important to understand the plans of action that might exist for the implementation of IGR, to what extent to they get implemented and how they assist on the functionality of IGR.

### *3.2.3.2 Why set goals?*

Much research has been done in the behavioural sciences about the effects of goal setting. As always in any scientific community, there are points of debate. However, Locke (1977), identifies some clear principles that have been established about individual objective setting which are of great use to managers. Most of what has been learned about objective setting can also apply to setting organisational goals.

According to Rau and Jaskiewicz (2007), setting of goals greatly improve effectiveness within an organisational. The absence of goals results in poor performance within the organisation. The second principle as identified by Locke (1977) refers to the formulation of challenging and specific goals, which result in better performance and operational efficiency than establishing easy and vague goals. This author further indicates that there is an approximately 85% chance that challenging and specific goals will improve organisational effectiveness and efficiency than less challenging goals. This principle suggest that managers have a responsibility to ensure that organisations are moving in the right direction.

### *3.2.3.3 Defining goal setting terms*

The terms to be defined are mission, objective, strategy, goal and action plan as explained by Daft (2007) as goal setting terms.

**a) Mission**

Locke and Bryan (1969) defines an organisation's mission as the reason behind the organisation establishment, what it is meant to do or to produce. In the business sector, it is the products or services that it produces and provides. In the public sector and non-profit entities where there is a lesser emphasis on products, it is what the organisation is trying to accomplish. Fielder (1986) emphasises understanding the organisation's mission, which seems like a given, but important for goal setting because each goal that an organisation formulate should provide

some tangible way that moves the larger organisations towards achieving their stated mission. These authors further indicate that many organisations have an official written mission statement and should be reviewed annually.

The other aspect of an organisation's mission according to Churchill (1966) is defined as a summary of its values and particularly how those values shape how the mission will be carried out. Organisations that experience long-term success know who they are, they hold themselves to a value system that helps define that identity and they live up to their values. Locke (1977) further alludes to the fact that an organisation's mission enhances its reputation in the business community and it builds long-term business relationships with customers and suppliers.

**b) Objectives**

Objectives are defined by Rau and Jaskiewicz (2007) as statements of broad intent that often arise out of the mission statement. This author further indicates that a company's mission statement might, for example, include the following statement: "We will lead our industry through exemplary customer service." An objective of the company, then, would be always to emphasize exemplary customer service in all its dealings with customers. There would not be a time when the company would consider that area completely fulfilled and replace it with another idea. In contrast, Locke and Bryan (1969) refers to goals as having a beginning and an end. This further requires that objectives (most often three or four) are drawn from the mission statement and become the bridge between the often-intangible mission and the very tangible goals an organisation must have to get its work done in the most productive manner. Drucker (1986) also comments that it may be that the organisation does not have a formal mission statement from which one can extract its primary objectives. However, perhaps those objectives can be found in a recent annual report or in strategic planning paperwork that is available.

**c) Strategy**

Once overall objectives have been determined, the strategy is then developed, which according to Locke (1977) is regarded as a general course for meeting objectives, considering the current situation and available resources. In goal setting, developing an overall strategy may be done before the actual goals are even set. Thus, the oorganisation's strategy links the objectives, which are long-term and somewhat constant, to the goals, which are short-term and, by comparison, somewhat variable. Churchill (1966) refers to the organisation's current strategy as being the platform for defining both its departmental goals and the action plans to reach those goals. How is a strategy plan developed? It considers several factors such as current conditions in the marketplace (or in the case of the public sector, the current political climate, locally or nationally depending on the type of agency it is); the organisation's strengths (what it does well, such as quick responsiveness to a customer's changing needs) and weaknesses (what it hasn't done well in the past, such as responding appropriately to a price war from a competitor); and available resources. Interested investors willing to infuse investment capital, partnering opportunities with other businesses, new equipment, and a well-trained and committed, staff; that should include any resource that can be accessed to meet the current conditions in the marketplace.

**d) Goals**

Goals are defined by Munk (1998) as a specific desired accomplishment over a specific period. An organisational decision to be the best may be admirable, but it is not a goal. To make any desirable idea into a goal, this researcher recommends that an organisation must subject it to five criteria: Specific, Measurable, Attainable, Relevant, and Timebound (SMART).

However, Levy (2006) highlights that for an organisation to be effective, goals and objectives must be written. If they are not in writing they are

merely ideas with no real power or conviction behind them. Written goals and objectives provide motivation to achieve them and can then be used as a reminder to all those involved. When clearly and specifically written, they also eliminate confusion and misunderstanding. According to Locke (1977), among all the attributes of a well-written objective the most important are measurable results and a timeframe for completion. Being able to quantify results and evaluate the timeliness of accomplishing goals allows owners or managers to assess the performance and progress of the overall business as well as individuals and teams within the business.

This author further indicates that having well developed goals and objectives also helps maintain focus and perspective, establish priorities, leads to greater job satisfaction, and improves employee performance. Researchers studying the effects of goals as part of a company's overall performance management process found that the level of performance is highest when goals are clearly stated and contain specific objectives, goals are challenging but not unreasonable, employees accept their goals with a true sense of ownership and employees participate in setting and reviewing their goals (Fiedler & Garcia, 1987).

As time goes on and goals are achieved, or conditions and situations change, it is important to re-evaluate and establish new goals and objectives. Failure to periodically set new or more challenging goals can lead to stagnation in the business and boredom among employees (Rau & Jaskiewicz, 2007). Finally, as goals are achieved or milestones along the way are reached, providing positive feedback and rewards for the organisation and employees is critical to maintaining enthusiasm and continued progress (Churchill, 1966).

**e) Action Plans**

Rampersad (2006) refers to action plans as a prioritised checklist of items that must be done for a goal to be realised. It becomes the working document to which an organisation most often refers after setting a goal by using the SMART criteria. According to Barton (2000), when a department is determining a course of action in reaching an agreed target, it is developing its action plan. Often checkpoints and sub-goals are built into an action plan to ensure that the department stays on track with the larger goal area.

**Table 3.6: Reflection on goals**

| Conceptual framework (goals) | Major sources | Major arguments |
|---|---|---|
| | Barton (2000) | Goals serve as internal source of motivation and commitment and provide guide to action and measure performance. |
| | Simms, Price & Ervin (1994) | A goal is specific when it provides for a description of what is to be accomplished and understanding by those involved in its achievement. |
| | Rau & Jaskiewicz (2007) | Setting goals increase the likelihood of organisational effectiveness. |
| | Locke & Bryan (1969) | Objectives are drawn from mission statements and become the bridge between the often-intangible mission and very tangible goals an organisation must have to get its work done effectively. |
| | Levy (2006) | Goals must be written for an organisation to be effective. Written goals provide motivation to achieve and serve as reminder. |
| | Fiedler & Garcia (1987) | Levels of functionality are highest when goals are clearly stated and contain specific objectives. |

Source: Various

Table 3.6 summarises key arguments or contributions. In relation to IGR, the ability of the IGR institution to set realistic goals and ensure that those are implemented and reported on is a key focus. This applies equally to decision making, where IGR institutions are regarded as having the ability to take certain decisions in complying with IGR goals, and such decisions should be implemented and reported on.

## 3.3 SUMMARY

The main idea and rationale of this study is to understand IGR functionality, given organisational contextual issues associated with the contingency theory of organisational theories. The contextual issues referred to in this study as informed by the contingency theory include goals, environment and culture. Whilst IGR is viewed as the setting of suitable structures, divisions, procedures and ensuring operationalisation within each sphere of government, these spheres are regarded as being distinctive and subject to internal and external conditions that shape them. The focus of this research in on the local sphere of government and within the district municipalities. The overview of IGR in terms of the literature indicates organisational issues that shape the functionality, hence some scholars view IGR as human behaviour that takes place within the organisation and which is characterised by attitudes, behaviour, activities and the involvement of other stakeholders. Principal aspects that influence the functionality include amongst other things the role of elected members of the municipalities, decision making process and the binding nature of decisions taken, and commitment of stakeholders. One scholar reflects that in order to understand and evaluate the organisation and functionality, one must examine contextual dimensions first, followed by structural issues. It is against this background that contextual issues such as goals, culture and environment have been properly studied to understand the effect and relationship with IGR functionality.

The literature reflection on culture indicates a common understanding of the concept by the scholars by defining it as a system of shared mission, vision and values with the shared meaning amongst the role-players. On the same issue of culture, another strong reflection has been made on the notion of multiple cultures and the effect on the organisational culture and specifically dominant culture. This study further reflects on the environment and the impact on co-ordination, goal setting and planning. IGR involves itself in co-ordination of IGR activities by the district municipality in relation to role-players. However, as the municipal environment is regarded as dynamic and uncertain, planning is regarded as one way to minimise the adverse impact of external shifting. In relation to the last dimensions, namely goals, of importance to note is the relationship with culture and the impact on the environment. Shared understanding of an organisation includes understanding of goals, strategies, values and lack of impact on the task environment. The task environment is defined as including cognitive formulation, consisting of goals and is usually about constraints on behaviours or culture appropriate for reaching the goals.

# CHAPTER FOUR
# THEORETICAL AND CONCEPTUAL FRAMEWORK

## PART ONE: THEORETICAL FRAMEWORK

### 4.1 INTRODUCTION

This chapter aims at introducing and justifying the theoretical and conceptual framework utilized in the study. The selection of theories was examined in relation to the research problem and what the research seeks to achieve. As this is explanatory research which seeks to contribute to already existing theory, the proposed theoretical framework is presented in chapter eight of this study which further explains the relationship between intergovernmental relations functionality and the key identified concepts. The concepts referred to are discussed in part two of this chapter and informed further literature review as outlined in chapter four.

The foundation in understanding the theoretical framework is first to have an idea of a theory which is defined by Babbie and Mouton (2001) as a systematic explanation for the observations that relate to an aspect of life, such as social stratification or political uprising, for example. The word 'theory' in this research is used to demonstrate means in which 'reality' is socially constructed to give meaning, understanding or explanation of the problem and further relates to two perspectives of IGR, which are structural and contextual in nature.

Mheta (2014, p.194) defines theory as "an explanation of the phenomenon or an abstract generalisation that systematically explains the relationship among given phenomena for purposes of explaining, predicting and controlling such phenomena" where the purpose is to examine theories, to ensure that research findings are meaningful, to ensure systematic

connections between facts and observations are established, to predict and control situations, and to stimulate further research.

Mehta (2014) further indicates that a theoretical framework is equivalent to the structure or frame of the house. Just as the foundation supports a house, a theoretical framework stipulate justification for any predictions about the interaction and relationships among variables of the research study. This author further defines types of theories and research in the way in which theories may explain a certain phenomenon, explain connections between variables and predict how one variable affects another; descriptive theories that define or classify explicit characteristics of individuals or groups, events by which commonalities found in discrete observations are summed up; and explanatory theories on precise relations among the dimensions or characteristic of individuals, groups, situations or events. Explanatory theories are assessed by making use of correlation or explanatory research, whilst predictive theories are intended to predict specific connections between the dimensions or differences between groups. Predictive theories are tested through quasi-experimental or experimental research design based on explanatory theories.

Maree and Van der Westhuizen (2009) argues that the development of theoretical framework is necessary as it shows the origin of the research or tests the existing theory and may assist the researcher to apply the theory in his or her own research. The author further defines theory as a perspective on events that always exists in the context of competing or rival theories. The researcher's view of IGR functionality in this study has been from the perspective of the organisation, where specific organisational theories have been analysed.

## 4.2 ORGANISATIONAL THEORIES

Silverman (1970) regards organisations as distinct as banking institutions, corporate firms, and government agencies that have characteristics in common. The definition used by Daft (2007) to describe organisations is as follows: organisations are (1) social organisations that (2) focus on goals, (3) are designed as coordinated and structured activity systems, and (4) are associated with the external environment. However, Morgan (1997) states that an organisation is not a set of policies or procedures, neither a building as organisations consists of human beings and their relationships with one another.

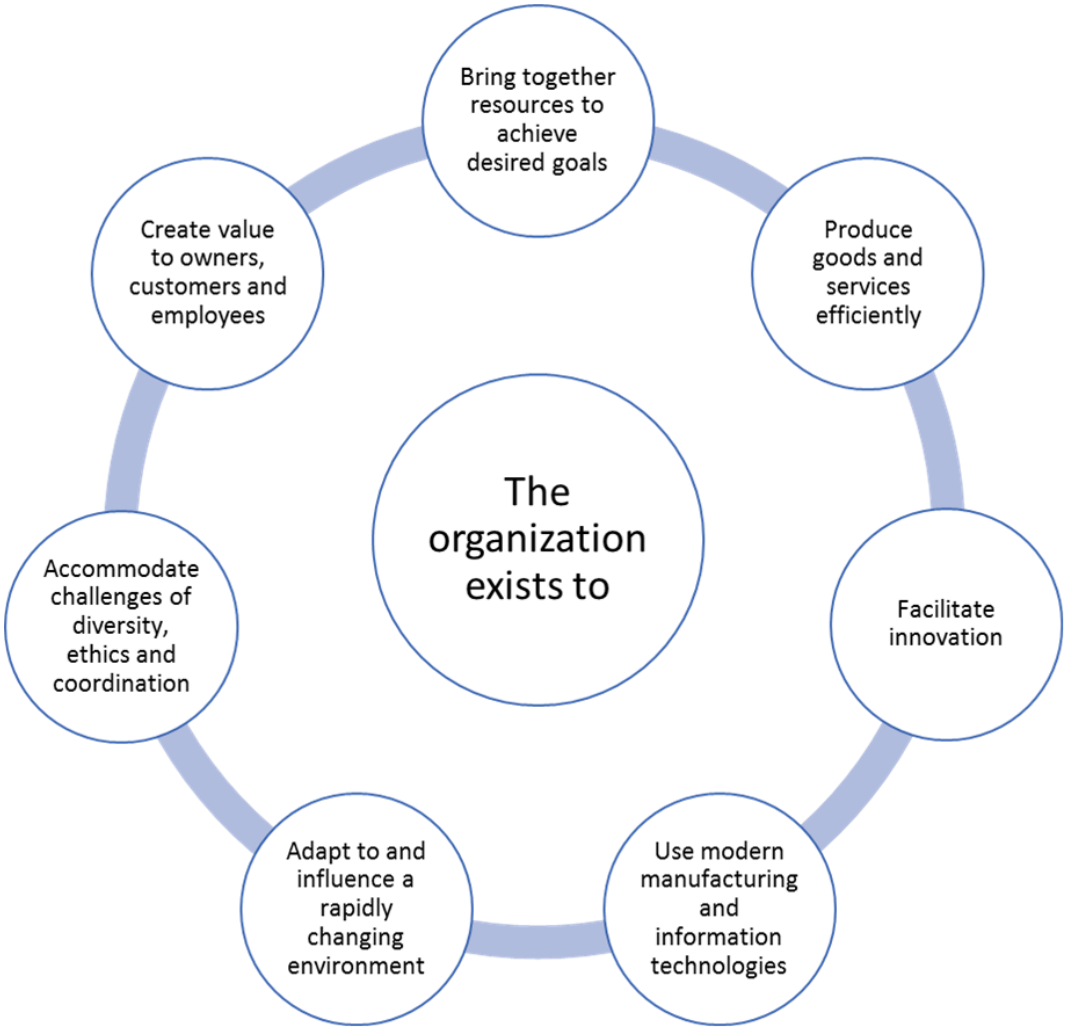
This author further indicates that organisations exist when people interact with one another to perform essential functions that help attain goals. While one might think of an organisation as a tool or instrument used by owners and managers to accomplish a specific purpose, it is clear from Steward (1955) who indicates that the purpose of the organisation should vary and that the central aspect should be the co-ordination of human and other resources that assist in accomplishing desired gaols.

According to Owoyemi and Ekwoaba (2014), organisation(s) constitute a component of the society and different cultures are brought by people from their community into the organisation. They enjoy the paradoxical status of being part of the community which is entrenched in a social context. Even though organisations are communities with divergent procedures, rules and policies, it is the view of these authors that organisational culture nurture success and is an important factor that can account for the success or failure of an organisation.

Figure 4.1 below depicts the importance of an organisation to the society and to the people within the organisation itself. Seven reasons indicated by the author include the ability of an organisation to bring together

resources to achieve desired goals; the ability to produce goods and / or services efficiently; organisations facilitate innovation; they use modern manufacturing and information technology; they adapt to and influence a rapidly changing environment; their ability to accommodate challenges of diversity, ethics and co-ordination; and they create value for owners, customers and employees.

**Figure 4.1 The importance of an organisation**




Source: Daft (2007)

Given the characteristics depicted, the existence of organisations is important to both the community and the people within the organisation. According to Fox (2006), over approximately the past 100 years, organisation theory has developed into a distinctive social science discipline, a body of thinking and writing that tries to explain, describe and sometimes influence what goes on in organisations. According to the author, during the past two decades, organisation theory has also become increasingly diverse in terms of the perspectives that organisation theorists use to study these important social phenomena which affect many aspects of people's lives.

According to Daft (2007), organisations impact on many aspects of people's lives and organisation theory is important in two key respects. Firstly, organisation theory helps to reflect upon and understand the nature of humans and their purpose. Secondly, organisation theory is about humans and how they interact with others during their encounters in a vast array of different, often deceptively ordinary and mundane, social contexts that are taken for granted because they cannot see or imagine any alternative to how things appear to be.

Clegg (as cited In McKinlay & Starkey, 2000) stated that today, no one can pretend to understand the human condition that does not understand the organisations in which it is constituted, constrained and transformed. Organisation studies should be at the core of the study of the human condition, because without such subject matter – how in what ways, we collectively organize, dispute, do and change the things that we do – we would have nothing of any consequence to discuss.

Certain organisational theories have evolved over years which shape the functionality within an organisation:

- Classical theories which includes Taylor's scientific management theory, Weber's bureaucratic theory, and Administrative theory.
- Neoclassical theory; and
- Modern organisation theories which includes Systems theory, Socio-technical theory and Contingency theory.

For this study, organisational theories that are considered include classical theory and two theories under modern organisation theory, which are systems theory and contingency theory are discussed below. The theories are selected based on relevance and applicability, given the environment in which this study took place. In relation to each theory, the researcher has provided the work contributing scholars that is similar, different and even complementary to the theories.

### 4.2.1 Systems theory

According to Laszlo (1972), a system is a set of interrelated parts that function as a whole to achieve a common goal. A system functions by acquiring inputs from the external environment, modifying them in some way, and discharging outputs back to the environment. Systems theory was originally suggested by Hungarian biologist Ludwig von Bertalanffy in 1928, although it has not been implemented to organisations until the early 1980s (Kast & Rosenzweig, 1972; Scott, 1981). The foundation of systems theory is that all the elements of an organisation are interconnected and that modifying one variable might affect many others. According to Miller (1978), organisations are regarded as open systems, that constantly interact with their environment. They are in a state of dynamic equilibrium as they adapt to changes in the environmental.

Senge (1990) describes systems thinking as a realisation and understanding of how human behaviour and attitudes shape reality. If an

organisation is of the view that the current situation was generated through somebody else actions, or by forces beyond his or her control, there might not be a purpose in having a vision. According to Senge (1990), key in holding a vision is that somehow it can shape one's future, and systems thinking provide an insight for people to see how their behaviours shaped current reality, thereby giving assurance that people can create a different reality in the future.

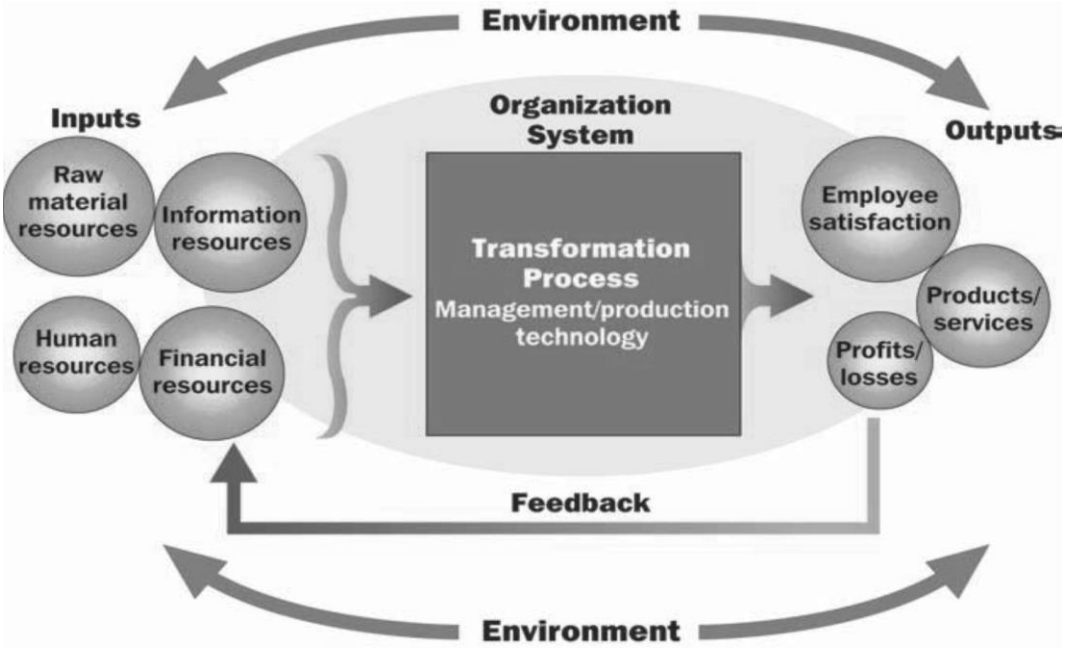
Furthermore, Ashby (1956) argues that however complex or diverse the world that people experience, there are always different types of organisations in it and such organisations can be described by the concepts and principles which are independent from the specific domain that is being contemplated. He further indicates that organisms are open systems; they cannot survive without continuously exchanging matter and energy with their environment. The peculiarity of open systems is that they interact with other systems outside of themselves in the form of inputs and outputs.

According to Senge (1990), a central argument of systems theory is that between variables there exists a nonlinear relationship. This implies that minor changes in one variable can lead to great changes in another variable, and great changes in a variable might have insignificant influence on another. One of the outstanding arguments by Bowler (1981) against systems theory is that the complications imposed by nonlinearity make it impossible to fully recognise the relationships between variables. Therefore, whilst the systems theory is useful in understanding the effect of human and organisational behaviour in an organisation, the challenge or disadvantage to non-linear relationship between variables will make it impossible for this type of research to achieve its objectives, that of understanding IGR from the perspective of an organisation.

According to Luhmann (1995), some ideas in systems theory significantly affect management thinking. They include open and closed systems, synergy, and subsystem interdependencies. Open systems must interact with the environment to survive; closed systems need not. In the classical and management science perspectives, organisations were frequently thought of as closed systems. In the management science perspective, closed system assumptions, the absence of external disturbances, are sometimes used to simplify problems for quantitative analysis. In reality, all organisations are regarded as open systems, and the cost of ignoring the environment may be failure.

Figure 3.2 below shows the basic systems theory of organisations. It consists of five components: inputs, a transformation process, outputs, feedback, and the environment. Inputs are the material, human, financial, or information resources used to produce goods and services. The transformation process is management's use of production technology to change the inputs into outputs. Outputs include the organisation's products and services. Feedback is knowledge of the results that influence the selection of inputs during the next cycle of the process. The environment surrounding the organisation includes the social, political and economic forces noted earlier in this chapter.

**Figure 4.2: The systems view of an organisation**




Source: Durkheim (1984)

Figure 4.2 above suggests the systems view of an organisation as adapted from Durkheim (1984). This indicates that an organisation is regarded as a system that draws inputs from the environment in the form of human resources, raw material, information resources and financial resources. Such inputs are further processed and transformed into outputs, which according to the diagram lead to employee satisfaction, product or service and profit or losses. The outputs are then fed back to the environment and contribute to the inputs. Most important in this systems view is the synergy between and amongst the parts of the organisation. According to Bowler (1981), synergy means that the whole is greater than the sum of its parts. When an organisation is formed, something new comes into the world. Management, co-ordination and production that did not exist before are now present. Organisational units working together can accomplish more than those same units working alone. The sales department depends on production, and vice versa. Systemic thinking takes a further step. To think systemically, managers look not only at the distinct parts of a system or situation but also at the interactions among those parts, which are continually changing and affecting each other differently. A systemic thinking process allows managers to grasp highly complex problems and situations in a way that analytical thinking cannot.

Flood (1990) highlights that the open-system approach to organisations is conflicted with common-sense approaches, which tend to accept popular names and stereotypes as basic organisational properties and to identify the purpose of an organisation in terms of the goals of its founders and leaders. The author further indicates that the open system approach, on the other hand, begins by identifying and mapping the repeated cycles of input, transformation, output and renewed input which comprise the organisational pattern. According to Castell, Gregory, Hindle, James and Ragsdell (1999), traditional organisational theories have tended to view the human organisation as a closed system. This tendency has led to the

ignorance of differing organisational environments and the nature of organisational reliance on environment. It has led also to an overconcentration on principles of internal organisational functioning, with a consequent failure to develop and understand the processes of feedback which are essential to survival.

Thompson (1967) contributes to systems theory through the introduction of a perspective of “Organisations in Action”. In his contribution, Thompson seeks to close the gap between open and closed systems by suggesting that organisation’s ‘abhor uncertainty’ and deal with it in the environment by creating specific elements designed to cope with the outside world, while other elements can focus on the rational nature of technical operations. Core technologies rest on closed systems of logic but are invariably embedded in a larger organisational rationality which pins the technology to a time and place and links it with the larger environment through input and output activities. Organisational prudence thus calls for an open-system of logic, for when the organisation is opened to environmental influences.

However, Meyer and Rowan (1977) emphasises the perspective of institutionalised organisations with a specific focus on formal structure as myth and ceremony. This relates to cultural and institutional environmental influences while arguing that the modern world contains socially constructed practices and norms that provide the framework for the creation and elaboration of formal organisations. According to these authors, organisational structures are created and made more elaborate with the rise of institutionalised myths and in highly institutionalised contexts, organisational actions must support these myths. Whilst an organisation must also undertake practical activity, the two requirements are at odds and a stable solution is to maintain the organisation in a loosely coupled nature.

Pfeffer and Salancik (1978) examines the external control of organisations from a resource dependence perspective. This implies that one cannot understand the structure and behaviour of an organisation without understanding the context within which it operates. No organisations are self-sufficient, and thus they must engage in exchanges with their environment in order to survive. Organisations need to acquire resources from their environment, and the importance and scarcity of these resources determines the extent of organisational dependency in and on their environment. For example, information is a resource, organisations need to reduce uncertainty and dependency, and thus organisations seek information to survive. The key to organisational survival is the ability to acquire and maintain resources. Many organisational troubles emanate from inaccurate perceptions of external demands or from patterns of dependence on the environment.

**Table 4.1: Major theories and contributors to Systems Theory**

| **MAJOR THEORIST** | **THEORY** | **COMMENT** |
|---|---|---|
| Ludwig Von Bertalaniffy (1901-1972) | Open systems theory | An organisation is viewed as an open system, which functions by acquiring inputs from the external environment, transforming them in some way and discharge outputs back to the environment |
| **CONTRI-BUTOR** | **CONTRIBUTION** | **COMMENTS** |
| Thompson (1967) | Organisation in action | Seeks to bridge the gap between open and closed system assuming that organisations dislike uncertainty. |
| Meyer & Rowan (1977) | Institutionalised organisation | Focus on cultural and institutional environment influences |
| Pfeffer & Salancik (2003) | External control of an organisation dependency perspective | Organisations must engage with environment in order to be self-sufficient. |

Source: Various

Table 4.1 above reflects on an open systems theory as introduced by Betalaniffy and further introduces contributors to the systems theory, whose contribution was mainly on environmental impact. From the contributor's input, it is clear that some factors such as cultural and institutional issues in the environment affect the organisational effectiveness and that the organisation depends on the environment in order to survive.

### 4.2.2 Contingency theory

Blake and Mouton (1982) suggests that previous theories such as Weber's bureaucracy and Taylor's scientific management failed because they overlooked that management style and organisational structure and functionality were influenced by various aspects of the organisation, the contingency factors, which suggests that there could not be "one best way" for leadership or organisation effectiveness.

Historically, contingency theory has sought to formulate broad generalisations about the formal structures that are typically associated with or best fit the use of different technologies. The perspective originated with the work of Woodward (1965) who argues that technologies directly determine differences in such organisational attributes as span of control, centralisation of authority, and the formalisation of rules and procedures. Some important contingencies for companies include technology, suppliers and distributors, consumer interest groups, customers and competitors, government and unions.

Stephen (2003) regards contingency theories and contingency perspective as popular among researchers in organisation theory and design. They are based on the idea that a proper fit between contingency variables and organisational design parameters will result in the highest performance.

The contingency variables can be contextual or structural, varying from one organisation to another.

Volberda, Van der Weerdt, Verwaal, Stienstra and Verdu (2012) introduces the notion of contingency fit. This implies that regardless of the pressures from the institutional environment, managers can also achieve high performance by searching for contingency fit (the situation where situational factors are in line with organisational structure). In relation to this, IGR has formal structures that are meant to decide on and implement IGR programmes and decisions. In the view of these authors, if contingency fit is not in line with institutional requirements, organisations may need to balance internal organisational effectiveness with the need for external legitimacy and support.

#### *4.2.2.1 Contingency approaches*

Morgan (1997) describes the main ideas underlying contingency as being that organisations are open systems that need careful management to satisfy and balance internal needs and to adapt to environmental circumstances, and there is no one best way of organising. The appropriate form depends on the kind of task or environment one is dealing with; management must be concerned, above all else, with achieving alignments and good fits; and different types or species of organisations are needed in different types of environments.

Islam and Hui (2012) summarises contingency theory as an approach to the study of organisational behaviour in which explanations are given as to how contingent factors influence the design and function of organisations. Commonly, contingency theory studies postulate that organisational outcomes are the consequences of a fit or match between two or more contingent factors.

Fiedler's (1986) contingency model focuses on a contingency model of leadership in organisations. This model contains the relationship between leadership style and the favourableness of the situation. Situational favourableness was described by Fiedler (1986) in terms of three empirically derived dimensions:

1. Leader-member relationship – high if the leader is generally accepted and respected by followers;
2. Degree of task structure – high if the task is very structured; and
3. Leader's position power – high if a great deal of authority and power are formally attributed to the leader's position.

Situations are favourable to the leader if all three of these dimensions are high. Scott (1981) describes contingency theory in the following manner: "The best way to organise depends on the nature of the environment to which the organisation must relate". The work of other researchers, including Lawrence and Lorsch (1967) and Thompson (1967), complements this statement. They are more interested in the impact of contingency factors on organisational structure. Their structural contingency theory was the dominant paradigm of organisational structural theories for most of the 1970s. A major empirical test was furnished by Pennings (1992) who examined the interaction between environmental uncertainty, organisation structure and various aspects of performance. Pennings (1992) conducted an empirical study on a sample of retail brokerage offices in which aspects of their market environment such as competitiveness, change and munificence versus organisational arrangements such as decision making and power distribution were juxtaposed for possible implications for performance. While structural attributes of offices strongly impacted performance, the evidence for "contingency" was less pronounced.

It can be concluded that there is 'no one best way' or approach in management or doing things, and different situations call for different

approaches to handle, manage and solve the arising issue concerned. Management and organisation is an ‘open system’, embracing anomalies or challenges every now and then, which requires ‘adaptable’ and ‘situational’ solutions in order to overcome or solve the problem or issue concerned. Other situational or contingency factors as suggested by Thompson (1967) are changes in customer demand for goods and services, changes in government policy or law, changes in environment or climate change.

Chandler (1962) studied four large United States corporations and proposed that an organisation would naturally evolve to meet the needs of its strategy in that form follows function. Implicit in Chandler’s ideas was that organisations would act in a rational, sequential, and linear manner to adapt to changes in the environment. Effectiveness was viewed as a function of management's ability to adapt to environmental changes. Lawrence and Lorsch (1967) examined how organisations adjusted to fit their environment. In highly volatile industries, they noted the importance of giving managers at all levels the authority to make decisions over their domain. Managers would be free to make decisions contingent on the current situation.

According to Fielder (1986), contingency approaches are positioned within management as mid-range theories between the two extreme views which state either that universal principles of organisation and management exist or that each organisation is unique and each situation must be analysed separately. Whilst House (1996) views contingency approach as entailing identifying commonly recurring settings and observing how different structures, strategies and behavioural processes fare in each setting, therefore that prominent contingency theories have been proposed and tested relating to organisational environments, characteristics and structures, competitive conditions and organisational strategies, and organisational characteristics and behavioural processes. In addition to

explicit use by many authors, Vroom and Jago (1995) regards the contingency approach as being an underlying theme for theory building and research throughout the management literature.

These authors further allude to the fact that situations are much more complex than first perceived and the different variables may require different behaviour which means that different environments required different behaviour for effectiveness. Each situation must be analysed carefully to determine the significant variables that exist to establish the kinds of practices that will be more effective (Vroom & Jago, 1995).

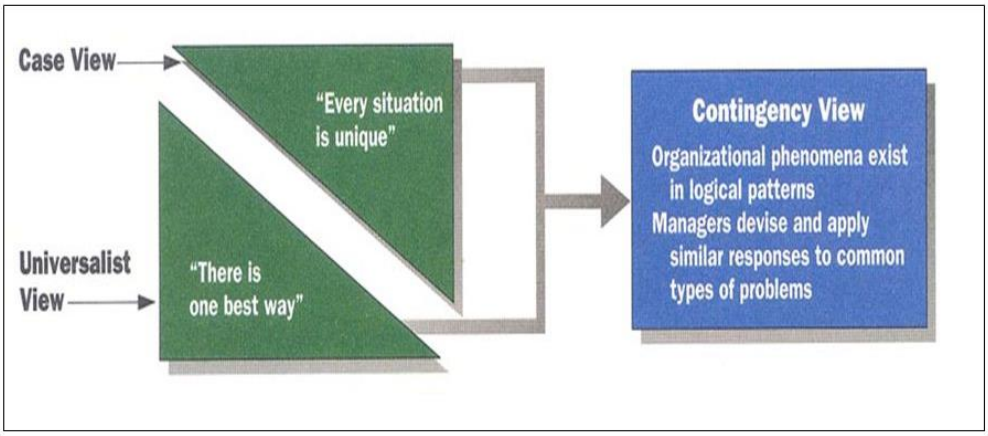
However, the main ideas underlying contingency as described by Morgan (1997) include the fact that organisations are open systems that need careful management to satisfy and balance internal needs, there is no best way of organising, the appropriate form depends on the kind of task or environment one is dealing with, and different types of organisation are needed in different types of environments.

Of importance to contingency theorists is the argument by Hersey and Blanchard (1969), that the external environment and several aspects of the internal environment affects the functionality of the organisation and the process of management. The author further indicates that effective management will vary in different situations depending on the goals of individuals and groups in the organisation, the size of the organisation, technology, the type of environment facing the organisation, culture of the organisation and structure. It should be noted that the abovementioned elements are what is referred to as contextual dimensions of the organisation.

Daft (1986) regards contingency theory as an extension of the humanistic perspective in which the successful resolution of organisational problems is thought to depend on managers' identification of key variations in the

situation at hand.  In this view, the author suggests that each situation is believed to be unique. Principles are not universal and one learns about management by experiencing many case problem situations.

**Figure 4.3: Contingency view of an organisation**




Source: Mohr (1971)

Figure 4.3 above reflects a contingency view of management. According to Mohr (1971), neither of the views is entirely correct; instead, certain contingencies or variables exist for helping management identify and understand situations. The contingency view states that what works in one setting might not work in another. Contingency means that one thing depends on other things and a manager's response to a situation depends on identifying key contingencies in an organisational situation.

***4.2.2.2 Daft (2007) contribution to contingency theory***

Daft (2007) regards organisations as comprising people and their relationships with one another. Managers deliberately structure and coordinate organisational resources to achieve the organisation's purpose. According to Daft and Lengel (1986), organisational dimensions fall into two types, as explained below.

Firstly, structural dimensions provide labels to describe the internal characteristics of an organisation and create a basis for measuring and comparing organisations. They include formalisation (amount of written documentation rules), specialisation (the degree to which organisational tasks are subdivided), hierarchy of authority (who reports to whom and the span of control for managers), centralization (refers to the hierarchical

level that has authority to make a decision), professionalism (level of formal education and training of employees) and personnel ratios (deployment of people to various functions and departments measured by dividing the number employees in a classification by the total).

Secondly, contextual dimensions characterise the whole organisation and represent both the organisation and the environment and include elements such as size (organisations are social systems, thus size is measured by the number of people in the organisation), organisational technology (tools, techniques and actions used to transform inputs to outputs), environment (all elements outside the boundary of the organisation), goals and strategy (define the purpose and competitive techniques), culture (the underlying set of values, beliefs, understandings and norms shared by employees or groups of people).

According to Kim and Yukl (1995), these dimensions provide a basis for the measurement and analysis of characteristics that cannot be seen by the casual observer. Managers strive in their company policy to at least minimally satisfy the interests of all stakeholders. In addition, the contribution made by Daft (2007) provides an insight into the notion of functionality within the organisation as it is affected by contextual issues such as goals, environment, culture, technology and size.

**Table 4.2: Major theories and contributors to contingency theory of an organisation**

| MAJOR THEORIST | THEORY | COMMENT |
|---|---|---|
| Fiedler (1986) | Contingency theory of leadership | Relationship between leadership style and the favourableness of the situation |
| Woodward (1965) | Technology | Technology determines differences in such organisational attributes as span of control, centralisation of authority and formalisation of rules and procedures |
| Scott (20010 | Environment | The best way to organise depends on the nature of the environment to which the organisation must relate |
| Daft (2007) | Organisational contextual dimensions | Organisations are social entities that are directed, are designed as structured and coordinated activity systems and are linked to external environment. Contextual dimensions characterised the whole organisation and they are goals, environment, culture, size and technology. |
| Chandler (1962) | Rational organisation | Organisations would act in a rational, sequential and linear manner to adapt to the changes in the environment |
| Hersey & Blanchard (1969) | Organisational contextual issues | Effective management vary in different situations depending on the contextual issues such as goals of an organisation, size, technology, environment, culture and structure. |

Source: Various

Table 4.2 above reflects on the contingency theorist's view and that of contributors. It is clear from the theorist's view that common factors that affect organisations are contextual in nature and are size, technology, environment, goals and culture.

### 4.2.3 Classical theory

According to Wren (1994), the classical perspective on management emerged during the nineteenth and early twentieth centuries. The factory system that began to appear in the 1800s posed challenges that earlier organisations had not encountered. Problems arose in tooling the plants, organising managerial structure, training employees (many of them non-English-speaking immigrants), scheduling complex manufacturing operations, and dealing with increased labour dissatisfaction and resulting strikes. These were regarded by Cole (2004) as leading to a myriad of new problems while the development of large complex organisations demanded a new approach to co-ordination and control and a new sub-species.

This was essentially introduced with the origins of commerce, largely shaped the industrial revolution, dominated organisation theory into the 1930s and remains highly influential even today. The explicit theory of the one best way to organize is normally ascribed to the classical theorists, notably Taylor (1913) and Weber (1947), but it is much older, even if it then only concerned social organisation.

