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Non-governmental organizations and local governance

Belete, Gebremedhin

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CHAPTER 1: INTRODUCTION

1.1. CONTEXT OF THE RESEARCH

The functions and powers of governing institutions have undergone profound changes over the past few decades and in some respects the very definition of the role of the state is being transformed. Power is no longer concentrated in the state only. The state and its instruments of government remain of central importance, but is no longer the sole actor in determining which direction society should take. Among the most important trends and new developments reshaping government are decentralisation, democratisation and good governance. These changes have profound implications for the government-civil society relationship and the potential role civil society organisations can play in governance and particularly local governance (Mbogori and Chigudu, 1999: 109-110).

A constellation of factors has led to a wave of decentralisation of state authority, programmes and services to local and community levels. Currently the South African government looks to decentralisation, capacity building and policy implementation as a mechanism for improving their effectiveness and efficiency in service delivery and transforming democratic society. In this new environment NGOs, such as IDASA and AWARD, play an increasingly important role in democratising local governance, providing social welfare, institutional development and capacity building, policy research and influencing. In South Africa all of this happens in the context of what is called 'developmental local government'. Developmental local government is local government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of life (Ministry for Provincial Affairs and Constitutional Development, 1998:17). Accordingly, understanding the concept and functions of developmental local government and good governance in general, is key for the successful implementation of development programmes and it lays out a new way of planning and

delivering services that include all role-players (Matjila in Oldfield and Parnell, 1998:v).

In this regard, this research report maps out the role of NGOs in local governance and starts by giving background and underlining the problem statement in the first chapter. The research purpose and questions are underpinned in correspondence with the research problem and short literature review, which provides a snapshot of the main debates in the field. The research scope, method, as well as limitations and assumptions are depicted in Chapter Three, and followed by the presentation of the research findings, data analysis and recommendations in the consecutive chapters.

1.2. BACKGROUND

In spite of its history in fighting apartheid, the South African civil society remains in many ways restricted and underdeveloped (Pieterse and Simone, 1994:40). After the 1994 elections, many NGOs as an entity of Civil Society Organizations (CSOs) also had to redefine their role in the political and development arena. Accordingly, some scholars defined NGOs as "…private, self-governing, voluntary, non-profit distributing organisations operating, not for commercial purposes but in the public interest, for the promotion of social welfare and development, religion, charity, education and research" (Swilling and Russell, 2002: 7).

It is especially as far as their role in development and the relationships with a new democratic government is concerned that NGOs face many challenges and often uncertainty. At the same time there is great optimism about the potential of local governance in South Africa, but these have to be seen in the context of the challenges that face the country, e.g. the backlog of ideological and socio-economical remnants of an apartheid regime, the often lack of capacity within local government structures and resource limitations.

Today it is recognised that a healthy and flourishing democracy needs good 'governance' – a process that is transparent, participatory, accountable and

more responsive than it may have been in the past. The governance which focuses on the process of democracy, rather than merely strengthening the bureaucratic machineries, measuring the effectiveness of public policies and the use of public resources in achieving the goals of society. Governance emphasises the competence and accountability of leaders and the way in which they are selected and make decisions as well as empowering citizens and their institutions to make collective decisions. Governance therefore necessarily involves many actors outside of government, including civil society.

While incorporating CSOs (synonymous to NGOs) in governance, the South African government has some specific expectations of civil society organisations. These are best described in the words of the Minister of Social Development in Swilling (*et al*, 2002: 4-5):

> "The basic twin expectations of government are that NGOs will firstly, continue to act as monitors of the public good and safeguard the interests of the disadvantaged sections of society. This performance of social watch role requires both transparency and accountability on the part of NGOs. The government's second expectation is that NGOs will assist in expanding access to social and economic services that create jobs and eradicate poverty among the poorest of the poor. This requires cost effective and sustainable service delivery."

This recognition of the role that NGOs can and should play, however often assumes that NGOs, leave alone a strong civil society, exists waiting patiently in the wings to fulfil its role and solving deep rooted socio-economic problems.

1.3. PROBLEM STATEMENT

The basic principles and values of democratic governance, such as freedom and autonomy, empowerment, participation, accountability and transparency, have been captured in policy documents but do not necessarily guarantee the common understanding, commitment and practice by government officials and

citizens. The nature, mission and contributions of NGOs may have also been underestimated or less communicated with policy makers, development actors and beneficiaries to promote the role of NGOs in local governance and to enhance the required level of collaboration for poverty alleviation, equitable and sustainable development.

Government and local governments in particular are challenged by inadequate decentralisation, often characterised by under capacitated institutional arrangements, limited material and skilled human resources, and poor policy practices. At the same time ordinary citizens, and especially the poor and marginalised segments of the society have had limited access to information in order to make conscious decisions and participate in policy formulation and governance processes. The extent and magnitude of unresponsive governance and social injustice may have also exacerbated inequality, poor service delivery and mismanagement of scarce resources.

These challenges from both local government and non-governmental organisations side are taken into consideration in this research and the role NGOs can play in local governance was explored and described with the idea of finding ways of how this role can be strengthened in the future.

1.4. PURPOSE OF THE RESEARCH

The purpose of the research was to explore and provide a common insight about the meaning of NGOs and democratic governance. The nature, mandate and context of the researched local governments and NGOs were investigated to describe the role of NGOs in democratising local governance, basic service delivery and poverty alleviation. The conceptual understanding and practices of institutional development and capacity building, policy research and advocacy were also considered as core strategic interventions of NGOs to promote the desired local government-civil society collaborations. Valuable and alternative suggestions have been made based on the empirical lessons from the field and the prevailing socio-economic environments in order to enhance the envisaged role of NGOs in local governance.

1.5. RESEARCH QUESTIONS

The Main Research Questions Are:

- What are the roles of NGOs in local governance?
- How can NGOs promote its role in local governance?

Sub questions:

- What are the nature, vision and mission of NGOs?
- What enabling environment is there for NGOs to play their role in local governance?
- What are the specific roles of NGOs in local governance in regard to:
  - Democratizing local Governance?
  - Service delivery?
  - Institutional Development and Capacity Building
  - Policy research and Advocacy?
- What are the main impact and challenges of the NGOs in relation to their role in local democratic governance?
- How could NGOs contribute to promote and impact on local democratic governance?

In addition, other questions are stemmed from the main and sub-questions in order to obtain essential information on the aforementioned thematic issues.

1.6. RESEARCH METHOD

The qualitative case study method is used for this research with corresponding exploratory and descriptive approaches. Babbie and Mouton (2001: 278-279) mentioned that qualitative research designs share features such as:

- A detailed engagement with the object of the study
- Selecting a small number of cases to be studied

- An openness to multiple sources of data
- Flexible design features that allow the researcher to adapt and make changes to the study where and when necessary.

Accordingly, two local NGOs (IDASA and AWARD) were selected for a case study. Since the typology and interventions of NGOs are multifarious, the selection of these two diverse NGOs enables the researcher to explore and describe the variety of roles NGOs could play in local governance

1.6.1. The Scope and Validity of the Research

The scope of the research was largely determined by the purpose of the research and main questions in order to respond to the identified thematic issues. In addition, the adoption of a broader conceptual understanding of non-governmental organisations and democratic governance had paramount importance to determine the research scope and methods. Accordingly, IDASA and AWARD were selected due to their long standing partnership and networking with local governments and CBOs. The author was also influenced by the need to understand and analyse the nature and legal space of NGOs and comment strategic directions for a desired role of NGOs in local governance.

Two techniques were deployed to ensure validity and reliability in the research. The techniques were triangulation and member checks. Triangulation reduced the risk of systematic distortions inherent in the use of only one method because no single method is completely free of all possible validity threats (Bickman, *et al,* 1998: 93). These techniques also assisted the researcher to investigate and cross-check the validity of each guiding question and findings by consulting different sources where possible.

1.6.2. Limitations

The author had designed and dedicated ample of time to collect and present relevant data as per the research purpose and approach. However, resource

limitations and time constraints on the side of the researched organizations and respondents limited triangulation of the information with more participatory techniques as would be desired.

1.7. STRUCTURE OF THE REPORT

Chapter 1. The introductory chapter of this report has provided a context of the research with its background, problem statement and the purpose. The chapter includes research questions with corresponding research method, scope, validity and limitations of the study.

Chapter 2. This chapter of the report illustrated the literature review which attempted to provide the readers with conceptual understanding of democratic governance and NGOs. The role of NGOs in local governance was discussed under core issues of concern, such as democratising local governance, service delivery, institutional development and capacity building, and policy research and advocacy.

Chapter 3. The chapter presents the research design while simultaneously depicting the actual field work process. It relates the research purpose, methods, data collection and management techniques.

Chapter 4. This section presents the findings of the research and gives an account of the role that the targeted NGOs play in local governance. The nature, mission goal and functions of AWARD and IDASA are presented in relation to their contribution in democratising local government, service delivery, institutional development and policy advocacy.

Chapter 5. The section presents data analysis and synthesis. The research findings are analysed and interpreted in regard to the basic concepts, values and functions of NGOs and their specific roles in local governance.

Chapter 6. This chapter of the search report has presented the recommendations and concluding remarks. The concluding remarks and

recommendations are drawn from the current arguments about NGOs' role in democratic local governance and lessons from the field practice. The preposition might deliver how to integrate and enhance a collaborative approach between NGO-government sectors and commence joint planning, implementation and further research for reciprocal benefits of the sectors, and more importantly the poor and marginalized segments of the society.

CHAPTER 2: LITERATURE REVIEW

2.1. INTRODUCTION

The role of Civil Society Organizations in South Africa has emerged since the 1980s, focusing on human rights and democratic governance. The combined entities of Civil Society Organizations (CSOs), namely, community based organizations, trade unions, and non-governmental organizations demanded good governance, equitable community development and a democratic state structure. The pressure of CSO movements and transitional negotiations of the early 1990s led to the first non-racial democratic local governance election of 1995 with determined objectives and future policy frameworks of local government (Nakedi, 2004:4).

The recent challenges of a new democratic South Africa have become how to enhance democratic governance and ensure that the basic demands of civil society, the poor and marginalised people in particular, have been met. Such demands include access to basic services for example water and sanitation, infrastructure, housing, health care, etc. Despite considerable developmental and social transformation actions by the new ANC led democratic government; South Africa seems a socio-economically unequal country with major challenges such as poverty, unemployment, crime and the impact of HIV/AIDS. Non-governmental organizations as one of the CSO's entity are expected to play a significant role in democracy building, service delivery, institutional development and policy advocacy to achieve the local government's ambitious objectives and contribute to the transformation of South Africa in such a challenging environment.

This literature review provides the main arguments and concepts related to the research case study and starts by clarifying the concepts of democratic governance and civil society, in specific non-governmental organizations. The transformation of local government and its co-operative relationships are discussed under the heading of 'Developmental Local Government' before NGOs are put under the spotlight to examine their nature, mandate and the

role they play in local governance. The literature review ends with an overview of four specific issues, namely democratising local governance, service delivery, institutional development and capacity building, and policy research and advocacy, as far as the role of NGOs in local governance are concerned.

2.2. UNDERSTANDING THE KEY CONCEPTS

The meaning, principles and functions of democratic governance has changed dramatically in the contemporary interests of the governing bodies and the governed citizens, the rich and the poor. Accordingly, the essence and definitions of civil society, including non-governmental organisations have often been interpreted differently and their roles in local governance have not been researched meaningfully. At the same time the local sphere of governments are expected to play increasingly important functions in democratic governance and sustainable development through defined roles and co-ordinated resource mobilization within public, NGOs and private sectors. The purpose of clarifying key concepts in this literature review is therefore to develop a common insight for our consecutive discussion about the role of NGOs in local governance.

2.2.1. Non-Governmental Organisations

The essence, purpose and conception of civil society, non-governmental or non-profit organisations (NPOs) have been interwoven and debated in multiple perspectives. Some scholars, policy makers and development practitioners define CSOs, NGOs or NPOs interchangeably, while others perceive them as separate entities. In this regard, the following definitions could provide the reader with a common insight in our discussion about the meaning and roles of CSOs or NGOs in local governance.

Civil society is "…the totality of organisations formed by the citizens outside the State and the Market (that is, for-profit sector) to support aspects of social life where a common interest exists" (Rojas, 1999: 88). It is perceived as a means by which citizens promote and defend their interests in public life

through collective action. Naidoo and Tandon (1999: 7-8), viewed civil society organisations as building blocks which are formed by citizens for the extension of democracy and sustainable human development. The South African Non-Governmental Organisations Coalition (SANGOCO), attempted to deliver an operational definition of CSOs as:

> "Civil Society is the sphere of organizations and or associations of organizations located between the family, the state, the government of the day, and the prevailing economic system, in which people with common interests associate voluntarily. Amongst these organizations, they may have common, competing, or conflicting values and interests " (SANGOCO, 2001:4).