Classical organisation theory represents the merger of scientific management, bureaucratic and administrative theory. Frederick Taylor (1913) developed scientific management theory (often called “Taylorism”) at the beginning of this century. This theory had four basic principles: 1) find the one “best way” to perform each task; 2) carefully match each worker to each task; 3) closely supervise workers; and 4) use reward and punishment as motivators as the task of management is planning and control. While Taylor’s scientific management theory proved successful in the simple industrialized companies at the turn of the century, it has not fared well in modern companies and larger organisations. According to Warwick (1975), classical theories developed many ideas to increase

organisational efficiency within small organisations. They showed that through proper job design, worker selection, employee training and incentives, productivity and functionality within an organisation can be increased.

It was the argument of Taylorism by Henry Ford which regarded workers as the extension of the machine. In his work Henry Ford applied scientific management principles as a means to improve organisational effectiveness such as systematic division of labour, standardisation of tasks or products, automation of work and pay to be considered as the primary motivator to improve performance. However, Bradley, Curry and Devers (2007) focuses on labour process debate and further indicates that scientific management is flawed for three reasons, namely management must have ‘a belief in the original stupidity of workers, poor work rate, and failure to acknowledge the concept of worker resistance.

This was in contrast with Burawoy (1998), who adopted Marxist perspective where he believed in the piece rate payment system which implies that satisfaction is derived from mastering the intrinsic strategy and management becomes the end winner of the game; internal labour markets which suggest that increased job mobility reduces conflict and creates the illusion of choice; and collective bargaining by giving labour the illusion of participation.

Max Weber (1947) expanded on Taylor's theories and emphasised the need to reduce diversity and ambiguity in organisations. The focus was on establishing clear lines of authority and control. Weber’s bureaucratic and administrative theory emphasized the need for a hierarchical structure of power and recognised the importance of division of labour and specialization. A formal set of rules was bound into the hierarchy structure to ensure stability and uniformity. Weber also put forth the notion that organisational behaviour is a network of human interactions, where all

behaviours could be understood by looking at cause and effect. Taylor's model sprang from factory production and Weber's from the offices of public administration, but they had a lot in common – notably a reliance on standardization of work, control of quality, fine-grained division of labour and a strict hierarchy. They both strongly believed that the organisational models they proposed would prevail and eventually supplant all others because they were the most efficient.

Weber's interest was not in organisation per se, but in the role, it played in politics and economics in general. His discussion of bureaucracy therefore centred on its legal and political ramifications, as well as its part in the general rationalisation of society – a result of the growing hegemony of rational means-ends relations. Weber viewed bureaucracy as an epitome of this development, working with supreme efficiency, and believed it would supersede all other organisation forms. In Weber's view, this was not necessarily in human interest – on the contrary, the efficiency of bureaucracy had the frightening potential to lock humanity into an "Iron Cage" of machine-like existence. However, even if we consider Weber's inclination to discuss institutional features by representing them in their ideal-type form, in order to make the analysis clearer (and thus appearing more dogmatic that he really was), there is little doubt that he believed in the technical superiority of bureaucracy as an organisational form, and in its eventual triumph.

The Paper on the Science of Administration (1937) emphasised formal authority and the role of direct supervision (Mintzberg, 1990), but the spirit of their work was the same as in Taylor's. Koolhaas (1982) observes that they were not really presenting theories of organisation at all, but recipes – indicating the best solution for every type of activity.

The early theorists' belief in the existence of final, superior solutions and their inescapable triumph can be viewed as an expression of their times –

of the rapid progress of science and technology, the immense success of the mass-producing factory, the general increase in rational attitudes, and a rather naive belief in the simpleness of human affairs, and their resemblance to physical systems.

Implied in this view is also a notion of technological determinism – Koontz (1980) indicates that, if there is one best way of organising, there must also be one best way to utilise any new tool. Such a one-to-one relationship between a tool and its optimal use means that the tool itself will of necessity have strong bearings on organisational design. It is obvious that Taylor (1913) included tools and machinery in his designs for factory organisation, and that the properties of those tools and machines were important determinants for the design of jobs and the relationships between them.

Follett (1920) refers to what is known as the “prophet of management” where her ideas were in contrast with scientific management and emerge as applicable to modern management. Her approach emphasises the importance of people rather than engineering techniques and power, ethics, and how to lead in a way that encourages employees as being key. Barnard (1938) has a differing view and an informal organisation approach, suggesting that informal organisations or cliques within formal organisation are naturally occurring and helps the organisation to improve, if it is managed properly. In addition, he introduces what is referred to as “Acceptance theory of authority”, which recognises free will and that employees can choose whether to follow orders or not. In relation to Negishi (1999), Adam Smith’s contribution was on division of labour, as he believed that centralisation of equipment and labour in factories as well as division of specialised labour are necessary to improve production.

The connection may not seem as clear in relation to Weber and his theories of bureaucracy – there do not seem to be as many tools in use.

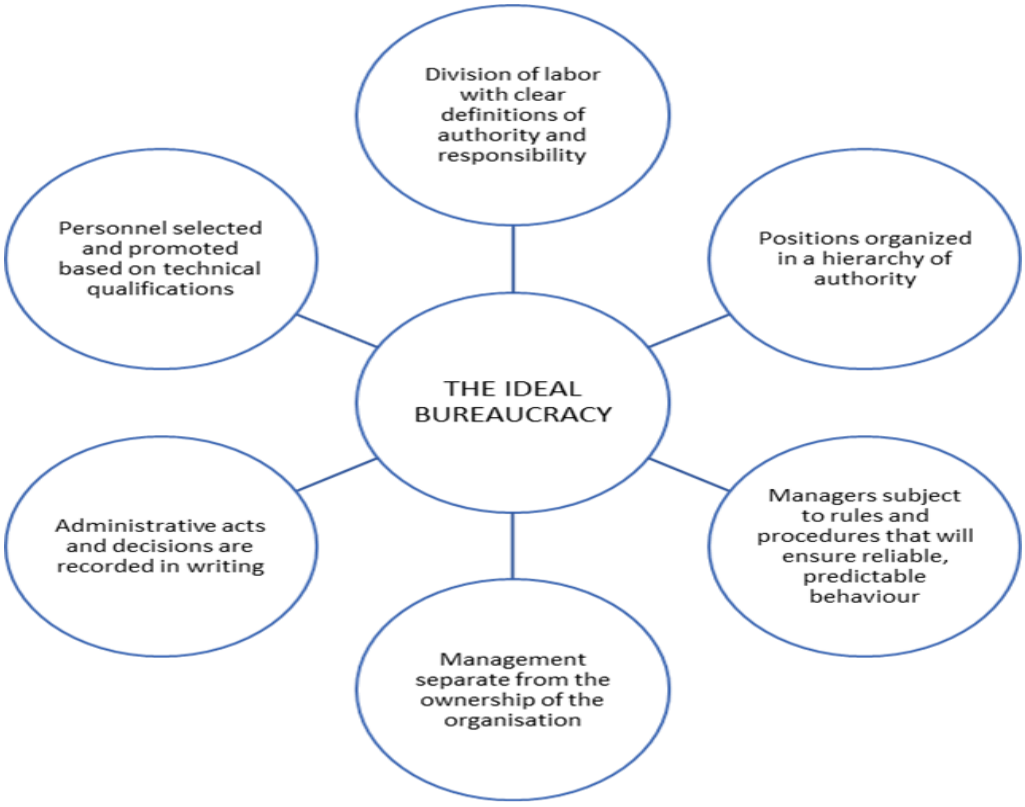
However, according to Drucker (1986), the most important organisational tool in history (at least before the computer) has probably been the art of writing and Weber's bureaucracy is explicitly based on written procedures and written information. In other words, if bureaucracy is the one best way to organise administrative work in a literate society, and it presupposes the use of writing, the properties of writing (as a tool) must be regarded as one of the most important determinants of bureaucratic organisation – and possibly even the most important.

In Scott's (1981) classification of theoretical schools, both Scientific Management and Weber's theory of bureaucracy are closed, rational system models. They presuppose that organisational actors are fully rational in all their decisions, that they always strive to achieve the organisation's expressed goals, and that the structure and functions of an organisation are independent of its environment. This perspective contains three subfields, each with a slightly different emphasis: scientific management, bureaucratic organisations, and administrative principles.

#### 4.2.3.1 Max Weber's organisational theory: bureaucratic organisations

This is a subfield of the classical management perspective that emphasizes management on an impersonal rational basis through such elements as clearly defined authority and responsibility, formal recordkeeping, and separation of management and ownership. Weber believed that an organisation based on rational authority would be more efficient and adaptable to change because continuity is related to formal structure and positions rather than to a particular person, who may leave or die. To Weber, rationality in organisations meant employee selection and advancement based not on personal connections but rather on competence and technical qualifications, which are assessed by examination or according to training and experience.

**Figure 4.4: Characteristics of Weberian Bureaucracy**




Source: Adapted from Weber (1947)

Accordingly, Weber (1947) in Figure 4.4 suggests that the organisation relies on rules and written records for continuity. In addition, rules and procedures are impersonal and applied uniformly to all employees. A clear division of labour arises from distinct definitions of authority and responsibility, legitimized as official duties. Positions are organized in a hierarchy, with each position under the authority of a higher position. The manager depends not on his or her personality for successfully giving orders but on the legal power invested in the managerial position.

### *4.2.3.2 Major theorists and contributors to classical theory*

Table 4.3 below provides an overview of major theorists and contributors to classical theories. Of importance is that these are all organisational theorists, although their views have some similarities and contradictions. The three major theorists referred to are Henri Fayol, Frederick Taylor and Max Weber. The three theories have contributed to classical theory, which comprise the combined view from the scientific management theory, bureaucratic organisation and administrative principles theory and all focus on management approach as the mean to improve performance or production. Their views range from management principles, functions of management, management on impersonal and rational basis and scientific management.

**Table 4.3: Major theories and contributors to classical theory**

| **MAJOR THEORISTS** | **THEORY** | **COMMENT** |
|---|---|---|
| Henri Fayor (1841-1925) | 14 administrative principles | General management principles such as discipline, authority to give orders, division of work, unity of direction, centralisation of decision-making, authority and responsibility etc. |
| Frederick Taylor (1856-1915) | Scientific management theory | To improve performance, management should change and the manner of change should be determined by scientific study. Decisions based on rules of thumb and tradition should be replaced with precise procedures developed after careful study of individual situation |
| Max Webber (1864-1920) | Bureaucratic organisation | Organisations based on rational authority would be more efficient because continuity is related to formal structure and positions rather than a particular person |
| **CONTRIBUTOR** Adam Smith (1723-1790) | Division of labour | Centralisation of equipment and labour in factories and division of specialised labour. |

Source: Various

Henri Fayor's (1841-1925) administrative principles are found to be relevant in this study of IGR, where IGR challenges outlined in the problem statement could be linked to some of the principles that are administrative in nature. The administrative principles as reflected by Fayor include, amongst others, division of labour, authority and responsibility, discipline, unity of direction, subordination of individual interests, degree of centralisation, and order. Division of labour reflects on the need for employees to specialise in different areas based on their skills and specialisation. This issue of specialisation is important in the co-ordination of IGR activities as it would imply that an IGR co-ordinator should have necessary skills and expertise to facilitate IGR. Authority to give orders and ensure whoever is responsible, carries out such orders is one important aspect of IGR. In this context, decisions taken in IGR meetings represent orders that should be carried out by the responsible officials. These IGR institutions and forums represent authorities or bodies, whose sole responsibility is to decide on matters of co-operation and ensure implementation. Furthermore, within an IGR setup there are certain core values and/or forms of conduct expected which contribute to the culture of these IGR institutions. Issues of discipline within an IGR environment would include, *inter alia*, attendance at IGR meetings and implementation of IGR resolutions. The administrative principle of unity of direction is an additional aspect that implies that delivery on activities should be linked to the same objective. It is clear from the background on IGR that the main objective is to ensure co-operation amongst the spheres of government on the delivery of services to the community; this means that activities that are carried out at the level of IGR, should translate into the achievement of IGR objectives. The degree of centralisation of decision-making authority affects the implementation of decisions if such decisions are not further decentralised. This would similarly apply in that IGR decisions are taken at a high level and as such these should be cascaded down for implementation. Finally, for IGR to be effective, the

issue of provision of resources such as human (IGR co-ordinator) and financial (budget for implementation of some decisions) remains central.

Notwithstanding the above, the shortcoming of classical theory is that it fails to address important contextual issues of an organisational environment, given IGR challenges. The issues would relate to the environment in which the institution operates. For this reason, this research is not aligned to classical theory and specifically the administrative principles of Fayor.

### 4.2.4 Summary

The organisational theories analysed have proven to have strengths and weaknesses. According to the theories identified, systems theory uses an open systems approach that attempts to account for internal and external environments. It attempts to address interwoven variables and provides for multi-dimensional approaches. This leads to institutional resource dependence and other theories and is considered as an intellectual merger of most prior schools of thought. However, the weaknesses of the systems theory relates to the fact that locus of control is mostly external. It de-emphasizes rational and closed systems and states that the use of closed systems is useful only to core technologies.

In relation to classical theories, this theory has a narrow focus on improving production-related economic goals. It utilises systematic scientific enquiry and helps to create division of labour, time and movement studies, and organised planning models. Some identified weaknesses include the fact that this is closed-system rational theory, is too narrowly focused on production and reduces the human component to simply machines. Classical theory is largely derived intellectually rather than empirically and this was the basis of much criticism. It is primarily concerned with anatomy or structure rather than individual needs and

potential. Lastly, it did not take large-scale changes in environments into consideration.

Given the above analysis, the researcher approached the issue of theories from the relevant point of view and based on the need to understand challenges affecting the functionality of IGR within KZN District municipalities, applying contingency theory as the basis. Given the above arguments, the contingency theory suggests two trends in which organisations can be viewed, which are the structural and contextual dimensions. Structural dimensions include those aspects pertaining to organisation structure, i.e. formalisation, standardisation, centralisation, specialisation and hierarchy. Contextual dimensions include consideration of issues such as size, culture, environment, technology and organisational goals. This further supports the choice of the researcher to approach the study using contextual dimension as the basis. Contextual dimensions are regarded by Daft (2007) as forming the basis for the functionality of the organisation and influencing other dimensions within the organisation.

The above view does not discount the fact that IGR is often associated with governance issues and the researcher's choice to consider organisational perspective provides a new perspective that is not common in the way IGR is associated**.**

The researcher's assertion on the identified dimension is to best describe IGR from the contextual perspective. This has regard for the fact that certain authors strongly identified specific aspects that underlie IGR functionality, which are human relations, behaviour (Agrannoff, 2004); ethical and cultural (World Bank Report, 1998) and five-dimension relationships, attitudes, activities, involvement of partners and policy dimension, as highlighted by Wright (1988). It is evident that for a function

to be effective, one must consider contextual issues first as they inform the structural issues of any organisation.

The functionality of IGR in KZN District municipalities can therefore be better understood through the researcher's specification of a relationship between the contextual dimensions of the organisation and the IGR function. Given the theoretical framework as defined, the researcher developed a conceptual framework of the study which serves as a lens and perspective to help the researcher understand and explain the specific facet of reality that is under investigation. While it may be possible to consider other theories or both trends of contingency theories, the need for concentrating on contextual dimensions in examining the challenges affecting the functionality of IGR has been found to be more relevant as it contributes to the existing knowledge on the functionality of IGR.

The second part of the chapter provides for the conceptual framework, which took into consideration the concepts underpinning contingency theory and which further informs the research including the key parts of the design.

## PART TWO: CONCEPTUAL FRAMEWORK

### 4.3 INTRODUCTION TO CONCEPTUAL FRAMEWORK

Part two of this chapter introduces conceptual framework as a written product, one that explains, either graphically or in narrative form, the main things to be studied, the key factors, concepts or variables and the presumed relationships among them.

In this section, the research starts by defining the concept and the relationship with theoretical and conceptual framework. Chinn and Kramer (1995) defines the concept as a complex mental formulation of experience while the theoretical framework of this study is the theory on which the study is based, hence this study in based on the functionality of IGR and the conceptualisation framework is the operationalisation through the application of contextual dimensions of an organisation such as culture, goals and the environment. It is further defined as the researcher's own perception of the problem and gives direction to the study.

The conceptual framework of the study is the system of concepts, assumptions, expectations and beliefs and theories that supports and informs the research and the key part of the design (Miles & Huberman, 1994). It is further regarded as a visual or written product, one that, "explains, either graphically or in narrative form the main things to be studied, the key factors, concepts or variables and presumed relationships among them".

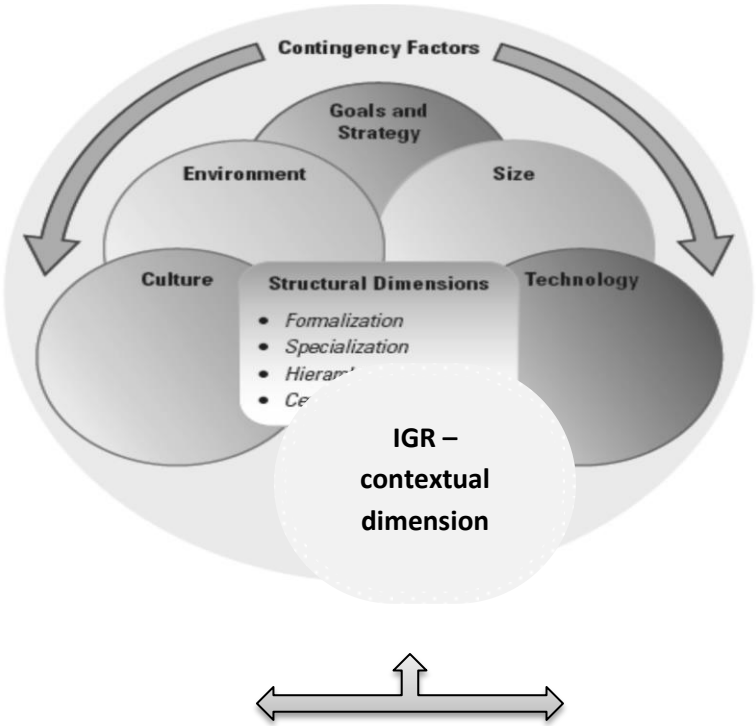
The most important thing to understand about the conceptual framework is that it is primarily a conception or model of what exists that the researcher is planning to study and provides a tentative theory of phenomena under investigation. The function of this theory is to inform the design, to help

the researcher assess and refine goals, develop realistic and relevant research questions, select appropriate methods and identify potential validity threats to the conclusion (Mheta, 2014).

In relation to this study, what is often called the “research problem” is part of conceptual framework and formulating the research problem is often seen as a key task in designing the study (Creswell, 1994). The non-functionality of IGR in three district municipalities of KwaZulu-Natal is seen by the researcher as forming part of the conceptual framework in that certain organisational contextual dimensions that affect the functionality are environment, culture and goals (see Figure 4.5). According to Creswell (1994) the most productive conceptual frameworks are often those that bring in ideas from outside the traditionally defined field of study, or that integrate different approaches, lines of investigation or theories that no one had previously connected, as is the case with this research.
Most research reports locate the problem statement within the context of a conceptual and theoretical framework. A description of the selected conceptual framework in Figure 3.5 contributes to a research report in at least two ways because it (1) identifies research variables; and (2) clarifies relationships among the variables linked to the problem statement and sets the stage for presentation of the specific research questions that drive the investigation being reported (Creswell,1994).

In this research, the researcher is able to show the relationship of the different constructs that the researcher wants to investigate. This particular study therefore focuses essentially on qualitative explanatory analysis, in the interpretative model of the challenges affecting the functionality of IGR in KZN District Municipalities, using organisational contextual dimensions. This section further shows a clear reflection on literature review levels and the knowledge gap as reflected through arguments from the relevant studies conducted on IGR.

**Figure 4.5: A schematic presentation of conceptual framework**




Source: Adapted from Daft (2007)

Figure 4.5 illustrates two types of interacting features of organisations: structural dimensions and contingency factors. Structural dimensions provide labels to describe the internal characteristics of an organisation. According to Reddin (1970), contingency factors encompass larger elements that influence structural dimensions, including the organisation's size, technology, environment, culture and goals. While contingency factors describe the organisational setting that influences and shapes the structural dimensions, House (1996) indicates that contingency factors can be confusing because they represent both the organisation and the environment. This author further indicates that these factors can be envisioned as a set of overlapping elements that shape an organisation's structure and work processes, as illustrated in Figure 4.6. To understand and evaluate organisations, one must note that these features of organisation design interact with one another and can be adjusted to accomplish the purposes listed in Figure 4.6. Kim and Yukl (1995) explains that the purpose these should seek to achieve is bringing together resources to achieve desired goals, producing goods and services efficiently, facilitating innovation, using modern manufacturing and information technology, adapting and influencing a rapidly changing environment, accommodating challenges of diversity, ethics and co-ordination and creating value for owners, customers and employees. Since the research focus on contextual issues of an organisation, this organisational model has been adjusted for the purpose of accomplishing and aligning with those contextual issues such as environment, culture and goals.

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Figure 4.5 above represents an abstract idea of the study. In constructing this idea, the researcher is showing the relationship of the different constructs that are under investigation. Organisational challenges that affect the functionality of IGR are examined from a contextual perspective. Important concepts underlying contextual issues are environment, goals and strategy, size, culture and technology as indicated in the diagram.

## 4.4 AN OVERVIEW OF KEY CONCEPTS

The concepts are further discussed in the sections below, including specific elements that inform each concept.

### 4.4.1 Culture

An organisation's culture is the underlying set of key values, beliefs, understandings and norms shared by employees. These underlying values may pertain to ethical behaviour, commitment to employees, efficiency or customer service, and they provide the glue to hold organisation members together. An organisation's culture is unwritten but can be observed in its stories, slogans, conduct, ceremonies, dress and office layout (Daft, 2007). However, Mintzberg (1990) defines organisational culture as beliefs, assumptions and values that members of the group share about rules of conduct, leadership style, administrative procedure, rituals and custom.

The origin of organisational culture from a national culture point of view is based, among others, on the work of Deal and Kennedy (1999) who views organisational culture as being central to organisational success rather than factors such as structure, strategy or politics. As a result, the attention is shifted away from national culture and focused more on organisational culture.

Eisner (1999) emphasises that the vision and culture of an organisation sets the tone for much of what occurs within the organisation, influencing most strategic activities (Eisner, 1999). However, Kotter and Heskett (1992) also points out that, although organisational culture is usually discussed in the singular form, all enterprises have multiple cultures associated with different functional groupings or geographic locations. These definitions clearly indicate that cultural analysis helps the

organisation to understand the interaction of different teams and personnel with different cultures, especially when they must work together particularly for knowledge sharing (Román-Velázquez, 2005).

Kotter and Heskett (1992) further concludes that, for an organisation to achieve the necessary level of adjustment to attain its optimum performance, it requires the understanding and awareness of the different culture composition (culture types) operating within its boundaries that comprise its overall enterprise culture. This includes but is not limited to values, beliefs, ethical behaviour, norms and standards, commitments and customer care and some form part of the study, depending on their applicability and relevance. The important element of organisational culture in the study of this nature will be the beliefs, behaviours and values that the key role-players within the context of IGR share.

### 4.4.2 Environment

All organisations operate within an external environment. A single organisation does not exist alone. It is part of a larger system that contains thousands of other elements. All these mutually influence each other in a complex system that becomes the lifestyle of the people. Individual organisations, such as government departments or any public entities, cannot escape from being influenced by this external environment. It influences the attitudes of people, affects working conditions, and provides competition for resources and power. Every organisation interacts with other members of its environment (Daft, 2007)

According to Rosenzweig and Singh (1991), this interaction allows the organisation to acquire raw materials, hire employees, secure capital, obtain knowledge, and build, lease or buy facilities and equipment. Since the organisation processes a product or service for consumption by the environment, it will also interact with its customers. This further refers to

the nature of external influences and activities in the political, technical, social and economic arenas and includes community, partners and customers which form part of the study depending on their applicability and relevancy. In examining challenges affecting the functionality of IGR it is therefore important to analyse environments that shape these municipalities. The analysis will provide an understanding of those key variables within the environment and the impact on the functionality of IGR.

### 4.4.3 Goals

Goals and strategy define the purpose and competitive techniques that set it apart from other organisations and are often written down as an enduring statement of organisational intent. A strategy is the plan of action that describes resources allocation and activities for dealing with the environment and for reaching the organisation goals and further defines the scope of operations and the relationship with employees, customers or communities and other stakeholders (Daft, 2007). This includes mandate, purpose, scope and relationship. In this regard, Gross (1968) argues that central to the concept of the study of the organisation is that of the organisational goals. The author refers to goal attainment as an aspect of all systems; all systems to survive must attain whatever goals they set out for themselves. However, a special kind of a system, namely the organisation, is singled out as being that in which the problem of goal attainment has primacy over all other problems.

In understanding IGR functionality, it is important to understand the vision of those who are role-players within IGR arrangements, the plans of action that might exist for the implementation of IGR, to what extent they are implemented and how they assist in the functionality of IGR (Scott, 1981).

### 4.4.4 Size

Size is the organisation's magnitude as reflected by the number of people in the organisation. Because organisations are social systems, size is typically measured by the number of employees. Other measures such as total sales or total assets also reflect magnitude, but they do not indicate the size of the human part of the social system (Daft, 2007). The number of people and resources and their span in the organisation is a determining factor. However, in a municipal environment the size of the municipality is further measured to include the total population, number of households within the area, the extent of density and the area.

Scott (1981), in the study of organisational size, indicates that a crucial problem in organisation theory which has not yet received adequate attention is the nature of the processes which cause an organisation to assume a certain shape and reach a certain size. The author further indicates that there is no best way to study organisational size as it has numerous approaches wherein one approach is the descriptive of structure found in various sizes and types of human associations; another approach to organisational size is the study of differential patterns of behaviour of members and leaders in various sizes and types of organisations; and the third way to study size is to analyse organisational behaviour as it adjusts its size and shape in response to changes in the environment during the process of pursuing goals.

### 4.4.5 Technology

These are the often-unique activities needed to reach organisational goals, including nature of activities, specialization, type of equipment or facilities needed. Organisational technology refers to the tools, techniques and action used to transform inputs into outputs. It encompasses the way in which the organisation provides the services for customers or

communities and includes such things as computer-aided equipment, advanced information systems and the internet (Daft, 2007). The technological context includes the internal and external technologies that are relevant to the organisation. Technologies may include equipment as well as processes, tools and techniques (Tornatzky & Fleisher, 1990).

## 4.5 REFLECTION AND CONSOLIDATION OF LITERATURE

This section reflects on the major observations in all types of literature review as discussed in chapters two, three and four. The purpose of the reflection and consolidation of literature at this stage is to reveal the knowledge gap associated with theories and literature. The purpose of this study is to understand challenges affecting functionality of IGR, given the organisation contextual dimension such as goals, environment and culture. In approaching this reflection, attention will be drawn to general literature, theoretical framework, conceptual framework and relevant literature in support of the conceptual framework.

The literature review framework provides for three levels of literature on which this research is based. From the general literature review, chapter two focuses on the overview of IGR and chapter four focuses on organisational contextual issues as informed by the conceptual framework. The theoretical framework of this study is based on the organisational theories and contingency theory is the main theory that informs this study. The contingency theory reflects five aspects of organisational effectiveness: goals, culture, environment, size and technology. From these five aspects, three are chosen based on relevance and the ability to address the problem, which is the non-functionality of IGR in relation to areas such as non-establishment IGR structures; where the role and mandate of IGR is not clear; where policy documents are not in place, where IGR meetings were not sitting, and there was a lack of dedicated officials to co-ordinate IGR activities.

The functionality in the study by Malan (2005) was examined in relation to the ability of IGR forums to discuss new and existing government policies; to discuss progress and problems in service delivery within the district; co-ordination of planning initiatives by a district municipality; support given to other municipalities within the district; the manner in which the IGR forums are constituted in terms of membership; the role and mandate of IGR forums in ensuring vertical and horizontal co-ordination of programmes and other service delivery issues; frequency of meetings of the IGR forums; and availability of technical operational support to coordinate all IGR activities within the district.

### 4.5.1 Reflection on previous studies in the field of IGR

Several studies have been conducted on IGR at PhD and Masters level and were based on IGR compliance with the South African legislation.

Haurovi (2012) conducted research on IGR in which the aim was to assess the role played by co-operative government and intergovernmental relations in promoting effective delivery of services in the Amathole District Municipality (ADM). The major points that emerged in this research are that the Amathole District Municipality (ADM) has IGR forums in existence although some of these are dominant and dysfunctional; only three out of the seven local municipalities in ADM are co-operative in IGR; there was generally lack of political will on the part of the politicians in terms of support of IGR initiatives; and political factionism and interference is crippling IGR and co-operation. The author concluded that the legal framework for IGR needed revision as there are still communities without access to basic services in the ADM, public sector planning cycles are fragmented and need synergy; and IGR is not being monitored or evaluated.

A study conducted by Sokhela (2006) aimed to establish if the intergovernmental relations facilitate the performance of the local sphere of government with a view to improving the role of intergovernmental relations, especially the extent to which it impacts on the local sphere of government in the delivery of services, with specific reference to the City of Tshwane Metropolitan municipality. While the City of Tshwane is a metropolitan municipality, with different powers and functions, the challenges of IGR were different from ADM. IGR was found to have played a key role in facilitating the performance of the City of Tshwane Municipality in the delivery of services, whereas it was contended that IGR failed to provide integrated capacity and to ensure community orientation in the delivery of services to the community.

The two studies previously discussed were focused on the IGR mandate in terms of the legislation and were more exploratory in nature.

Another viewpoint explored by Hendriks (2014) mainly focused on intergovernmental fiscal relations. The aim of this thesis was to explore South Africa's intergovernmental fiscal relations, and in particular the impact of a vertical fiscal imbalance on responsiveness and accountability in the Northern Cape Provincial Government. Hendriks (2014) points out that vertical fiscal imbalance has an impact on the responsiveness and accountability of the Northern Cape Provincial Government, and that existing measures to promote responsiveness and accountability can be applied more effectively, efficiently and economically.

Amusa and Mathane's (2007) analysis of South Africa's evolving intergovernmental relations concurs with that of Hendriks (2014) on responsibility and accountability for IGR. In the South African context, the key elements necessary for an effective IGR system are in place, although their functionality is questioned. Ongoing reforms have improved the capacity of provincial and municipal authorities to undertake their revenue

and expenditure responsibilities. However, the evolving nature of South Africa's IGFR system requires significant attention to be devoted to enhancing co-ordination between spheres of government to improve IGR functionality.

Malan (2005) also examines the issue of IGR functionality and specifically concludes that the system of IGR has its own deficiencies. This includes the ability of IGR forums to discuss new and existing government policies; the ability of IGR forums to discuss progress and problems in service delivery within the district; co-ordination of planning initiatives by a district municipality; support given to other municipalities within the district; the manner in which the IGR forums are constituted in terms of membership; the role and mandate of IGR forums in relation to vertical and horizontal co-ordination of programmes and other service delivery issues; frequency of meetings of the IGR forums; and availability of technical operational support to coordinate all IGR activities within the district. The approach used in the study by Malan (2005) was exploratory and focused on the review of the evolution of the intergovernmental relations system over the past ten years.

What is peculiar about this study is the shift from IGR compliance with legislation to functionality and given the organisational contextual issues that affect the functionality of IGR. The studies indicated above focus on IGR from a legislative, fiscal and service delivery point of view and the requirements of the relevant legislations and were mainly exploratory in nature. While the argument of Malan (2005) acknowledges the importance of the co-ordination role on the conduct of IGR, h capacity problems are regarded as the reasons for the lack of or poor co-ordination of IGR. This literature also reflects on the importance of the impact of decisions taken at IGR, if implemented. Table 3.1 provides an approach that looks at the organisation contextual dimensions in relation to IGR. Emerging strongly from the arguments and different major contentions is the ability of IGR

operations to have clear procedures, rules and formal decision-making processes in place. This line of reasoning is in support of the previous comments by Agrannoff (2004) on the importance of IGR decisions. Another aspect and line of reasoning is the recognition of another dimension to IGR functionality, introduced as human relations. This argument, as supported by a number of scholars such as Malan (2005), Mathebula (2011), Agrannoff (1996) and Poier (2002) reinforces the fact that IGR is about relationships between government officials holding certain positions.

The purpose of this study is to understand the challenges affecting the functionality of IGR in relation to the organisational contextual dimensions identified as culture, goals and environment. While the reviewed literature is appropriate for this study of IGR, what is peculiar is the relationship between IGR and organisational contextual which the literature has not fully addressed.

Table 4.2 provides a reflection on contingency theory major arguments. While the study focuses on understanding the functionality, this is in relation to the contextual issues of the organisation as reflected in the contingency theory of an organisation. This theory provides for dominant approaches that dominate within the organisation, which are leadership, technology, environment and size. The dominant issues have been properly considered and the selection of the best approach to contingency theory has been informed by the research problem and having regard to what justifies functionality of IGR. Given this reflection, the aim of the research is to understand why IGR is not functional within the three district municipalities of Ugu, Harry Gwala and Uthungulu.

Tables 3.2, 3.5 and 3.6 provide for the conceptual framework that identifies key concepts and how they impact on the organisational effectiveness. These are culture, environment and goals. The conceptual

model brings in some ideas from the traditionally defined field of studies as indicated in section 4.5.1 and integrated lines of investigation that may not have been previously connected.

### 4.5.2 The missing theoretical gap

The major arguments reflect on what constitutes functional IGR and there is little consideration of this functionality in relation to organisational contextual issues such as goals, culture and environment. The previous studies approached the notion of IGR from a legislative point of view and had little or no regard for organisation contextual issues in relation to IGR functionality. The contingency theories made a major contribution to the organisational effectiveness and hence the researcher's contribution.

The study has contributed to theory by introducing some new constructs and their relationship. This involves extending contingency theory and explaining a phenomenon where this theory has not previously been applied. The framework has been built around the three constructs, which contributes to both the internal and external environment of the organisation and these are:

- IGR goals and strategy, which include goal setting, nature of IGR discussions, decision-making, implementation, reporting, monitoring and evaluation;
- Culture of IGR, which includes the notion of multiple cultures that exist within an IGR environment and which tends to either oppose or support the dominant culture; and
- The IGR environment with the focus on tasks and general environment of IGR. Task environment relates to the role of IGR, understanding and partnerships that should be formed with the role-players. General environment refers to political environment and to be specific on environmental uncertainty, which should be managed.

## 4.6 SUMMARY

This section on the conceptual framework deals with the key concepts that are identified and approached this based on applicability and in the context of the research problem. Therefore, key concepts of the organisational contextual dimensions are identified as including environment, goals and culture. The researcher believes that these forms a set of related components that should work together within an organisation for the IGR function to be performed effectively. In relation to the above and applying Maxwell's (2005) Interactive Model of research design, the research developed a conceptual framework that aligns closely with the goals and objectives of the study. In this case the goal of the study is to understand why there are challenges affecting the functionality of IGR in KZN District municipalities from a contextual point of view.

The section concludes by consolidating reflections and major arguments from different literature including general literature on IGR, organisational contextual dimensions and IGR, theoretical framework and proposed conceptual model that inform the rest of the research design and link to the research problem. This reflection has generated ideas on the gaps and further considered the association with theoretical contributions, which suggests reinforcement and more emphasis on contingency theory, as indicated.

In chapter five, the research will demonstrate linkages between the goals of the study, conceptual framework and research questions and links these with research methods and validity.

# CHAPTER FIVE
# RESEARCH METHODOLOGY

## 5.1 INTRODUCTION

This chapter provides a methodology which is meant to clarify how the researcher has undertaken the research. The researcher relied on the previous research experience and findings to obtain units of analysis in such a way that the sample obtained is representative of the relevant population, i.e. the municipalities. In this regard, three district municipalities were selected: Ugu, Harry Gwala and Uthungulu district municipalities. This chapter introduces data collection techniques that were used during the data collection process, which are interviews, focus groups and document analysis. The researcher's approach to data collection commenced with document analysis, followed by interviews and focus groups. The decision to commence with document analysis was based on the fact that documents requested were directly related to questions posed. An example would be the IGR framework which should stipulate the goals and strategy of IGR; the attendance register, which should stipulate the culture in as far as attendance of meetings is concerned; and the minutes which would reflect the type of discussion. In this regard, it was possible for the researcher to make reference to documents during interviews.

Given this background, research methodology is said to have many dimensions and in this study it is aimed at establishing 1) why a research study has been undertaken; 2) how the research problem has been defined; 3) in what way and why the research questions have been formulated; 4) what data have been collected; 5) what particular method has been adopted; and 6) why a particular technique of analysing data has been used. Similar questions will be answered when research

methodology concerning a research problem or study is discussed (Neuman, 2011).

Proper examination of the challenges affecting the functionality of IGR in KZN District Municipalities has been undertaken using applicable methods of data collection, both primary and secondary. It was therefore important to ensure the research design aligns with the questions so as to achieve the objectives of the study. Therefore, this chapter focuses on the methodology applied by the researcher in conducting the study which examines areas such as research approach, research design, data collection approaches and case-specific analysis of data.

## 5.2 RESEARCH APPROACH

The three approaches to research are referred to as qualitative, quantitative and mixed methods. The following definition, taken from Aliaga and Gunderson (2003), describes what the researcher means by quantitative research. Quantitative research is explaining phenomena by collecting numerical data that are analysed using mathematically based methods (in particular statistics). In quantitative research, numerical data is collected and analysed using mathematically based methods. In order to be able to use mathematically based methods, the data have to be in numerical form. This is not the case for qualitative research. Qualitative data are not necessarily or usually numerical, and therefore cannot be analysed by using statistics (Lakoff, 1987). Mixed method involves a combination of qualitative and quantitative approaches.

This study followed a qualitative approach, which Fox and Bayat (2007) describes as methods designed to scientifically explain events, people and matters associated with them and does not depend on numerical data, although it may make use of quantitative methods and techniques.

The key to understanding qualitative research lies with the idea that meaning is socially construed by individuals in interaction with their world; however, there are multiple constructions and interpretations of reality that are in flux and that change over time (Merriam, 2002). The researcher's interest is in understanding what those interpretations are at a particular point in time and within the context of KwaZulu-Natal District Municipalities.

Given the variety of qualitative research design or strategies, the researcher has chosen to focus on basic interpretative qualitative approach, which according to Merriam (2002) exemplifies the researcher's interest in understanding how participants make meaning of the situation or phenomenon. The meaning should be mediated through the researcher as an instrument, the strategy is inductive and the outcome is explanatory.

Babbie and Mouton (2001) differentiates between three goals of research. The first one is exploratory research whose primary purpose is to examine a little understood issue or phenomenon and to develop preliminary ideas about and move towards refined research questions. The second one is descriptive research, which is defined as the research in which the primary purpose is to "paint a picture" or an outline of steps to answer questions such as who, when, where and how. The third one is explanatory research, which is defined as the research whose primary purpose is to explain why events occur, build, elaborate, extend and test theory. The researcher aligns the study with explanatory research as it seeks to explain why there are challenges affecting the functionality of IGR within KZN district municipalities.

According to Neuman (2011), some strengths of this qualitative form of research have been that it allows the researcher to understand the meaning people have constructed about their work and their experiences.

In following this approach, the researcher believes that each of the district municipalities constitutes a case to be studied, which are Harry Gwala, UGU and Uthungulu district municipalities.

## 5.3 RESEARCH DESIGN

Flick (2011) describes the research design as a plan for collecting and analyzing evidence that will make it possible for the investigator to answer questions he or she has posed. However, Babbie and Mouton (2001) defines research design as a plan or blueprint of how one intends conducting the research and further differentiates between the research design and methodology where the research design is said to be focusing on the product whereas the research methodology focuses on the research process and the tools and procedures to be used. Labovits and Hagedon (1987) observes that the purpose of research design is to ensure that the relation between the independent and dependent variables is not subject to alternative interpretation.

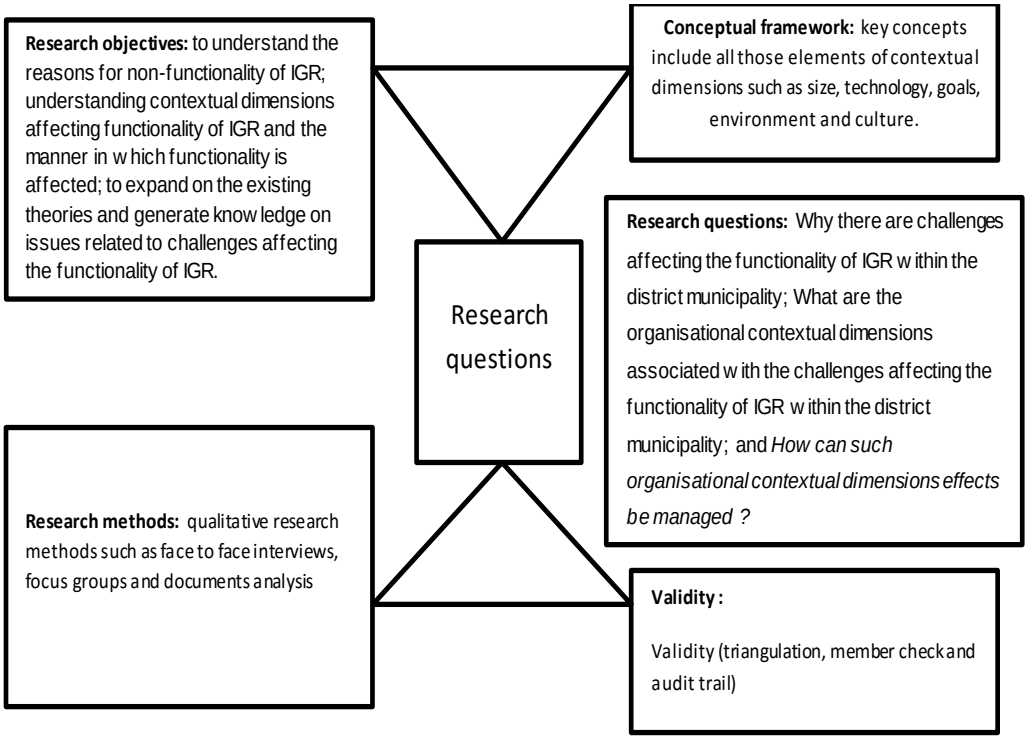
The researcher has followed interpretive approach, which includes conducting a close reading of text to acquire a deep understanding of text, both in conversation or written words. In studying the text, the researcher absorbs the viewpoint the text presents as a whole and then develops an understanding of how each of the parts relates to the whole (Neuman, 2011). Fox (2006) regards interpretivist social science as recognising the need to understand and interpret the meaning of subjects to make sense of the social order, and constructivist approach as a measure in which social reality is seen not as an objective and independent factor, but as emergent from individual or collaborative constructive constructions of concepts, values, beliefs, ethics and norms or actors within a social field. Another approach or paradigm is what is referred to by Alvesson and Skoldberg (2000) as post-positivism, which emphasises meaning and

creation of new knowledge and applies to research that is broad rather than specific.

In choosing interpretive approach as the relevant paradigm, the researcher considered post-positivism and critical theory characteristics and disadvantages in relation to this study. Among other things, one criticism or disadvantage of critical theory is that it rejects the three basic postulates of positivism: an objective external reality, the subject-object distinction, and value-free social science. By denying the subject-object distinction, critical theory strikes at the epistemological heart of positivism. In contrast, the disadvantage of post-positivism in relation to this study is that truth is constructed through a dialogue, and valid knowledge claims emerge as conflicting interpretations (Yosef, 1989).

The study uses a qualitative orientation to examine the challenges affecting the functionality of IGR in KZN District Municipalities. The researcher has ensured that the relationship between the key components of the design are conceptualized through adopting the Maxwell Interactive Model of Research design, which suggests that different parts of a design form an integrated and interacting whole, with each component closely tied to several others, rather than being linked in a linear or cyclic sequence (Maxwell, 2005). The model is illustrated in Figure 5.1 below.

**Figure 5.1: An Interactive Model of Research Design**




Source: Maxwell (2005)

According to Maxwell (2005), the upper triangle of this model should be a closely integrated unit. In doing so, the researcher has ensured that the research questions as stated in the diagram have a clear relationship with the objectives of the study, which is to understand challenges affecting the functionality of IGR within the District municipalities, contextual dimension associated with the challenges and how the effects of such dimensions can be managed in order to ensure functional IGR.

The research question was informed by what is already known about the phenomena studied, i.e. the problem of non-functionality of IGR and the contextual dimensions, which are the theoretical concepts that have been applied to these phenomena. In addition, the objectives of the study as already stated have been informed by current theory and knowledge on IGR and contextual dimension, while the decisions about what theory and knowledge are relevant depends on the objectives and primary questions of the research.

Similarly, the bottom triangle of the model should be closely integrated. In applying this part of the model, the researcher has ensured that methods used for data collection enabled the researcher to answer the research questions, and also to deal with plausible validity threats to these answers. The questions in turn were framed so as to take the feasibility of the methods and the seriousness of particular validity threat into account, whilst the plausibility and relevance of particular validity threats, and the ways these can be dealt with, are dependent on the questions and methods chosen.

According to Maxwell (2005), the research questions are the heart or hub of the model, as they connect all the other components of the design and should inform and be sensitive to these components.

### 5.3.1 Multiple case studies

Stake (2006) defines a case as a noun, a thing, an entity; it is seldom a verb, a participle or a function. Schools may be cases, real things that are easy to visualise, however hard they may be to understand. The author further indicated that, with the case there are opportunities to examine functioning, but the functioning is not the case, even when the main focus is on a phenomenon that is a function, cases are selected that are entities.

The rationale for conducting this research is to examine the challenges affecting functionality of IGR within KZN District municipalities. A multi-case study has been chosen in order to have a study that is focused on a particular area or areas that the researcher can easily monitor. The unit of analysis in this case is the Ugu, Uthungulu and Harry Gwala District Municipalities situated in KwaZulu-Natal.

Thomas (2011) describes a case study as an in-depth explanation from multiple perspectives of the complexity and uniqueness of a particular

project, policy, institution, programme or system in a real-life context with its purpose being to generate an in-depth understanding of a specific topic, programme or system to generate knowledge and inform policy development, professional practice and civil or community action.

The unique contribution of a case study approach is that it provides the researcher with a holistic understanding of the problem, issue or phenomenon within its social context. It is further mentioned that case studies allow for studying systems, which is particularly useful in both social science and health studies (Ryfe, 2007).

According to Zaidah (2007), case studies can be considered as robust research methods particularly when a holistic in-depth investigation is required. Recognised as a tool in many social science studies, the role of case study method in research becomes more prominent when issues with regard to education, sociology and community based problems, such as poverty, unemployment, drug addiction, illiteracy are raised (Zaidah, 2007). According to the author, one of the reasons for the recognition of case study as a research method is that researchers were becoming more concerned about the limitations of quantitative methods in providing holistic and in-depth explanations of the social and behavioural problems in question.

The main concern will be with understanding the case or cases studied in itself, with more interest in theoretical inference with respect to goals and purpose of the case study. As Ryfe (2007) confirms, some researchers conduct case study research with the aim of generalizing to the larger population of cases from which the particular case was selected. This author further suggests that generalisability can be important in a variety of research scenarios, especially when there are public policy implications or other “related world” application of findings which in this case is not

applicable. Research findings will only be used to advocate for changes in the functionality of IGR within the identified municipalities.

Another perspective introduced by Ryfe (2007) which contributes to the goals and objectives of this multi-case study is that of “transferability”. Even though this study will allow for deep understanding of the cases at hand, findings will not be used in other contexts. The researcher will use the case study approach to study this topic in relation to the three municipalities mentioned.

As this research is qualitative in nature, it is necessary to define the concept, its characteristics and relationship with the case study. According to Dawson (2002), qualitative research explores attitudes, behaviours and experience through such methods as interviews or focus groups. It attempts to obtain an in-depth opinion from participants, fewer people take part in the research, but the contact with these people tends to last a lot longer.

Gillham (2000) describes qualitative research as being descriptive and inferential in nature, implying that even though there may be significant statistical results, these have to be described and interpreted and it is here that the quantitative/qualitative distinction starts to break down. The researcher’s choice of a case study has been informed by the qualitative methods it uses to enable the researcher to carry out an investigation where other methods such as experiments are either not practicable or not ethically justifiable; to investigate situations where little is known about what is there or what is taking place; to explore complexities that are beyond the scope of more controlled approaches; to ‘get under the skin’ of a group or organisation to find out what really happens; to view the case from the inside out; and to carry out research into the processes leading to results rather than to the ‘significance’ of the results themselves (Gillham, 2000).

In the cases researched, namely Ugu, Harry Gwala and Uthungulu, the method has enabled a combination of the above to examine the challenges affecting the functionality of IGR in KZN district municipalities. This has been preferred, taking cognizance of Tellis' (1997) view on case studies where it is indicated that case study methodology has been subjected to scrutiny and criticism at various times since the 1930s and as a research tool it has not been a choice that is listed in major research texts in the social sciences. However, having regard to this criticism, the researcher believes that the case study has been the suitable method for conducting this research.

Yin (1993) identifies some specific types of case studies which are exploratory, explanatory and descriptive. The author indicates that exploratory cases are sometimes considered as a prelude to social research, whilst explanatory case studies may be used for casual investigation and further concludes by defining descriptive cases as they require a descriptive theory to be developed before starting the project.

Fox and Bayat (2007) differentiates between these three types which is exploratory when the researcher examines a new interest or when the subject of investigation itself is relatively new. One may want to undertake exploratory investigation in order to obtain at least estimated answers to the research questions; description; when an important aim of scientific research is to describe situations and events. In this case researchers observe and then describe what they observed; and lastly explanation, when scientific management research is aimed at explaining things.

In conducting this research and given the arguments above, an explanatory view has been adopted. In a multi-case study, Firestone and Hemott (1984) argues that the single case is of interest as it belongs to a particular collection of cases and each individual case shares a common characteristic or condition. The cases (Ugu, Harry Gwala and Uthungulu)

in the collection were categorically bound together as municipalities within KZN district municipalities and having a common or similar responsibility or phenomenon, that of intergovernmental relations.

## 5.4 POPULATION AND SAMPLE

A population is defined by Fox and Bayat (2007) as any group of individuals, events or objects that share a common characteristic and represent the whole or sum total of cases involved in the study. The author further suggests that before one can select a sample of the population, that person should be clear about the units of analysis to which the research questions apply. The researcher has selected KZN District municipalities as the population. Within this population of KZN District municipalities, there are district municipalities that were reported as having non-functional IGR and they are Uthungulu, Ugu and Harry Gwala. In choosing the correct sample, the researcher used non-probability sampling method, which is purposeful sampling.

In relation thereto some types of non-probability sampling methods as defined by Fox and Bayat (2007) include convenience sampling, which is the sample obtained when the most convenient or accessible units of population are selected; judgement sampling, which applies where researchers based the selection of the units of analysis on their own expert opinion of the population; quota sampling, where researchers use previously known information about the population to divide it into groups; and purposive sampling, where the researcher relies on the experience or previous research experience and findings to deliberately obtain units of analysis in such a way that the sample obtained may be regarded as being representative of the relevant population. In this research, the latter justifies the researcher's choice of the three District Municipalities due to the already existing information on their functionality.

Neuman (2011) provides for several important uses of purposeful sampling as follows. First, it can be used to achieve representativeness or typicality of the settings, individuals or activities selected. A small sample that has been systematically selected for typicality and relative homogeneity provides far more confidence that the conclusions adequately represent the average members of the population than does a sample of the same size that incorporates substantial random or accidental variation. From the selected municipalities, the researcher went further by selecting district mayors, municipality managers and IGR officials to participate in this research. The selection was based on the knowledge that this group has on IGR, including their role. For example, Mayors sit in the District Mayor's forum, whilst municipal managers form part of the municipal managers' forum and the IGR officials are responsible for facilitation of IGR activities within the district and local municipalities. In this regard, purposive sampling was used to include both selection of municipalities and participants.

In selecting the sample above, suggestions by Palys (2008) were taken into consideration by ensuring that the sample is tied to the objective of the study – that of understanding IGR within KZN district municipalities. In ensuring this understanding, the key role-player within the IGR context includes the Municipal manager's forum, Mayors and IGR officials. Palys (2008) went further by identifying different kinds of purposive sampling to include:

- Stakeholder sampling: this is useful in the context of evaluation research and policy analysis and involves identifying who the stakeholders are;
- Extreme sampling: cases that represent the purest or most clean-cut instance of a phenomenon that the researcher is interested in;
- Typical case sampling: searching for or being interested in the case because it is not unusual in anyway;

- Paradigmatic case sampling: when a case is considered as the exemplar for a certain class;
- Maximum variation sampling: searching for cases that cover a spectrum of positions or perspectives in relation to the phenomenon;
- Criterion sampling: involves searching for cases that meet a certain criterion or that have provided a particular experience;
- Theory guided sampling: researchers who follow a theory testing approach would be interested in finding cases that embody theoretical interests;
- Critical case sampling: the researcher is looking for a decisive case that would help make a decision about which of several different explanations is plausible; and
- Negative case sampling: the researcher is looking to extend the analysis by looking at cases that will disconfirm it.

In a study of this nature, criterion sampling was utilised as cases identified were found to have challenges in relation to IGR. In searching for cases that meet the criteria and that have had a particular experience in IGR, this includes Municipal Municipal managers as they form part of the Municipal managers forum, which is an IGR structure, Mayors as they form part of the Mayors forum and IGR officials as they provide technical support to IGR meetings.

## 5.5 SOURCES OF DATA COLLECTION

Two key design issues in selecting and using data collection methods are that a relationship exists between research questions and data collection methods, and the triangulation of different methods. The data collection methods selected below are considered by the researcher as being relevant and address the research questions.

In conducting data collection, two approaches are used by the researcher, which include conceptualisation and operationalisation of data. Conceptualisation of data is defined by Neuman (2011) as a process which involves the manner in which data is gathered and analysed, the researcher develops new concepts, and formulates definitions for major constructs to create theoretical relationships. However, the conceptualisation is normally preceded by operationalisation and involves developing a description of how the researcher will use working ideas while making observations. In this research, the entry point for data collection has been documents review which is regarded by the researcher as providing a level of knowledge about the social reality, given the research problem.

### 5.5.1 Documents review

A review of documents has been conducted as an important source of data. According to Hancock (1998) a wide range of written materials can produce qualitative information. They can be particularly useful in trying to understand the philosophy of an organisation as may be required in action research and case studies. However, Maree (2007) argues that when documents are used as data gathering technique, the researcher focuses on all types of written communication that shed light on the phenomenon that is under investigation. For the purpose of this research, written data sources included municipal reports, memorandums, agendas, administrative policy documents, IGR reports, minutes of meetings, IGR frameworks, protocols, attendance registers and any documents connected to the study. However, in selecting the referred documents, caution was taken regarding the kind of documents dealt with, publication date and purpose or intention of each document.

**Table 5.1: Summary of documents reviewed**

| Name of document | Relevance to the study |
|---|---|
| IGR Policy framework | Regulates how IGR activities should be conducted within the district |
| IGR Protocols documents | Provides guidance on IGR forums operation and the terms of reference |
| Other IGR policy documents | Regulates specific aspects of IGR |
| Agenda and minutes of IGR meetings for the past six months (July 2014 to December 2014) | Provides insight on the nature of IGR discussion, attendance and how issues are dealt with and followed up |
| Attendance registers of IGR meetings for the past six months (July 2014 to December 2014). | Provides insight on the sittings of IGR forums and attendance |
| IGR reports for the current financial year (July 2014-June 2015). | Provides reports on planned IGR activities |
| IGR plans for the current financial year (July 2014 to June 2015). | Provides operational plans for the implementation of IGR |

Source: Own (2016)

Table 5.1 provides a summary of document analysis, which explains the functionality of IGR in relation to the contextual dimensions such as goals, environment and culture. The documents also provide background information for each case, which assisted the researcher in understanding the case and the municipal environment generally. Through analysis of strategic documents such as IGR framework, plans, reports and protocols, it was easy to understand whether the municipality has clear documented objectives in relation to IGR, where in this case some were found to have the objectives. An analysis of attendance registers and minutes of the meetings contributed to the understanding of the IGR culture and the environment respectively.

### 5.5.2 Interviews

According to Hancock (1998), qualitative interviews can be unstructured or semi-structured. The author observes that semi-structured interviews work well when the interviewer has already identified a number of aspects he or she wants to address, so that the interviewer can decide in advance what areas to cover, while remaining open and responsive to unexpected information from the interviewee.

According to Gillham (2000), research interview is aimed at obtaining information and understanding of issues relevant to the general aims and specific questions of a research project. However, Dawson (2002) describes three types of interviews as unstructured, semi-structured and structured. This author went further by differentiating between the three types as explained below.

a) Unstructured interviews are the researcher's attempts to achieve a holistic understanding of the interviewees' point of view of a situation by asking questions where the interviewee is free to talk about what he or she deems important, with little directional influence from the researcher;

b) Semi-structured interviews are the researcher's attempt to understand and know specific information which can be contrasted with information gained in other interviews and the same question needs to be asked in each interview. It is in this type of interview where the researcher produces an interview schedule with a list of specific questions or topics to be discussed. This is regarded as the mostly common type used in qualitative social research; and

c) Structured interviews are used frequently in market research where the interviewer asks a series of questions and ticks boxes with responses, normally used in quantitative research and can be conducted face-to-face or telephonically.

In this study, face-to-face semi-structured interviews were conducted to examine challenges affecting functionality of District IGR with all Mayors and IGR officials.

### 5.5.3 Focus groups

Challenges affecting functionality of IGR in KZN Districts has been identified by the researcher as one area that required explanation. This led to the identification of challenges through the use of data collection methods and to clear recommendations on how to address the challenges. Given this background, focus groups were found to be the relevant method of data collection to address the referred question. In this case, the Municipal Managers' Forum served as the focus group and the researcher led the discussions by introducing the topic, asking specific questions and recording discussions.

According to Hancock (1998), group interviews can be used when limited resources prevent more than a small number of interviews being undertaken. It is possible to identify a number of individuals who share a common factor and it is desirable to collect the views of several people within that population subgroup and group interaction among participants has the potential for greater insights to be developed.

In the case of a district municipality, participants in the focus group were municipal managers of local and district municipalities. The referred participants shared a common goal and hold the same responsibility within the district, that of ensuring that service delivery is taking place in each local area and in the whole district through IGR arrangements. In this regard and since the study focused on three district municipalities, three district municipal managers' forums with the following number of participants were used:

- Ugu District municipality: 6 Municipal managers

- Harry Gwala District municipality: 6 Municipal managers
- Uthungulu District municipality: 5 Municipal managers.

According to Mack, Woodson and Macqueen (2005), a principal advantage of focus groups is that they yield a large amount of information over a relatively short period of time. They are also effective for accessing a broad range of views on a specific topic, as opposed to achieving group consensus. The face-to-face and focus group interviews conducted are summarised in Table 5.2 below.

**Table 5.2: Summary of face-to-face interviews**

| DISTRICT MUNICIPALITY | NUMBER OF PARTICIPANTS | TARGETED NUMBER | REASONS FOR VARIANCE |
|---|---|---|---|
| Ugu District municipality | 12 | 14 | Non-availability of participants |
| Harry Gwala District municipality | 11 | 12 | Non-availability of participants |
| Uthungulu District municipality | 12 | 14 | Non-availability of participants |
| TOTAL | 35 | 40 | |

Source: Own (2016)

Table 5.2 provides the summary of face-to-face interviews conducted with the Mayors and IGR officials within the three districts and their local municipalities. Within the municipal environment, the mayors in the district and local municipalities are responsible for ensuring functionality of IGR within their area of jurisdiction. In performing this function, they do so with the support of IGR officials whose role is to coordinate IGR activities within the municipal area or jurisdiction. Municipal managers of the municipalities convene municipal managers' forums on a regular basis, which is an IGR structure established to facilitate IGR within the area of jurisdiction and give technical support to the mayor's forum. Therefore, the sample for focus group discussions was derived from the municipal managers' forum for each district municipality. The responses in respect of focus group discussions is provided in Table 5.3 below.

**Table 5.3: Summary of focus group responses**

| DISTRICT MUNICIPALITY | NUMBER IN EACH GROUP | TARGETED NUMBER IN EACH GROUP | REASON FOR VARIANCE |
|---|---|---|---|
| Ugu District municipality | 6 | 6 | n/a |
| Harry Gwala District municipality | 6 | 6 | n/a |
| Uthungulu District municipality | 6 | 6 | n/a |
| TOTAL | 18 | 18 | n/a |

Source: Own (2016)

It should be noted from Table 5.3 above that three focus groups were planned, each with six participants, who are municipal managers in the selected districts. All planned focus groups were conducted with maximum attendance from the participants. The indicated selected sample was considered as being relevant as it provides the understanding of IGR functionality within the municipal area.

## 5.6 DATA ANALYSIS

Analysis of data in this research project involves summarising the mass of data collected and presenting the results in a way that communicates the most important features. In qualitative research the researcher is also interested in discovering the big picture but uses different techniques to find it (Hancock, 1998).

Neuman (2011) suggests that every qualitative study requires decisions about how the analysis will be done, and these decisions should influence, and be influenced by, the rest of the design. He further states that a basic principle of qualitative research is that data analysis should be conducted

simultaneously with data collection, which allows the researcher to progressively focus the interviews and observations, and to decide how to test the emerging conclusions.

### 5.6.1 Qualitative methods of data analysis

The analysis of qualitative research notes begins in the field, at the time of observation, interviewing or both, as the researcher identifies problems and concepts that appear likely to help in understanding the situation. Simply reading the notes or transcripts is an important step in the analytical process. The researcher has used a qualitative data analysis process proposed by Maree (2007). The author differentiates between different methods of qualitative data analysis as indicated in Table 5.4 below.

**Table 5.4: Qualitative methods of data analysis**

| METHOD | EXPLANATION |
|---|---|
| Hermeneutics | Hermeneutics suggests a way of understanding the textual data, whether it is done through pure or critical hermeneutics based on the idea of understanding the text and the interpretation of its parts in which descriptions are guided by the anticipated explanations. |
| Content | Summarise message content through analysis of such things as books, brochures, written documents, transcripts, news reports and visual media. It is used when working with narratives such as diaries or journals to analyse qualitative responses to open ended questions on surveys, interviews or focus groups. |
| Conversation | Focus on talk in interaction, and through a detailed inspection of tape recordings and relies more on patterns, structures and language used in the speech. |
| Discourse | Focus on meaning of the spoken and written word and reasons why it is the way it is. Used for building power and knowledge, for development of new knowledge and power relations. |
| Narrative | Variety of procedures used for analysing stories gathered from research. |

Source: Maree (2007)

Syman and Cassel (2004) defines hermeneutics as a philosophical view of interpretivist social science, an assertion that understanding is interpretation. At the end of the hermeneutic paradigm is what Alvesson and Skoldberg (2000) refers to as objectivist hermeneutics that results in the understanding of underlying meaning, not the explanation of causal connections.

Bleicher (1980) suggests that hermeneutic theory represents a framework for the explication of meaning, for rendering explicit what has remained implicit, taken for granted or misunderstood. In this sense, it is a 'reading' or an interpretation of the self-interpretation of others within the context.

Symon and Cassell (2004) further defines discourse analysis as concerning how individuals use language in specific social contexts. The most popular is critical discourse analysis, which examines how individuals use language to produce explanations for themselves, their relationship and the world in general. As a method, critical discourse analysis is underpinned by a social constructionist epistemology. A key focus is not only on understanding how individuals use language to construct themselves and the world, but also on the understanding of why they construct themselves and the world in particular ways.

Conversation analysis is defined as a rigorous and systematic method for examining social interaction rather than language. Analysis and description of talk is problematic since it presumes a range of 'beliefs' or assumptions carried by the researcher about the nature of the social world and the role of talk for its constitution (Symon & Cassell, 2004).

Webster and Mertova (2007) defines narrative inquiry as a set in human stories of experience. It provides researchers with a rich framework through which they can investigate the ways human experience of the world is depicted through their stories. It is well suited to addressing the

complexities and subtleties of human experience in teaching and learning. It records human experience through the construction and reconstruction of personal stories and is well suited to addressing issues of complexity and cultural and human centeredness because of its capacity to record and retell those events that have been most influential on people.

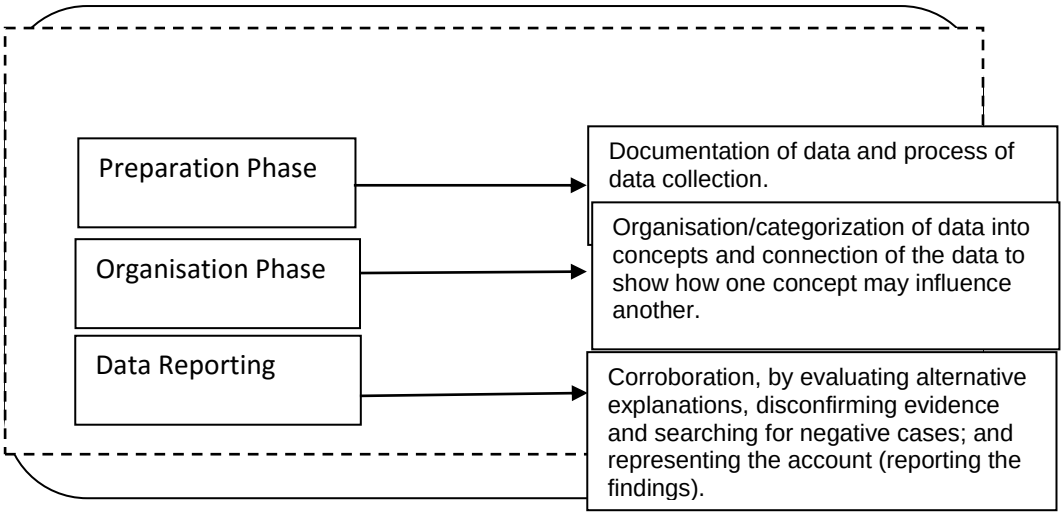
#### *5.6.1.1 Content analysis*

Qualitative content analysis has been defined as:

> "a research method for the subjective interpretation of the content of text data through the systematic classification process of coding and identifying themes or patterns" (Hsieh & Shannon, 2005, p.123);
>
> "an approach of empirical, methodological controlled analysis of texts within their context of communication, following content analytic rules and step by step models, without rash quantification" (Mayring, 2006, p.99), and
>
> "any qualitative data reduction and sense-making effort that takes a volume of qualitative material and attempts to identify core consistencies and meanings" (Patton, 2002, p.76).

These three definitions illustrate that qualitative content analysis emphasises an integrated view of speech or texts and their specific contexts. It goes beyond merely counting words or extracting objective content from texts to examine meanings, themes and patterns that may be manifest or latent in a particular text. For research of this nature, the researcher analysed data using content analysis as depicted in Figure 5.2 below.

**Figure 5.2: Flow model of data analysis**




Source: Sage Publications (2008)

The process depicted in Figure 5.2 above is further defined below.

**Documentation:** Basic data in the form of notes were taken during the document analysis process and interviews, from which the original comments, observations and feelings were reconstructed. “The basic data are observations and conversations, the actual words of people reproduced to the best of my ability from the field notes” (Mayring, 2006, p.7).

**Conceptualization, Coding, and Categorizing:** Important concepts were further identified and refined as this informed the key part of the iterative process of qualitative research. Conceptualization begins with a simple observation that is interpreted directly, “pulled apart” and then put back together more meaningfully.

**Examining Relationships and Displaying Data (reporting):** Examining relationships became the centrepiece of the analytic process, because it allows the researcher to move from simple description of the people and settings to explanations of why things happened as they did with those people in that setting. The process of examining relationships was

captured in a matrix that shows how different concepts are connected, or perhaps what causes are linked with what effects.

**Authenticating Conclusions:** There are no set standards that exist for evaluating the validity or "authenticity" of conclusions in a qualitative study, but the need to consider carefully the evidence and methods on which conclusions are based is just as great as with other types of research (Becker & Gordon, 1966). In this regard, individual items of information were assessed in terms of at least three criteria as suggested by Becker and Gordon (1966).

**How credible was the informant?** In this regard the researcher ensured that information is provided by correct participants and no delegation to irrelevant officials is done, e.g. IGR officials, Mayors and Municipal managers.

**Were statements made in response to the researcher's questions, or were they spontaneous?** The researcher probed the participants to provide more information in cases where responses were not clear.

**How does the presence or absence of the researcher or the researcher's informant influence the actions and statements of other group members?** During focus group discussions, the researcher read through the Participant Information Sheet which sets out why the researcher is doing the study, what their participation would involve, what the benefits and risks pertaining to the study are and what would happen after the study ends. The participants were further informed of protection of confidentiality and anonymity as well as their right to discontinue, in as far as face-to-face interviews are concerned. However, whilst anonymity could not be guaranteed in relation to focus group interviews, participants were encouraged to keep confidential what they heard during the meeting

and researchers have the responsibility to anonymise (remove identity particulars) data from the group.

### 5.6.2 Applying cross-case methods for data analysis

A multiple-case or cross-case study strategy explains the causal links in real-life situations that are too complex for a single survey or experiment (Yin, 1993). Yin (1993) suggests that applicable causal connections can be analysed within the sophisticated case studies applying different methods of analysis such as simpler patterns, pattern matching and rival explanation as patterns. Simple pattern matching identifies a specific conclusion as a dependent variable and discover how and why this conclusion has occurred in each case, that is, the independent variables. A general analytic strategy outline key differences in the trends observed in order to cultivate a theoretically substantial explanation for the different conclusions.

In this study of multiple cases, individual case studies were produced using qualitative research methods which form the body of this research. Initial data for this study was collected through face-to-face interviews and group discussions in the three participating District municipalities.

Detailed scripts and notes of the group discussions were combined with additional data gleaned from a survey instrument and transcripts from interviews. Three separate case reports were further prepared and tabled, each offering rich descriptions of the concepts arising from the contextual dimensions within the context of IGR.

The case reports provide for vicarious understanding that respond to the guiding research question, “Why are there challenges on the functionality of IGR in the municipalities?” Individual municipal contextual

attributes/qualities (environment, culture and goals) were combined to produce lessons that deliver similar content in highly divergent ways.

In doing the analysis, a case study database was maintained for each case. This involves conseving the data in such a way that other enquiries could review the evidence, thereby improving reliability of the case studies. The case database comprise of documents relevant to the study, interview transcripts, field notes and summaries of data collected for each case (Yin, 1993). All of the case materials were coded using open and axial coding as discussed in Strauss & Corbin (1990). According to the author, open coding refers to tagging and categorisation of data and axial coding refers to making connections between categories identified in the open coding process.

The factors specified in the conceptual model served as initial sensitising concepts for the open coding. More specific coding categories emerged during the actual coding of data. Certain common themes emerged across cases during the analysis. Each case was examined and a case matrix developed to include the major concepts of the research questions. Those concepts are environment, culture and goals. The individual case reports supply evidence to answer the secondary questions from the municipality's point of view.

Following the development of individual case reports, the individual matrices as well as the reports themselves were reviewed and examined in order to analyse findings across cases using Stake's (2006) categorical aggregation method. A cross-case matrix display was developed for each of three critical issues or themes underlying the related research questions (culture, environment and goals) using Stake's cross-case analysis technique. The technique provides for unique steps that should be followed in multiple case studies and each step is followed and explained in the next chapter. These matrices allow for a quick analysis down rows

and across columns to see what emerges (Stake, 2006). According to Stake (2006), it is possible to collect data from the three cases and to discern patterns or themes. Careful re-examination, rechecking and triangulation of results from a review of initial data sources and case reports lead to verification, revision and discarding of impressions.

The initial cross-case matrices were modified to cluster data within matrices by related themes for the purpose of better understanding. The intent of the study is neither comparative nor evaluative, but rather to describe and explain the reality of the challenges affecting IGR using contextual dimensions in order to inform others. The above outlined process led the researcher to a point where she was able to piece together information to produce aggregate impressions (Stake, 2006).

Once the cases are analysed, tentative statements that account for the patterns in the case data were formulated. The statements were then revised to explain the patterns in all three cases. The patterns and relationship were reported as thematic issues across cases.

## 5.7 VALIDITY AND RELIABILITY OF RESEARCH INSTRUMENTS

According to Ryfe (2007), in case study analysis validity and reliability is affected by challenges of excessive data. For example, researchers may recall the most appealing or exceptional incident rely on first impressions or assume relationship between synchronised events.

### 5.7.1 Validity

Ryfe (2007) describes data validity as a process whereby the researcher gains the assurance of the reader that he or she has “gotten it right”. In qualitative research, the author further suggests that validity takes the form of subjecting one’s findings to conflicting claims and explanation and

providing the reader with convincing arguments for the specific knowledge claim that can be determined by assessing the basis of invalidity.

According to Maree and Van Der Westhuizen (2009), the risks caused by data collected are not severe as compated to quantitative validity. However, according to this author elements that has the potential of threatening the internal validity if not properly managed include historical factors ( incidential events that are due to time lapse between two different measurements); maturation (changes that occur within the participants); testing (the effect of the pre-test on the final measurement); alterations in measuring instruments and loss of participants.

Regardless of the above, the following are the questions that the researcher had in mind when approaching the issue of validity:
How might the conclusions an results be incorrect? What are the credible and reasonable alternative explanations and threat of validity to these and how they could be dealth with? How can the data collected, support or challenge the researcher's views of the reality? Why the results should be believed?

Several authors identified uniform procedures for ensuring validity in qualitative projects with which the researcher had aligned herself (Lincoln & Guba, 1985; Maxwell, 2005; Merriam, 2002; Shenton, 2002). The procedures refer to employing member checking, credibility, triangulation, conformability, dependability and transferrability. Given the above, the researcher has approached the issue of validity from the relevancy point of view. Table 5.5 provides the criteria for ensuring validity as conducted by the researcher.

**Table 5.5: Criteria of validity as provided by the research**

| Quality criterion | Possible provision used by the researcher |
|---|---|
| Credibility | Adoption of well recognised and appropriate research methods;<br>Ensuring familiarity with participating municipalities;<br>Triangulation via use of different data collection methods;<br>Measure to ensure honesty in participants;<br>Debriefing sessions between researcher and participants;<br>Description of background and qualifications of the researcher;<br>Examination of previous research to inform findings. |
| Transferability | Provision of background information to ascertain the context of the study. |
| Dependability | Employment of overlapping methods of data collection;<br>In-depth methodological description to allow study to be repeated. |
| Confirmibility | The extent in which results could be confirmed and documentation of processes followed. |

Source: Shenton (2002)

Table 5.5 above represents some of the provisions made by the researcher in dealing with issues of validity. The above criteria were approached based on relevancy and applicability. Given the comparison made in Table 5.5, it the view is that ensuring validity and reliability is necessary, hence the choice of validity tools as discussed below.

#### *5.7.1.1 Credibility (in reference to internal validity)*

According to Merriam (2002), the qualitative researcher's equivalent concept, i.e. credibility, deals with the question, "How congruent are the

findings with reality?" Lincoln and Guba (1985) argues that ensuring credibility is one of most important factors in establishing trustworthiness. The credibility criteria as indicated by Merriam (2002) involves establishing that the results of qualitative research are credible or believable from the perspective of the participants in the research. Since, from this perspective, the purpose of qualitative research is to describe or understand the challenges affecting functionality of IGR within the three district municipalities of interest in the participant's eyes, the participants are the only ones who can legitimately judge the credibility of the results.

Within this context and during data collection, the researcher embarked on a process called member checking. This is the range of methods used in data collection include face-to-face interviews, focus group discussions and document analysis. A request for information was formally made with the Municipal managers of the district municipalities, which informed the document analysis process. In establishing credibility, the researcher took the raw data of documents requested back to the IGR coordinators for them to confirm the credibility of the information provided. IGR coordinators are responsible to coordinate IGR activities and are also custodians of IGR activities and policy framework. The following was proposed by Lincoln and Guba (1985) and further considered by the researcher in ensuring credibility.

The development of an early familiarity with the culture of participating organisations before the first data collection dialogues take place: This was achieved via consultation of appropriate documents and preliminary visits to the organisations themselves. In this regard, the researcher had sessions with individual district municipality IGR forums and made a presentation which introduced the research within the district, provided information and explained the approach.

Tactics to help ensure honesty in informants when contributing data: In particular, each person who is approached was given the opportunity to refuse to participate in the project so as to ensure that the data collection sessions involve only those who are genuinely willing to take part and prepared to offer data freely. Participants were encouraged to be frank from the outset of each session, with the researcher aiming to establish a rapport in the opening moments and indicating that there are no correct answers to the questions that will be asked. Where appropriate, the independent status of the researcher was emphasised. This encouraged participants to contribute ideas and talk of their experiences without fear of losing credibility in the eyes of managers of the organisation. It was made clear to participants that they have the right to withdraw from the study at any point, and they would not be required to disclose an explanation to the investigator.

According to Merriam (2002), triangulation may involve the use of different methods, especially observation, focus groups and individual interviews, which form the major data collection strategies for much qualitative research. In this research, triangulation was applied to ensure that the research was both valid and reliable. This was done by using different sources of data collection, which include face-to-face interviews, discussion groups and document analysis. The interviews were undertaken with the Mayors of the three district municipalities, and the data gathered through this technique was validated through focus group discussions with the municipal managers' forums. This has been done by ensuring that these methods enable the researcher to answer the research questions, and also deals with plausible validity threats to the answers. The questions in turn were framed so as to take the feasibility of the methods and the seriousness of particular validity threats into account, while the plausibility and relevance of particular validity threats and the ways these can be dealt with depended on the questions and methods chosen.