Civil society is made up of a variety of organisations including NGOs and Community Based Organisations (CBOs), Faith Based Organisations (FBOs), professional and mass associations, volunteer groups, consumer groups, representative bodies of private enterprise and business, etc. NGOs form therefore only part of the broader definition of Civil Society Organisations.

Accordingly, NGOs can be defined as: "…private, self-governing, voluntary, non-profit distributing organisations operating, not for commercial purposes but in the public interest, for the promotion of social welfare and development, religion, charity, education and research" (Swilling, *et al*, 2002: 7).

Non-Governmental Organizations are "private organizations that pursue activities to relieve suffering, promote the interests of the poor, protect the environment, provide basic social services, or undertake community development. NGOs are typically value-based organizations which depend, in the whole or in part, on charitable donations and voluntary services. The principle of altruism and voluntarism remain key defining characteristics (World Bank, 2004).

In addition to the aforementioned definitions, I view value-driven NGOs as people-centred and non-profitable organisations with a demonstrated vision,

mission goal and value system for social justice, equitable and sustainable development. Accordingly, for the purpose of this research report I also perceive NGOs as part of the broader CSO terminology and will use the terms interchangeably in line with their role in promoting democratic local governance.

2.2.2. Democratic Governance

The conceptualization of governance in general and democratic governance in particular could be misinterpreted under various socio-economic, political and ideological context of a country. Nevertheless, democracy could also be perceived and practised differently in the typology of neo-liberal, autocratic, paternalistic and socialist governments. Some quantitative studies frame democracy as mainly state-centred and evaluate changes in terms of service delivery. Other perspectives see democracy as a society or way of life and looks at issues such as the quality of education, the level of citizens' confidence, skill, and power, the vibrancy of cultural expressions, a process towards building a non-racial society with respect for different cultures and traditions (Aboobaker, 2004:19).

The key concept of democracy could also be associated with the ancient meaning of democracy in the Greek language: *demos* which means "the people" and *kratos* meaning authority. The simplest and most popular understanding of democracy is government by the people, for the people. With this regard, the fundamental principles to a true democracy may be described as: decentralization, citizens' equal participation, political tolerance, accountability and transparency (Abraham and Hicks, 1997:4-6).

Currently, there is a growing argument about the deficit of democracy and the crisis of governance. Good governance occurs through a system of representative democracy where citizens delegate votes to individuals who would represent them and the leaders who would take decisions on their behalf. On the contrary, as Naidoo (2003:31) stated, people are finding new

and more direct ways to get involved in public life and decision-making that shifts from representative democracy to new participatory democracy.

Although the above concepts and definitions of governance have paramount importance to our understanding, I subscribe to a definition of governance which refers to the variety of interactions between civil society and governments. Accordingly, good governance refers to the broad array of practices which maximise the common or public goods; the practices that benefit poor and excluded groups are of utmost importance (Manor, Robinson and White, 1999: 2). In the South African context many of these responsibilities lie at the level of local government and therefore place emphasis on good local governance.

Local governments are expected to perform a critical role in the democratization of new states that emerged after colonization, and in South Africa's case after the Apartheid era. Local governments are also critical to promote democracy, accountability and the legitimacy of government by providing a range of services as well as creating a sense of belonging for different social groups within the State.

While discussing the conceptual understanding of NGOs and democratic governance, tracing the nature and role of NGOs in local governance and the context in which they operate are important as identifying strategic directions to maximize their roles in building democracy and enhancing the democratic principles.

2.3. THE NATURE AND ROLES OF NGOS IN LOCAL GOVERNANCE

Currently, as we move into the 21st Century new issues pertaining to people-centred development and the role of CSOs have become debatable in democratizing local governance and the empowerment of people. There is for example, an increasing realisation that the transition towards a democratically elected government does not in itself guarantee a society with development, service delivery, growth and more political participation by its citizens. Forde

and Kjaer (2000:3) stated that civil society has been rediscovered as a necessary precondition of democratic society. Hence, the essence and nature of NGOs need to be explored to fully comprehend their role in local governance.

In addition, Forde and Kjaer (2000: 11) distinguish between operational and advocacy NGOs in order to provide a meaningful insight of the impact on the society they serve. They stipulate the primary purpose of operational NGOs as to design and implement development-related projects, while advocacy NGOs defend or promote a specific cause and seek to influence policies and practices of certain institutions. For example, the World Bank (2004) classifies operational NGOs into three main groups:

i. Community Based Organisations (CBOs) – which serve a specific population in a narrow geographic area.
ii. National Organisations – which operate in individual developing countries.
iii. International Organisations – which are typically headquartered in developed countries and carry out operations in more than one developing country.

The divide is however not always clear and overlaps exist in many cases. As far as the World Bank refers to national organisations, one should distinguish between NGOs that operate on a national basis and NGOs that operate in a specific geographical area, e.g. in one province or district. Community Based Organisations, distinct but closely linked with NGOs and local governance, are normally grassroots, membership-based organisations made up of a group of individuals who have joined together to further their own interests. Examples are women's groups, credit groups, youth clubs, cooperatives and farmers' associations (Forde, *et al*, 2000:11-12). This categorisation can further be elaborated in the line with the South African CIVICUS Diamond.

The CIVICUS Civil Society Diamond of South Africa was developed at three levels, namely society as a whole (macro), aggregated organizations (meso),

and individual organizations (micro). According to this study the civil society or non-governmental organizations are analysed from the perspective of four dimensions or spheres of measurements as depicted below:

- Structure: The size, revenue sources and activities of the organizations.
- Space: The political and legal space within the larger regularity environment and the laws and policies that enable or inhibit their development.
- Values: The inclusiveness and exclusiveness and areas of consensus and dissent emerging from their value representation and propagation.
- Impact: The contribution of the organisation to specific social, economic, and political problems (SANGOCO, 2001:11).

The above dimensional and methodological concepts are important in our analysis and understanding of the nature and functions of CSOs or NGOs at micro-macro levels.