### *5.7.1.2 Transferability (in reference to external validity or generalisability)*

Merriam (2002) writes that external validity "is concerned with the appropriateness of findings to other settings". According to this author, transferability refers to the degree of generalisaiton of the results to other contexts or settings. According to Bassey (1981), the qualitative researcher can enhance transferability by thoroughly describing the research context and the assumptions that are regarded as being central to the research. The results of this research are not transferrable or generalisable; however, the research context has been clearly defined to include the three district municipalities of Ugu, Harry Gwala and Uthungulu.

The work of Lunzer and Gardner (1979), Marchionini and Teague (1987) and Pitts (1994) highlights the importance of the researcher conveying to the reader the boundaries of the study. The number of municipalities taking part in the study and where they are based; restrictions on the type of people who contributed data; the number of participants involved; data collection methods that were employed; number and length of the data collection sessions and the time period over which the data was collected were considered at the outset and captured in this research report.

This was necessary so that the results of this study are understood within the context of the particular characteristics of the organisation or organisations and geographical area in which the fieldwork was carried out.

### *5.7.1.3 Dependability (in reference to reliability)*

The idea of dependability according to Stake (2006) emphasises the need for the researcher to account for the ever-changing context within which research occurs. The research is responsible for describing the changes that occur in the setting and how these changes affected the way the

research approached the study. While the municipalities are undergoing the process of re-demarcation of municipal boundaries. However within the three districts the process will result in the merger of some local municipalities and all three district municipalities studied remain, although with fewer municipalities. The process is due to be finalised by August 2016.

In addition, Lincoln and Guba (1985) highlights the existence of close ties between dependability and credibility, arguing that in practice an evidence of the former assist in ensuring the latter. This was achieved through the use of “overlapping methods”, such as the focus group and individual interview. This author further indicates that in order to address the dependability issues, the processes undertaken should be reported in detail, so that a future researcher can repeat the work to gain the same results. The research has addressed this notion.

#### *5.7.1.4 Confirmability (in reference to objectivity)*

Qualitative research assume that each researcher brings an exclusive and unique perspective to the study. Fidel (1993) refers to conformability as the extent to which the results could be agreed to or validated by others. There are a number of strategies for enhancing confirmability. The researcher in this regard has documented the procedures for checking and re-checking the data throughout the study. The researcher further conducted a data audit that examined the data collection and analysis processes and concludes about the potential for distortion. In establishing an audit trail, the researcher provided clear documentation pertaining to all the research activities. This includes attendance registers for focus groups, presentations made, notes produced as well as a diary of all appointments conducted. The researcher further documented the process of data collection through keeping a research log of all the activities, recording data analysis proceedings clearly and developing data collection chronology (Creswell & Miller, 2000).

Here, steps were taken to help ensure as far as possible that the research's findings are the result of the ideas, understanding and experiences of the participants and not that of the researcher. The role of triangulation in ensuring confirmability could not be over-emphasised as it assist in reducing the investigator bias. Miles and Huberman (1994) considers that a criterion that is key to confirmability is the ability of the researcher to admit his or her own biasness. In this regard, the researcher assured the participants that the process of data collection is transparent and unbiased

#### *5.7.1.5 Validity within lens and paradigm*

In this regard, the researcher used a viewpoint in establishing validity in the study. In as much as the approach to member checking involves three steps where the researcher's lens, the participant's lens and the credibility of an account by the individuals external to the study are used, the researcher has been confined to the first step, which is the researcher's lens. However, certain paradigm assumptions govern how valid the approach choses and these are constructivist, post-positivist and critical perspective (Lincoln & Guba, 1985). The research is in line with post-positivism paradigm, which recognise that how researcher work and think and how people think is not different.

According to Gross (1968), the post-positivist highlights the importance of using different measures and observations, which may have different errors and the need to use triangulation given the multiple sources that may have inaccuracies to inform the reality. The researcher has used the following three procedures in line with the post positivism approach.

### 5.7.2 Reliability

Reliability is defined by Creswell and Miller (2000) as the ability of any measurement procedure to yield the same results overtime. In short, the repeated use of the measurement procedure should produce the same results. Most importantly, it should be understood that, the measure can be perfectly reliable and not necessarily be valid.

However, according to Merriam (2002) reliability and validity goes hand-in-hand. Reliability refers to the ability of the measuring instrument to produce the same results overtime. As suggested by Ryfe (2007), threats to reliability should be considered and addressed during the design phase. In doing so and in this research, participants were trained adequately on how to use the instruments and to ensure consistency in data collection and the documentation processes were structured to ensure higl levels of quality and consistency.

Creswell and Miller (2000) further argues that the more reliable instrument is the researcher as the primary instrument for collecting and analysing data. Moreover, peer-examination process was undertaken and involves discussing the process of the study with colleagues; in this regard a presentation was made with each group of Mayors and Municipal Managers. The researcher also utilised the audit trial as well as her position by conducting critical self-reflection based on the researcher's assumptions, biasness and relationship to the study that may affect the investigation (Merriam, 2002).

## 5.8 ETHICAL CONSIDERATIONS

Ethical concerns in any research projects are inevitable. Even though this research study first and foremost was built on trust between the researcher and the participants, clear measures were taken to prevent any problems that may arise. According to Fox and Bayat (2007), ethics in relation to research includes getting informed consent from the intended

participants. The issues that were addressed in the system of ethical conduct for this research includes informed consent, which requires that participants be informed of the research, the purpose and nature and must agree to take part without coercion; confidentiality, where participants were informed that responses to questions shall be regarded as confidential and to some extent anonymous so that the reader of the research would be unable to know the identity of the participant; right to discontinue, where the researcher has informed the participants of their right to discontinue taking part in interviews and focus groups and biasness, where the researcher has ensured the participants that the process of data collection is transparent and unbiased.

It should be noted that, in relation to focus groups, anonymity could only be guaranteed to a certain extent as group members within the identified groups know each other. In relation to this, discussion sessions reflect the content of the discussions and not in relation to the person. At the time of the research, the researcher was employed by the Ugu district municipality in the capacity of General Manager Corporate Services, which is one of the municipalities in which this study is conducted. To avoid biasness, the researcher verified data collected with different data sources (interviews, focus groups, documents analysis). In addition, some respondents work for Ugu District Municipality, where the researcher works and are known by the researcher, both as colleagues and socially. The researcher, in avoiding social desirability bias, where the respondent would answer questions in a way they think will be liked or accepted, has focused and maintained an unconditional positive regard of all responses. This includes phrasing questions to indicate that it is acceptable to answer in a way that is socially undesirable (Doudou & De Winter (2014). The researcher had a responsibility to guard against the respondents' views on the municipality being studied, which would have influenced how they answered the questions related to that municipality. The researcher maintained a neutral stance and limited reinforcement to positive feedback

that can be construed as her affiliation to the municipality and reiterated her independent status.

## 5.9 UNETHICAL CONDUCT

The researcher maintained a high ethical standard throughout the process through avoidance of research fraud by ensuring originality and authenticity of data collected; avoiding plagiarism by properly acknowledging the work and contribution of others; and deception where all participants were informed of the nature of the study so that they may feel comfortable to participate or withdraw their participation.

## 5.10 LIMITATIONS OF THE STUDY

The research study is captured through the title as “Challenges affecting the functionality of IGR in KZN District municipalities”. As this is an explanatory study, it was expected that there might be some disadvantages; however, the main shortcoming was that of providing valid documentation as requested. In dealing with this, the researcher ensured validity of documentation through member check, by allowing the IGR practitioners to authenticate the documents. The other limitation experienced during the research was the availability of participants at the required time. This led to the researcher deviating from the initial plan by allowing more time for data collection. In relation to this study, the researcher remained independent and unbiased whilst employed by Ugu District Municipality. However, the IGR function is being performed in a separate department in which the researcher is not involved. A further limitation of this study is the validity and reliability of secondary sources. In this regard the validity and reliability of the information obtained from secondary sources was tested through ensuring that literature reviews were confirmed and substantiated in other sources of literature and that it consistently supported the research objective.

## 5.11 SUMMARY

This chapter has highlighted key methodological aspects of the research. Informed consent was received from all participating municipalities and participants were further provided with information sheets explaining why the researcher is doing the study, what their participation would involve, what the benefits and risks are, and what would happen after the study ends, and further gave them an opportunity to decide whether to participate or not. As data was collected within three cases, it was clear that the response rate exceeded 90%. As documents requested were received, care was taken to confirm authenticity of the documents through member checking, by taking raw data of documents requested back to the IGR coordinators for them to confirm the credibility of the information provided.

During the process of data collection, the researcher was aware of ethical considerations and conducted herself according to the required standards. The main limitation encountered during the process includes the time it took to conclude the process, given non-availability of participants and the need to do follow-up visits. Data collected was stored in a password protected computer and archived in files during and after utilisation. The next chapter presents the case findings per district municipality based on the document review and interviews conducted.

# CHAPTER SIX
# CHALLENGES AFFECTING THE FUNCTIONALITY OF IGR IN KZN DISTRICT MUNICIPALITIES

## 6.1 INTRODUCTION

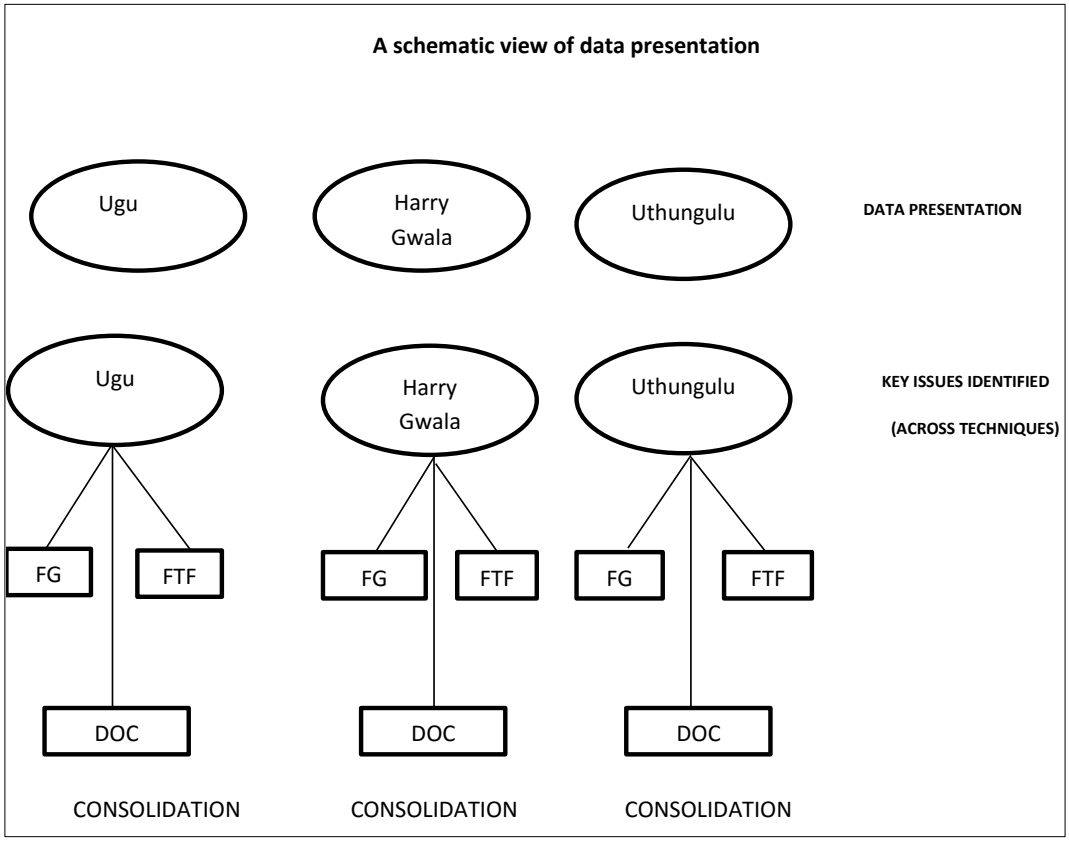
This chapter presents three case studies conducted in three district municipalities, which are Ugu, Harry Gwala and Uthungulu district municipalities. The case studies aim to investigate reasons for the challenges affecting the functionality of IGR within the three district municipalities. Furthermore, the case studies are aimed at understanding this from a contextual perspective and given the organisational goals, culture and the environment. As the previous chapter outlined the process followed in this research, this chapter presents data collected during the process. Data is then consolidated and key issues identified across data collection techniques and in relation to goals, culture and environment.

## 6.2 DATA PRESENTATION STRATEGY

Collection of data in this study was done using three different techniques, which are document analysis, face-to-face interviews and focus groups. Documents analysed include the Municipal Integrated Development Plan which serves as a strategic document and outlines the background information of the municipality, goals and targets in relation to the municipal programme; IGR policy framework which provides an overview of IGR activities that are conducted and managed by each municipality; the IGR Protocol document which serves as a standard operating procedure and an agreement with role-players or partners on implementation of IGR activities; IGR reports that provide a summary of IGR activities conducted, challenges and successes; minutes of IGR meetings conducted within the past twelve months, which provide an

indication of what is discussed in IGR meetings and whether this aligns with the requirements for functional IGR; and attendance registers of IGR meetings conducted in the past twelve months which provides an indication of frequency of IGR meetings and attendance. The documents analysed provide background information and the overview of IGR within the municipality and is regarded by the researcher as the entry point. Secondly, data collected through face-to-face interviews is presented simultaneously with focus discussions and using organisational contextual issues which are goals, environment and culture to inform prominent themes. This process informs data analysis for individual cases and across cases and the consolidation process conducted in the following chapter. Figure 6.1 provides a schematic view of the data presentation approach.

**Figure 6.1: A schematic view of data presentation**




Source: Own (2016)

Figure 6.1 above presents the approach undertaken in presenting data for each case. The approach starts with presentation of data collected for each case, identification of key issues across different techniques and for each case and finally consolidation of the identified key issues for each case and in respect of each municipality.

### 6.2.1 Interview responses

Within the municipal environment, the mayors in the district and local municipalities are responsible to ensure functionality of IGR within their area of jurisdiction. In performing this function, they do so with the support of IGR officials whose role is to coordinate IGR activities within the municipal area or jurisdiction. Municipal managers of the municipalities convene municipal manager's forums on a regular basis, which is an IGR structure established to facilitate sound co-operative governance within the area of jurisdiction and give technical support to the mayor's forum. Therefore, the selected sample was considered as being relevant as it provided the understanding of IGR functionality within the municipal area. It should be noted that 40 participants were targeted across all district municipalities. Out of 40 targeted participants, 35 were available for interviews. The variance of 5 was due to the non-availability of the participants.

Three focus group discussions were planned, each with six participants, who are municipal managers in the selected districts. All planned focus groups were conducted with maximum attendance from the participants. In relation to focus groups and interviews, data was presented under the three thematic topics such as goals, environment and culture. The presentation of data starts with Ugu district, followed by Harry Gwala district and concluding with Uthungulu district as presented below.

## 6.3 CASE STUDY 1: UGU DISTRICT MUNICIPALITY

### 6.3.1 Document analysis

Documents were requested which gave a clear background and overview of the IGR functionality within Ugu district. The background of the municipality is informed by the Municipal Integrated Development plan of the 2014/2015 financial year and reflected in section 6.3.1.1 below. This is followed by an overview of IGR within the Ugu District Municipality as informed by 2013/2014 IGR Framework, IGR Protocols documents, IGR reports, minutes and attendance registers of IGR meetings.

#### *6.3.1.1 Background of Ugu District municipality*

Ugu District municipality is one of the ten district municipalities in KwaZulu-Natal located at the most southern tip of the Province, covering 112km of the Indian ocean coastline. It is bordered by the Eastern Cape Province to the South, Indian Ocean to the east, Harry Gwala and Umgungundlovu municipalities to the west and Ethekwini Metro to the north. It comprises six local municipalities which are Ezinqoleni, Umuziwabantu, Hibiscus Coast, Umzumbe, Umdoni and Vulamehlo.

One of the recent developments in relation to Ugu district is the proposed re-demarcation of the municipal boundaries, which suggests dis-establishment of the Hibiscus Coast municipality and Ezinqoleni and the formation of one municipality instead of two. Furthermore, this proposed re-demarcation will lead to the take-over of Vulamehlo municipality by Umdoni Local and Ethekwini Metropolitan municipality, which suggests takeover of seven wards by Umdoni and three wards by Ethekwini. The process is due to take place after local government elections that took place in May 2016.

Ugu District municipality key functions include planning for development for the district as a whole; providing bulk supply of water and sanitation that affects a large proportion of the municipalities in the district; providing municipal health services for all municipalities in the district; ensuring bulk sewerage purification works and main sewerage disposal; providing waste disposal sites for the whole district and providing municipal local economic development initiatives. Ugu district municipality provides these functions in consultation with the local municipality under which a function or a project resides at a particular point in time.

In relation to IGR, Ugu District Municipality is required to ensure establishment of IGR Forums within the district, ensuring their functionality in partnership with Local Municipalities and other spheres of government. The IGR Framework Act of 2005 regulates the performance of the IGR function and requires the district municipalities coordinate IGR between the district municipality, the local municipalities and sector departments in the district.

**Figure 6.2: Map of Ugu District**




Source: Ugu Integrated Development Plan (2015)

Figure 6.2 is the map of Ugu district including its local municipalities. As reflected in the map, Ugu district has six local municipalities and their population, extent and number of wards is reflected in Table 6.1 below.

**Table 6.1: Ugu District municipality local spread**

| **Municipality** | **Population** | **% population** | **Area (km2)** | **Wards** |
|---|---|---|---|---|
| Hibiscus Coast | 236 133 | 30.99 | 839 | 29 |
| Umzumbe | 160 975 | 27.52 | 1.259 | 19 |
| Umuziwabantu | 96 556 | 13.11 | 1.969 | 10 |
| Vulamehlo | 77 403 | 11.80 | 960 | 10 |
| Umdoni | 78 875 | 8.85 | 252 | 10 |
| Ezinqoleni | 52 540 | 7.73 | 648 | 6 |
| Ugu | 722 484 | 100% | 3 047 | 84 |

Source: Ugu District Municipality Integrated Development Plan (2014-15)

Given the background as provided in Table 6.1, note should be taken that Ugu district is 86% rural and 14% urban and peri-urban areas. The district has experienced a decline of its population in certain areas, which has put pressure on government in ensuring that resources and development is channeled through these areas using the appropriate methods. The size of the municipality and the number of households have a direct impact on the provision of services within the local areas and hence the need for co-operative governance and participation by all. Whereas Hibiscus Coast Municipality (HCM) is the third biggest local municipality within Ugu district, it has a population larger than all other municipalities within the district. HCM is regarded as the economic hub in the district, where most developments are channeled to and is the tourist attraction area as it covers an area of approximately 90 kms of coastline, comprising 21 beaches and extends 30 km inland, covering an extensive rural area under the leadership of six tribal authorities. All the six local municipalities are required to deliver satisfactory services to the community and in doing

so the district is required to coordinate such provision with all role-players and stakeholders (Ugu District Municipality IDP, 2014/2015).

#### *6.3.1.2 An overview of IGR at Ugu District municipality*

Given these characteristics, it is clear that the existence of organisations is important to both the community and the people within the organisation. According to Fox (2006), over the past 100 years or so organisation theory has developed into a distinctive social science discipline, a body of thinking and writing that tries to describe, explain and sometimes influence what occurs in organisations. According to the author, during the past two decades, organisation theory has also become increasingly diverse in terms of the perspectives that organisation theorists use to study these important social phenomena which affect so many aspects of human lives

Ugu District Municipality documents such as IGR Policy framework, protocols document, minutes of meetings, attendance registers and reports were analysed in order to understand how IGR functions within the district. Sections below reflect results of the document analysis.

**An IGR Policy perspective:**

Ugu District IGR Framework (2013): The municipality has adopted an IGR framework which seeks to provide and explain principles of IGR and co-operative governance and provide the basic architecture of IGR structures, procedures and policies for settling intergovernmental disputes. IGR within the district is regarded as an instrument for mobilising the distinctive efforts, capacities, leadership and resources of each sphere towards service delivery and government defined developmental objectives.

The municipality has established the IGR forums, in line with the IGR Framework, that are meant to promote co-operative governance which is premised fundamentally on the notion that government is not just a collection of disparate entities but an indivisible union based on the idea

that government as a whole should plan and work together to achieve greater levels of coherence in service delivery and development. Co-operation and participation by all role players (local, provincial and national governments) within the district is what the IGR Framework seeks to achieve, hence the need for good and functional IGR.

In addition, it is clear from the municipality's records that the IGR framework was adopted by the municipal councils and awareness was created through a workshop held with all role-players (local municipalities and sector departments) in September 2013. Reading from IGR reports, it is clear that the IGR framework was internalised throughout all the municipalities within Ugu District municipality and with all role-players. It was evident that targets as outlined in the Service Delivery and Budget Implementation Plan and the Performance Reports for 2013, 2014, 2015 financial years and subsequent reports were mainly focusing on the number of meetings coordinated by Ugu District municipality.

**Institutional arrangements: IGR clusters**

The District IGR Framework (2013) provides for a cluster approach which seeks to improve the functionality of the District Intergovernmental Relations and engender an even deeper internalisation of cluster work among all critical stakeholders in the District. It seeks to ensure that policy development, implementation and decision-making in the District are characterised by a high degree of efficiency and professionalism, and it also seeks to ensure that principles of co-operative governance are internalised and adhered to at all times so that the vision of Ugu District is realised.

In terms of the IGR Framework, the dates of meetings of clusters correspond to the schedule of meetings for the Council and its Committees, District Mayors' Forum and the Executive Committee (EXCO). The cluster secretariat prepares and presents to Ugu

Management and EXCO a consolidated cluster, Council and Standing Committees schedule for the year and compliance with this is mandatory.

All the relevant Heads of Department are required to attend all cluster meetings and flexibility in this regard is strictly limited. Relevant and strategic personnel attend as and when they are required to support the presentation of relevant departmental submissions. In addition, local municipal managers and senior managers representing national or provincial departments/public entities based in the district should at all times be invited. Furthermore, submissions from these stakeholders originate from the department or municipality and are signed by the relevant Head of Department within the district municipality.

Upon perusal of annual reports and performance reports on IGR, these did not provide information on the functionality other than the sitting of IGR meetings, which according to the reports remained a challenge due to poor attendance from sector departments and some of the municipalities.

During the financial years 2013 to 2014 as per the relevant reports, targets were set in the Municipal Service Delivery and Budget Implementation Plan on the number of cluster meetings that should sit, but it was clear from the reports that this target was not implemented. This was evident from the attendance registers of IGR meetings which highlighted gaps in attendance, the nature of discussions, implementation of decisions taken and co-ordination of IGR function. This was the case for both the 2013 and 2014 financial years.

**Municipal Manager's forum:**

Roles and responsibilities of the Municipal Manager's forum as outlined in the Ugu District IGR Framework (2013) include the provision of technical support and advice to the District Mayor's Forum; ensuring implementation of the decisions of the District Mayor's Forum; reporting on progress in the

implementation of the district priorities and programmes as determined by the District Mayor's Forum (DIMAFO); designing integrated programmes on policy implementation with clear timeframes; and performing duties as delegated to them by the District Mayors Forum. The role of the Municipal Manager's forum regarding the setting of the DIMAFO agenda is to ensure that sufficient technical processes have been conducted with other relevant intergovernmental forums and stakeholders prior to submission of the agenda items to the District Mayor's Forum; to monitor the implementation of District Mayor's Forum decisions; to ensure that the District Mayor's Forum agenda and documentation is distributed by the Secretariat to members at least seven days before the meeting; advise the District Mayor's Forum on instances where joint District Mayor's Forum meetings (between two or more District Mayor's Fora) are required to discuss and consult on issues which are common in nature; and lastly to discuss the programme and approach for the District Mayor's Forum agenda. The Municipal Manager's forum sits bi-monthly and the attendance has been inconsistent, with the attendance by municipal managers or their representatives.

It was clear from the agendas perused that the District municipality sets the agenda for IGR meetings, in consultation with the local municipalities who were found to have little or no input into the agenda. Reports are prepared by the Municipal Manager's forum and submitted to the Mayor's Forum for more deliberations and decision-making. Important aspects that are outlined by Malan (2005) and COGTA (2012) which defines functional IGR were found to be missing in the IGR discussions and drawing from the reports of Ugu District municipality IGR. These areas relate to the ability of IGR to discuss progress and problems in service delivery within the district, co-ordination of planning initiatives in the district, support given to other local municipalities and the ability of IGR to discuss new and existing policies. These were not evident in IGR planning documents, reports and minutes. These areas are regulated and addressed in the

IGR Framework Act (The IGR Framework Act, 2005), which is a national policy document and forms the basis for the Ugu District IGR Framework (2013).

**District Mayor's Forum (DIMAFO):**

The main aim of the DIMAFO is to enhance integrated development and consider service delivery priorities in the entire district. Its goal is to ensure that the decisions of each municipality are enriched by others, including sharing of information and understanding of the respective programmes of other municipalities; clearer understanding of mutual strategic priorities and how these complement each other; commitment to collaborate, engage and share information on policy implementation, ensure best practices and to co-ordinate activities within the district (Ugu District IGR Framework, 2013).

In terms of section 26(1) of the IGR Framework Act, 2005 (Act No. 13 of 2005) and the District IGR Framework (2013), the DIMAFO is a consultative forum for a district municipality and the local municipalities to discuss and consult each other on matters of mutual interest, including draft national and provincial policy and legislation relating to matters affecting local government interests in the district; the implementation of national and provincial policy as well as legislation with respect to such matters in the district; matters arising in the Premier's Intergovernmental Forum affecting the district; mutual support in terms of section 88 of the Local Government Municipal Structures Act of 1998; the provision of services in the district as well as the performance of municipalities within the district in the providing services in order to detect failures and initiate supportive, preventive or corrective action when necessary; coherent planning and development in the district; co-ordination and alignment of the strategic as well as performance plans of the municipalities in the district; and any other matters of strategic importance which affect the

interests of the municipalities within the district (Local Government Municipal Structures Act, 1998).

Reports on IGR presented a different scenario, where discussions are informed by the minutes of the Municipal Manager's forum. However, the minutes of the Municipal Manager's forum reflect on issues sponsored by the District municipality and not Local municipalities. Regardless of this, the Mayor's IGR forum meets as required and on a quarterly basis to deliberate on reports as provided by the Municipal Manager's Forum. It should be noted that as per the records, the District IGR Framework was endorsed by the Mayor's forum and further by each municipal council, whereafter a request was made for a workshop which took place in September 2013. Resolutions taken at the District Mayors forum are referred to the relevant institution, being the municipality or sector department for implementation. Notwithstanding this, minutes reflects lack of follow-up on the implementation of such resolutions in the following meetings.

### 6.3.2 Presentation of interview responses – Ugu District

#### *6.3.2.1 Face-to-face interview responses on goals*

In relation to organisational goals, there are six areas that need to be addressed and participants were required to provide further comments in each area. These are:

i. The ability of IGR to ensure coherent execution of key national priorities within the district and across all spheres of government;
ii. The mechanism for managing service delivery within the district and whether that results in proper and integrated delivery of services;
iii. The extent to which IGR is able to ensure service delivery considerations that affect every sphere of government through deliberations by all role-players;

iv. The manner in which vertical and horizontal planning is conducted in ensuring that integrated delivery of services to the community is done in a coherent and well-structured manner;
v. The ability of IGR to ensure an opportunity exists for identification of areas of support by the municipalities and implementation; and
vi. The extent to which the constitution of IGR structures is aligned to the IGR objectives, which is to ensure co-operation by all spheres of government in the delivery of services to the community.

In relation to interviews, 12 out of 14 participants were interviewed on 20 June 2015 and one focus group discussion was held on 22 July 2015, which comprised six municipal managers. The variance in interviews was due to the non-availability of participants. The areas of focus during the face-to-face interviews are explained below.

*a) The ability of IGR to ensure coherent execution of key national priorities within the district and across all spheres of government*

In relation to this, the participant responses generally indicate that challenges of functionality are due to lack of commitment from the role-players, commitment both to participate in IGR meetings and inability to focus on National Key Priorities of government, which happens impromptu. This has led to the challenge of decision-making which is viewed by respondents as follows:

> "Decisions taken in relation to execution of national key priorities are not implemented or monitored" (Mayor 2; Ugu District; 22 June 2015)."

The view is that the co-ordination role of the District municipality as required through legislation has challenges. In this regard, the challenges are identified in the agenda setting stage, where incorporation of these priorities should take place, as one of the participants noted:

> "Ugu District municipality and IGR partners should try by all means when setting up an agenda to ensure that national key priority issues are incorporated within the district agenda. Currently, there are discussions that come as and when an issue is raised publicly. An example is the existence of bucket system with the district. This was never an issue before, however when it appeared in Stats SA report, it became an issue for discussion" (IGR Official 2, Ugu District, 20 June 2015).

b) *Following the above, the availability of the mechanism for managing service delivery within the district and whether this results in proper and integrated delivery of services becomes a challenge*

While challenges in the execution of national priorities are identified, it is clear from the participant views that the lack of a mechanism for managing service delivery within the district and across all spheres of government is mainly due to inability by the district municipality to properly co-ordinate this function. In relation to the same issue, as one participant observed:

> "In relation to the mechanism for managing service delivery within the district through IGR and whether that results in proper and integrated delivery of services at community level, a district municipality has a role in terms of the Municipal Systems Act, which is to co-ordinate delivery of services within the district, unfortunately this happens to a limited extent" (IGR Official 1, Ugu District, 20 June 2015).

The majority of participants felt that attendance at IGR meetings by all role-players would make it possible for this to happen. However, Department of Co-operative Governance guidance will be necessary, where the view was as follows:

> "COGTA is expected to guide us as municipalities on the development of such mechanisms" (IGR Official 3, Ugu District, 20 June 2015).

Given this, it is the view of the researcher that there is a lack of mechanisms for managing service delivery within Ugu District municipality, which is due to the reasons stated above.

c) *The extent to which IGR can ensure service delivery considerations that affect each sphere of government through deliberations by all role-players was explained below.*

During the face-to-face interviews, it was noted that the reasons for the inability of IGR to achieve co-operation on the delivery of services is mainly due to lack of understanding of IGR, as explained:

> "In my view, the understanding of some of our partners who participate in IGR meetings is important for the achievement of the IGR goals. It is my belief that there is lack of understanding of IGR and the processes associated with the implementation of IGR initiatives" (Mayor 6, Ugu District, 20 June 2015).

As the majority of participants have suggested, the research's analysis is that deliberations and interaction by IGR role-players does not necessarily lead to service delivery consideration by spheres of government. However, it is the participant view that this is impeded by lack capacity, participation by role-players and the fact that service delivery focus is normally on water-related issues. Furthermore, their opinion reflects the following:

> "In this regard it is my view that there is lack of capacity in co-ordination of IGR and political appointments in the senior managerial positions which leads to incapacity" (IGR Official 4, Ugu District, 20 June 2015).

This was supported by the following view:

> "When there is lack of co-operation from the partners to IGR, it is difficult to achieve the objectives of intergovernmental relations,

which is to ensure co-operation by all spheres of government" (IGR Official 5, Ugu District, 20 June 2015).

The stated views imply that IGR requires more co-ordination from the district whilst lack of co-ordination is due to lack of capacity of senior managers, the role-players do not participate during meetings, attend to meetings and some send junior officials to meetings. This was clear in a comment from an IGR official:

> "District municipality is trying very hard to co-ordinate meetings; however there is normally lack of attendance and participation" (Mayor 3, Ugu District, 20 June 2015).

There is also a view that education and awareness may assist to ensure IGR functionality and improve participation, hence the following comment:

> "District municipality is trying hard to co-ordinate meetings, but there is poor attendance and participation" (Mayor 2, Ugu District, 20 June 2015).

In view of these comments, IGR needs to achieve co-operation on delivery of services to the communities and service delivery considerations are not deliberated upon through interactions at an IGR level.

d) *The manner in which vertical and horizontal planning is conducted in ensuring that integrated delivery of services to the community is done in a coherent and well-structured manner.*

IGR aims at achieving co-operation on delivery of services to communities by spheres of government. In relation to interactions through IGR forums, little is done in ensuring that vertical and horizontal planning is conducted and in ensuring that integrated delivery of services to the community is done in a coherent and well-structured manner. In understanding why this is the case, the Mayor from Ugu district municipality mentioned that:

”Feedback on programmes or projects implemented is done, though in an uncoordinated manner. It has been a norm that there are certain programmes that are implemented collectively such as Mayoral Izimbizo, Operations MBO and other community outreach programmes. However when it comes to service delivery projects – each of us does according to the municipality plans” (Mayor 6, Ugu District, 20 June 2015).

The participants felt that education and training is essential for them to understand the meaning and application of horizontal and vertical planning by spheres of government. From all participants interviewed on this issue, a number of them had a view that the COGTA should play a central role in ensuring that integrated planning is done. The concern is that:

“The Department of Co-operative Governance has never assisted us to ensure that this happens, as they are normally requested, instead they even fail to attend IGR meetings, whilst our senior managers are appointed without the necessary competencies” (IGR official 1, Ugu District, 20 June 2015).

Lack of capacity is viewed by the respondents as being due to political deployments that are not followed by a proper training programme and relates to senior managers. For some municipalities, this has resulted in the inability of the district municipality to implement projects that have a bearing on the performance of local municipalities, as noted in the comment below:

“Lack of co-ordinated planning has hence resulted in a situation where my local municipality has completed a number of housing units but these houses cannot be handed over to beneficiaries because the district municipality is far behind in terms of bulk infrastructure provision. This example is prevalent in almost all municipalities within the district. Other examples would be when one of our local municipalities has completed a number of housing

project units but Eskom is not ready with electricity provision" (Mayor 1, Ugu District, 20 June 2015).

The issue of concern to the participants is co-ordination by the district municipality. Further views from the participants suggest the need for more understanding, guidance and education and hence the recommendation of documented processes as to how vertical and horizontal planning should be ensured as explained:

> "There is no clear process on how this should happen, we expect the district municipality to play a co-ordination role and guide us on how vertical and horizontal planning should be ensured" (IGR Official 3, Ugu District, 20 June 2015).

The participant view shows that the ability to ensure vertical and horizontal planning, including integration and delivery of service in a coherent and structured manner, is being impeded by the variety of issues as indicated above. Given this, it is the view of the researcher that limited consideration is given to horizontal and vertical planning, where the aim is to ensure integrated delivery of services to the community.

e) *The ability of IGR to ensure an opportunity exists for identification of areas of support by the municipalities and implementation was explained.*

The majority of the participants believed that whilst the district is playing this role to some extent, this does not form part of IGR deliberations and the process is not properly documented. This was motivated with the following comment:

> "This is in keeping with the co-existence of the district municipality, which is to ensure they give support to the local municipalities, there are shared services provided by the District through a memorandum of agreement, including fire and disaster, internal

audit committee and planning – monitoring and co-ordination remain a challenge" (IGR Official 4, Ugu District, 20 June 2015).

In addition, it was indicated that when some municipalities need support from the district municipality, they request it in writing and the district provides support depending on the availability, hence the following observation:

> "Whilst the process of identifying areas of support is not documented, when my municipality needed support from the district municipality, we make a written request and they provide us with the resources they had. I also believe that with more training and guidance on the identification of areas of support, there will be improvement" (IGR Official 1, Ugu District, 20 June 2015).

When asked to elaborate more on the kind of support, some examples were provided:

> "My municipality doesn't have the necessary capacity in dealing with fire and disaster issues at senior managerial level, the district municipality supported us in the development of disaster management plans, conducting risk assessment during disasters and providing relief stock for the affected community members" (IGR Official 1, Ugu District, 20 June 2015).

Another view was that monitoring performance of municipalities should be conducted, which will lead to gaps that inform areas of support and that is not done. This view is further complemented by the fact that support should not come from the district but from other municipalities to the district as there are municipalities that perform better than the district and that the municipalities normally request support from the Department of Co-operative Governance and Provincial Treasury. The claim from the Mayor from Ugu district was that:

> "It is my belief that some of us (local municipalities) perform better than our district municipality, which is currently recovering from financial crisis and received negative audit opinions from Audit General of South Africa" (IGR Mayor 3, Ugu District, 20 June 2015).

The participant view shows some contradictions as to whether at an IGR level there are opportunities for identification of areas of support by the municipalities. It is the view of some participants that this is happening to some extent at the district level, though the process for identification is not documented. A comment was made on the need for education and training on performance of this role by IGR role-players. Based on the participant view, the district municipality's support to the local municipalities is limited and happens upon request by local municipality or as per the existing arrangement; however it is clear that there is no documented process on the identification of areas of support.

*f) The extent to which the constitution of IGR structures is aligned to the IGR objectives, which is to ensure co-operation by all spheres of government in the delivery of services to the community.*

In this study, the constitution of IGR structures is viewed by the participants as not being aligned with IGR objectives, which is to ensure co-operation by all spheres of government in the delivery of services to the communities. The majority of participants signified the inability of spheres of government to cooperate on attendance of IGR meetings, and pointed out that:

> "In my district, whilst IGR structures constitution is to ensure that the objectives and goals of IGR are met, such membership or constitution is neither in line with the objectives of IGR, which is to ensure co-operation by all spheres of government in the delivery of services to the community. The constitution of IGR forums does affect its functionality as some members from other spheres of government are not represented, no-one is enforcing compliance by

all, no consequences for non-attendance and this leads to lack of co-operation" (IGR Official 2, Ugu District, 20 June 2015).

While non-attendance was raised as the main challenge, some participants felt that even if full attendance might be achieved, there are certain areas that need to be addressed in order for IGR to achieve its objectives and this remark is in support of the previous comment:

> "In ensuring co-operation, there is a need for standard agenda items designed for achieving IGR priorities and functionality and that should be agreed upon, workshop on the role of district municipality as against local municipalities and sector departments and as well as the need for a Memorandum of Understanding to be signed between all role-players" (IGR Official 4, Ugu District, 20 June 2015).

The inability of the IGR constitution to achieve IGR objectives has been viewed by the participants as being due to lack of commitment to attend meetings and the inability to enforce compliance and consequences. A suggestion was made on the need for workshops and a Memorandum of Agreement with all role-players and the inclusive formulation of the IGR agenda. It is the view of the researcher that the IGR constitution failed to achieve IGR objectives, which is to ensure co-operation amongst spheres of government.

#### *6.3.2.2 Focus group responses to goals – Ugu District*

The participants during focus group discussions highlighted goal setting as one of the challenges affecting the functionality of IGR within Ugu District municipality.

It is the view of the participants that it is not necessary for the municipality to set goals for each and every aspect of the work. One participant within the focus group stated as follows:

> “When the district municipality goals are set, the main focus is on service delivery imperatives of the district such as water and sanitation” (FGD - Participant 1, Ugu, 22 July 2015).

The municipalities strive to ensure that there is execution of national and provincial priorities; however, the support and co-operation of the sector departments becomes a challenge as they are required to give guidance to the municipalities as to how these priorities should be implemented. It is the participants’ view that some mechanisms for managing service delivery within the District lack definition, formulation and application. This view is based on the inability to understand the expected mechanism for managing service delivery by the role-players and how this can be formulated and applied as reflected below:

> “IGR policy was developed by the COGTA, we expect them to guide us on how national key priorities of government should be incorporated and mechanisms to ensure delivery of services in relation to these key priorities and across all spheres of government” (FGD-Participant 2, Ugu, 22 July 2015).