Few would dispute that NGOs and other civil society organizations have profoundly influenced the emergence and nature of modern South Africa society (Swilling, *et al*, 2002: 3). NGOs or CSOs bring with them certain technical, communication and negotiation skills that are crucial for democracy and good governance. But at the same time the sector has its own strengths and weaknesses that are reflected through its typologies.

The typologies of NGOs be it welfare, developmental or advocacy could also be influenced by their vision, mission goal, ideological spectrum, and spiritual aspirations. Accordingly, non-government organizations could be activists and opponents of dysfunctional government bureaucracies, corruption and patronage or authoritarianism. Despite NGOs' compliance against undemocratic practices and irresponsive governance, they are also constrained with limitations.

The World Bank indicated that although NGOs have a promising field based operational experience, participatory methodology and cost-effective approaches; they are also limited with financial and development expertise, institutional incapacity, isolation or poor inter-organizational communications, lack of knowledge on the broader socio-economic context and low level of sustainability (http://docs, lib,duke,edu/igo,guides/ngo/define.htm).

In addition, NGOs have also been challenged by the misunderstanding and conflict with government due to inadequate space for policy sharing, ineffective partnership in service delivery and development approaches, and their interventions' impact on communities (Marrow and Naidoo, 2004:12-13). In this regard, the NGOs in South Africa are explored below to give an overview of their profile and operational mandate in order to understand the role they can play in local governance.

2.3.1. The Profile and Legitimacy of NGOs in South Africa

According to a 2001 national study conducted by Swilling and Russell on the South African non-profit sector, there are 98,920 non-profit organisations (NPOs) across all sectors in the country and in 1998 nearly 1, 5 million volunteers actively contributed their time and energy to NPOs. Just over 53% of the CSOs or NPOs are informal voluntary organizations, which are not formally structured, such as non-profit companies, trusts, churches, trade unions and co-operatives. The following three sectors comprise the bulk of the NPO sector: social services 22 775, culture and recreation 20 587, and development and housing 20 382. Since 1994 many of these development-type organisations reallocated their resources to the vast infrastructure and service delivery backlogs in black communities in the country (Everatt and Maphai, 2003:107-108).

Likewise, many citizens may agree about the contribution of CSOs in poverty alleviation interventions, socio-cultural transformation, institutional building and human capital development. However, the misunderstanding of NGOs' vision, principles and identity by some of the policy makers, social workers

and development actors has been the bottlenecks for healthy partnership amongst the sectors and the role that NGOs could play in local governance.

In the South African context of poverty alleviation endeavour and social transformation; national and international NGOs are normally contracted to deliver services, design projects or conduct research. Community based institutions are more likely to be the recipients of project goods and services. They may often play the function of providing the institutional framework for beneficiary participation. In addition, national and international NGOs often work in partnership with CBOs, either by channelling development resources through them or providing them with services or technical assistance (Forde, *et al,* 2000: 12).

The current paradox of NGOs' mandate and level of collaboration in a new political, economic and social environment needs the awareness of the legislative, executive and judiciary systems' provision and practices in the country. This means that public officials should be aware of the International and National Bill of Rights regarding civil society organisations' operation and this may enhance the NGOs' efficiency and effectiveness in service delivery, community empowerment and policy advocacy. Non Governmental Organisations are often perceived and work as 'gap fillers' in countries where governments are weak or 'uninterested'.

However, the South African Constitution of 1996, envisaged to provide a progressive and inclusive Bill of Human, Civil, Political and Socio-economic rights to civil society. In addition, there are several pieces of legislation for the registrations of NPOs, trusts, non-profit companies, education or welfare organizations, trade unions, etc. The recent and perhaps most important legislation is the NPO ACT passed in 1997, which provides for NPOs (Synonymous with NGOs) registration with the Department of Welfare. It aims to:

- Create an environment in which NPOs can flourish;
- Establish the administrative and regulatory framework, within which NPOs can conduct their affairs;

- Encourage NPOs to maintain adequate standards of governance, transparency, and accountability and to improve these standards;
- Create an environment within which the public may have access to information concerning registered NGOs;
- Promote a spirit of co-operation and shared responsibility within government, donors and amongst other interested persons in their dealing with NPOs (SANGOCO, 2001:39).

In this regard, there are approximately 7000 NPOs registered with the Department of Welfare since 1997. These represent a relatively small proportion of the estimated total number of CSOs in South Africa (SANGOCO, 2001:39). Nevertheless, the capacity of these NGOs and the existence of an enabling democratic environment have vital importance for the effectiveness, sustainability as well as the role they can play in local governance. The following section of this literature review discusses the context, mandate and structures of local government to provide insight into the desired role of NGOs in local governance.

2.4. THE CONTEXT OF LOCAL GOVERNANCE IN WHICH NGOS OPERATE

The existence of an efficient and democratic system of local government has vital importance to resolving the social, economic, political and administrative problems in a country. Local governments are regarded as fundamental sphere of government to implement government policies and provide basic services to communities. In this regard they can also play a role to resolve the problem of misunderstanding and seek coordination and partnership with NGOs to fulfil their mandate.

Local government is an integral part of co-operate government of South Africa, namely National, Provincial and Local Government spheres with distinct constitutional mandates and functions. Understanding local government's relation to the other tiers of governments provides further insight

into how the NGO sector should engage itself to play its role in local governance.

2.4.1. The Constitutional Mandate on Co-operative Governance

There is a continuous argument about the human and material incapacity of local governments to facilitate effective service delivery and sustainable development. However, the new Constitution states that government in South Africa has three distinctive, interdependent and interrelated spheres to inquire and gain necessary expertise and material assistance. All spheres of government, namely national, provincial and local are obliged to observe the principle of co-operative government put forward in the Constitution. It is established in recognition to the complex nature of government in modern society and to perform the components of government as a cohesive whole. A system of intergovernmental relations or co-operative government has the following strategic purposes:

- To promote and facilitate strategic decision-making;
- To co-ordinate and align priorities, budgets, policies and activities across interrelated functions and sectors;
- To ensure a smooth flow of information within government, and between government and communities, with the view to enhancing the implementation of policies and programmes;
- To prevent and resolve conflicts and disputes

  (The Ministry of Provincial Affairs and Constitutional Development , 1998:10).

However, these purposes and strategic processes have been challenged by poor institutional arrangements, limited technical expertise, lack of commitment and scarce material resources of some local governments that also hindered the expected role of NGOs in local governance. Before discussing the characteristics and functions of local government, it is useful to explore and understand the current legislation of local government in order to engage NGOs towards the expected contribution.

2.4.2. The Legislative Underpinnings of Local Government

In the current Constitution, the Local Government Municipal Structure Act, (Act 117 of 1998), contains the criteria for the establishment of three categories of municipalities as stated below:

- Category A: Metropolitan municipalities that have exclusive municipal executive and legislative authority in its area.
- Category B: District municipalities that shares municipal executive and legislative authorities in its area with category C municipalities within the area it falls.
- Category C: Local areas municipalities that have municipal executive and legislative authorities in the area that include more than one municipality.

The Municipal Structure Act encourages the establishment of Ward Committees and Sub-councils for communities' participation in affairs of local government. The Ward Committees should be representative of all the interests of that particular ward and play an advisory role. In addition to ward committees, metropolitan municipalities can establish sub-councils, which can develop by-laws that determine their scope of functions in order to assist them with the effectiveness and improvement of service delivery (Ndlela, 2001:13-15).

The Constitution (Section 211) also recognizes Traditional Leaders as potential community mobilisers. In terms of Section 212 (1) national legislation may provide for the role of traditional leadership as an institutional local level facilitator on matters affecting communities. For example, there are houses of traditional leadership in the Eastern Cape, Kwazulu Natal, Limpopo, and North West provinces.

Nonetheless, the traditional institutions may need awareness raising, education and democratization for inclusive participation in communities'

priorities and actions. Gender equity for social security and access to basic resources may be the major issues of concern in this regard.

According to section 11 (1) of the Municipal Act Systems (Act No. 32 of 2000) the executive and legislative authority of the municipality is exercised by the council of the municipality. In some cases the mere existence of municipal structures do not achieve the required level of collaboration with NGOs and other partners and might simply reflect the balance of local power relations. Lack of clarity regarding the specific power and duties of each tier had also resulted in considerable confusion and inefficiency, and in some instances strained the relations among the aforementioned councils and various stakeholders.

Apart from understanding the structures of local government, the emphasis this research initiative places on the roles and responsibilities of NGOs in local governance is also influenced by the following local government characteristics and functions.

2.4.3. The Characteristics and Functions of Local Government

In order for NGOs to play a meaningful role in local governance it is important that they understand the structure and functional responsibilities of local government and its provision by the Constitution. The purpose of this discussion is to investigate the characteristics and functions of local government to attain the desired level of collaboration with NGOs.

The White Paper on Local Government (Ministry of Provincial Affairs and Constitutional Development, 1998:17-22) mentions four characteristics in regard to the roles of local government. These are:

- Maximising social development and economic growth: The powers and functions of local government should impact on the social development and on the growth of the local economy, meeting the basic needs of the poor in particular. The Paper

describes the authority of municipalities to collect tax revenues, user charges and fees. Accordingly, they are responsible to provide basic services, like water, electricity, roads. They also control the use and development of land.

- Integrating and Co-ordinating: There are multiple agencies contributing to development in local areas, including national and provincial departments, parastatals, trade unions, community groups and private sector institutions. Developmental local government is expected to provide a vision and leadership for all those who have a role to play in achieving local prosperity. The Integrated Development Plan (IDP) is also envisaged as a powerful tool for municipalities to facilitate integrated and co-ordinated delivery within their locality.
- Democratising development: Municipal Councils play a central role in promoting local democracy. They represent community interests and promote the involvement of citizens and community groups in the design and delivery of municipal programmes. Policy frame- works such as the Reconstruction and Development Programme (RDP) intends to offer the country a unique opportunity to bring about renewal, reconciliation, peace, prosperity and stability (GNU, 1994:1). This also repeated in the Growth, Employment, and Redistribution strategy (GEAR) which calls for redistribution of the income and opportunities in favour of the poor. Support to community organisations in the form of finance, technical skills or training to enhance the ability of the poor in order to make their needs known and to take control of their own development process forms part of this.
- Leading and Learning: The White Paper underlines the reconsideration of rapidly changing global, national, and local situations that forces local communities to rethink the way they are organized and governed. It states the need to find new ways to sustain their economies, build their societies, protect their environments, improve personal safety (in particular for women) and eliminate poverty.

It is also mentioned that municipalities can build favourable social conditions for development through sound political leadership, promoting partnership and local democracy. A developmental municipality has a visionary role in strategic policy-making, innovation, local institution development and resource mobilization to meet basic needs and achievements of developmental goals. In addition, the IDP framework (DPLG, 1998:1) states some of the vital elements of NGO and local government collaboration in the areas of poverty alleviation, service delivery and sustainable local development. Respectively, local government can open the door for civil society organisations to participate in the governance process and develop new ways of engaging with government. Oldfield (*et al*, 1998: v, 4) expressed developmental local government as a new way of organising democracy at the scale of the municipality, confirms the above statement.

In spite of good intentions, some scholars argue that governments' roles and functions are often constrained by poor policy design, implementation and impact evaluation. Some of the possible causes of government failure could be the pursuit of self-interest. Both politicians and civil servants may pursue their self-interest rather than operating on behalf of citizens, which mislead their decision-making and resource allocation. A tendency to look for short term solutions and placing emphasis on economic problems rather than making considerable analysis for structural causes of socio-economic and political problems are other contributors towards the problem. (www.tutor2u.net/economics/content/externalities /government failure .htm, retrieved on 2004/11/22).

In addition, new policies and programmes can be initiated at local level to promote government functions with due emphasis on poverty alleviation and job creation. Local government is expected to take active steps in order to improve the overall economic and social conditions and create conducive environment for the involvement of key actors such as the private sector and NGOs for service delivery and sustainable development.

The above exploration of the role and nature of NGOs and the context of local governance in South Africa in which NGOs operate, sketches the scenario for the discussion of the specific roles and influences of NGOs in local governance.

2.5. THE SPECIFIC ROLES AND INFLUENCES OF NGOS IN LOCAL GOVERNANCE

In line with literature review and an empirical lessons from the field four major issues, namely democratising local governance; service delivery; institutional development and capacity building; as well as policy research and advocacy, need to be considered in regard to the contribution and role of NGOs in local governance. Although there are other issues as well, the issues described below are recurring and will form the major focus of the research.