The deliberation during IGR interactions provides a clear indication of service delivery issues. However, how they apply to municipalities is not clear, since government departments do not provide such information. When the government departments attend IGR meetings, either they send the junior officials or present what they had to present and request to leave the meeting. The following view was generally acceded to:

> “The IGR discussions, especially on service delivery across the district are impeded by the inability of sector departments that are responsible for service delivery to attend. An example is human settlement department; we are unable to deliberate on houses planned or built and our contribution on the availability of infrastructure. This led to incomplete projects and protest actions by the community” (FGD-Participant 3, Ugu, 22 July 2015).

In relation to planning, it is the view of the participants that all participants in IGR activities are invited; however, the challenge is when some do not attend or even provide a clear contribution on what is needed. Vertical planning relates to planning with the municipalities within the district, whilst horizontal planning relates to planning across government departments, and this was said be lacking in terms of focus and understanding by all role-players. In explaining the reasons for lack of integrated planning, the suggestion was made that:

> "We need more understanding on how integrated planning across all spheres of government should be done and we expect the district municipality to lead us." (FGD-Participant 4, Ugu, 22 July 2015).

#### *6.3.2.3 Face-to-face interview responses on environment*

In relation to the environment, participants were required to provide responses or comments on the following areas:

1. Comments on the impact of political environment on the functionality of IGR;
2. Co-operation by all role-players;
3. The ability of elected members of the local sphere of government to monitor, scrutinise, oversee and debate on how their municipalities are performing within the district and whether that is evident in their meetings and discussions.

**The impact of the political environment on the functionality of IGR:**

In this study, the impact of the political environment on the functionality of IGR was examined. Whereas most participants (80%) were of the view that the environment is fairly stable and allows IGR to function properly, it was the view of a few participants that at a political level, the political instability suggests that IGR exists merely to comply with legislation, the outcomes are not measured and that there is still lack of understanding of

IGR and how it should function. The view on the political environment is further elaborated below:

> "Generally, the environment is conducive for IGR to function, however the political instability prevails and IGR structures become politicised" (IGR Official 4, Ugu District, 20 June 2015).

While this was a general understanding, a suggestion was made on the improvement of IGR functionality as follows:

> "It is my belief that there is lack of understanding of IGR and ongoing education and awareness is necessary as we approach political changes due to local government elections" (IGR Official 5, Ugu District, 20 June 2015).

Although the participants' view was clear that there are no political challenges which might impact on the functionality of IGR as politicians discuss their own challenges in their organisation's platforms, it appears that there might be a need to ensure education and awareness of the new political leadership about IGR in order to ensure continuity and functionality, in areas where there are changes to political leadership due to local government elections. Given this view, it is evident that the political environment does impose some threats to the functionality of IGR. However, a clear induction programme is suggested to be put in place when changes in leadership occur.

**Co-operation by role players:**

The more co-operation by municipality partners, such as government departments, parastatals and local municipalities, the easier the implementation of IGR and the manner in which this co-operation is defined within Ugu District. In this study, the co-operation by municipal partners in IGR such as government departments and parastatals is seen by the majority of participants as being impeded by lack of co-operation, and poor commitment due to non-attendance at IGR meetings especially

by other spheres of government except for municipalities. In this regard the following comment was made:

> "Municipalities are co-operating, however there is lack of attendance by sector departments, which leads to inability to make a quorum, maybe we should consider IGR arrangements at a local level as there might be challenges with the district co-ordination" (Mayor 3, Ugu District, 20 June 2015).

While it is the view of the participants that co-operation is to a limited extent impeded by those areas as indicated, a suggestion was made on the consideration of IGR arrangements at a local municipal level.

**The ability of elected members of the local sphere of government to monitor, scrutinise, oversee and debate how their municipalities are performing within the district and whether that is evident in their meetings and discussions:**

In ensuring functionality of IGR, the elected members of the local sphere of government (politicians) should be able to monitor, scrutinise, oversee and debate how their municipalities are performing within the district. That is not the case with Ugu District municipality and its local municipalities in that only areas that affect service delivery by the district municipality are not discussed regularly, such as water and sanitation provision and performance of municipalities across the district. An explanation was given as follows:

> "In our district, issues related to performance are discussed on an ad hoc basis depending on reports received, which makes IGR not playing any meaningful role in the performance of the municipalities within the district; this might lead to the IGR missing a meaningful opportunity of learning best practices within the district" (Mayor 3, Ugu District, 20 June 2015).

For this reason, the participant view on the ability of IGR to monitor, scrutinise, oversee and debate on municipal performance is regarded as happening to a limited extent and only when a report is submitted which requires support. Other than that, this role is viewed as being impeded by the independent and distinct nature of municipalities, the inability of IGR to enforce decisions, lack of implementation of IGR resolutions, and lack of co-ordination by district municipality. The role of the District municipality is key, where the suggestion was made on the following:

> "The district municipality is expected to coordinate this role and guide the local municipalities accordingly, to enforce compliance on the implementation of resolutions and to create more awareness on IGR" (IGR Official 4, Ugu District, 20 June 2015).

The participants further recommended that IGR should consider education in this area and capacity building in local municipalities to enable them to deal with IGR issues. There was also a view that some municipalities are performing far better than the district municipality which results in the district not having confidence in assisting these municipalities.

#### *6.3.2.4 Focus group responses on the environment*

Generally, the environment was regarded as stable. The focus of the participants was more on the political environment as indicated below:

> "In relation to the political environment, there are no issues that affect the intergovernmental relations and even how our municipalities operate, however there appears some external political dynamics and uncertainties, which to some extent translates to imposition of challenges internally" (FGD – Participant 2, Ugu, 22 June 2015).

Further discussions were held on the elements of the environment which relates to socio-economic issues, that refers to the population growth in most urban and peri-urban areas of the district and that leads to increase

in demand of services by the community. According to the participants, whilst the demand for more services does not imply inability for IGR to function, this calls for more co-operation and support by the municipalities and government departments within the district.

Additional comments made by participants on the environment relate to the regulatory environment of local government and municipalities in particular. The view of the participants was emphasised as indicated below:

> "The municipal regulatory environment is affected by more changes in the legislation, which is regarded as being confusing, contradictory and complex to implement and this in turn limits the co-operation and attendance of meetings by role-players in IGR" (FGD – Participant 3, Ugu, 22 June 2015).

According to the participants, this has an impact on the functionality of IGR as an inability to interpret complex legislation which then leads to an inability to implement.

#### *6.3.2.5 Face-to-face interview responses to culture*

In relation to culture, participants were required to comment on whether there is the existence of a sense of shared and common purpose and values, which emphasises the need for co-operation and for consensus, or whether the relationship is a more competitive one.

The picture emerging from 80% of the participant responses in relation to the sense of shared and common values and purpose that emphasise the need for co-operation and consensus shows lack of such vision. This is regarded as being due to lack of understanding of IGR and lack of commitment which in some cases has contributed to service delivery challenges. In this regard one of the participants stated as follows:

> “The expected commitment applies to the family of municipalities within the district as other government departments do not see the need to attend and participate in IGR meetings and this affects the notion of shared and common values across all spheres of government.” (IGR Official 3, Ugu District, 20 June 2015).

This view was supported with the following addition:

> “There is a lack of clear understanding of the IGR legislation and what it seeks to achieve and the implementation of it and the accountability of the structures.” (Mayor 2, Ugu District, 20 June 2015).

The participants further suggested that education and awareness is required to ensure that all role-players have a shared vision and purpose about IGR. The participants suggested that:

> “There is a need for education and awareness.” (Mayor 4, Ugu District, 20 June 2015).

This suggestion was supported by the inclusion of the following:

> “IGR strategy should be workshopped to all of us and not only once.” (Mayor 2, Ugu District, 20 June 2015).

It is therefore the view of the researcher that there is a lack of shared and common values and purpose which should emphasise the need for co-operation and consensus within Ugu District IGR.

**Commitment of leaders at every level in relation to the conduct and functionality of IGR:**

The commitment is to some extent impeded by the inability to make a quorum in meetings, inability by some role-players to submit reports, lack of commitment in that some send junior officials and the participants further emphasised the need for education, awareness and more

understanding of IGR by all role-players. This view was shared by most participants, as indicated:

> "There is lack of commitment by some of us, some role-players don't attend IGR meetings and even send junior officials who can't take decisions and in order for us to understand the need for IGR, the District municipality has to create awareness and understanding to all role-players." (Mayor 2, Ugu District, 20 June 2015).

In this view, the researcher understands that both political and administrative leadership of the municipality are committed on IGR; the challenges are due to lack of understanding and commitment by other role-players such as government departments.

#### *6.3.2.6 Focus group responses on culture*

Participants regarded organisational culture as one important aspect to ensure that municipalities function better. An ideology of having a sense of shared and common values and purpose, which emphasises the need for co-operation and for consensus was said to be affected by the different cultures that emanate from different organisations. This argument was strongly supported, including by the Municipal Manager from one of the local municipalities:

> "Since IGR involves different stakeholders coming from different environments, with their own beliefs, attitudes and perceptions about IGR, of importance to note is that cultural clashes are inevitable. It is therefore important for Ugu as the co-ordinating district municipality to ensure that apart from the goals of the organisation, IGR forums endorse a group culture that is characterised by good behavioural norms, commitment and values, and that all role-players should adapt to the same culture." (FGD-Participant 1, Ugu, 22 June 2015).

IGR within Ugu district is thus affected by culture in that the role-players share different values, norms and standards whilst the IGR custodian (district municipality) had some expectations on the culture to be upheld. These multiple cultures if they are in opposition to the expectations tend to lead to the inability to achieve IGR objectives of ensuring co-operation amongst the spheres of government.

## 6.4 CASE STUDY 2: HARRY GWALA DISTRICT

### 6.4.1 Document analysis

#### *6.4.1.1 Background to Harry Gwala District*

Harry Gwala District municipality (previously called Sisonke District municipality) is situated in southern KwaZulu-Natal and comprises five local municipalities: Ingwe, Kwa Sani, uMzimkhulu, Greater Kokstad and Ubuhlebezwe. The seat of Harry Gwala is at Ixopo. The municipality is surrounded by uMgungundlovu to the north-east, Ugu to the south-east, OR Tambo to the south, Alfred Nzo to the south-west, the Kingdom of Lesotho to the north-west and uThukela to the north. It is also bordered by the Drakensberg Mountains, which form a 200 km long World Heritage Site. Economically, the most prominent employment sectors within the district are agriculture, construction and small-scale manufacturing. The district is known for its progressive farming methods. The unspoilt natural environment has high ecotourism and adventure tourism potential. Harry Gwala has an abundance of high quality soils, high altitude, abundant water, and climatic extremes, which makes the area suitable for dairy farming (Harry Gwala IDP: 2014/15).

**Figure 6.3: Map of Harry Gwala District**




Source: Harry Gwala Integrated Development Plan (2015)

**Table 6.2: Harry Gwala District municipality local spread**

| Municipality | Population | %population | Area (km2) | Wards |
|---|---|---|---|---|
| **Greater Kokstad** | 56 528 | 12.38 | 2.680 | 8 |
| **Ingwe** | 107 553 | 23.56 | 1.976 | 11 |
| **KwaSani** | 15 303 | 3.35 | 1.852 | 4 |
| **Ubuhlebezwe** | 101 965 | 22.34 | 1.604 | 12 |
| **Umzimkhulu** | 174 338 | 38.19 | 2.435 | 20 |

Source: Harry Gwala District Municipality Integrated Development Plan (2014/2015)

Harry Gwala District municipality is predominantly rural and characterised by small urban centres with larger agricultural plantations, natural vegetation and traditional authority land. These small urban centres serve as economic hubs and administrative areas for the sub-regions. In terms of the municipal demarcation, these administrative areas have been arranged to form five Local Municipalities. The total population of Harry

Gwala District municipality is 461 419 and it covers an area of 89 997 square kilometres. The municipality is situated in Ixopo under Ubuhlebezwe Local municipality. The town of Ixopo forms the primary development node of the Municipality and plays crucial role in industry, commerce and other economic activity. It is a major education and health centre and assists in the diffusion of new ideas and technologies to the rural areas. In this regard, the development of this area is not the responsibility of Harry Gwala municipality alone, but of all the role-players as required in terms of IGR. The role of Harry Gwala district municipality is to coordinate service delivery and ensure that the local municipal areas deliver services to the community with the support of the district municipality.

#### *6.4.1.2 An overview of IGR at Harry Gwala district municipality*

Harry Gwala District municipality's IGR is operating through the provisions of the IGR National Policy Framework of 2005 which provides for thee District Mayor's forum and Technical Committee which is regarded as the Municipal Manager's forum whose role is to provide support to the District Mayor's forum. The IGR reports indicate that Harry Gwala District municipality has the District Mayor's and Traditional Leaders' Forum; the extended Mayors' Forum; and Municipal Manager's Forum. It is further noted that Harry Gwala does not have an adopted policy framework or protocol document as they rely on the National framework for the implementation of IGR initiatives. The reports indicate that all forums meet quarterly to consider issues that cut across the district. According to the minutes, issues that are discussed in the IGR meetings include presentations by sector departments that concern the whole district, events that are planned which affect the district and participation of *Amakhosi* in these meetings is highly recognised as it strengthens the relationship between the municipality and traditional leaders.

Apart from what has been indicated above, minutes of previous meetings reflects meetings of the Extended Mayoral IGR, which sits to consider the issues related to job creation for youth; programmes for women empowerment within the district and in partnership with other districts; establishment of district sports clubs in order to promote social cohesion and co-operation; economic development issues across the district which includes agriculture, construction, identification of land, recruitment and equipment.

Challenges of functionality of district forums has been outlined in the report dated January 2015, which includes non-implementation of the government policies, and where non-attendance (as presented in the attendance registers) and participation of other stakeholders (as recorded in the minutes) in meetings was raised as an issue for concern. While the municipality does not have a policy framework for the District IGR, the extent of co-operation is better in relation to local municipalities. However, it should be noted that in terms of the IGR Framework Act, IGR functionality should include the ability of IGR forums to discuss new and existing government policies; the ability of IGR forums to discuss progress and problems in the delivery of services within the district; co-ordination of planning initiatives by a district municipality; support given to other municipalities within the district; the manner in which the IGR forums are constituted in terms of membership; the role and mandate of IGR forums in terms of vertical and horizontal co-ordination of programmes and other service delivery issues; frequency of meetings of the IGR forums; and availability of technical operational support to coordinate all IGR activities within the district.

### 6.5.2 Presentation of interview responses – Harry Gwala District

#### *6.4.2.1 Face-to-face interview responses to goals*

There are six areas addressed in relation to goals and the responses are provided below:

1. The ability of IGR to ensure coherent execution of key national priorities within the district and across all spheres of government;
2. The availability of the mechanism for managing service delivery within the district and whether that results in proper and integrated delivery of services;
3. The extent to which IGR can ensure service delivery considerations that affect each sphere of government through deliberations by all role-players;
4. The way vertical and horizontal planning is conducted in ensuring that integrated delivery of services to the community is done in a coherent and well-structured manner;
5. The ability of IGR to ensure an opportunity exists for identification of areas of support by the municipalities and implementation;
6. The extent to which the constitution of IGR structures is aligned to the IGR objectives, which is to ensure co-operation by all spheres of government in the delivery of services to the community.

In relation to interviews, 12 out of 14 participants were interviewed on 16 and 17 July 2015 respectively and one focus group discussion was held on 30 July 2015, which comprised five municipal managers. The variance of interviews was due non-availability of participants.

**The ability of IGR to ensure coherent execution of key national priorities within the district and across all spheres of government:**

Organisational goals responses reflect some challenges on the ability of IGR to ensure coherent execution of key national priorities within the District municipalities and across sector departments as this happens at a municipal level. It is the view of some participants that the district municipality is trying when setting up an agenda to ensure key national

priorities are incorporated, but these are limited to provision of water and sanitation services. Accordingly, most of the participants view IGR implementation of national key priorities as being impeded by lack of participation from sector departments due to non-attendance of meetings, lack of understanding of IGR, lack of clear strategy on execution of national priorities and the need for more education and awareness on IGR. In relation to this, the Mayor participant indicated that:

> "Whilst there is no clarification on how coherent execution of national priorities should be done, lack of attendance by role-players contributes to the inability to perform this task, where some sector departments send junior officials to meetings, which renders discussions to be non-productive." (Mayor 5, Harry Gwala District, 16 July 2015).

The need for more education and training has been identified as it is the view of the participants that there is a lack of understanding of IGR across the three spheres. Another participant from the local municipality within the district made the following suggestion:

> "There is a need for more education and training as the execution of national priorities is done in an uncoordinated manner, where each municipality does its own planning and implementation." (Mayor 3, Harry Gwala District, 16 July 2015).

Based on the participant views, it is clear that the ability to ensure coherent execution of key national priorities happens to a limited extent and is not done properly. This further led to the recommendation by participants on continuous education and training on how IGR should function in this area. Therefore, it is the researcher' view that IGR within Harry Gwala District does not fully ensure coherent execution of key national priorities across all spheres of government.

**The availability of the mechanism for managing service delivery within the district and whether that results in proper and integrated delivery of services:**

Mechanisms for managing service delivery within the district through IGR do not necessarily result in a proper and integrated delivery of services at community level as the IGR partners work independently from each other to ensure service delivery. Most participants are of the view that there is no mechanism in place that is used to manage service delivery. Even though their programmes, projects and challenges are discussed at IGR level, there seems to be no proper mechanism for managing service delivery within the district, which should be done in a co-ordinated manner.

The following comment was made in this regard:

> "There is no mechanism in place, as local municipalities, we do our own planning and we deliver services independent from other sectors, except when there is a need." (Mayor 3, Harry Gwala District, 16 July 2015).

While there is a strong view on the improvement of co-ordination at a district level, improving capacity and ensuring support to the district in this area, some participants believe that education and awareness is key for IGR to improve and made the following suggestion:

> "More education and awareness is necessary for us to achieve this." (Mayor 4, Harry Gwala District, 17 July 2015).

There is thus no mechanism in place for managing service delivery within the district and across all spheres of government and this leads to the inability to ensure proper and integrated delivery of services to the community.

**The extent to which IGR can ensure service delivery considerations that affect each sphere of government through deliberations by all role-players:**

The view of many participants is that IGR does not fully ensure service delivery consideration in their interaction and deliberations by all spheres of government due to the lack of sector department's full participation, lack of reporting on programmes implemented and lack of service delivery focus, which was further deliberated on in the following comment:

> "Lack of service delivery focus and reporting on programmes implemented in the district by IGR role-players is a challenge, whilst there is no full participation on IGR meetings by role-players." (Mayor 3, Harry Gwala District, 16 July 2015).

Based on the responses, the extent of service delivery considerations during interactions and through deliberations at an IGR level is being impeded by lack of participation by everyone. However, another argument was that IGR in the District focuses more on municipalities as against all role-players where sector departments are a part, and the suggestion was made in relation to this comment:

> "There is no full participation on IGR activities and we also need to measure participation by all role-players instead of focusing on municipalities only." (IGR Official 2, Harry Gwala District, 16 July 2015).

Given this summary, service delivery considerations across all spheres of government are not assured during interactions and deliberations at IGR level. Service delivery is not part of the agenda on IGR and leads to the inability to focus on service delivery issues.

**The way vertical and horizontal planning is conducted in ensuring that integrated delivery of services to the community is done in a coherent and well-structured manner:**

Most participants believe that the ability to ensure vertical and horizontal planning that will ensure that integration and delivery of services to the community is done in a coherent and structured manner is impeded by lack of involvement and participation by everyone during planning, and lacks full co-operation and understanding, which leads to the need to strengthen integrated planning through providing proper training and education of senior managers responsible for IGR. Participants shared different views in this regard as indicated in the following comment:

> "Vertical and horizontal planning on the integrated delivery of services to the community is not done in a coherent and well-structured manner and I believe that the district municipality is expected to play a role in co-ordinating this planning; however the challenge might be that of understanding the meaning of planning and full co-operation by all still exists." (IGR Official 4, Harry Gwala District, 16 July 2015).

It is further observed from the participant responses that at some local municipalities and to some extent, vertical planning does happen, though not in a structured manner. The two participating IGR officials had a similar comment on this issue:

> "Planning happens at a local municipal level, there is a need for us to plan as a collective." (IGR Official 1, Harry Gwala District, 16 July 2015).
>
> "The district municipality does invite us in their planning sessions and our inputs are considered." (IGR Official 2, Harry Gwala District, 16 July 2015).

The researcher's view is that the ability to ensure vertical and horizontal planning that ensures integration and delivery of services is not happening as required, due to challenges already identified by participants.

**The ability of IGR to ensure an opportunity exists for identification of areas of support by the municipalities and implementation:**

An opportunity for identifying areas of support by each municipality does exist; this is mostly informed by reports submitted by the municipalities that needed support. In some instances, this happens when local municipalities hand over some projects and need the involvement of the district municipality. Since there is no documented policy or process in relation to this, there is a view for co-ordination by the district municipality. This was common in the responses by most IGR officials. Their view is that only National Treasury and the COGTA provide support to them and that was supported as indicated in the two remarks below:

> "When my municipality was in crisis, a request was made from the COGTA for support, which was later given." (IGR Official 3, Harry Gwala District, 16 July 2015).

The following point was also made:

> "My municipality relies more on National and Provincial Treasury for support when in need" (IGR Official 2, Harry Gwala District, 16 July 2015).

While it the participant understanding that there should be a proper documented process for identification support either by municipalities or COGTA, the District municipality is expected to lead the process. Further recommendations are on improved participation or attendance of IGR meetings and creation of awareness in this area amongst the role-players:

> "We need to improve in supporting each other by first creating awareness to all role-players and develop a proper mechanism." (IGR Mayor 2, Harry Gwala District, 16 July 2015).

In the researcher's view, IGR is unable to identify areas of support amongst the role-players and that leads to the inability to aid and support each other, as IGR should ensure.

**The extent to which the constitution of IGR structures is aligned to the IGR objectives, which is to ensure co-operation by all spheres of government services delivered to the community:**

IGR structures in Harry Gwala District are constituted in terms of the IGR Framework Act (The IGR Framework Act; 2005) but such constitution does not ensure co-operation by all role-players. In relation to the IGR constitution, the district has a District Mayor's forum; Municipal manager's forum; Planning and development forum; Infrastructure forum; District area finance forum; General and social services forum; corporate services forum; and district communicator's forum. It is clear that other forums have challenges in meeting except for mayors and municipal managers. Even the existence of the mayors and municipal managers' forums does not guarantee the functionality of such due to the nature of the discussions.

The participants had similar views on this matter and the following comment was made:

> "The district IGR forums are constituted in terms of the Act and Mayors and Municipal managers' forums meet regularly as compared to other forums like corporate services, infrastructure and finance". (IGR Official 2, Harry Gwala District, 16 July 2015).

The following comment was elaborated on, which reflects on challenges encountered:

> "Whilst the Municipal managers and Mayor's forum meet regularly, the challenge is the nature of discussions and implementation of resolutions taken in those forums". (IGR Official 2, Harry Gwala District, 16 July 2015).

In summarising the views of the participants, it is clear that while IGR is well constituted in compliance with the legislation, that does not translate into the achievement of IGR objectives due to the nature and content of discussions during meetings and lack of co-operation/attendance at IGR meetings. Their view is that IGR is regarded as a matter for compliance and not commitment. Given this summary, it appears that IGR is well constituted as there are appropriate forums in place, but such constitution does not lead to the achievement of IGR objectives.

#### *6.4.2.2 Responses to focus group discussions on goals*

According to the participants, the district IGR forums are properly constituted by local municipalities, the district municipality and the government departments attend when they are invited. The comments on ability of IGR to ensure coherent execution of key national priorities were as follows:

> "The mandate to ensure that we comply with national key priorities does take place in our district as one of the areas of priority is provision of water and sanitation to the households, therefore the municipality put an emphasis during their planning process to ensure that this is accommodated. The challenge is at an IGR level, where reporting on these areas is often fragmented as reports are prepared as and when they are required" (FGD-Participant 2, Harry Gwala, 30 July 2015).

It was the participant view that though IGR services get delivered to the community, participation is always a challenge. An example was made where projects are handed over by the district to the local municipality, that the affected municipality and the district coordinate the handover and work together in accomplishing that. The extent of co-operation was alluded to in the following remark:

> "As a local municipality, we used to be invited by the district municipality when they hand over bulk water and sanitation

projects, we acknowledge that as the manner in which we work together in delivering services to the community." (FGD-Participant 3, Harry Gwala, 30 July 2015).

While the previous response was accepted, further comments were made as to whether service delivery considerations that affect each and every sphere of government are deliberated on in IGR meetings, as it was clear from the responses that this practice happens though not regularly; however, the need for improvement was identified. This was stated as:

> "Depending on the nature of the agenda, at times the reports are meant to address service delivery consideration for a specific aspect, but this is not a regular occurrence." (FGD-Participant 4, Harry Gwala, 30 July 2015).

The participant comments on vertical and horizontal planning were limited to the planning that is done by the individual municipalities, where few and at times none of the affected role-players participate. One participant during the focus group discussions indicated:

> "My municipality plans for the services to be delivered for the financial year, the district municipality usually invites us as they do their planning and it will be few of the local municipalities who attends and there will be no sector departments." (FGD-Participant 5, Harry Gwala, 30 July 2015).

#### *6.4.2.3 Face-to-face interview responses to environment*

In relation to the environment, participants were required to provide responses or comments on the following areas:

1. Comments on the impact of political environment on the functionality of IGR;
2. Co-operation by all role-players;
3. The ability of elected members of the local sphere of government to monitor, scrutinise, oversee and debate on how

their municipalities are performing within the district and whether that is evident in their meetings and discussions.

**The impact of the political environment on the functionality of IGR:**

This relates to the extent to which the political environment has an impact on the functionality of IGR. The majority of the participants are of the view that the political environment does have an impact or influence on the functionality of IGR, even though the district and its local municipalities is dominated by one political party, which is the African National Congress (ANC). As this was the generally acceptable comment, indicated below is the clear suggestion:

> "Though the political environment is fairly stable, there are challenges of instability during political changes (e.g. elections) in leadership, which might affect the functionality" (IGR Official 3, Harry Gwala District, 17 July 2015).

The participants believe that the political environment is fairly stable, but highlight challenges of instability during political changes. However, it is expected that changes in political leadership will require ongoing monitoring, education, training and awareness to ensure understanding and sustainability of IGR. Participants still view the attendance and co-operation as being a challenge which could also be addressed at a political level.

The researcher's understanding in this area is that the municipal political environment does have an impact on IGR functionality.

**The more co-operation by municipality partners i.e. government departments, parastatals and local municipalities, the easier the implementation of IGR and the manner in which this co-operation is defined within Ugu district:**

In the participant views, the majority of participants believe that IGR within the district does not lead to full co-operation and the functionality as compromised. Co-operation is impeded by lack of co-operation and non-attendance of meetings by sector departments where in some instances they send junior officials, the inability to make quorum normally becomes a challenge, frequency of meetings (currently held quarterly) and lack of commitment to the meetings. The participants further believe that there is a need for IGR at a local level and suggested that:

> "In our district, the challenge is co-operation by all role-players which includes sector departments and attendance by local municipalities is not a problem." (Mayor 4, Harry Gwala District, 17 July 2015).

The researcher's view in this regard is that there are still challenges of co-operation which leads to difficulties in the implementation of IGR.

**The ability of elected members of the local sphere of government to monitor, scrutinise, oversee and debate how their municipalities are performing within the district and whether that is evident in their meetings and discussions:**

The majority of the participants were in support of each other in responding to this issue. It was their understanding that the ability of elected members to monitor, scrutinise, oversee and debate on performance of other role-players within the district is not done or even done properly. Accordingly, this is being impeded by the independent and distinct nature of municipalities, lack of understanding of the IGR role which calls for more education, empowerment and guidance. The participants further believe that there should be a clear process in which

this should done and technical IGR (MM's forum) should influence the agenda of the Mayor's forum so as to consider this aspect. The indication was that:

> "IGR meetings don't scrutinise performance of other role-players, a clear process should be introduced and followed properly and there is a need for improvement in this area, we need to be educated how we can make it possible." (Mayor 4, Harry Gwala District, 17 July 2015)..

The participants believe that the COGTA, together with the district municipality should lead and provide guidance in this area. Given this summary, it is evident that elected members within Harry Gwala district are unable to monitor, scrutinise, oversee and debate on the performance of other role-players.

#### *6.4.2.4 Focus group responses on organisational environment*

It was the view of the participants that the environment is not characterised by a culture of co-operation across role-players, but there is co-operation amongst municipalities. The political environment is regarded as being complicated, but they believed that municipal political environment stability does not remain consistent over time as it is affected by changes in political leadership during the election period as well as political party dynamics. In elaborating further it was the view of the participants that what contributed to management of political instability to some extent in the district is the fact that all local municipalities and the district have platforms in place to discuss issues, although the capacity of officials remains a challenge. This was affirmed as follows:

> "Our political environment is partly complicated, IGR functionality might be affected by other issues such as uncertainty and the capacity of officials, we believe in discussing our challenges and resolve them when they exist" (FGD-Participant 3, Harry Gwala, 30 July 2015).

**Co-operation by role players:**

With regard to co-operation by all IGR partners, it was evident from the participant responses that co-operation happens at a local level; however they further identified the need to ensure that all role-players participate effectively in IGR activities. The suggestion was made as indicated below:

> "We need to ensure attendance and full participation by all role-players as currently it is only the local municipalities who are participating."

**The ability of IGR to monitor elected member of the local sphere of government as well as scruitnise, oversee and debate on how their municipalities are performing within the district:**

When the participants were asked to comment on the ability of IGR to monitor elected members of the local sphere of government as well as scrutinise, oversee and debate how their municipalities are performing within the district, the Municipal Manager highlighted the following challenge:

> "Our ability to ensure that we monitor each other's performance is hampered by lack of a structured way in which we can do this, and the independent nature of each municipality. For example, if monitoring was done, there would be no way in which we would enforce performance and implementation of resolutions." (FGD-Participant 5, Harry Gwala, 30 July 2015).

***6.4.2.5 Face-to-face interview responses to culture***

**The existence of a sense of shared and common values and purpose, which emphasise the need for co-operation and for consensus, or whether the relationship is a more competitive one:**

IGR within Harry Gwala District municipality is to some extent characterised by a sense of shared common values and purpose amongst the municipalities, which emphasise the need for co-operation and consensus. Notwithstanding the above, the majority of the participants

believes that there is still lack of clear understanding of IGR legislation and what it seeks to achieve as well as the implementation. The following statement was made:

> "The commitment of local leaders at every level of the municipality to conduct IGR exists, however there is still a lack of purpose and shared vision on what and why IGR." (IGR Official 4, Harry Gwala District, 17 July 2015).

While commitment and understanding of IGR was raised as the challenge, the participants believe that accountability of IGR structures needs to be clear and enforced. This is based on the fact that decisions taken are not followed or implemented and this leads to IGR being perceived as a means to compliance and undermines the legitimate purpose, which is to ensure co-operation by all spheres of government. The view is stated as follows:

> "In my view IGR is conducted for compliance with legislation and not to achieve co-operation as there is no accountability on actions taken or to be taken." (IGR Official 2, Harry Gwala District, 17 July 2015).

The participants believe that the ability to ensure that IGR is characterised by a sense of shared and common values and purpose that emphasise the need for co-operation and consensus is a challenge. Participants further believe that awareness should be created on the expectations and there should be consequences for non-compliance.

It is therefore the researcher's view that IGR within Harry Gwala district is to some extent not characterised by a sense of shared and common purpose that can promote co-operation and consensus.

**The commitment of leaders at every level in relation to the conduct and functionality of IGR:**

The commitment or lack of commitment is shown through the attendance of IGR meetings by the municipalities by all spheres of government. It was apparent from scrutinising the attendance registers that it had become the norm for local municipalities and some departments, when invited, to attend IGR meetings.

However, during the interviews, the majority of the participants raise the lack of commitment by sector departments and stated that:

> "There is no commitment by some leaders, especially at a provincial level." (IGR Official 2, Harry Gwala District, 17 July 2015).

This lack of commitment is viewed by some participants as being due to the inability to properly coordinate IGR activities by the District municipality and hence the comment:

> "The need for IGR officials to strengthen co-ordination of IGR and reporting is essential" (IGR Official 5, Harry Gwala District, 17 July 2015).

While the two views were supported, the implications of lack of commitment and attendance were reflected further below:

> "Poor attendance of IGR meetings by all role-players leads to challenges of commitment and co-operation." (IGR Official 6, Harry Gwala District, 17 July 2015).

To some extent, this lack of commitment is intensified by the attendance of some meetings by junior officials, who do not have the power to make decisions or to account on some issues raised at IGR meetings. In this regard the attendance by Local municipalities was viewed positively, whilst the challenge was emphasised as stated below:

> "There is commitment to attend by local municipalities especially politicians, the challenges is when junior officials who cannot take

decisions are sent to attend IGR meetings." (IGR Official 2, Harry Gwala District, 17 July 2015).

"Political and administrative leadership are committed on IGR, we need to strengthen involvement by all other role-players." (IGR Official 3, Harry Gwala District, 17 July 2015).

In summarising the participant responses, there is commitment with regard to conduct and functionality of IGR within Harry Gwala District municipality amongst the municipal role-players. The impediment relates to lack of commitment by sector departments to attend IGR meetings, management of IGR resolutions and a further emphasis on strengthening co-ordination and reporting, ensuring education and awareness through workshops and ensuring that there are consequences for non-compliance.

It can be concluded therefore that commitment of leaders at every level in relation to the conduct and functionality of IGR does not exist, save for municipalities.

#### *6.4.2.6 Focus group responses on culture*

The IGR culture within the district is regarded by the participants as characterised by a sense of shared and common values and purpose, which emphasise the need for co-operation amongst the local municipalities. The same culture is not fully evident in relation to government departments. Although leaders, both political and administrative, show commitment in IGR activities, the understanding of IGR and how it should function is minimal. The following comment was made:

"We share the same vision about IGR as municipalities; however we also understand that IGR is not only about us, we need to ensure the same culture is cascaded to all role-players, including

sector departments." (FGD – Participant 2, Harry Gwala, 30 July 2015).

Issues of inability to establish a quorum and the non-availability of some role-players affect the IGR functionality. For the IGR to improve, participants believe that there is a need for more education and awareness of what IGR seeks to achieve, roles and responsibilities of role-players should be clearly defined and there should be commitment from all participants.

In relation to commitment and ambitions of political leaders at every level and the effect on the conduct of IGR, the majority of the participants had the same view, in that political leaders are committed on IGR, but the challenge is when such commitment does not translate into actions and improvement in service delivery. A suggestion was made on the implementation of decisions as indicated below:

> "Our politicians are committed in ensuring IGR functionality through attendance of meetings, we need to ensure that we implement IGR resolutions in order to improve service delivery." (FGD – Participant 3, Harry Gwala, 30 July 2015).

## 6.5 CASE STUDY 3: UTHUNGULU DISTRICT MUNICIPALITY

### 6.5.1 Document analysis

#### *6.5.1.1 Background to Uthungulu District Municipality*

Uthungulu District municipality is a Category C municipality and is located in the north-eastern region of KwaZulu-Natal province. The municipality covers the areas from KwaGingindlovu (previously Gingindlovu) in the south to the Umfolozi River in the north and inland to Nkandla. The district is home to six local municipalities: City of uMhlathuze, Ntambanana, uMlalazi, Mthonjaneni, Nkandla and Mfolozi (previously Mbonambi). It has

the third-highest population in the province. The N2 highway links the district to other significant economic centres such as Durban and Johannesburg. It also offers a direct route to Maputo and Mozambique. The development of the Richards Bay Industrial Development Zone is boosting economic activity and attracting international investors within the district (Uthungulu IDP 2014/15).

Cities or towns include Empangeni, Eshowe, Heatonville, KwaGingindlovu, KwaMbonambi, Melmoth, Mtunzini, Nkandla, Ntambanana and Richards Bay. The main economic sectors in the district are manufacturing (40.9%), mining (15.2%), community services (11.9%), finance (8.7%), transport (8.5%), trade (6.5%), agriculture (5.3%) and construction (2.1%). Figure 6.4 below represents the map of Uthungulu District Municipality.

**Figure 6.4: Map of Uthungulu District Municipality**




Source: Uthungulu Municipality Integrated Development Plan (2014/2015).

Uthungulu District Municipality consists of six local municipalities as indicated in the map above. The municipality's main focus is to provide basic services such as water and sanitation while stimulating local

economic development, job creation and the growth of the small and medium business sector. The need to address poverty is one of the most critical issues. The municipality enjoys good relations with the business sector and non-governmental organisations. However, in recent times, the district has also experienced a number of difficulties in light of the global economic recession (Uthungulu District Municipality IDP 2015/2016). This together with crippling droughts and deep rural communities living in high levels of poverty are also strong characteristics of the Uthungulu district, with a backlog of water and sanitation service delivery leading the list of priorities.

The Uthungulu District faces challenges in service delivery which is exacerbated by the geographical characteristics of mountainous terrain, long distances between rural areas and the urban centres and prolonged periods of drought.

The Uthungulu District municipality allocates the greater part of its annual income to capital infrastructure projects in its three newly-established local municipalities: Mbonambi, Ntambanana and Nkandla, where the majority of residents live in rural homesteads. Unemployment is at about 50%. Lack of scarce skills has negatively affected the employment conditions, as industries have been forced to source labour outside of the region to the detriment of local workers (IDP: 2015/16). Table 6.3 below reflects the district municipality local areas, their population, extent and wards.

**Table 6.3: Uthungulu District Municipal local spread**

| Municipality | Population | % population | Area ($km^2$) | Wards |
|---|---|---|---|---|
| **Mbonambi** | 122 889 | 12.07 | 1 210 | 15 |
| **Ntambanana** | 84 772 | 9.57 | 1 083 | 8 |
| **Mthonjaneni** | 50 382 | 5.69 | 1 086 | 6 |
| **Nkandla** | 133 596 | 15.08 | 1 828 | 14 |
| **Umlalazi** | 221 077 | 24.95 | 2 214 | 26 |
| **Umhlathuze** | 289 187 | 32.64 | 793 | 30 |

Source: Uthungulu District Municipality Integrated Development Plan (2014/2015).

The Uthungulu District municipality is home to several of the largest industrial companies, the retail sector in urban areas is expanding as are the agricultural and tourism sectors and opportunities exist for local economic development. It covers an area of 8 213 square kilometres with a total population of 907 519. Umhlathuze Local municipality is the biggest and serves as an economic hub and a host to Uthungulu District municipality.

### *6.5.1.2 An overview of IGR at Uthungulu District Municipality*

**District Mayors Co-ordinating Forum:**

Uthungulu District municipality has adopted the "Protocol" document, which is meant to strengthen co-operative governance within the district. The document provides for the membership of Uthungulu District Mayors' Co-ordinating forum which is constituted by all mayors within the district, socio-economic partners and other stakeholders as they may be invited by the District Mayor. The forum is chaired by the District Mayor. The objective of the forum is to facilitate and promote IGR and co-operative government between the local municipalities and its district municipality, including seeking unity of purpose and co-ordination of efforts around the district development priorities and to ensure effective and efficient service delivery.