2.5.1. Democratising Local Governance

The misunderstanding and malfunctions of democracy and its corresponding democratic principles have been contributing to the backlogs in local governance. The traditional theories have viewed democratic governance as the only condition for human freedom. Some recent social and political theorists have argued that there is a need to go beyond political and juridical equality to equality in social and economic rights or benefits (Gould, 1993:31). Accordingly, NGOs' roles in democratising local governance relates to ensuring the practice of democratic principles and increased collaboration between state and NGOs, that is, first to create an "enabling environment" within which the NGOs development activities can take place. The second relates to the growing importance of NGOs in monitoring the state and the development partners as the process of democratisation takes deeper root in the local and global world (Riddle, in Papir, 2000:20). The process of democratizing local government could also be related with the decentralization of political power, administrative functions, fiscal resources and service delivery.

Decentralisation embraces a variety of concepts, which must be carefully analysed in any particular country. Some literature refers to decentralisation as the transfer of authority and responsibilities for public functions from central government to intermediate and local governments. The primary step for decentralization and resource mobilisation at local level shall be the empowerment of grass-root communities and enhancing equal participation and decision-making capacity.

While discussing decentralisation and participation, the perceptions and levels of participation may also be representative, nominative and transformative where the analytical and decision-making capacity could be enhanced or impeded. For example, Cernea (1995:465-466) underlined in his writing, "Putting People First", the following five ways of participation:

- The degree of participation must be clear at the outset and in a way acceptable to all concerned parties.
- There should be realistic objectives for participation and allowance must be made for design consultation and transfer of assets for utilization.
- Specific provisions for introducing and supporting participation should be made. Use of existing local organisations and or designing and facilitating congruent organisations where the existing ones are inadequate.
- There must be an explicit and adequate financial commitment.
- There must be plans to share responsibilities at all stages of the project cycle.

Accordingly, the IDP has been envisioned to enhance the process of decentralisation, empowerment and participation of communities, civil society organisations and local authorities to prioritise and plan their development needs, and to ensure that the budget is allocated appropriately (Oldfield, *et al,* 1998: 24). The thematic elements of IDP are poverty reduction, sustainable municipal and local economic development, inhabitable environment promotion, better service delivery, partnership approach and spatial

integration. The implementation, management, monitoring and evaluation are also the integrated systems of planning and delivery (McCarthy and Coetzee, 2000:1).

In this regard, the patterns of participation of civil society organisations could be differentiated in three categories:

- Livelihood Production: Those devoted directly to economic aspects of households such as '*stokvels'*, horticulture groups and small enterprises.
- Political Process: Civic Associations and Community Development Forums (CDFs), which provide greater ability of households to influence the political process.
- Social Capital Building: Those that serve the social fabric of the community, namely crèches, religious groups, cultural associations, etc. (Everatt and Maphai, 2003:108-109).

However, trust-building through shared values, joint planning and performance management may have been major gaps in practice. The participation and inter-governmental cooperation in processes such as the IDP has been foreseen as part of the activities for holding local government accountable to citizens and hierarchical authorities. Citizens and stakeholders need to know whether local government is performing its functions and activities. Indicators are about enforcing accountability and extend beyond the political realm to budgets and checks and balances (Oldfield, *et al,* 1998: 35, 45). Amongst others, CSOs could play an important role in effective service delivery, participatory monitoring and evaluation, development process facilitation, accessing information and making an effort to enhance transparency and accountability in local government.

2.5.2. Service Delivery

The White Paper on Local Government proposes a policy framework which reflects effective service delivery that meets the basic needs of all South African citizens. Government has also adopted the eight principles of 'Batho Pele', literally means "People First", which embraces consultation, service standards, access, courtesy, openness and transparency, redress and value for money; in order to ensure its commitment (Camay and Gordon, 2004:333).

In addition, government claims significant achievements in social grants, education, health, housing and other infrastructures development. For example, a ten years review syntheses report indicated gross primary school enrolment of 95.5%, access to clean water (85%), and electrification (70%), housing for two million households and new job creation of 1 600 633 in the period of 1995 to 2003 (Policy Co-ordination and Advocacy Services, 2003:19-36).

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Nevertheless, there are arguments as far as the claimed achievements are concerned. The number of unemployed people increased by 2 361 834 and HIV/AIDS pandemic infected 4.7 million people (Policy Co-ordination and Advocacy Services, 2003:19-36). Hunter noted the interwoven issues of HIV/AIDS and poverty as: "Income poverty is lack of food, goods, services and opportunities. Moral poverty is lack of physical wellbeing, energy, power, space and time "(Hunter, in Uys and Cameron, 2003:162). The unresolved dispute of land restitution, continuing violence against children and women, poor service delivery and the unfolded poverty situation have been bottlenecks for local democratic governance and service delivery in South Africa. Accordingly, a precondition for stable and democratic governance may be the elimination of the worst inequalities in economic power for some redistribution of assets or incomes. Zegeye and Maxted (2003:16) mention that:

"No political democracy can survive and flourish if the majority of its people remain in poverty, without land, without their basic needs being met and

without a tangible prospect for a better life. Attacking poverty and deprivation will therefore be the first priority of the democratic government."

In general, there are outstanding issues of concern that NGOs could contribute in shaping local governance and delivering public services for poverty alleviation by working directly with local government, community based institutions and other stakeholders. The question of how and why the services are provided needs due attention in line with the promotion of sustainable livelihood of the poor and marginalized.

As far as the 'how' of service delivery is concerned, Jones (2003:11) noted that municipal services partnership could be an option, e.g. a public – private, a public-public and or a public–NGOs partnership could be established. A public-NGO partnership could be formed between local government and NGOs, and often also incorporate CBOs. Such partnerships improve resource mobilization, access for the poor to goods and services and deepen ownership and sustain projects through participatory approaches (Parnell, Pieterse, Swilling and Wooldridge, 2002: 267).

Nevertheless, the issues of prioritisation and targeting for service delivery may need due attention by concerned bodies. Government, given diversity and size tackles many things simultaneously. But trying to do everything at once, leads to neglect of issues that are really important. This wastes government time, money and effort and the poor citizens suffer as a consequence. Prioritization is necessary to limit multi-furious problems of the society, identify the needy people according to the available resources, and monitor interest conflict and corruption. Barberton (1995:2) defined prioritisation as identifying what things need to be done and then deciding either how much emphasis to give each one or in what order to address them. Non governmental organisations as well as public sectors have been challenged in targeting, identifying and prioritizing appropriate service delivery projects and developing appropriate institutions. Likewise, some of the NGOs projects may have failed or seized to continue and its impact might also be immeasurable.