The functions of this consultative forum include drafting of national and provincial policy and legislation relating to matters affecting local government interests in the district; implementation of national and provincial policy and legislation with respect to such matters in the district; resolutions of the Premier's Co-ordinating Forum (PCF); service delivery in the district; and coherent planning and development in the district.

In terms of the Protocol document, the forum may refer matters arising from their meetings to the PCF or any formal provincial intergovernmental forum that the Premier may establish for the specific functional area. The forum meets at least four times annually and the district mayor may call additional meetings where necessary. The district mayor determines the agenda of the meetings and any other mayor may request the district mayor to include an item in the agenda. The district municipality is responsible for ensuring that administrative support is provided to the forum. The forums take resolutions and make recommendations on any matter falling within their scope and then allow for those resolutions and recommendations to be ratified timeously by the relevant authorities.

A member of the forum may bring an intergovernmental dispute between the member and another member of the Forum to the forum for settlement where the forum is a suitable institution to effect a settlement of the dispute through negotiation.

**Broad consultative forum:**

Uthungulu District municipality established a broad consultative forum which meets once a year with the service providers and other role-players having interest in the development within the district and as invited by the forum. The objective is to coordinate effective service delivery and planning in the district.

**District technical co-ordinating committee:**

A technical co-ordinating committee is established to provide technical support to the District Mayor's Forum and facilitate implementation of decisions. The committee consists of the municipal managers from the district municipality and its local municipalities.

**Other forums:**

Apart from the forums provided for, the municipality has in place the IDP planners forum, district finance forum, corporate services forum, district communicators forum and technical infrastructure forum. The district technical support forum also considers reports or resolutions from provincial IGR forums such as the Munimec and Cabinet Lekgotla.

### 6.5.2 Presentation of interview responses – Uthungulu District

#### *6.5.2.1 Face-to-face interview responses to goals*

In relation to organisational goals, there are six areas that need to be addressed and responses are presented in relation to those areas. The participants were required to provide comments on the ability of IGR to ensure coherent execution of key national priorities within the district and across all spheres of government; the availability of the mechanism for managing service delivery within the district and whether that results in proper and integrated delivery of services; the extent to which IGR is able to ensure service delivery considerations that affect every sphere of government through deliberations by all role-players; the manner in which vertical and horizontal planning is conducted in ensuring that integrated services delivered to the community is done in a coherent and well-structured manner; the ability of IGR to ensure an opportunity exists for identification of areas of support by the municipalities and implementation; and the extent to which the constitution of IGR structures is aligned to the IGR objectives, which is to ensure co-operation by all spheres of government in the services delivered to the community.

In relation to interviews, 12 out of 14 participants were interviewed on 8 July 2015 and one focus group discussion was held on 12 August 2015 which comprised six municipal managers. The variance in interviews was due non-availability of participants.

**The ability of IGR to ensure coherent execution of key national priorities within the district and across all spheres of government:**

In relation to organisational goals and strategy, the district IGR is able to ensure coherent execution of the key national priorities within the district and its local municipalities. Execution of national priorities is done with proper guidance through IGR protocols signed with all the local

municipalities and the district municipality. In this regard, the majority of participants' view were as follows:

> "The execution of this task within the sector departments is still a challenge that needs to be addressed." (IGR Official 3, Uthungulu District, 8 July 2015).

While the district and its local municipalities is able to execute implementation of national priorities, it became evident through interviews that there is no clear mechanism to track and monitor implementation and further elaboration was made as indicated below:

> "In some instances, the national priorities are discussed, monitoring of implementation remains uncoordinated." (IGR Official 2, Uthungulu district, 8 July 2015).

While this is regarded as one important aspect of IGR functionality, participants indicated that proper implementation, monitoring and reporting can only be ensured if everyone is committed to attending IGR meetings. The following comment was made:

> "In my view, attendance of meetings and lack of focus makes it impossible for monitoring to happen, especially with sector departments." (IGR Official 4, Uthungulu district, 8 July 2015).

In summary, it is the view of the participants that the ability of IGR to ensure coherent execution of key national priorities is done and as guided by IGR protocols, although with some challenges of attendance by sector departments. The participants identified challenges which include lack of co-operation and involvement of sector departments, monitoring and evaluation of the execution and lack of proper co-ordination.

It is the view of the researcher that Uthungulu District does to some extent ensure coherent execution of key national priorities.

**The availability of the mechanism for managing service delivery within the district and whether that results in proper and integrated delivery of services:**

In the responses from the participants, it was common to discern that there is no mechanism in place for managing service delivery within the district through IGR, which would result in proper and integrated delivery of services at community level. The only guiding document (IGR Protocols) provides for matters for discussion by IGR forums, which include service delivery issues, but a gap exists on how delivery of services across government should be managed. Another factor is that the protocols document does not extend to sector departments and how government should work together. The need for a documented procedure was emphasised in the following comment:

> "A clear framework on how the district municipality manages delivery of services across the district, there appears lack of proper mechanism or monitoring tool." (Mayor 1, Uthungulu district, 8 July 2015).

This view was supported and additionally it was noted that in this absence of the tool for managing service delivery the likelihood is that inconsistencies in performing this task might appear:

> "There is no mechanism in place; however municipalities devise their own ways." (Mayor 4, Uthungulu District, 8 July 2015).

A suggestion was made on the need for COGTA to provide guidance and a mechanism to ensure that service delivery is managed and monitored across all spheres of government operating within Uthungulu District Municipality. It was further observed that once the mechanism is in place, there will be a need for awareness and education on the utilisation, as suggested below.

> “We need COGTA to guide us on the correct mechanism to use, as we don’t have capacity to handle that” (IGR Official 2, Uthungulu District, 8 July 2015).

Another participant shared the same view and made the following comment:

> “We need more empowerment and awareness on what IGR seeks to achieve in relation to this matter, lack of understanding by senior officials is a challenge. The municipality has to re-look on the appointment of Senior Managers in terms of competency.” (IGR Official 2, Uthungulu district, 8 July 2015).

Given the participant responses, it is evident that there is no mechanism for managing service delivery across all spheres of government within Uthungulu district, therefore the understanding is that all spheres of government are affected by the extent to which IGR contributes to ensuring service delivery. In addition, senior managers are expected to focus their attention on the IGR functionality and their competencies should be looked at when the appointments are done.

**The extent to which IGR is able to ensure service delivery considerations that affect each and every sphere of government through deliberations by all role-players:**

Service delivery considerations relate to municipalities and not to all role-players, and there is a need to involve everyone, since the IGR protocols exclude other spheres of government.

> “In IGR meetings, we discuss service delivery issues, however we understand that there is a gap which relates to co-ordination of other spheres of government.” (IGR Official 6, Uthungulu district, 8 July 2015).

The participants further identified the need to strengthen IGR at a district level to ensure that functionality is enforced with everyone who is a role-player. Service delivery co-ordination should happen at a district level and the reports by all role-players should be integrated and submitted to IGR forum officials responsible for consolidation of the IGR agenda. The following suggestion was made in this regard:

> "As local municipalities we don't have the responsibility for IGR, at a local municipal level, the need is for us collectively to strengthen the district co-ordination of IGR for the benefit of all of us." (IGR Official 3, Uthungulu district, 8 July 2015).

The participants identified the need for improvement and more education on IGR, and indicated as follows:

> "IGR needs to be strengthened both through capacity and co-ordination" (IGR Official 5, Uthungulu district, 8 July 2015).

It is clear from the participant responses that IGR considers service delivery issues as they relate to the municipalities. The impediment when it comes to other role-players is lack of inclusion of other sector departments in the IGR Protocols document which leads to poor participation by sector departments.

The analysis of this research is that IGR needs to consider service delivery across all spheres of government, and not only the municipalities, which is currently the case with Uthungulu District municipality.

**The manner in which vertical and horizontal planning is conducted in ensuring that integrated delivery of services to the community is done in a coherent and well-structured manner:**

The general view is that vertical planning on the integrated delivery of services to the community is done with local municipalities although not structured, and horizontal planning is not taking place where sector

departments should be involved. While this is the general view, other participants within the local municipalities believe that the manner in which this happens remain unstructured and lacks proper co-ordination, even within the municipalities, as this is not a normal practice:

> "In implementing vertical planning, the district municipality ensures that its local municipalities are involved during planning for projects and budgeting, however there is no clear procedure to be followed." (Mayor 5, Uthungulu district, 8 July 2015).

A participant added in support of this view that:

> "When this doesn't take place, each role-player plans independently as this was the case during this year, a clear process and written agreement would assist us to improve." (Mayor 6, Uthungulu district, 8 July 2015).

Some participants submitted that the involvement of all role-players within the district to ensure better delivery of services and empowerment of all who should take part in IGR meetings should be prioritised and suggested as follows:

> "If the district and local municipalities were to plan together with sector departments that would lead to the execution of the IGR goals and strategy as well as ensure better delivery of services to the community, which is currently not taking place." (IGR Official 4, Uthungulu district, 8 July 2015).

The participants believe that if there were to be a structured and documented process to ensure vertical and horizontal planning, which is currently not in place, there will be more improvement on service delivery to the community. Given the participant responses, IGR at Uthungulu district does not ensure that vertical and horizontal planning, including integration and delivery of services to the community, is done in a coherent and well-structured manner.

**The ability of IGR to ensure an opportunity exists for identification of areas of support by the municipalities and implementation:**

Within Uthungulu District municipality, the provision of support to other role-players normally gets considered at IGR level when prompted by the requests for such support. There is no documented provision:

> "In my view local municipalities are supported when the need arise. Given this, there is no proper method that is used by the district in assessing the need for support depending on the challenges faced by each local municipality, as the COGTA would do." (IGR Official 2, Uthungulu district, 8 July 2015).

This view was supported as follows:

> "A more formal way of co-ordinating this support is what is required to strengthen our IGR." (IGR Official 4, Uthungulu district, 8 July 2015).

Another person made reference to unclear processes, where participating municipalities indicated that support is requested by an individual municipality through the COGTA or Provincial Treasury and remarked that:

> "Municipalities within the district should rely on their internal support and not the COGTA or Treasury as we currently do." (IGR Official 2, Uthungulu district, 8 July 2015).

However, a need for focused training in this regard was identified as it pertains to all participants in IGR activities and specifically the District municipality whose role is to ensure proper co-ordination.

While the participant understanding is that when municipalities submit requests for support from the District municipality, such requests are considered and some support is received from Provincial Treasury or the COGTA, there is no structured and documented method or process in

ensuring that this takes place, hence the need for more co-operation, co-ordination and training.

It is evident that identification of areas of support amongst the role-players is not happening; however, support is given when requested by an individual municipality from the District municipality, COGTA and Provincial Treasury.

**The extent to which the constitution of IGR structures is aligned to the IGR objectives, which is to ensure co-operation by all spheres of government service delivery:**

IGR does not achieve co-operation on delivery of services to communities by all spheres of government as other spheres of government do not necessarily form part of IGR structures as this is not provided for in the IGR protocols. In relation to this constitution, the district has in place the District Mayor's forum; technical support structure (Municipal manager's forum); IDP planners forum; technical infrastructure forum; district finance forum; district communicators forum; corporate services forum; and district communicators forum. The view of the participants in this regard is that:

> "IGR structures are constituted in terms of the IGR Framework, but excludes sector departments; however, such constitution doesn't ensure co-operation by all spheres of government in the delivery of services to the community." (Mayor 2, Uthungulu district, 8 July 2015).

In relation to the municipalities, the co-operation is evident in the IGR protocols and minutes of IGR meetings, although there is a need for the involvement of sector departments at a district level to ensure full co-operation. Further mention of co-operation is that:

> "Co-operation by all role-players is necessary, there is a need to monitor decisions that are taken." (Mayor 3, Uthungulu district, 8 July 2015).

It is the participant view that the IGR constitution within Uthungulu district does not necessarily lead to co-operation amongst all spheres of government; this is due to the IGR protocols that are signed and concluded by district municipal and its local municipalities district. For this reason, sector departments do not attend IGR meetings and service delivery is achieved at a municipal level. This further indicates the need to ensure participation and monitoring of decisions taken.

Given the participant views, it seems that the IGR constitution within Uthungulu District municipality does not achieve the objective of IGR, which is to ensure co-operation amongst all the spheres of government.

#### *6.5.2.2 Focus group responses on goals*

While the majority of the focus group participants believe that planning amongst other municipalities is done in a coherent manner, integrated delivery of services does take place at a local level. However, it is also their view that horizontal planning, as it refers to planning with sector departments, has become a challenge due to full participation of sector departments in the planning processes. The participants indicated as follows:

> "We plan together as municipalities in this district, especially when invited by the district municipality to be part of their planning sessions." (FGD-Participant 2, Uthungulu district, 12 August 2015).

The municipality's ability to achieve co-operation on delivery of services to the community by spheres of government through IGR interactions is viewed as being impeded by lack of role clarity and the inability to ensure standardisation of the agenda in preparation for meetings. The criticism of the district municipality was that:

> "The agenda is mainly the responsibility of the district municipality, our role as local municipalities is minimal, so it is important for us to

bring more clarity in this, in order to ensure standardisation." (FGD-Participant 3, Uthungulu district, 12 August 2015).

The participant views are that in IGR meetings, the role-players deliberate on service delivery imperatives, but the government department's inability to attend IGR meetings makes it impossible for them to deliberate and reach consensus on issues pertaining to their areas of responsibility.

The participants were requested to comment on mechanisms to manage service delivery within the district, and the following was the response:

"Whilst at an IGR level we don't have a documented mechanism to monitor service delivery by all spheres, where possible monitoring is done through IGR forums and other forums where specific service delivery areas are discussed, there is a need for improvement in this area." (FGD-Participant 4, Uthungulu district, 12 August 2015).

#### *6.5.2.3 Face-to-face interview responses to environment*

In relation to the environment, participants were required to provide responses or comments on the following areas:

1. Comments on the impact of political environment on the functionality of IGR;
2. Co-operation by all role-players;
3. The ability of elected members of the local sphere of government to monitor, scrutinise, oversee and debate on how their municipalities are performing within the district and whether that is evident in their meetings and discussions.

**The impact of political environment on the functionality of IGR:**

The political environment is regarded as being manageable, but there is a need to ensure understanding of IGR by all politicians. The only challenge that was identified is that the attendance of meetings by political

leadership is normally affected by other external political commitments and leads to an inability to achieve a quorum for some meetings. This was supported by the following remark:

> "The political environment has challenges and sometimes politicians' schedules make it difficult for meetings to sit." (IGR Official 3, Uthungulu district, 8 July 2015).

The need for empowerment of politicians so that IGR focus mainly on service delivery issues across the district was suggested by the participants. In this regard reference was made to the nature of discussion, which some of them regarded as not having an impact on the IGR functionality and service delivery. The suggestion was made that:

> "We need to improve on our discussions and focus more on service delivery issues and the impact." (IGR Official 4, Uthungulu district, 8 July 2015).

The participants view the political environment to have some challenges and it is their view that politicians need to be empowered more on IGR and what it seeks to achieve. The political commitments lead to the inability of the IGR to sit, which affects service delivery.

It is the view of the researcher, based on the participant responses, that the political environment at Uthungulu District does have a negative impact on the functionality of IGR, although there is a need for commitment and empowerment of politicians.

**The more co-operation by municipality partners i.e. government departments, parastatals and local municipalities, the easier the implementation of IGR and the manner in which this co-operation is defined within Uthungulu district:**

There is a general view that full co-operation can only be achieved with the involvement of sector departments. It is clear from the participant view

that the organisational environment within the district is affected by lack of IGR understanding and lack of co-operation by other spheres of government. Whilst co-operation at a municipal level is taking place, challenges were identified where participants argued observed as follows:

> "We need to prioritise attendance and availability of role-players in order to achieve co-operation." (Mayor 4, Uthungulu district, 8 July 2015).

> "We need to strengthen co-operation through regular awareness." (Mayor 2, Uthungulu district, 8 July 2015).

> "We need to understand what is required of us to do in achieving good IGR." (Mayor 5, Uthungulu district, 8 July 2015).

Furthermore, since IGR is a collective initiative, the participants had this view:

> "COGTA needs to support us to ensure better IGR." (IGR Official 5, Uthungulu district, 8 July 2015).

The participant view IGR as being undermined by lack of participation and identified the need to ensure understanding of IGR by all and to create awareness so as to strengthen IGR co-operation. It would appear that there is a lack of co-operation from role-players other than municipalities which is due to the reasons identified.

**The ability of elected members of the local sphere of government to monitor, scrutinise, oversee and debate how their municipalities are performing within the District and whether that is evident in their meetings and discussions:**

Within the District, elected political members of the local sphere of government are unable to monitor, scrutinise, oversee and debate on how the municipalities are performing within the district. The general view was

that this is due to the authority of IGR forums in terms of IGR protocols which is limited to an advisory or consultative function and hence the following comment:

> "We rely on the IGR protocols that we concluded, which regard IGR structures as advisory and consultative forums." (IGR Official 6, Uthungulu district, 8 July 2015).

In addition, it has been mentioned that resolutions taken at IGR meetings are submitted to individual councils for ratification, but could not be enforced. According to the participants, this is another challenge that impedes performance monitoring by role-players in the district forums as indicated below:

> "What needs to be monitored in terms of performance is not understood, this makes it impossible to monitor performance." (IGR Official 3, Uthungulu district, 8 July 2015).

There was a suggestion for more guidance by the district municipality on how performance should be monitored and a further suggestion was made on a formal process to be followed, which is currently not in place:

> "The district municipality should provide direction on the monitoring of performance and a formal process to be followed." (Mayor 4, Uthungulu district, 8 July 2015).

Accordingly, it is clear from the participant responses that the ability to monitor, scrutinise and debate on how municipalities are performing is impeded by the limited authority of IGR – which is to advise and consult, the ability to enforce and monitor implementation of resolutions as they get referred to individual councils, lack of understanding and guidance on how this role should be enacted and unavailability of a formal and documented process to ensure that this role is carried oout.

It therefore appears to be the case that IGR is unable to monitor, scrutinise and debate on how municipalities are performing in Uthungulu district.

#### *6.5.2.4 Focus group responses on environment (Uthungulu, 12 August 2015)*

At a municipal level, the participant view is that co-operation does exist but that the IGR implementation would be much easier if the same co-operation existed with government departments. When required to comment on the political environment, their views were:

> "There is some influence imposed by the political environment which might lead to non-functionality of IGR; however other aspects of municipal environment does play a role on the provision of service to the community." (FGD-Participant 2, Uthungulu, 12 August 2015).

Other aspects of the environment that has a role in service provision to the community were commented on as follows:

> "Within the municipal general environment there are other contributing issues or factors such as the behaviours of those involved, and the uncertainty of which is due to local government elections that are due to take place in August 2016. We don't know what the future holds and how IGR will be affected." (FGD – Participant 3, Uthungulu, 12 August 2015).

It is the participant view that IGR has not yet reached a stage where elected members would freely deliberate on, monitor and scrutinise how their municipalities are performing within the district. Their indication is that:

> "This can only become possible if there are clear goals and targets in place, and the means to achieve those targets, then monitoring

of performance will be possible" (FGD-Participant 2, Uthungulu, 12 August 2015; FGD-Participant 4, Uthungulu, 12 August 2015).

Drawing a conclusion from interviews and focus groups and in relation to the environment, the co-operation by all partners is negatively affected by lack of understanding of IGR and its objectives, the view that IGR is a district function leads to inability by local municipalities to take charge of IGR initiatives and make valuable contributions to the district agenda. The political environment does have an impact or influence on the functionality of IGR as the district. However, the attendance of meetings by political leadership is also affected by other external political commitments.

Within the district, elected political members of the local sphere of government are unable to monitor, scrutinise, oversee and debate on how the municipalities are performing within the district. This is due to the authority of IGR forums which is limited to an advisory or consultative function. The resolutions taken at IGR meetings are submitted to individual councils for ratification, but cannot be enforced.

According to participants, more co-operation is required especially by government departments and public entities in order to ensure functional IGR. It is clear that the organisational environment within the district is affected by lack of IGR understanding and lack of co-operation by other spheres of government.

#### *6.5.2.5 Face-to-face interview responses to culture*

**The existence of a sense of shared and common purpose and values, which emphasise the need for co-operation and for consensus or whether the relationship is a more competitive one:**

There is a general view that IGR in Uthungulu district is characterised by a sense of shared common values and purpose which emphasise the need for co-operation and consensus and this is happening with municipalities'

participation. However, there are still challenges of lack of commitment in attending IGR meetings and some municipalities send junior officials.

The reason for these challenges is indicated as being “The absence of documented IGR strategy with clear goals and objectives does contribute to lack of IGR vision, values and purpose.” (IGR Official 2, Uthungulu district, 8 July 2015).

While the absence of documented IGR strategy is viewed as a challenge, participants made recommendations as follows, with the view that even if the strategy was in place, education is key to ensuring understanding from all role-players:

> “More education and training needs to be conducted to all participants on IGR and including roles and responsibilities.” (Mayor 4 , Uthungulu district, 8 July 2015).
>
> “We come from different cultures and background, there is a need to ensure a culture of shared vision and purpose with all role-players.” (Mayor 3, Uthungulu district, 8 July 2015).
>
> “There should be a memorandum of understanding signed by all parties to ensure co-operation.” (IGR Official 4, Uthungulu district, 8 July 2015).

In summary, it is the participant understanding that the ability of role-players to have a sense of shared and common values and purpose that emphasise the need for co-operation is impeded by the fact that, whilst municipalities within the district are dedicated, there is a tendency to send junior officials to meetings, limited understanding of IGR by all role-players and non-availability of documented IGR strategy in place which contributes to lack of vision, values and purpose.

It is the researcher's understanding, given the participant views that municipalities within Uthungulu district have a shared and common vision, values and purpose that emphasise the need for co-operation, to some extent and this needs to be strengthened through full commitment and participation by all role-players.

**The commitment of leaders at every level in relation to the conduct or functionality of IGR:**

Generally there is commitment from both administrative and political leaders within the municipalities to conduct functional IGR. Commitment in some areas is said to have led to improvement in service delivery, but the need for more co-ordination of other role-players was identified. The participants further stated that when they all manage to attend meetings, they are able to make good decisions. In this regard, the following were general recommendations as a means to improve commitment:

> "Ongoing workshops and training sessions are necessary to ensure the understanding and commitment"; and
>
> "A more focused approach with clear deliverables is required".

As there is no binding agreement except for the protocols document, there was a view that a memorandum of understanding signed by all role-players is needed, which will specify clear roles and responsibilities and include consequences for inability to perform according to the allocated roles. One IGR official observed that:

> "In support of the IGR initiative, we need a clear memorandum of understanding to be enforced by political leadership, since most work happens at a technical level." (IGR Official 2, Uthungulu, 8 July 2015).

In summarising the above, generally the participants believe that some role-players are committed to IGR business such as municipalities and this has led to service delivery improvement. It is further suggested that

there is a need for a more focused approach with clear deliverables, ongoing awareness and workshops, role clarity, conclusion of a memorandum of understanding and a strengthened co-ordination role. Therefore the researcher believes that the commitment of IGR functionality is good where municipalities are concerned but that there is a need to ensure participation by sector departments.

#### *6.5.2.6 Focus group responses on culture*

On whether IGR is characterised by a sense of shared and common values and purpose and the need for co-operation and consensus or whether the relationship is a more competitive one, the participant view is that a culture of non-attendance of IGR meetings by sector departments exists, but at a local level IGR is characterised by a sense of shared and common values and purpose which emphasise the need for co-operation and consensus, as indicated by a focus group participant:

> "I regard the relationship at a local level as being co-operative and not competitive as there we are committed in ensuring that IGR is functioning properly." (FGD – Participant 4, Uthungulu, 12 August 2015).

Participants were asked to comment on the commitment of municipal leaders to ensure IGR functionality and responded as follows:

> "IGR is championed by mayors at a political level and municipal manager of the district at a technical level, there exists some level of commitment in some, whilst others have challenges on attendance of IGR meetings. However, there is a need for education and awareness on the importance of IGR and the need for co-operation and support." (FGD – Participant 1, Uthungulu, 12 August 2015).

In deliberating more on culture, and as Eisner (1999) points out, the vision and culture of an organisation sets the tone for much of what occurs within

the organisation, thereby influencing most strategic activities. As indicated in chapter four, organisational culture is considered to be the great "cure-all" for most organisational problems (Wilson, 1992). Within these institutions (spheres of government), there is inability and failure to attend IGR meetings by all spheres of government which becomes a culture that affects the attainment of IGR goals.

## 6.6 CONSOLIDATION OF KEY ISSUES

### a) Ugu District Municipality:

The following key issues emanate from the presentation of data and are informed by research instruments used to conduct this research. This reflects key issues that seek to respond to challenges of IGR function within Ugu district, given the contextual dimensions such as goals, environment and culture and took into account the techniques that were used during data collection. The consolidated issues across techniques and the identified thematic issues such as goals, culture and environment include co-ordination of IGR meetings and reports; attendance of IGR meetings by role-players; nature of discussions during IGR meetings; implementation of IGR decisions, monitoring and reporting on implementation; availability of mechanisms and procedures for implementation of policy requirements; political environment being stable; and accountability and understanding of IGR by role-players. In relation to the ability of officials to coordinate and understand IGR issues, lack of capacity and incompetency, which is associated to the recruitment of senior officials was raised. As indicated, the reflected issues shed light on the challenges pertaining to the functionality of IGR within Ugu district and in the context of organisational contextual dimensions such as goals, environment and culture.

Recommendations from participants include ongoing education and awareness on IGR; clear induction programme on IGR; memorandum of

understanding or agreement to be signed by all role-players; resolution tracking and monitoring mechanism for IGR resolutions; documentation of key IGR processes in relation to vertical and horizontal planning and alignment and identification of areas of support and mechanisms for measuring and monitoring service delivery across all spheres of government.

Amongst other things a need has been identified for political leadership to champion compliance and commitment by all role-players, for the district to have clear IGR targets based on IGR objectives, that IGR objectives should inform the standing agenda items on the IGR agenda of meetings, agendas of meetings should be informed by the inputs of all role-players, support from the COGTA is necessary in improving the IGR functionality and the support should not be based on sittings of IGR meeting discussions.

**b) Harry Gwala District:**

The following key issues emanate from the presentation of data and depicts key issues that seek to respond on challenges of IGR function within Harry Gwala district, given the contextual dimensions such as goals, environment and culture and took into account the techniques that were used during data collection. The consolidated issues across techniques and the identified thematic issues such as goals; culture and environment includes availability of policy framework; attendance of and participation in IGR meetings; nature of discussions during IGR meetings; implementation of IGR decisions or resolutions; lack of shared vision; political environment as being uncertain and at times unstable, and understanding of IGR. It is the view of the respondents that senior management capacity needs to be looked at due to incompetency in dealing with IGR matters.

As indicated, the reflected issues shed light on the challenges pertaining to the functionality of IGR within Harry Gwala district and given

organisational contextual dimensions such as goals, environment and culture. Recommendations from participants include support required on the development of IGR strategy with clear goals and objectives, strengthening of district capacity to ensure improved co-ordination, consequences for non-compliance instilled by political leadership, and reporting framework with standard issues for reporting; and ongoing education and awareness on IGR.

**c) Uthungulu District:**

Key issues that seek to respond on challenges of IGR function within Uthungulu District given the contextual dimensions are goals, environment and culture and they take into account the techniques that were used during data collection. The consolidated issues across techniques and the identified thematic issues such as goals, culture and environment includes unavailability of IGR strategy and policy framework with clear objectives; the need for a memorandum of understanding to be signed by all role-players including sector departments; unavailability of procedures in managing service delivery across spheres, lack of process to identify areas of support; lack of role clarification and clear deliverables; lack of IGR understanding; misrepresented IGR role which is limited to advising and consultation; unstable political environment and resolutions implementation and enforcement.

As indicated, the reflected issues provide clarity on the challenges pertaining to the functionality of IGR within Uthungulu District and given organisational contextual dimensions such as goals, environment and culture.

Recommendations from participants include the need for the COGTA to provide a mechanism for managing and monitoring service delivery; the necessity for ongoing awareness and education; capacity considerations at a district level to strengthen co-ordination; the need for written

agreement on issues of co-operation; procedures to ensure vertical and horizontal planning; procedures and annual programme on areas of support; annual training programme on IGR; and availability of IGR strategy.

## 6.7 SUMMARY

Chapter six presents challenges affecting the functionality of IGR within Ugu, Harry Gwala and Uthungulu District municipalities. This presentation took into consideration data collected through document analysis, focus group and face-to-face interviews. Document analysis informed the background of each district municipality and an overview of IGR within the district. Presentation of data and responses to face-to-face and focus group interviews is arranged per municipality and given the thematic issues such as goals, culture and environment. The chapter presents data for each case and the main issues are summarised and consolidated across each data collection technique, given the principal themes such as goals, culture and environment. Recommendations that originate from the participants informed measures to mitigate the effects of contextual issues affecting the functionality of IGR. The next chapter presents analysis of data for each case and across cases and leads to identification of the main thematic issues arising from the analysis.

# CHAPTER SEVEN
# UNDERSTANDING IGR FUNCTIONALITY WITHIN KZN DISTRICT MUNICIPALITIES

## 7.1 INTRODUCTION

The previous chapter presented each case finding in relation to organisational contextual dimensions affecting the functionality of IGR within the three district municipalities and provides case analysis and key issues. Each case highlights the main issues that represent reasons for the challenges affecting IGR functionality and make reference to organisational goals, culture and environment. The highlighted issues as reflected in previous chapter are further consolidated across data collection techniques and for each case.

The comments and proposals made by the participants in relation to the identified issues are captured in Chapter six. These shed some light on how organisational contextual issues can be managed and results in the functionality of IGR. This chapter focus on case specific analysis as informed by the main issues presented in the previous chapter and an analysis is further conducted across cases. As indicated in the first chapter of this report, the aim of this research is to understand and explain the challenges affecting the functionality of IGR within KZN District municipalities and in particular Ugu, Harry Gwala and Uthungulu. The research questions were selected to guide this search and the discussions in the conclusion section are guided by the research questions. The following section looks understanding the organisational contextual dimensions affect IGR functionality in each district municipality and further made an analysis across the three which are; Ugu, Harry Gwala and Uthungulu district municipalities.

## 7.2 UNDERSTANDING IGR FUNCTIONALITY ACROSS THE THREE DISTRICT MUNICIPALITIES, UGU, HARRY GWALA AND UTHUNGULU

Stake (2006) provides for two strategic ways to analyse data, which are categorical aggregation and direct interpretation and further mentioned that each researcher needs thorough experience and reflection to find the forms of analysis that works for him or her. The researcher considered the two proposed approaches and based on the following motivation, chose to use the categorical aggregation method (Yin, 1993).

In direct interpretation, the case study researcher draws meaning from a single instance without looking for multiple stances. It is a process of ensuring that data is pulled apart and putting them back together in a more meaningful way.

In categorical aggregation, the researcher establish a collection of instances from the data collected, with the view that issue-relevant meanings will emerge. The researcher establishes trends and looks for similarities between two or more categories. The advantages of this is that the researcher can establish differences and similarities among the cases. There, the researcher will use categorical aggregation as a means for analysing data across cases**.**

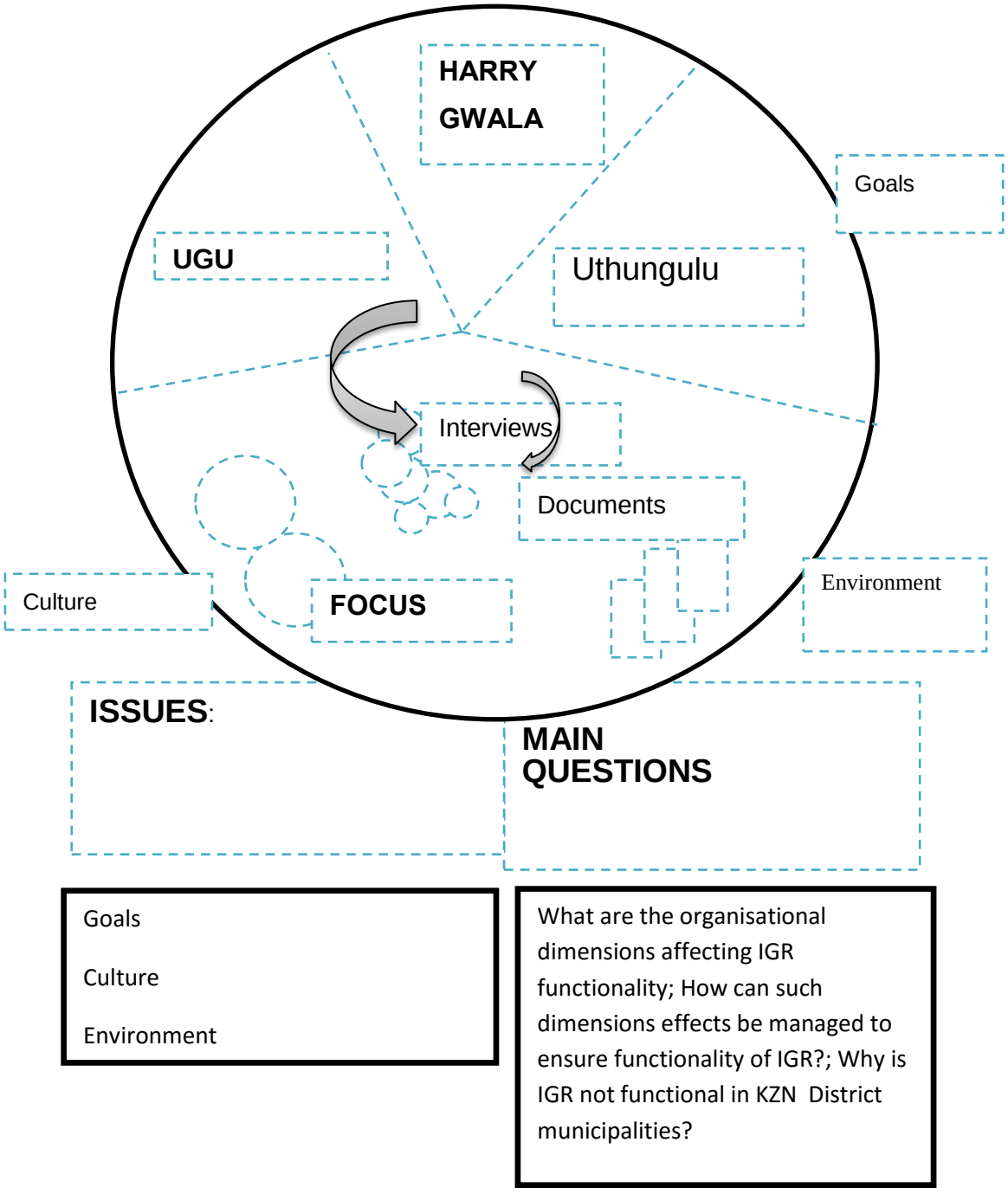
Guided by the cross-case analysis findings, the researcher developed theme-based assertions, where the primary research questions provide guidance. This section starts with the schematic view or design of this study, which provides knowledge on the cases studied, the key issues, primary research question and data collection techniques.

### 7.2.1 The design of a multi-case study

According to Stake (2006), multi-case research starts with the quintain, in this case municipality is the quintain. A quintain is an object or phenomenon or condition to be studied and in a multi-case study it is referred to as the target collection. To understand it better, the study is on some of its single cases – its sites or manifestation, but it is the quintain that we seek to understand. In this multi-case study, what is similar and different about each case in relation to the Ugu, Harry Gwala and Uthungulu cases is studied in order to understand the quintain better. The researcher's planning of this multi-case research is somewhat different from planning for a single case study in that the ultimate question shifts from understanding the case towards understanding the municipality and how it operates.

In this multi-case study research, the single case is of interest as it shares common characteristics or conditions. The cases in the collection are categorically bound together. The ultimate question shifts from "What helps us understand the case:" towards "What helps us understand the quintain?" Since the study is a qualitative multi-case study, the individual cases are studied to learn about their self-centring, complexity and situational uniqueness. Given this background, a graphic design of these multiple cases is shown in Figure 7.1

**Figure 7.1: A graphic design of multiple case study**




Source: Adapted from Stake (2006)

Figure 7.1 above shows three activity sites/case studies, various documents analysed, focus group interviews conducted and twelve face-to-face interviews conducted in each case. The conceptual framework of this study is embedded in three concepts which are culture, goals and environment.

## 7.3 GENERATING THEME BASED ASSERTIONS ACROSS CASES

The research questions are referred to as themes as initially identified in the project proposal and further modified as the research began. The themes are arranged and numbered in order of anticipation of their value in adding to the understanding of the quintain. The first listed theme is thus given priority in the cross-case procedure.