The ideas of Robison and White galvanize the above statement: "Voluntary provision of social services are full of holes, incomplete coverage, amateurism, high turnover, duplication, un-sustainability, differing approaches, core area concentration and problems with equitable distribution according to gender, ethnicity and class" (Robison and White in Papir, 2000:22).

Service delivery models and goals may also vary according to the countries' socio-economic, political and cultural context. The goal and standard of service delivery shall be to promote the social welfare, which is used in the broadest meaning to connote a condition of social well being that occurs when social problems are satisfactorily managed, social needs are met and social opportunities are created (James, 2004:10). Designing a strategy for institutional development, capacity building, and integrated development planning and performance management systems has a paramount importance for generic service delivery, equitable and sustainable project interventions.

2.5.3. Institutional Development and Capacity Building

Local institutions and the capacity of its duty bearers are milestones to respond to complex needs of citizens and to mobilise resources within various stakeholders. In spite of good intentions, local government is plagued by problems such as inexperienced and sometimes uncommitted political office-bearers and administrative officials; a serious lack of funding from own resources and other governmental levels; and outdated local government structures, processes and technologies which are not conducive to developmental local government (Parnell, *et al,* 2002: 287).

The term capacity building is more often related with empowerment, participation and gender relations. The Oxford Dictionary defines capacity as: "fully occupying the available space, resources, faculty or talent." Synonyms include: "ability, capability, faculty and power" (Thaw, 2000:9). The capacity of the public sector is perceived as structural, functional and cultural ability to implement the policy objectives of the government. It refers to the availability

and access to tangible resources (human, financial, material, technological, logistical, etc). Capacity also includes the intangible requirements of leadership, motivation, commitment, courage, endurance and other intangible attributes needed to transform rhetoric into action (Cloete and Wissink 2000:181-182).

Institutional development and capacity building initiatives need to take various forms to address these challenges and NGOs can play a vital role to assist local government in the capacity building process. However, the position of NGOs and capacity are also determined by its typology of interventions, resource bases and the pattern of relationships it creates with local governments and other CSOs. Intervening in the development of democratic institutions and empowering local communities for meaningful participation shall be treated as human, social, economic and political rights, rather than perceiving it as a simple activity run by the agencies and government.

The existence of sound policy and its impact assessment for human capital development and resource allocation at local government could be considered as fundamental steps in capacity building, besides institutional reforms and performance management. Institutional development and capacity building have to create and use participatory decision-making processes, improve working relationships between various actors and develop the beneficiaries' ownership on short-term projects as well as long-term sustainable and equitable development.

2.5.4. Policy Research and Advocacy

Despite of day-to-day arguments on issues related to social and economic policies, it is difficult to define and analyse public policy in a precise way. The literature definition of public policy ranges from "declaration of intent, a programme of goals, and general rules covering future behaviour to important government decisions, a selected line or course of action, the consequences of action or inaction, and even all government action" (Lynn, 1987:29, in Hughes, 1998:130). Accordingly, policy analysis and advocacy is a

disciplined application of knowledge, techniques and tools. It requires thorough understanding, interpretation and operational approaches for the intended policy results. Hughes (1998:129-130) stated two public policy approaches. The first is termed "policy analysis", which focuses on decision-making and policy formulation by the use of sometimes highly abstract statistics and mathematical models. The second is "political public policy", which is more interested with the result or out-comes of public policy on the major areas of public interest such as health, education, welfare and environment.

Hughes (1998) also describes the function of policy research as to facilitate public policy processes through providing accurate and useful decision-related information. Skills required in producing information, which is technically sound and useful lie at the heart of the policy research process. There could also be varying interests and conflicts in policy formulation, implementation and out-comes amongst different stake-holders, namely the public, private and CSOs. William (1994:137) described a conflicting policy situation, "the same policy-relevant information can and often does result in conflicting definitions and explanation of the problems."

Accordingly, governments may be less welcoming of CSO activities that question and challenge its policy. Yet civil society or NGOs make a unique contribution to the democratic process through basic service delivery and advocacy campaigns directed at changing policies, positions or programmes of government institutions. Advocacy is based on the belief that building democratic society requires discussion, debate and mobilisation (Mbogori, *et a*l, 1999: 116-117).

Nevertheless, policy advocacy needs to understand research interface, the nature of the policies, context on new polices and how it alters the status quo (Frimpong, 2003:133). Frimpong also noted the issues of conflict during policy development due to the lack of absorptive capacity of policy research findings and politics of calculated neglect by decision makers.

In this regard, policy advocacy and influencing needs participatory action research for socio-economic and development interventions, and review of the existing public-NGOs policies' impacts in order to enhance the role of NGOs on democratic local governance, social justice and sustainable development.

2.6. CONCLUSION

As the aforementioned literature review indicates there are multifarious challenges as far as the role that NGOs could play in local governance is concerned. Understanding the basic concepts of democracy and democratic governance, CSOs or NGOs with their corresponding nature, identity, functions and structures are of paramount importance for meaningful collaboration, poverty alleviation, equitable and sustainable development. The overall goal and responsibilities of local government such as maximising social development and economic growth, integrating and co-ordinating, democratising development and leading and learning need holistic service delivery and more collaborative development planning and management systems.

Accordingly, the role of NGOs in democratising local government, service delivery, institutional development and capacity building, and policy advocacy require an empirical research and coordinated approach in order to build the envisaged democratic society and to enhance social well-being, equitable and sustainable development.

CHAPTER 3: RESEARCH METHOD

3.1. INTRODUCTION

The evolution of the research process has been transformed from a study of human kind (Anthropology) to Sociology and reached to the era of epistemology and ethnology. Nevertheless, the prevailing socio-economic, ideological and natural environments demanded a shift from the rhetoric quantitative research method to more participatory and multi-disciplinary approaches, which is a qualitative research method. As Babbie and Mouton (2001: 278-279) expression underpinned in the first chapter, the qualitative research designs share features such as:

- A detailed engagement with the object of the study,
- Selecting a small number of cases to be studied,
- An openness to multiple sources of data, and
- Flexible design features that allow the researcher to adapt and make changes to the study where and when necessary.