**Table 7.1: Themes of the multi-case study**

| | |
|---|---|
| Theme 1 | Why there are challenges affecting the functionality of IGR within the district municipality? |
| Theme 2 | What are the organisational contextual dimensions associated with the challenges affecting the functionality of IGR within the district municipality? |
| Theme 3 | How can such organisational contextual dimension effects be managed to ensure functional IGR? |

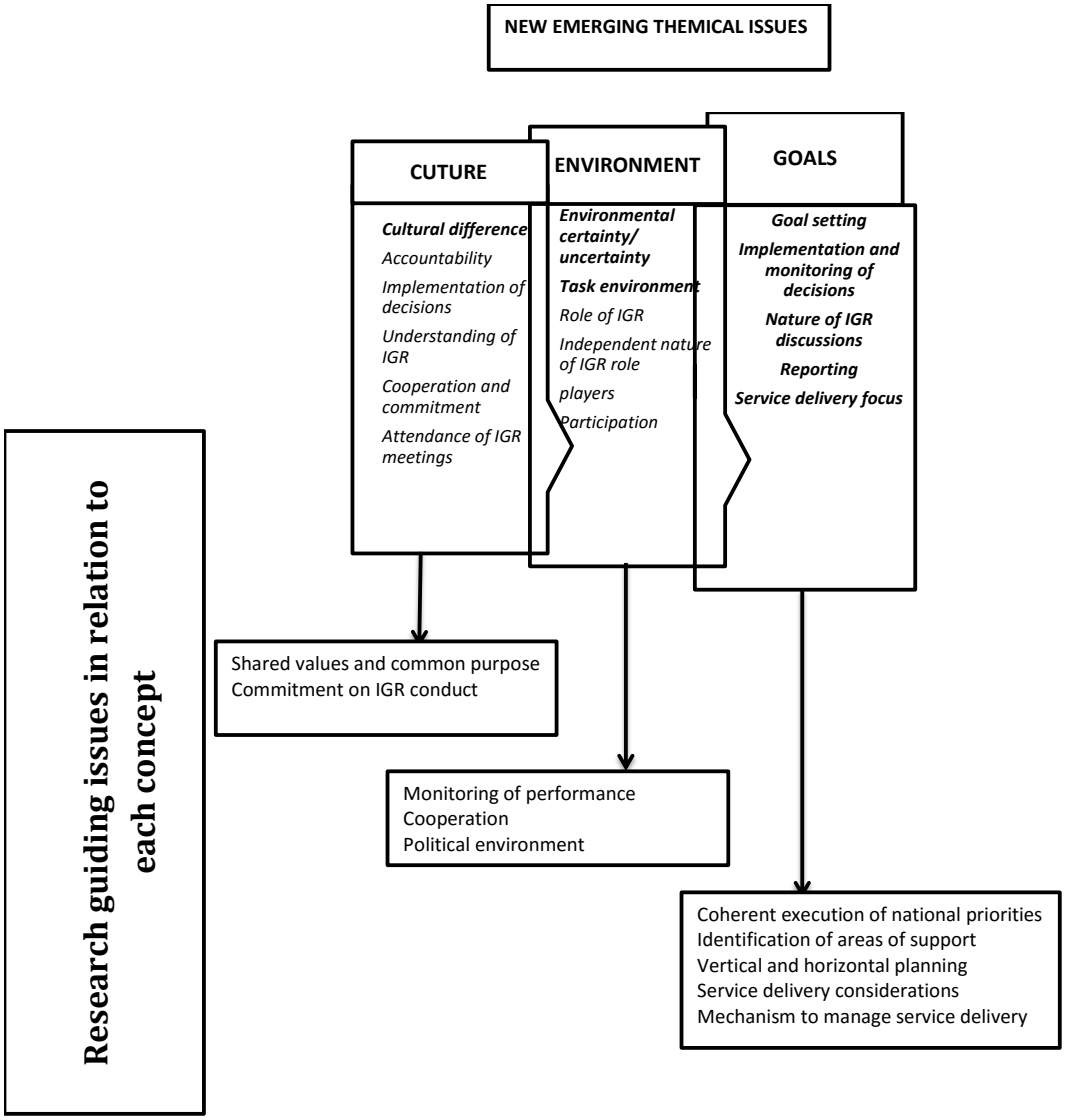
Source: Own (2015)

According to Stake (2006) these themes indicate primary information about the quintain that the researcher is investigating. Section 7.4.1 and 7.4.2 provides an understanding of IGR functionality in relation to the three themes associated with this study.

### 7.3.1 Why are there challenges affecting the functionality of IGR within the district municipalities?

The functionality of IGR within the three municipalities is affected by goals, culture and environment. Figure 7.2 depicts emerging IGR issues across cases. It is evident that certain issues under each element represent the view shared in this research. The intention is to conclude on what informs the view for each concept and the relationship with the relevant conclusion. These conclusions make it possible to understand the implications of each issue on the organisation. What seems to affect the organisational culture are matters such as accountability, attendance at IGR meetings, implementation of IGR decisions and culture differences. Secondly, the environment as an organisational contextual matter is affected by its uncertainty, task environment, participation, independent nature and role of IGR. Lastly, the organisational goals are affected by goal setting, implementation of IGR decisions, nature of IGR decisions, reporting and service delivery focus. These effects become what constitute challenges and the reasons for IGR functionality and informs conclusions of this thesis. Figure 7.2 below reflects on the key issues emerged from data collection process.

**Figure 7.2: Key emerging issues across cases**




**Source: Own (2016)**

Source: Own (2016)

The identified issues in Figure 7.2 relates to culture, goals and the environment. Elements that affect culture within the municipalities studied included attendance at IGR meetings, co-operation and commitment. In relation to goals, issues identified include, amongst others, goal setting, implementation and monitoring of decisions taken. In relation to the environment, the uncertainty and political instability are amongst the issues identified through data collection.

### 7.3.2 Organisational contextual dimensions and the effects on IGR functionality

#### *7.3.2.1 Goals*

In relation to goals, IGR functionality is affected by issues identified in Tables 7.2 to 7.7 below, which are based on the presentation of data as referred to in the previous chapter and across data collection techniques. The analysis on goals is based on the ability of the municipalities to ensure coherent execution of key national priorities, the availability of mechanisms for managing service delivery across all spheres, the ability to ensure service delivery considerations during IGR deliberations, the ability to ensure vertical and horizontal planning, the ability of IGR to ensure identification of areas of support and the ability of IGR constitution to achieve IGR objectives. All these identified aspects contributes to the realisation of IGR goals and are dealt with as follows:

**Table 7.2: Coherent execution of key national priorities**

| **Ugu** | **Harry Gwala** | **Uthungulu** |
|---|---|---|
| Lack of commitment from the role-players | Lack of participation of sector departments | Lack of clear mechanism to track and monitor implementation of key national priorities |
| Implementation of decisions taken at IGR | Clear strategy | Proper implementation, monitoring and reporting of key national priorities |
| Co-ordination role of the district municipality | Understanding of IGR | Attendance of meetings and lack of focus |
| Nature of discussions on IGR meetings | Attendance of meetings by junior officials who can't take decisions | Proper co-ordination; |
| | Fragmented reporting | Participation by sector departments |

Source: Own (2016)

The ability to ensure coherent execution of national priorities across the three district municipalities is affected by to lack of proper co-ordination of IGR activites by the district municipality concerned (IGR Official 2, Ugu District, 22 June 2015). From the table above, it is further noted that Uthungulu and Harry Gwala districts experience some challenges in that there is lack of commitment to attend meetings and poor participation in IGR meetings by the participants which leads to improper reports being submitted to the Mayor's forum (Mayor 5, HG district, 16 July 2015; HG FGD – Participant 2, 30 July 2015). Lack of a mechanism to implement and monitor the execution of the national priorities is a concern for some municipalities. Therefore, it can be concluded that the municipalities are unable to coherently execution national priorities due to lack of commitment from the role-players; implementation of decisions taken at IGR; attendance of IGR meetings and where some meetings lack agenda focus (IGR Official 2, Uthungulu District, 8 July 2015; Uthungulu FGD – Participant 3, 12 August 2015).

**Table 7.3: Mechanisms for managing service delivery across all spheres**

| Ugu | Harry Gwala | Uthungulu |
|---|---|---|
| Proper co-ordination of IGR | Improved co-ordination of mechanisms to ensure compliance | No framework and monitoring tool on the management of service delivery across the district |
| Attendance of IGR meetings by all role-players | Education and awareness | Lack of knowledge on the management of service delivery across the district |

Source: Own (2016)

The three district municipalities have different views on the mechanism for managing service delivery within the district municipalities and across all sector departments within the district (Mayor 1, Uthungulu District, 8 July 2015; FGD Uthungulu –Participant 4, 12 August 2015). Within Ugu District Municipality the need for proper co-ordination of IGR activities by the District municipality is regarded as the legislative role which includes ensuring attendance of IGR meetings by all role-players. The participation and attendance by all role-players should enable managing service delivery within the district and across all spheres of government (IGR Official 3, Ugu District, 20 June 2015). This same view is shared at Harry Gwala District Municipality as they felt the need to strengthen capacity in the form of education and training within the District and provide more support to ensure the implementation of this role (Mayor 3, HG District, 16 July 2015).

In relation to Uthungulu District Municipality, a need has been identified for creating for awareness and empowerment on the IGR role and to provide proper guidance of role-players on the execution of IGR tasks. Reflecting on Table 7.3 above, there are contributing factors on the management of services delivered to the community. These include unavailability of framework and monitoring tools to manage service delivery across the district; lack of knowledge on the management of service delivery across by the district municipality; the need for improved co-ordination and district capacity and promotion the attendance at IGR meetings of all role-players.

**Table 7.4: Ensuring service delivery considerations**

| Ugu | Harry Gwala | Uthungulu |
|---|---|---|
| Lack of IGR understanding<br><br>Political appointments lead to incompetencies | Full participation by sector departments<br>Training of senior managers due to lack of capacity | Co-ordination of other spheres of government by the district |
| Participation and co-operation by all role-players | Reporting on programmes implemented | Capacity to coordinate IGR activities |
| | Challenge of service delivery focus when discussing IGR | |

Source: Own (2016)

Service delivery considerations during IGR meetings is largely affected by lack of participation by all role-players in IGR and the inability of the district municipalities to properly coordinate IGR meetings and to ensure that service delivery deliberations take place in those meetings (Mayor 3, HG District, 16 July 2015). This is the case with all three district municipalities. Whilst service delivery considerations takes place in Uthungulu district municipality, the capacity to coordinate IGR activities is still a challenge (IGR Official 6, Uthungulu District, 8 July 2015). The contributing challenges includes the ability to coordine other spheres of government by the District Municipality; failure to reporting on programmes implemented; lack of service delivery focus on IGR programmes and co-operation by all role-players ( Mayor 3, Ugu District, 20 June 2015).

Table 7.5 below examines the ability of IGR to ensure vertical and horizontal planning in relation to IGR goals.

**Table 7.5: Vertical and horizontal planning**

| Ugu | Harry Gwala | Uthungulu |
|---|---|---|
| Education and training<br>Capacity of senior managers and role of politicians in their recruitment | Involvement and participation by everyone during planning | Unstructured and lack proper co-ordination |
| Documented clear process | Understanding of the role through training | No clear procedure or documentation to be followed |
| Co-ordination role of the district | Education and training | Lack of involvement and co-ordination of other role-players i.e. sector departments |

Source: Own (2016)

The ability to ensure vertical and horizontal planning is a challenge in all three District Municipalities and this is due to lack of understanding of IGR, which calls for education and training, challenges around proper co-ordination of the IGR function by the District Municipalities, unavailability of documented process to be followed in ensuring vertical and horizontal planning and the role of COGTA is supporting the municipalities (IGR Official 4, HG District, 16 July 2015; Mayor 6, Ugu District, 8 July 2015). Whilst co-ordination is key in ensuring that this role is achieved, there is a strong view that education and training is equally necessary. This means that within IGR institutions, arrangements should be made to accommodate vertical and horizontal planning as a function. In the context of IGR and as suggested by most respondents, education and training assist in ensuring that participants understand their role on IGR and implement accordingly. It is the view of the researcher that horizontal and vertical planning can only be ensured through the District

IGR institutional arrangements and the extent to which these accommodates the defined roles (Mayor 6, Ugu District, 20 June 2015). Table 7.6 below presents information on the ability to identify areas of support in relation to IGR goals.

**Table 7.6: Identification of areas of support**

| **Ugu** | **Harry Gwala** | **Uthungulu** |
|---|---|---|
| Documented IGR processes | District co-ordination | No clear documentation and method on how areas of support should be identified |
| Performance monitoring as key in identifying areas of support<br><br>Recruitment of senior managers | Documented process | Lack of knowledge on how to identify areas of support<br><br>Capacity of senior managers |
| | Education and awareness | |
| | Improved participation | |

Source: Own (2016)

It is evident that with all three district municipalities, the identification of areas of support amongst the role-players is not happening in a structured manner as there is no structured and documented process to ensure the performance of this role. However, within Ugu district municipality it is further understood that for this role to be performed there should be proper monitoring of performance first, that leads to identification of gaps which inform areas of support (IGR Official 1, Ugu District, 20 June 2018; IGR Official 4, Ugu District, 20 June 2015). This raises an awareness that organisational cultural elements such as values, beliefs, ethical behaviour, norms and standards, and commitments as discussed in chapter three of

this thesis all play an important role in the performance of role-players and IGR functionality specifically.

The lack of knowledge on how areas of support should be identified remained the main concern at Uthungulu District Municipality, whilst there is a strong need for education and awareness in this regard at Harry Gwala District Municipality (Mayor 2, HG District, 16 July 2015; IGR Official 2, Uthungulu, 8 July 2015). It is the researcher's analysis, given the above arguments, that education and training still plays a role in the ability of IGR partners to identify areas of support as this is affected mainly by inability to understand and lack of knowledge on how IGR could be ensured.

Table 7.7 below addresses the ability of IGR constitution to achieve IGR objectives in relation to IGR goals.

**Table 7.7: The ability of IGR constitution to achieve IGR objectives**

| **Ugu** | **Harry Gwala** | **Uthungulu** |
|---|---|---|
| Memorandum of understanding | Enforcement of compliance and consequences for non-attendance of meetings | Inclusion of other role-players such as sector departments in the IGR protocols |
| Standard agenda items in line with IGR role | Role clarification | Lack of monitoring of IGR decisions |
| Workshop or training on the roles and responsibilities | | Co-operation |
| | | Nature of IGR discussions |
| | | Implementation of resolutions |

Source: Own (2016)

The constitution of IGR structures within all the three districts does not contribute fully to the achievement of the IGR objectives, that of ensuring co-operation by all role players. What is emerging in all the district municipalities is the need for role clarification of all those involved in IGR activities through a clear training programme or workshop (IGR Official 2, HG District, 16 July 2015). Ugu district has put more emphasis on the enforcement of compliance and consequence management on the implementation of IGR decisions (IGR Official 2, Ugu District, 20 June 2015; IGR Official 4, Ugu District, 20 June 2015). As there are concerns regarding the implementation and enforcement of IGR resolutions in all municipalities, there is a strong belief that there should be consequences for non-compliance (Mayor 2, Uthungulu District, 8 July 2015). This implies that, IGR needs to ensure that decisions taken are implemented and monitored.

The manner in which IGR forums are constituted in terms of membership iss found to be contrary to the requirements of the legislation, which requires all spheres of government operating within the district to cooperate through IGR arranagements available within the district. This implies that, even though IGR forums might be properly constituted, the objective of ensuring co-operation on the delivery of services might not be achieved due to challenges as indicated in Table 7.8. In relation to IGR co-operation, the three government spheres are expected to work together on matters that affect the delivery of services within the area of jurisdiction.

#### *7.3.2.2 Environment*

In relation to the environment, IGR functionality is affected by challenges identified in Tables 7.8 to 7.10 below which are based on the reflections in Chapter six of this thesis. These matters relate to the co-operation between role-players and the ability of IGR to monitor and scrutinise performance of other role-players, including municipalities. Table 7.8

below considers the co-operation of IGR role-players in relation to the municipal environment.

**Table 7.8: IGR in ensuring co-operation by role-players**

| Ugu | Harry Gwala | Uthungulu |
|---|---|---|
| Lack of attendance and commitment | Lack of co-operation and non- attendance of meetings | Involvement of sector departments |
| | Co-operation exists, more awareness needed | IGR understanding and co-operation by all spheres of government |
| | | Participation in IGR meetings |

Source: Own (2016)

The ability to ensure co-operation by the role-players within Ugu, Uthungulu and Harry Gwala municipalities is largely affected by lack of co-operation, lack of awareness on political changes or uncertainty and limited capacity by IGR officials whilst Ugu reflects on lack of commitment, attendance and co-operation (Mayor 3, Ugu District, 20 June 2015; Mayor 4, HG District, 15 July 2015; Mayor 2, Ithungulu District, 8 July 2015) . Within Uthungulu district municipality, the need has been identified to improve the understanding of IGR by all role-players so as to improve co-operation. This is to ensure compliance with the constitutional mandate by IGR in promoting co-operation.

Lack of commitment emerged as one of the reasons which affect co-operation co-operation by spheres of government. This calls for a different approach in ensuring co-operation and in this study what further emerged is the lack of understanding of IGR by role-players. When lack of understanding affects most people, these becomes the culture of the organisation. As this view is shared in most municipalities, there is shared belief that IGR is the role of the district municipalities and this view has shaped the understanding of role-players on IGR. Table 7.9 below looks at the Municipal political environment in relation to IGR.

**Table 7.9: Political environment**

| Ugu | Harry Gwala | Uthungulu |
|---|---|---|
| | | |
| Unstable and unreliable political environment | Environmental uncertainty | Political environment has challenges |
| Ongoing education and awareness | Instability in the political environment due to political changes<br>Incompetence due to political appointments | Uncertainty of the environment due to political changes |

Source: Own (2016)

Contained in the general environment of the municipality is the political environment, which is regarded as being the most influential in having an impact on IGR functionality. In the three district municipalities, the political environment is regarded as being unstable or uncertain. There is a belief that environmental uncertainty is a challenge due to the nature of the municipalities in relation to political changes and other political dynamics (FGD, Participant 3, 30 July 2015; IGR Official 2, HG District, 17 July 2015; FGD – Participant 3, Uthungulu District, 12 August 2015). This view is supported but of concern is how municipalities adapt to these uncertainties or instabilities. In essence, and whilst the greatest uncertainty for an organisation occurs in an unstable and complex environment, this is the case with the municipal environment as it is characterised by uncertainty imposed by political dynamics that have a bearing on the functionality of IGR and include lack of education and awareness (IGR Official 5, Ugu District, 20 June 2015). Table 7.10 below examines the ability of IGR partners to monitor and scrutinise the performance of municipalities to the extent that this relates to the environment.

**Table 7.10: The ability to monitor performance of municipalities**

| Ugu | Harry Gwala | Uthungulu |
|---|---|---|
| Inability to enforce decisions | No clear processes for monitoring | The authority of IGR forums within Uthungulu as per IGR Protocols |
| Lack of understanding of goals or strategy | No structured way of monitoring performance | Enforcement of resolutions taken at IGR meetings by individual councils |
| Lack of co-ordination | | Clear goals and targets should be in place, in order for IGR to monitor performance |
| | | Independent and distinct nature of municipalities |

Source: Own (2016)

The independent and distinct nature of municipalities gives the IGR role-players limited authority to monitor, scrutinise and oversee performance and even to enforce implementation of decisions across all district municipalities, as this is the reason indicated by Ugu and Uthungulu district municipalities (Mayor 4, Uthungulu District, 8 July 2015; FGD – Participant 4, Uthungulu District, 12 August 2015). Harry Gwala and Uthungulu municipalities regard the inability to perform this role as influenced by lack of clear processes, goals and targets in relation to IGR (FGD – Participant 5, HG District, 30 July 2015; Mayor 4, HG District, 17 July 2015).

As with any organisation, such strategy and goals informs performance monitoring and must be documented, communicated, implemented and monitored. In this regard and within Ugu district municipality there is a strong belief this requires proper co-ordination by the district municipality (IGR Official 4, Ugu District, 20 June 2015). This means that a district

municipality should ensure availability of the IGR strategy with clear goals that should be implemented, monitored and evaluated.

In relation to Table 7.10, the ability of elected members of the local sphere of government to monitor, scrutinise, oversee and debate how their municipalities are performing within the district is mainly affected by the authority of the role players within these IGR forums. Whilst at Uthungulu district municipality, IGR forums are regarded as advisory and consultative structures responsible for the enforcement and implementation of resolutions taken at IGR meetings by individual councils, there is however a lack of understanding of IGR and what needs to be monitored. This suggests clear goals and targets to be in place in order for IGR role players to monitor performance.

#### *7.3.2.3 Culture*

In relation to culture, IGR functionality is affected by issues identified in Tables 7.11 to 7.12 below which are based on the reflections on chapter six of this theses as indicated in 6.4, 6.5 and 6.6. The challenges relates to the ability of IGR to ensure a culture of shared and common values that emphasise the need for co-operation and commitment by all leaders in the conduct of IGR .Table 7.11 below provides information on whether IGR is characterised by that culture of shared and common values.

**Table 7.11: Culture of shared and common values**

| Ugu | Harry Gwala | Uthungulu |
|---|---|---|
| Lack of IGR legislation understanding and need for education and awareness | Clear understanding of IGR legislation and what it seeks to achieve | Absence of documented IGR strategy with clear goals and objectives |
| | Lack of accountability of IGR structures | Lack of education and awareness to improve understanding |
| | Implementation of decisions taken at IGR forums | Culture informed by different cultures where role-players come from |

Source: Own (2016)

What is common in all three district municipalities is lack of understanding of IGR which affects the ability of IGR to have a shared and common purpose (Mayor 2, Ugu District, 20 June 2015; FGD Participant 1, Uthungulu District, 12 August 2015). Whilst Harry Gwala district municipality has a challenge of accountability of IGR structures and role-players which directly affects the implementation of decisions taken at IGR level, within Uthungulu district, this lack of shared vision and purpose amongst all role-players is due to lack of documented IGR strategy with clear objectives, as well as the different cultures that exists within these IGR institutions (IGR Official 4, HG District, 17 July 2015; FGD – Participant 3, HG District, 30 July 2015; IGR Official 2, Uthungulu District, 8 July 2015).

What emerged within the three district municipalities and the IGR institutions, is the culture characterised by 1) lack of accountability; 2) lack of implementation of decisions; 3) absence of strategy; and 4) lack of awareness. Table 7.12 below considers the commitment of all leaders in the conduct of IGR in relation to culture. However, this leads to lack of culture of shared and common values, which emphasises the need for co-operation and commitment in the manner in which services are delivered to the community.

**Table 7.12: Commitment by all leaders in the conduct of IGR**

| Ugu | Harry Gwala | Uthungulu |
|---|---|---|
| Lack of commitment to attend IGR meetings | Co-ordination by district | Co-ordination of other role-players such as sector departments |
| | Commitment by sector departments | Memorandum of Understanding to be concluded with all role-players |
| | | Education and awareness on IGR |
| | | Improved co-operation, commitment and support |

Source: Own (2016)

The commitment of leaders in IGR is a challenge in all three districts due to lack of participation and commitment by mainly sector departments. In the case of Ugu district, this is affected by commitment to attend meeting and lack of understanding of IGR (Mayor 2, Ugu District, 20 June 2015). In addition, within Harry Gwala and Uthungulu district municipalities, the ability of the district to coordinate the IGR function is the challenge, whilst Uthungulu in particular needs to review the memorandum of understanding on IGR to include all role-players and further ensure education or awareness with all role platers (IGR Official 2, Uthungulu District, 8 July 2015). This requires the municipalities to have clear goals that will guide them on IGR activities to be conducted. In the researcher's view, commitment at all levels of IGR is required for IGR to be functional.

## 7.4 SUMMARY

This chapter commenced with the analysis and the three cases being studied, which are Harry Gwala, Uthungulu and Ugu District Municipalities.

Whilst individual cases are analysed using content analysis an analysis across cases was conducted using categorical aggregation, where the researcher has established patterns and looks for a correspondence between categories. This led to the analysis of findings across cases, which became an indication or responses to the primary research questions.

The chapter proceeds with analysis of data across cases, where the three thematic issues are used as the basis and in relation to three key themes or questions such as What are the organisational contextual dimensions affecting the functionality of IGR? How can the effect of such organisational contextual dimensions be managed in order to improve functions? and Why is IGR not functional within the three district municipalities. The three thematic issues relate to goals, culture and environment. Moving from that premise, theme-based assertions were generated across all cases and common aspects on IGR functionality include cultural differences, accountability, decision implementation, IGR understanding, co-operation and commitment and attendance at IGR meetings (culture). On the environment, central aspects include environmental instability, uncertainty and task environment in relation to IGR role, participation, commitment and co-operation. In relation to goals, aspects such as goal-setting, implementation and monitoring of IGR decisions, nature of IGR decisions, reporting and service delivery focus were important. This reflection provides useful information, which inform theoretical and other implications of this study. The next chapter provides conclusions, implications of the study and recommendations.

# CHAPTER EIGHT
# CONCLUSION AND RECOMMENDATIONS

## 8.1 INTRODUCTION

The aim of this research is to offer an analytical and methodological approach in examining challenges affecting IGR in KZN District municipalities. It combines the examination of the functionality and contextual dimensions associated with contingency theory as illustrated in chapter four of the dissertation. The current "patchwork of IGR functionality" does not sufficiently address the reasons for IGR challenges in relation to the organisational contextual dimensions/ issues associated with that.

Whilst the overall aim of this study is to understand the organisational contextual dimensions associated with the functionality of IGR, this study makes use of organisational theories, of which contingency theory is one of. The importance of this study is demonstrated in linkages between the primary research question, which is to understand the functionality of IGR and organisational contextual dimensions. This further aligns with the theoretical overview by demonstrating how the particulars of this study serve to illuminate larger issues and are of significance.

The theoretical framework of this study revolves around contingency theory and the contextual issues which inform the conceptual framework. The conceptual dimensions referred to are goals, culture and the environment and these have supported the building of the foundation of this research and demonstrated how this study advances knowledge by expanding on the existing scope of the contingency theory. This leads into the conceptualisation which provided a reference point for interpretation of the findings and theoretical contribution.

This chapter reflects on the conclusions and theoretical contributions as informed by the principal research question, which seeks to understand and explain the challenges affecting the functionality of Intergovernmental Relations within the three district municipalities, namely Ugu, Harry Gwala and Uthungulu.

## 8.2. CONCLUSION ON GOALS AND ITS IMPLICATIONS ON IGR

Goals represent the purpose of an organisation and are normally formalised in the organisational strategic documents. The relationship between a strategy and goal is that a strategy provides for activities that assist the organisation in reaching the goals. It is the researcher's conclusion that for IGR within Ugu, Harry Gwala and Uthungulu district municipalities to succeed, the IGR goals should be formalised and provide for certain activities that should assist the municipalities in reaching the desired goals. Furthermore, processes should be in place to ensure attainment of such goals. The following areas emerged as key issues and forms part of the deliberations.

### 8.2.1 Goal setting

For IGR to be functional, the these spheres of government that participate in IGR forums should set realistic goals to be achieved and ensure monitoring and reporting on the achievement of the goals. In relation to this research, goal setting has been affected by the non-existence of the IGR strategy in two district municipalities which are Uthungulu and Harry Gwala. Ugu district municipality has an IGR strategy in place, however, the weakness that has been identified is that the strategy does not translate into the implementation of IGR goals. Another important aspect that is found to be lacking is the implementation of decisions taken at IGR meetings.

### 8.2.2 Implementation and monitoring

Implementation and monitoring refers to IGR decisions or resolutions in relation to IGR plans. In this context it is the view of the researcher that non-implementation of IGR decisions undermines the integrated delivery of services to the community. Participants across all district municipalities felt that decisions taken at an IGR level are not implemented or there is no tracking done on the implementation of the decisions. Similarly, Uthungulu district viewed the responsibility to implement IGR decisions as being that of each local council as directed by their Protocols document. The research suggests that decisions that are taken at an IGR must be implemented and implementation should be monitored at IGR meetings. This concludes that, in order to achieve the desired goals, IGR is required to have a clear plan of action that will indicate what needs to be achieved and implementation and monitoring of the plan should be done on a regular basis.

### 8.2.3 Nature of IGR discussions

The findings indicates that IGR meetings do not focus sufficiently on matters required of IGR to remain effective, which includes ensuring that vertical and horizontal planning is done collectively by all role-players. Malan (2005) describes the system of IGR as necessary if policies and projects or programmes are to be planned and implemented collectively. In addition, the discussions on IGR meetings should assist in addressing performance of each role-player within the district and identify areas of support as well as national key priorities (Malan, 2005). In relation to the findings, it is clear that these areas are not normally discussed and deliberated on at an IGR level. It is the view of the researcher that IGR functionality is determined by the nature of IGR discussions and it is the nature of such discussions that leads to the achievement of IGR goals.

### 8.2.4 Reporting

As indicated in the IGRFA (2004), at an IGR level, it is expected that all role-players report on their activities and service delivery pertaining to their areas of responsibility within the district. The reports assist in determining which services are delivered, the areas of support needed and the extent of functionality of IGR. Given the nature of responses, reporting has been identified as a challenge which leads to challenges of IGR functionality. In relation to reporting, the participants felt that the district municipality has a role to play, that of co-ordinating reporting by other role players. IGR encompasses all the complex and independent relations that exists amongst government spheres. This is consistent with the view of Du Plessis (2012) that co-ordination of public policies should be done through programme reporting requirements.

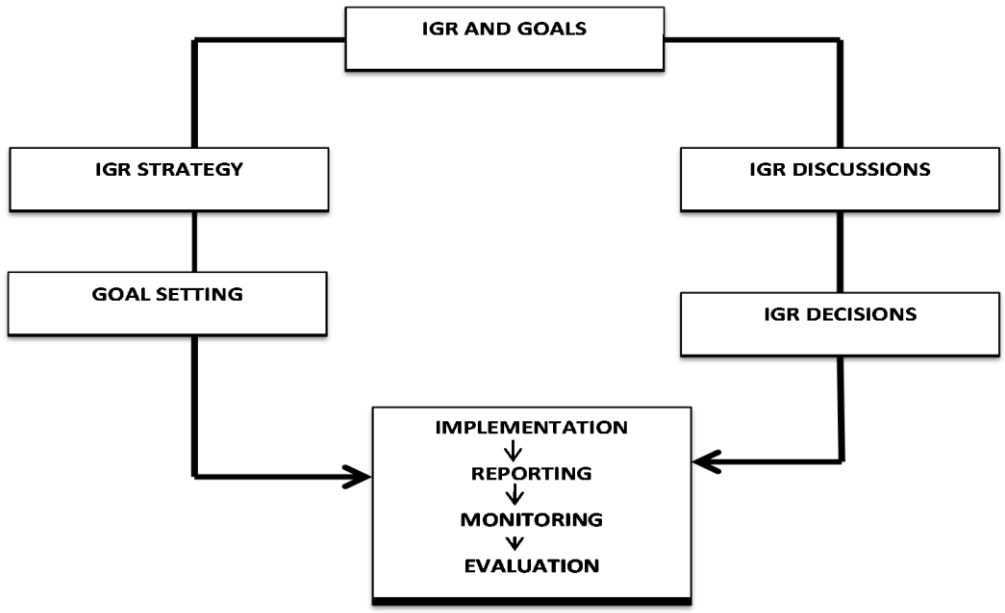
### 8.2.5 Service delivery focus

The main objective of IGR is to ensure co-operation on the delivery of services to the community. This implies that services offered to the community should be delivered in a coherent manner, hence the need for IGR to focus on service delivery issues. The findings indicates challenges related to the ability of IGR to ensure coherent delivery of services to the community and when referring to IGR functionality. The municipal Integrated Development Plan (IDP) is regarded as a catalyst of improved IGR and is reflective of important interactions that occur among the different spheres of government (Geldenhuys, 2005). The IDP is a planning document that provides for projects and programmes to be delivered by the municipality and other spheres of government within the area of jurisdiction, where such services should be delivered to the community in a coherent manner and as provided in the Municipal Systems Act (2002). The absence of a mechanism to measure and

manage how services are delivered to the community influence the functionality of IGR in the three district municipalities.

Figure 8.1 demonstrates the relationship between IGR and key issues as alluded to in relation to goals.

**Figure 8.1: Goals and IGR**




Source: Own (2016)

Figure 8.1 above depicts the relationship between organisational contextual issue (goals) and IGR functionality and shows an important aspect of IGR functionality that links IGR decisions and goal setting to implementation, reporting, monitoring and evaluation. This suggests that within an organisation, there should be a strategy in place that informs goals to be implemented. It is the view of Senoamadi (2014) that if the policies, laws, regulations and goals that govern sustainable service delivery through IGR are to yield positive outcomes, the need for mechanisms to evaluate and monitor if budgets are used efficiently, decisions are implemented and that corruption, partisan politics and

opportunistic tendencies are eliminated as these hinder service delivery. However, the enabling policies, laws and regulations that are in place will remain largely good on paper, but still limited in their practical application.

## 8.3 CONCLUSION ON THE ENVIRONMENT AND ITS IMPLICATIONS ON IGR

The municipal environment within the three district municipalities is affected by the political uncertainty, instability and patronage. Within the municipal environment there are unpredictable changes under which IGR operates. In this regard the law (IGRFA, 2004) makes provision for the District Mayors' forum to operate which is comprised of all mayors within the district and with their role. In terms of IGRFA (2004) their role include monitoring, scrutinising, overseeing and debating municipal performance within the district, ensuring co-operation between municipalities, government departments and parastatals within the district on IGR activities and ensuring that IGR is functional. The following environmental factors influence the functioning of IGR within these municipalities.

### 8.3.1 Environmental uncertainty and instability

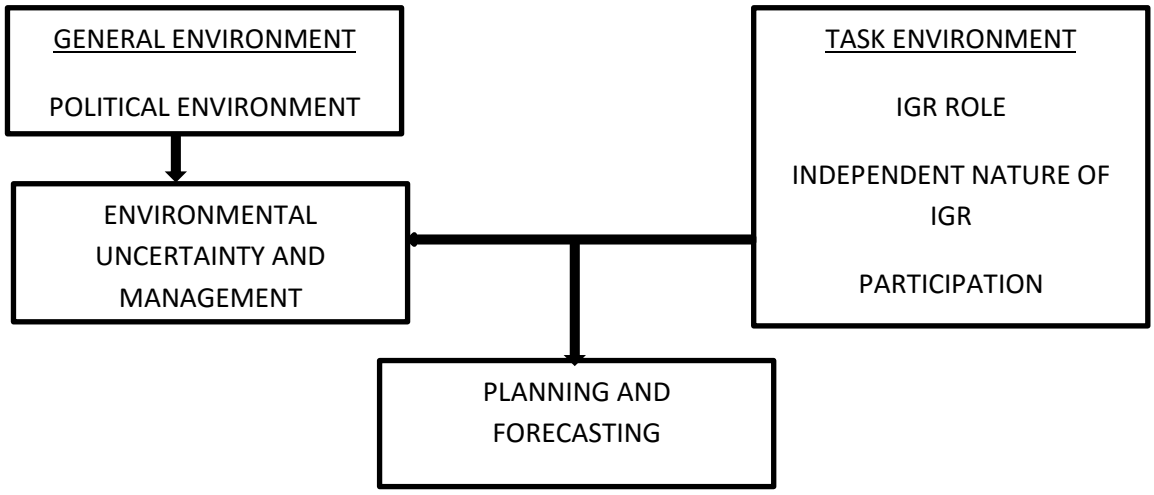
The uncertainty of the municipal environment has led to the participants believing that it is impossible to look at the future as political changes occur at any given time. The findings reflect that, in an uncertain environment, long term decisions get affected, meaning goals could not be achieved. The essence of this study is consistent with the view of Lawrence and Lock (1967) as he argued that goal setting and attainment is directly influenced by the environment, hence their comments that the major problem for leaders is their lack of understanding of the behavioural change patterns in organisational environment which creates difficulties in strategic planning and implementation. As IGR function involves interactions at an administrative and political level, uncertainty comes into

effect when the elected political leaders are not certain of their continued stay within their positions which affects the ability to take certain decisions concerning their areas of responsibility. Thus, managing environmental uncertainty is an important aspect of IGR functionality and affects future plans on IGR (see figure 8.2).

### 8.3.2 Task environment

The task environment relates to the role of IGR in relation to the external environmental factors that impact on organisational goals. As indicated under environmental uncertainty, the external environment, if unstable or uncertain, affects the objective of IGR. As IGR is comprised of institutional arrangements and formal or informal processes within and among the spheres of government, the goal should be to achieve co-operation on service delivery to the community, such goals can only be realised once the external environment (and in particular political environment) is fairly stable (See Figure 8.2 below).

**Figure 8.2: Environment and IGR**




Source: Own (2014)

Figure 8.2 above reflects key aspects for consideration in an organisational environment and includes task and general environment.

Madinda (2014) reflects that an organisation's environment normally can be well studied from two perspectives, which are the level of change and the level of complexity. The extent of change within the municipal environment considers its stability or instability and the complexity of environment depends on the number of the inconsistent patterns which vary and results in complex situations. The results of this study are consistent with the view of Muscalu, Lancu and Malmaghi (2016). The results suggest that the influences between these municipalities and their external environment are reciprocal, the former influence the environment through services, whereas the outer political environment influence municipal provision of such services.

The environment reflect the key and fundamental issue of IGR performance and the role players. Whilst the environment is political in nature and characterised by political instability or uncertainty, it is important to note the consistency of these findings with Kinyua-Njuguna, Munyoki and Kibera (2014) that the internal environment of an organisation has an impact on an organisation's effectiveness, efficiency, relevance and financial viability with further impact on the efficiency and relevant service delivery performance indicators.

### 8.3.3 The political instability and uncertainty

Of importance is the notion of environmental uncertainty as imposed by the political environment, which the literature suggests requires proper planning and forecasting. While it is impossible to plan and forecast in a politically unstable environment, conclusively the municipal environment cannot always be static, as it is dynamic by nature. The uncertainty of the organisational environment will continue to exist as the organisations

operate in a changing environment and the society will always change with it (Madinda, 2014).

Nurudeen Abd Karim and Aziz (2015) regards political instability as having contributed significant rates of corruption rate and under-development in ECOWAS countries. However, researchers confirmed generally that corruption increases where there is instability politically (see Lederman, Loayza & Soares, 2005; Leite & Weidmann, 1999; Park, 2003). Likewise, other proxies of political instability have also been found to be correlated with corruption (Brunetti & Weder, 2003; Lederman et al., 2005).

Whilst findings reveal lack of understanding, education and empowerment on the IGR function as an existing culture within these municipalities, one cannot disregard the fact that even implementation of decisions and lack of accountability is due to lack of ability or capacity amongst IGR role-players, namely mayors, municipal managers and IGR practitioners. The view shared by some scholars is that the existence of political patronage has contributed to incompetent staff who fail consistently. In the case of these three municipalities, as reflected in the findings, this also takes into account the fact that IGR is constituted by senior officials (e.g. municipal managers) within these spheres of government, who are recruited in terms of legislation.

Likewise, the view of Mamogale (2015) associates political instability with political patronage that occurs via state jobs, where consideration is given to the cadres' political affiliation while overlooking qualifications, credentials and integrity. Whilst this has implications for service delivery, Kopescy (2011) further states that appointment of government officials on the basis of political patronage rather than merit leads to challenges of poor planning and capacity and compromised financial management and provision of services to the community. It also creates institutional instability and loss of institutional memory as evident in the increased

number of prolonged acting roles as a result of the suspension of more senior state agents by their political principals, as well as ongoing high staff turnover. One cannot overlook the correlation between lack of capacity as evidenced in this research and political involvement with regard to the deployment of senior officials and such involvement as required by the legislation (Local Government Municipal Systems Act Regulations, 2014). The Regulations require that the Municipal Council appoints a selection panel to make recommendations for the appointment of senior managers within the municipality. A further requirement is that the Mayor and the councillor designated by the municipal council should be part of the selection panel.

In relation to this, Mamogale (2015) concludes that powerful and stronger institutions of regulation like legislatures are essential in enforcing the culture that encourages excellence within the public service.

Furthermore, it is not the main desire of this study to infer from the outcomes derived from the three cases (Ugu, Harry Gwala and Uthungulu) to other municipalities, but to demonstrate the analytical potential of political patronage for this study of Intergovernmental Relations functionality. It is the view of Ennser-Jedenastik (2014) that patronage trends vary with some changes in the partisan composition of the executive, therefore the applicability and relevancy of this study may be greater than the actual results. The findings presented in this report are specific to the municipalities studied, but it is nonetheless conceivable that the benefits of studying the municipal political environment and the associated factors across the lens of political patronage theory apply to different and most cases, thus providing a valuable framework to understand gaps in patronage patterns and the associated costs, not only between but also within municipalities.

### 8.3.4 The cost of political instability

Whilst political instability is looked at on the basis of IGR functionality in this study, according to Beresford (2015) it has far-reaching implications in that political leaders act as gatekeepers as they occupy positions of authority in the party or public service in relation to resources or opportunities they control. In this regard, all three municipalities ignored the role of IGR in ensuring coherent provision of services to the community. The provisions of the Constitution in relation to co-operation on the provision of service to the community is further ignored. Within the South African government, volatile and unstable politics of exclusion and inclusion emerge and provoke bitter and factional battles within the ANC as opposing political leaders compete for power. With the functional IGR, effective and efficient service delivery is expected; however, Alesina, Ozler, Roubini and Swagel (1996) in their view on political instability, indicated that when the political environment is uncertain and unstable, there could be reduction of investment and economic development, whilst on the other hand Cilliers and Aucoin (2016) hold the view that poor economic performance may lead to government collapse as the result of poor economic development. In relation to this study, the political instability has far-reaching implications in that it affects the coherent provision of services to the community by all spheres of government and leads to poor provision of such services, linked to attendance of IGR meetings and the implementation of IGR decisions.

Whilst Mamogale (2015) regards the increase in gatekeeper politics within the South African context as undermining the capacity of the ANC to deliver on its mandate as well as its integrity, this relates very well to political patronage as indicated in this research's findings. Jakkie and Ciara (2016) comments that the cost of political instability reflects that while service delivery is compromised, political assassinations and factional violence within the ANC are also on an upward trend, as the

ruling party struggles to cope with a host of challenges ranging from corruption, allegations of state capture, leadership and ethical issues. In essence, these two views contribute to political instability, which results in the inability to implement IGR initiatives.

This concludes that spheres of government have to co-operate with one another in mitigating the propensity of change in the political environment, which happens either by “constitutional” or “unconstitutional” means.

## 8.4 CONCLUSION ON CULTURE AND ITS IMPLICATIONS ON IGR

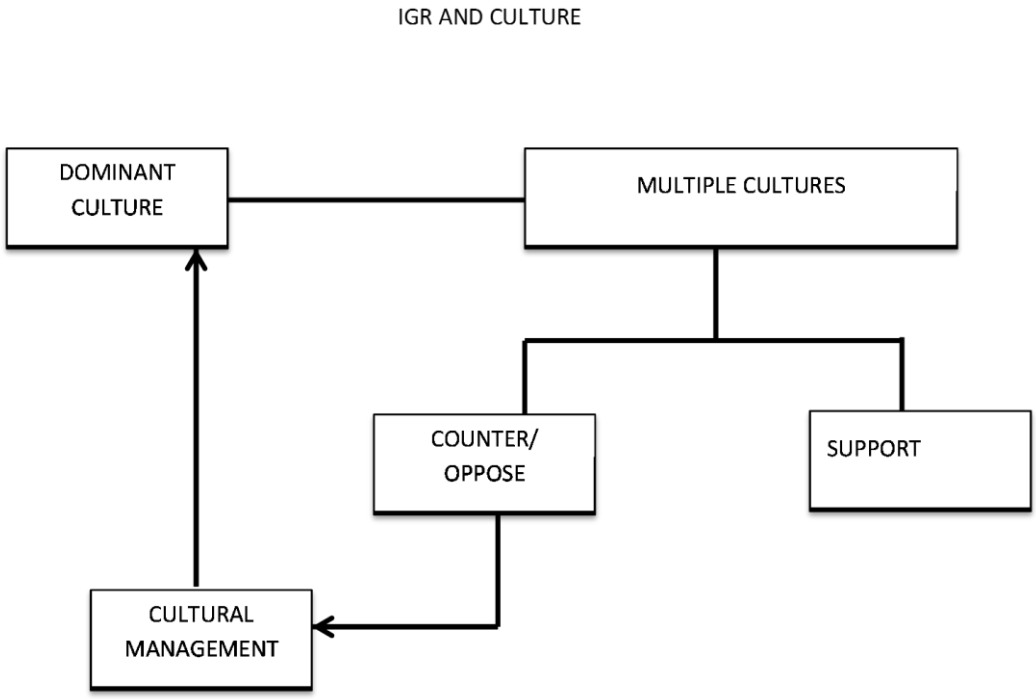
Organisation culture as it relates to IGR implies shared values, norms, beliefs and behaviours by the participants in IGR activities. As the organisational culture is regarded as being supporting of or hindering the achievements and implementation of IGR initiatives in relation to the overall goals, it is evident in these municipalities studied that this affects the achievement of IGR goals. According to findings in this research, there exist a relationship between the achievement of IGR goals and the culture of an organisation. The basis for this view is that when goals are set, their achievement depends on how committed the role-players are in attending IGR meetings and implementing the goals. The following are the factors that impact in relation to culture, as informed by the findings.

### 8.4.1 Cultural differences or multiple cultures

In discussing the impact of culture on IGR functionality, one would like to refer to subcultures as reflected in the findings which characterise these municipalities. The view is that at an IGR level, there exist dominant culture whereas subcultures exist among the different spheres of government. When the required culture is not upheld by the role-players, the situation lead to the appearance of countercultures which oppose the organisation’s core values. Given this reflection, it is correct that the

subcultures that exists within the three district municipalities counter the expected culture and affect the achievement of the IGR objective. Cultural change programmes are recom mended, as suggested by Bailyn (1993) and they include stakeholder management, information sessions, face-to-face sessions, implementation of training and stabilisation period with all role-players.

**Figure 8.3: Culture and IGR**




Source: Own (2016)

Figure 8.3 above reflects central aspects of the organisational culture that exists within the three district municipalities and as they relate to IGR functionality. Reference is made to multiple cultures which tend to oppose or support the dominant culture and lead to either achievement or non-achievement of IGR objectives. These findings are in line with the existing research from Schein (1985) and Trice and Beyer (1993) and provide justification of the capacity of leadership in organisations. Consistent with Kelepile's view (2015), organisational culture empowers and challenges companies in today's business world. A system that supports strategic and

operational goals can fuel performance and ignite innovation and differentiation. If the culture opposes the organisational strategy, the results can be disastrous.

In this study, it is clear that the interpretations of how culture manifest itself are ambiguously linked to each and every role player, placing more ambiguity than clarity at the core or dominant culture that exists within the IGR institutions.

Thus Maximini (2015) emphasises on the notion that from a certain distinction, there exists consent within organisation's lower levels of analysis, named 'subcultures'. Whilst subcultures exist independently or in conflict, it is clear that ambiguity is no longer relevant between the subcultures. The relationship among cultural manifestations is conceptualised by the fragmentation perspective as neither clearly consistent nor clearly inconsistent. The implications are consistent with Szczepanska-Woszczyna (2015), that same norms, beliefs and values that play role in these three municipalities hinders creativity and innovation in the manner in which they affect group and individual behaviour within threse three municipalities.

In general, leaders also have a powerful source of influence on employees' work behaviours. Culture assessment and management is necessary in order to mitigate the effects of counter-cultures and improve the attainment of IGR objectives. On the basis of these results and previous researches as indicated in the literature, I conclude that a change in the existing culture within these municipalities towards a more conducive one is necessary, the one that supports the achievement of IGR goals. From Stoffers, Neesen and Van Dorp (2015), it is clear that such transition requires training, commitment and involvement of the team members or role players.

## 8.5 THEORETICAL CONTRIBUTION

This qualitative study explores areas that are understudied within the contingency theory realm and searches for contribution to theory (Creswell, 2003). In the researcher's effort in searching for theoretical contribution, a conceptual framework has played a significant role for situating this study. The conceptual framework grounded this study in the relevant knowledge basis that laid the foundation for the importance of IGR functionality and the explanation or reasons for IGR challenges.

One emerging aspects of the contingency theory is its association with organisational contextual dimensions, which are regarded as being structural or contextual. While this research is grounded on the organisational contextual issues such as culture, goals and the environment, of importance to note are the emerging issues arising from the research findings that have implications for the contingency theory. These then inform conceptual issues that have brought in some views from outside the habitually defined area of IGR functionality and integrate approaches or lines of investigation or theory that have not been previously connected, such as the connection between IGR functionality and organisational contextual issues.

One thing this research does is to inform the readers about what is going on in the world of IGR and transforms the manner in which we look at things and talk about them. That is why Miles and Hubernan (1994) felt strongly that no one can contribute to theory if that person don't have something to say about what is going on "out there" in real life. In mapping out this new conceptual landscape, the researcher recognised that over time, her ideas will be refined. The following factors contained in (Dubin,1978) were considered by the researcher in qualifying the expanision of the contingency theory. These are:

- The factors that should be taken into consideration logically in explaining the social phenomena of interest;
- The criteria used for judging the extent to which the researcher has included the “right factors”;
- All factors included; and
- Whether some factors should be removed because of the little value they add in understanding of IGR.

Contingency variables as identified in chapter four relates to factors affecting leadership and organisational effectiveness and guide functionality within the organisation (Blake & Mouton, 1982). The different views as indicated below, shed the light on what the different scholars perceive as the contingency factors and how best these could be managed to ensure organisational effectiveness. The first view is that contingency variables involve organisational structure and proper management of these structures will improve organisational effectiveness (Lawrence & Lorsch, 1967; Thompson, 1967; Pennings, 1992). Secondly, the contingency variables is about the environment and that its nature affects how the institutions organise themselves (Scott, 1981; Chandler, 1962; Morgan, 1997). Thirdly, there is the view that effectiveness of an organisation depends on the leadership style and favourableness of the situation (Fiedler, 1986). The fourth view is that the organisational behaviour is key in ensuring effectiveness (Islam & Hui, 2012).

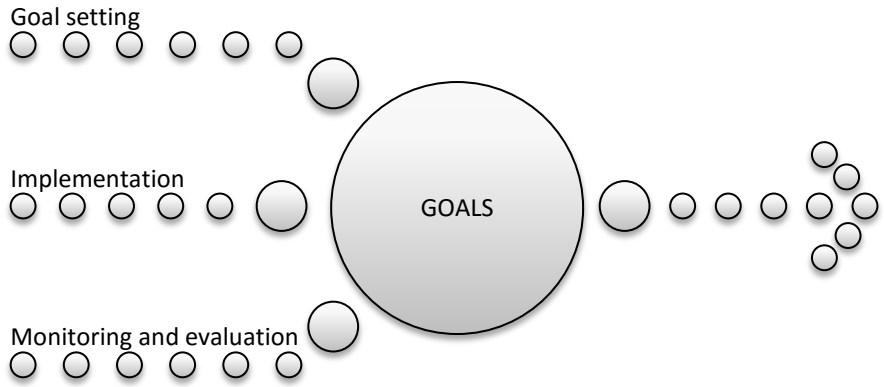
### 8.5.1 The organisational goals

Figure 8.4 reflects on goals as forming an integral part of IGR functionality within these municipalities. However, if such goals are not implemented, the functionality of IGR will not be ensured. Effective implementation of municipal goals in relation to IGR requires monitoring and evaluation on how they get implemented. It is clear from the municipalities studied that goal setting is a challenge in that some don’t have a strategy to guide the

operations of IGR within the district e.g. Harry Gwala and Uthungulu district municipalities. As Locke (1977) indicated, goals setting informs strategy formulation, meaning in the absence of a clear strategy goals setting becomes impossible. Another important issue affecting goals in these municipalities is the implementation of IGR decisions, which have an impact on goals achievement. Respectively, IGR goals or objectives is referred to in the first chapter of this research report as the ability of IGR partners to ensure co-operation on service delivery that the implementation of decisions taken would improve such co-operation. Another important element that emerged is whether implementation of IGR decisions and goals gets monitored and evaluated.

From LeMay (2010), monitoring assist in tracking changes in the measurable indicators and how they get implemented. Monitoring measures progress toward results by collecting information on inputs, activities, outputs, and sometimes short-term outcomes. However, Feuerstein (1986) provides a clear understanding of evaluation to include attempts to measure the relevance of the programme, effectiveness and efficiciency. It also measure whether the quality of people's lives is improved through implementation of programs or projects. Both ideas are relevant in this study, in that IGR functionality could be better measured through monitoring such activities and goals as planned, whilst the effectiveness and efficiency can be better ensured through proper and regular evaluation.

**Figure 8.4: The organisational goals**

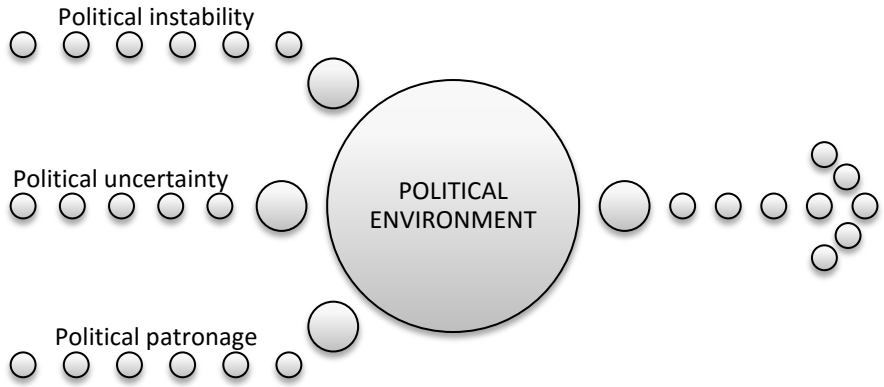



Source: (Own (2017)

### 8.5.2 The political environment

The findings reveals that the municipalities associated with this study operate within a political environment and face challenges of instability, uncertainty and political patronage. From this research's point of view and having considered the results of this study, that factors associated with political instability and patronage have effects on the effective service delivery and policy implementation. Whilst the literature indicates that task environment could be managed through proper forecasting and planning, the prospects of success in managing the unstable political environment are poor due to unavoided political changes within these institutions, as informed by local government elections. Within these municipalities, the political environment is dominated by high levels of political instability, that leads to damaging effects on service delivery. Figure 8.5 below indicate the political factors associated with the functionality of IGR in the three district municipalities studied. The environmental issues as indicated in figure 8.5 includes environmental uncertainty, instability and patronage.

**Figure 8.5: The political environment**



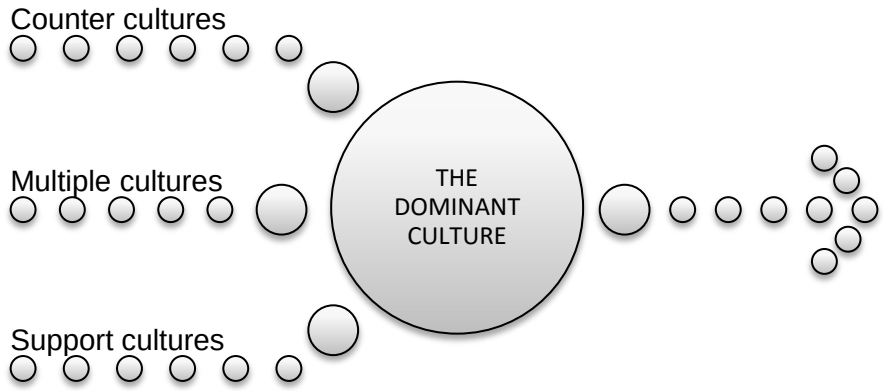

Source: Own (2017)

### 8.5.3 The organisational culture

Figure 8.6 indicates that municipalities associated with this study are characterised by multiple cultures that manifest themselves in the dominant culture of IGR institutions or forums. Reference to multiple culture within IGR refers to the presence of the different stakeholders in the IGR forums, who come from different institutions that upholds specific cultures. Some of the issues highlighted in the previous chapter that affect culture in these municipalities is co-operation in IGR meetings, lack of attendance of IGR meetings, non-implementation of IGR decisions. The highlighted issues counter the required culture on IGR and manifest themselves in the dominant culture. Counter cultures act against the required culture and forms part of the multiple culture available with the IGR environment, whilst support culture corroborate with the required culture and improve IGR performance. Within the municipalities studied, the existence of multiple cultures oppose the required culture and affect the achievement of IGR objectives. Whilst according to Rubin and Weinstein (1974), cultural management is necessary in order to mitigate and manage the effects of multiple cultures and improve achievement of

organisational goals, the environment in which these municipalities operates affect the attainment of the required municipal culture.

**Figure 8.6: The organisational culture**




Source: Own (2017)

Whereas the argument on culture bring to light the existence of multiple cultures that manifest themselves within the dominant culture of the municipalities studied, data collected on the effects of culture on IGR provide evidence that multiple cultures exist within these three municipalities' IGR arrangements, which oppose the required culture and affect the achievement of IGR objectives. IGR functionality as defined within the context of municipalities includes establishing consultative forums for the districts and their local municipalities, the ability of spheres of government within the district to consult and advise one another on issues of common interest, collectively ensure that national and provincial policies are implemented and enact legislation with regard to matters pertaining to local government within the district; ensuring functional IGR forums; dealing with matters raised by the Premier's IGR forum which affects the district; giving mutual support to the local municipalities in terms of section 88 of the Local Government Municipal Structures Act of 1998; ensuring that planning and development is done in a coherent manner; and ensuring the alignment of government plans and any other strategic

matters. For the municipalities to achieve this level of functionality, the minimum required culture is one where there is a sense of shared and common values, beliefs, vision and purpose that emphasise the need for co-operation and consensus and adherence to applicable norms and standards.

Such a multiple culture approach translates to different beliefs and views by the different spheres of government on IGR, which ultimately leads to lack of co-operation and consensus. Literature suggests that cultural assessment and management may contribute in mitigating the effects of multiple cultures and improve the achievement of municipal IGR goals. Such a multiple culture might well impact on the attainment of IGR objectives, that of ensuring co-operation by all spheres of government in delivery of service. In consideration of the above assertion, this translates to the view that multiple cultures affect goal achievement and might lead to an unconducive environment for IGR to function, characterised by lack of co-operation and shared vision.

## 8.6 VALIDATING THE CONCEPTUAL FRAMEWORK

Conceptual frameworks can be modified and reconceptualised in relation to the evolution of the phenomenon in question and due to new data that was not there when the framework was initially developed. This is consistent with the basic premise that social phenomena are evolutionary and not static (Boyatzis, 1998). The evolution of new data in this study has led to the modified conceptual framework and provides better understanding of IGR functionality within the three district municipalities and including the substantive contribution of this study.

Chapter four of this study commenced with the conceptual framework which provides not ananalytical/ casual setting but, an interpretation of social reality. This section provides for a validated conceptual framework.

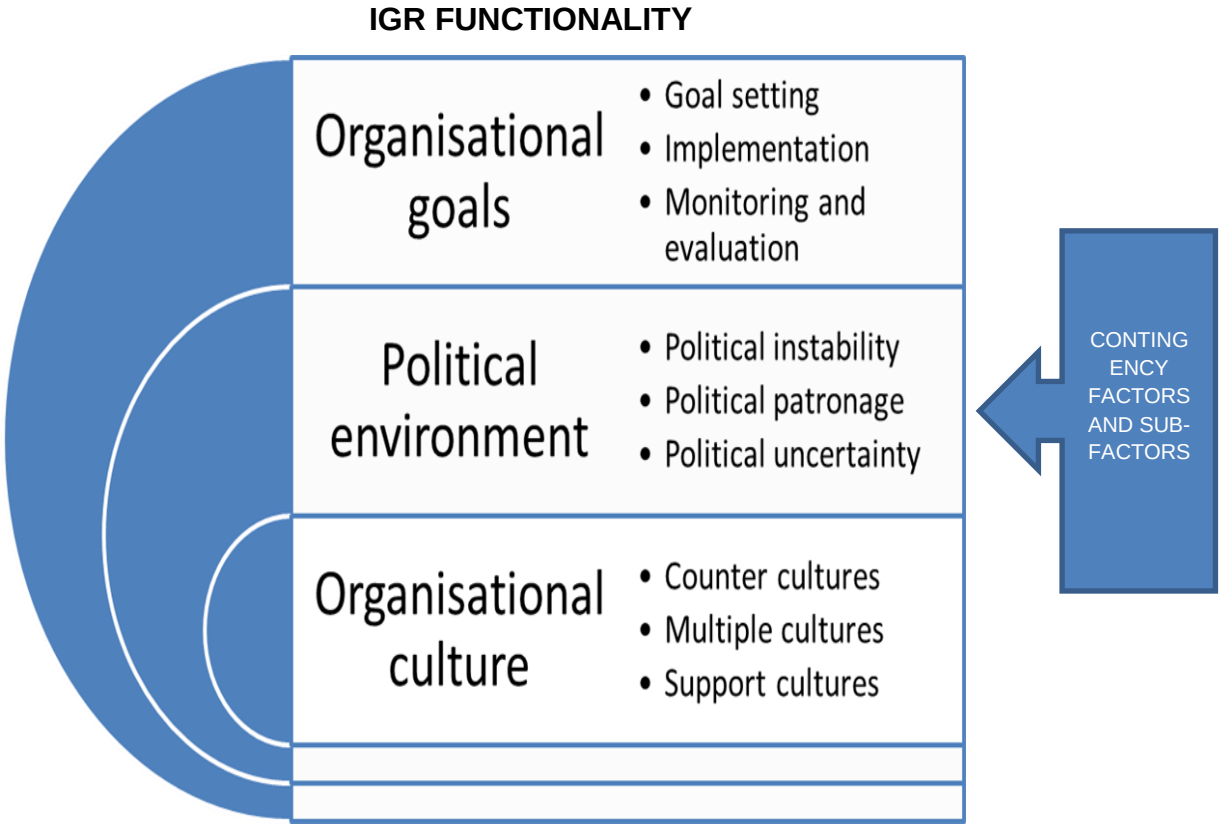
The question is whether the validated framework and its factors make sense, not only to the researcher but also to other scholars and whether it presents a justifiable theoretical contribution for those studying the phenomenon from different disciplines. In responding to that, the researcher in validating the conceptual framework has followed the process which includes mapping of the selected sources of data; comprehensive reading and categorisation of the selected data; identifying and naming concepts; deconstruction and categorisation of concepts; integration of concepts; synthesis and resynthesis, making it sure that it all make sense and validating the conceptual framework.

Figure 8.7 below provides for the consolidation of theoretical contributions in this study, which led to the more improved conceptual framework. The conceptual framework in figure 4.5 in chapter four specifically provides for the five contextual issues of the contingency theory, which are goals, culture, environment, technology and size. However, the modified conceptual framework provides understanding on the expanded components of the contingency theory, in relation to other concepts, to the plane on which they are defined, and to the problem they resolve – that of the functionality of IGR within Ugu, Harry Gwala and Uthungulu district municipalities. The diagram in Figure 8.7 below reflect on the contingency factors and sub-factors of an organisation.

The theoretical interpretation and understanding of this reserch supports the contingency view and adds more value and contribution to the existing understanding. This contribution is shown through the existence of sub-factors as indicated in figure 8.7. The proposed improvements addresses multiple elements of the contingency theory and adds the qualities of completeness and thoroughness to theoretical work. The fundamental factors include organisational goals as they relate to goal setting, implementation, monitoring and evaluation; political environments as this relates to political instability, uncertainty and patronage; and organisational

culture as this relates to the existence of counter, multiple and support cultures.

**Figure 8.7: A schematic presentation of the modified conceptual framework**




Source: Own (2017)

The centrality of the added value in the above justification is construed on how the three factors such as goals, culture and the environment are logically considered to be how the social phenomena of interest could be better explained, that of functionality of IGR. The relationship between these three factors is reflected in Figure 8.7, which serves as the modified conceptual framework, given the conceptual analysis reconstructed from the unified theoretical framework. Within these three district municipalities, the culture predominantly affects the IGR function and relates to the existence of multiple cultures within these municipalities. Whilst

organisational goals and environment are equally important, the findings suggest that the existence of multiple cultures either counter or support the dominant culture. In this study of IGR, the existence of multiple cultures reflects lack of co-operation, participation and lack of shared and common vision. Consequently, the main objective of IGR, which is to ensure coherent service provision to the community, could not be achieved. The culture within these three municipalities is influenced by, and draws its character from, the underlying nature of the political environment. This explanation suggests the existence of a relationship between the political environment and the organisational culture. Given this understanding, goal achievement depends on the decisions taken and implementation by the IGR role-players. Therefore, the existence of multiple cultures that oppose the required values, norms, beliefs and behaviours, and an unstable political environment, affect goal setting and implementation. This rationale constitutes the theoretical glue that welds the validated conceptual framework together and further explains why credence should be given to this particular phenomenon, that of the functionality of IGR.

## 8.7 OPERATIONAL CONTRIBUTION

The municipalities operate in an environment where a large majority of their actions and processes are regulated by some form of public policy, which points to a high degree of regulation by the state. This is particularly the case about IGR issues. The high degree of regulation by the state has had limiting effects on the autonomy of the district municipalities in relation to their local municipalities and sector departments. By implication, the power of each district municipality, as the primary structure of governance, is significantly limited when it comes to IGR due to the role that the sector departments and local municipalities should play to ensure functionality of IGR. About policy autonomy, chapter three of the Municipal Systems Act (The Local Government Municipal Systems Act 2000, 2012) stipulates that

municipalities must formulate their own policies and strategies, as independent organs of the state.

Given this background, the district municipalities are required to ensure co-operation on service delivery to the community and through IGR. In relation to goals, this suggests that the district municipality should have an IGR Framework that stipulates the vision, mission and goals of the municipality in relation to IGR. These goals should translate into goal setting, which leads to activities to be performed and to be encapsulated in the municipal strategic documents. Municipal goals on IGR should be designed in relation to what the municipality is required to do in ensuring functional IGR (as explained in Chapter One). The IGR goals and activities should be reported on, monitored and evaluated on a regular basis. This translates to the responsibility of each sphere of government to ensure that activities are implemented and reported on. When reports are presented to the IGR forum, certain decisions are taken which require implementation and follow-up. Whilst the role-players within IGR are interdependent and interrelated, enforcement of decisions taken is necessary and the role of political IGR is to oversee the activities of IGR.

In relation to the environment, municipalities operate in a political environment which is characterised by changes in political and administrative leadership which often contribute to instability within the municipalities. Given this environment and since IGR is led by both political and administrative leadership, ideally it is important that municipalities are ahead in terms of their plans so that any change that happens does not affect IGR functionality.

The need for local municipalities to lead IGR in their local areas is because local municipalities are distinct and independent from a district municipality. It is important to ensure that IGR or co-operation takes place at a local level between local municipality and government departments

that operate within the local area, even though this role is not provided for in the legislation.

Lastly, IGR is affected by multiple cultures which tend to oppose or support the dominant culture. Given that perspective, IGR objectives are bound to suffer as the culture affects the commitment and co-operation of role-players within IGR. This requires district municipalities to instil an acceptable culture amongst the role-players and embark on a process of cultural change and management. For cultural management to be successful, more education and awareness initiatives are necessary and should include all role-players.

## 8.8 RECOMMENDATIONS FOR FURTHER RESEARCH

The first recommendation relates to the research to be conducted as to whether IGR should be led by executives or politicians. IGR is viewed in the legislation as a political function, hence more emphasis is placed on politicians (Mayors) to drive IGR activities and meetings. However, IGR concerns itself with co-operation in relation to administrative activities that are undertaken by officials and it is those activities that translates to either functionality or non-functionality of IGR.

Secondly, research on policy review is recommended in order to ensure the effectiveness of IGR since IGR policy framework emphasises the role of Mayors in leading IGR activities. The municipal managers' role is to give technical support in the form of the District Municipal Managers' forum. In the same policy framework IGR and co-operation is not clearly articulated as to how other partners should participate and cooperate with each other.

Lastly, the cost of political instability and patronage on policy implementation and organisational effectiveness cannot be over-

emphasised. A study in this area will shed light especially to those in political power to understand the possible consequences of political patronage.

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## APPENDICES

**ANNEXURE A**

Mr DD Naidoo

The Municipal Manager

Ugu District municipality

**REQUEST FOR PERMISSION TO CONDUCT RESEARCH AT UGU DISTRICT MUNICIPALITY**

Dear Mr Naidoo

My name is Vuyiwe Tsako, and I am a PhD student at the University of Witwatersrand in Johannes burg. The research I wish to conduct for my PHD dissertation involves “IGR in KwaZulu-Natal District municipalities”. The research seeks to examine these challenges given the contextual dimensions of the municipality, which will serve as the basis of the study.

UGU has been identified as one of four district municipalities, upon which research will be conducted. This project will be conducted under the supervision of Dr H. Zandamela from WITS School of Governance.

I hereby seek your consent to conduct Face to Face interview with key staff as well as Discussion/ Focus groups with the identified groups or forums. Due to the nature of this research, I hope to include IGR Officials ( for interviews), Mayor’s and MM’s forum ( for focus groups) as well as other IGR Structures to complete two-page questionnaire.

I have provided you with a copy of the consent form to be used in the research process. I further request to first introduce the research to your Municipal Manager's and Mayor's Forum at your earliest convenience.

Upon completion of the study, I undertake to provide UGU and its family of Municipalities with a bound copy of the full research report. If you require any further information, please do not hesitate to contact me on 082 414 3685, or email at vuyi1@hotmail.com

Thank you for your time and consideration in this matter.

REQUESTED BY:

**.....**

**VUYIWE TSAKO**

**RESEARCHER**

**PERMISSION GRANTED BY:**

**DD NAIDOO**

**MUNICIPAL MANAGER**

**SIGNATURE:……**

**ANNEXURE B**




**Consent to Participate in a Research Study (Face to face interviews)**

**TITLE: IGR IN KWAZULU-NATAL DISTRICT MUNICIPALITIES**

My name is Vuyiwe Tsako, I am a Phd student at Wits University (School of Governance). I am conducting research study about the challenges affecting functionality of Intergovernmental Relations in KwaZulu-Natal District municipalities. As a participant in this study, you are requested to complete this consent form. Please circle your selection below and provide signature at the end.

I agree to participate in this research Y/N

I agree to participate through face to face interviews that

will be conducted by researcher Y/N

I agree to the audio recording of the interview sessions Y/N

I agree to my identification being used for the purpose

of this research Y/N

I agree that there won't be any benefits associated

with my participation Y/N

I agree that confidentiality and anonymity of information

cannot be fully guaranteed Y/N

Participating in this study is completely voluntary. Even if you decide to participate now, you may change your mind and stop at any time.

If you have questions about this research study, you may contact my Supervisor: Dr H Zandamela, Wits School of Governance, Telephone number 011-7173524, email horacio.zandamela@wits.ac.za.

I agree to participate in the study.

_____ _____

Name and signature Date

**ANNEXURE C**




**Consent to Participate in a Research Study (Focus group)**

**TITLE: IGR IN KWAZULU-NATAL DISTRICT MUNICIPALITIES**

My name is Vuyiwe Tsako, I am a Phd student at Wits University (School of Governance). I am conducting research study about the challenges affecting functionality of Intergovernmental Relations in KwaZulu-Natal District municipalities. As a participant in this study, you are requested to complete this consent form. Please circle your selection below and provide signature at the end.

I agree to participate in this research Y/N

I agree to participate through focus group interviews that

will be conducted by researcher Y/N

I agree to the audio recording of the interview sessions Y/N

I agree to my identification being used for the

purpose of this research Y/N

I agree that there won't be any benefits associated

with my participation Y/N

I agree that confidentiality and anonymity of information

cannot be fully guaranteed Y/N

Participating in this study is completely voluntary. Even if you decide to participate now, you may change your mind and stop at any time.

If you have questions about this research study, you may contact my Supervisor: Dr H Zandamela, Wits School of Governance, Telephone number 011-7173524, email horacio.zandamela@wits.ac.za.

.

I agree to participate in the study.

_____ _____

Name and signature Date

**ANNEXURE D**




**PARTICIPANTS INFORMATION SHEET**

**(Face-to-face interviews)**

**Researcher: Vuyiwe Tsako**

**Contact: 0824143685 or vuyi1@hotmail.com**

My name is Vuyiwe Tsako, I am a Phd student at Wits University (School of governance) and currently conducting research on “IGR in kwazulu-natal district municipalities”. This form details the purpose of this study, a description of the involvement required and your rights as a participant.

The purpose of this study is to gain insight into challenges affecting the functionality of Intergovernmental Relations in KZN district municipalities.

Face to face interviews will be conducted and serve the purpose of obtaining information and understanding of issues relevant to the specific questions of the research project. The estimated time for each interview will be approximately 20 to 30 minutes. You are encouraged to ask questions or raise concerns at any time about the nature of the study or the methods being used.

The study does not guarantee any confidentiality or anonymity in relation to the information provided, however the researcher will encourage high level of confidentiality amongst the participants. In addition, the researcher doesn't promise any benefits associated to your participation and utilisation of the research results will be at the discretion of the participant or participating municipality.

**NB.** If you have any questions, concerns or complaints about the study at any stage, you can contact:

Name : Dr Horacio Zandamela (Supervisor)

Telephone number : 011-7173524 horacio.zandamela@wits.ac.za

Participant's full name and signature: _____

Date Signed: _____

**ANNEXURE E**




**PARTICIPANTS INFORMATION SHEET**

**(Focus group interviews)**

**Researcher: Vuyiwe Tsako**

**Contact: 0824143685 or vuyi1@hotmail.com**

My name is Vuyiwe Tsako, I am a Phd student at Wits University (School of governance) and currently conducting research on “Intergovernmental Relations in KZN District municipalities”. This form details the purpose of this study, a description of the involvement required and your rights as a participant.

The purpose of this study is to gain insight into challenges affecting the functionality of Intergovernmental Relations in KZN district municipalities.

Focus group interviews will be conducted and serve the purpose of obtaining broad range of views from the Municipal Managers and will take approximately 20 to 30 minutes. The estimated time for each interview will be approximately 20 to 30 minutes. You are encouraged to ask questions or raise concerns at any time about the nature of the study or the methods being used.

The study does not guarantee any confidentiality or anonymity in relation to the information provided, however the researcher will encourage high level of confidentiality amongst the participants. In addition, the researcher doesn't promise any benefits associated to your participation and utilisation of the research results will be at the discretion of the participant or participating municipality.

**NB.** If you have any questions, concerns or complaints about the study at any stage, you can contact:

Name : Dr Horarcio Zandamela (Supervisor)

Telephone number : 011-7173524 horacio.zandamela@wits.ac.za

Participant's full name and signature: _____

Date Signed: _____

**ANNEXURE F**




THE MUNICIPAL MANAGER

ATTENTION: Ms N DLAMINI

HARRY GWALA DISTRICT MUNICIPALITY

**SUBJECT: REQUEST FOR DOCUMENTS IN CONDUCTING THE RESEARCH**

**Thank you for allowing me an opportunity to conduct research within your municipality. The purpose of this research is to understand IGR within KZN District Municipality.**

**The objectives of the research are:-**

d) Understanding organisational contextual dimensions associated with the functionality of Intergovernmental relations within KZN District municipalities;

e) To provide solutions as to how can the identified organisational contextual dimensions effects be managed in order to ensure functional Intergovernmental relations; and

f) Given the organisational contextual dimensions, the study seeks to understand why there are challenges affecting the functionality of Intergovernmental relations within KZN District municipalities.

The researcher will ensure high levels of confidentiality by securely storing the documents within a locked location; and/or assign security codes to computerised records.

**DOCUMENTS REQUESTED ARE AS FOLLOWS:**

- The current adopted IGR Framework and policies;
- The current adopted IGR Protocol documents;
- Previous twelve months minutes of IGR Mayor's forum (with the understanding that IGR meetings sit quarterly);
- Previous twelve months minutes of IGR Municipal manager's forum (with the understanding that IGR meetings sit quarterly);
- Previous twelve months attendance registers for IGR meetings (both IGR Mayors forum and Municipal manager's forum); and
- Previous twelve months IGR reports.

I would very much appreciate a response within two weeks from the date of receipt of this correspondence.

Yours Sincerely

**……..**

**VUYIWE PRINCESS TSAKO**

**RESEARCHER**

**ANNEXURE G**




**INTERVIEW SCHEDULE**

**Research Topic: IGR in KZN District municipalities**

**The participants are required to provide comments on the contextual dimensions affecting functionality of IGR within the District municipalities in relation to the following areas.**

1. **Environment**

- The more co-operation by municipality partners i.e. government department, parastatals, the easier IGR implementation. How do you define this co-operation within UGU District?
- How do you regard the political environment as having impact on the functionality of IGR? E.g. political dynamics/ influence, changes in political leadership?
- How well elected members of local sphere of government are able to monitor, scrutinise, oversee and debate how their municipalities are performing within this district. Is that evident in their meeting discussions?

- **Other comments on municipal environment:**

1) **Culture**

- Is IGR characterised by a sense of shared and common purpose and values, which emphasize the need for co-operation and for

consensus OR is the relationship a more competitive one? Explain more.

- How do you define the commitment of leaders at every level in relation to the conduct or functionality of IGR?

**2) Goals and strategy**

- How do you define the ability of IGR to ensure coherent execution of key national priorities within the district and across all spheres?
- Is there a mechanism for managing service delivery within the district through IGR and does it result in proper and integrated delivery of services at community level?
- IGR seeks to achieve co-operation on delivery of services to communities by spheres of government. In terms of your interactions through IGR, to what extent do you ensure service delivery consideration that affects each and every sphere of government through deliberations on such by all?
- Is there vertical and horizontal planning, integration, and delivery of services to the community which is done in a coherent well-structured manner? If Yes, elaborate successes and if No elaborate on the challenges.
- Within the context of IGR, is there an opportunity for identification of areas of support by the municipalities and implementation thereof? Comment on the outcomes of such process.
- How are IGR structures constituted within the District? Is such membership or constitution in line with the objectives of IGR – to ensure co-operation by all spheres of government in the delivery of services to the community?
- Does IGR promotes such co-operation by spheres of government at a municipal level and How ?

**Overall comments from the participant.**

**RESEARCHER: VUYIWE TSAKO**

**UNIVERSITY OF WITWATERSRAND**

**DATE:……..**

**ANNEXURE H**




**FOCUS GROUP GUIDE**

**Research Topic: IGR in Kwazulu-Natal District Municipalities**

**.**

**The participants are required to provide comments on the contextual dimensions affecting functionality of IGR within the District municipalities in relation to the following areas.**

**Environment**

The more co-operation by municipality partners i.e. government department, parastatals, the easier IGR implementation. Please provide comments.

How do you regard the political environment as having impact on the functionality of IGR?

How well elected members of local sphere of government are able to monitor, scrutinise, oversee and debate how their municipalities are performing?

**Culture**

Is IGR characterised by a sense of shared and common purpose and values, which emphasize the need for co-operation and for consensus OR is the relationship a more competitive one?

How does values, commitment and ambitions of political leaders at every level have effect on the conduct of IGR?

**Goals and strategy**

How do you define the ability of IGR to ensure coherent execution of key national priorities with the district and across all spheres of government?

Is there a mechanism for managing service delivery within the district and through IGR, does it results in proper and integrated delivery of services at community level?

IGR seeks to achieve co-operation on the delivery of services to the communities by spheres of government. In terms of your interactions through IGR, to what extent do you ensure service delivery consideration that affects each and every sphere of governments through deliberations on such by all affected?

Is there vertical and horizontal planning, integration and delivery of services to the community which is done in a coherent well-structured manner? Elaborate on successes and challenges.

**Overall comments from the participants.**

**RESEARCHER: VUYIWE TSAKO**

**UNIVERSITY OF WITWATERSRAND**

**DATE:……..**