Accordingly, the qualitative case study method is used for this research with corresponding exploratory and descriptive approaches. Robert Yin (in Bickman and Rog, 1998: 235 - 237) mentioned that case studies could be applied to such units as groups of persons or organisations and public programmes. He also distinguished between different types of case studies such as descriptive, explanatory and exploratory case studies. Accordingly, this research process contained elements of mostly descriptive and exploratory case studies. The benefits of multiple case studies are that they broaden approaches to the intended research process and analytical generalisations compared to single case studies.

The two local and national NGOs, namely IDASA and AWARD were selected for multiple case studies. Since the typology and interventions of NGOs are multifarious, the selection of these two diverse NGOs enables the researcher

to explore and describe the variety of roles NGOs could play in local governance.

However, the intention is not to compare the two NGOs' roles and contributions in local governance, but rather to use their diverse field experiences in an exploratory and descriptive manner. The data was collected through the research techniques, such as semi-structured interviews, focused group discussions, physical observations and secondary resources of the respective organisations. The research method and techniques were also investigated and adapted to the subject matter being studied, in this case the role of IDASA and AWARD in local governance.

The following research questions were also employed to explore and describe the role of NGOs in local governance as mentioned in the introductory chapter, namely:

- What are the roles of NGOs in local governance?
- How can NGOs promote its role in local governance?

Sub questions:

- What are the nature, vision and mission of NGOs?
- What enabling environment is there for NGOs to play their role in local governance?
- What are the specific roles of NGOs in local governance in regard to:
  - Democratizing local Governance?
  - Service delivery?
  - Institutional Development and Capacity Building
  - Policy research and Advocacy?
- What are the main impact and challenges of the NGOs in relation to their role in local democratic governance?
- How could NGOs contribute to promote and impact on local democratic governance?

The main and sub questions around the research title and thematic issues informed the specific questions in the interview format (See Appendix B). The specific roles of IDASA and AWARD in local governance, such as democratising local governance, promoting quality service delivery, institutional development and capacity building, policy research and advocacy were the main issues of concern amongst others, in the research process.

3.2. THE RESEARCH APPROACHES AND TECHNIQUES

The case study approach has focused on IDASA and AWARD, and the two local governments as well as one CBO, within which the organisations are operating. The elements and characteristics of the case study complemented the proposed research method and enabled the researcher to answer the research questions in the best way possible. The research design also comprised data collection tools, information sources, and data analysis and presentation techniques. Issues of information validity, reliability and limitations were addressed while reflecting on the actual research process in the field.

An Information Matrix was designed to explore and describe the main research questions around the conceptual understanding of CSOs or NGOs, democratic governance, and the corresponding mission, principles and functions of local governments and the targeted NGOs (see Appendix A). The technical design of a basic information matrix has also enabled the researcher to prioritize and collect necessary information on thematic issues related to democratization of local governance, service delivery, institutional development and capacity building, policy research and advocacy. The identification of the information sources, relevant techniques and time table to collect the required information have had a vital importance to determine the corresponding semi-structured interviews and focused group discussion formats, research approaches and data validity. From the information matrix the following data collection techniques were deployed in the field work:

- Basic individual interviewing: As Babbie (*et al*, 2001: 289) described this style of interviewing convenes an interaction between the interviewer and a respondent in which the interviewer had a general plan for enquiry but not a specific set of questions that must be asked in a particular order. In this regard, individuals in senior and middle management levels were interviewed from IDASA, AWARD and targeted local government offices to obtain necessary information on the organizational vision, mission, principles and functions. Some of the field staff from both organisations was also interviewed to gather the actual practices of the organisations at local level and to triangulate the information validity.

- Focus group interviews: It was intended for the researcher's interaction with groups of people and gave the opportunity to observe a large amount of interaction on the topic in a limited period of time, as (Babbie, *et al,* 2001: 292) describes. I also engaged participatory techniques from the practice of Participatory Rural Appraisal (PRA), like transect walk to observe the physical situation of the project areas within the target communities and triangulated the validity of information provided by the individuals and groups. Participatory Rural Appraisal techniques are visual and allow people to express and analyse the realities they deal with in their lives as Chambers and Blackburn (1996:1) noted.

The research questions and technical approaches were tailored and adjusted to the nature and roles of different organizations, namely IDASA, AWARD, Local government and CBOs throughout the research process. (See Appendix B for the interview formats used during the actual field research).

Respectively, the sources of information, approaches to data findings and analysis are presented as illustrated below:

3.3. SOURCES OF INFORMATION

Primary Sources

The senior and middle level management and some of the front line staff members of IDASA and AWARD were focused as the primary source due to their access to key organizational information and relevance to response to the research questions. The local government officials were also interviewed to explore the conceptual, structural and practical interventions of the selected NGOs on local governance and targeted communities.

In addition, one group of community development facilitators were interviewed in the HighLands Local Council of Mpumalanga province in regard to IDASA's intervention on local municipality and CBOs. The facilitators were selected due to their engagement in local Municipality and CBOs, such as CDF, youth and faith groups, etc. They revealed vital information on the role of IDASA in local governance in relation to shared mission goal, promoting local democracy and quality service delivery, institutional development and policy advocacy. However, the participation of some of the intended interviewees was constrained by their workloads and geographical isolation that limited the application of more PRA tools and information triangulation.

Secondary Sources

Documents produced by IDASA, AWARD and local governments, namely strategic plans, various agreement papers, annual and review reports were also used as secondary data sources. Various publications, such as "Save the Sand" news papers, magazines, training manuals and research reports were also consulted to obtain adequate information as mentioned in the research finding section. Physical observation of project areas had also given me a promising opportunity to triangulate the primary and secondary data.

3.4. DATA PRESENTATION AND ANALYSIS

Some of the guidelines that the researcher had employed in the process of data analysis were:

- Keeping a focus of relevant, manageable topics and probe these topics by comparing and contrasting data, trying to fit pieces of data into the bigger puzzle.
- Looked for patterns and behaviours of the subject being researched and the participants, as Yin (in Bickman and Rog, 1998: 251) described about pattern matching.
- Looked for key events that could provide a lens through which to view a situation.
- Write observer comments about the ideas generated. This assisted the researcher to build a line of thought throughout the research process (Bogdan and Biklen, 1992: 157-159).

This data analysis process led to measuring the validity and reliability of the obtained information to the research purpose, that is the role of IDASA and AWARD in local governance.

3.5. VALIDITY AND RELIABILITY

The researcher deployed two techniques to ensure validity and reliability in the research. The techniques were triangulation and member validation. Denzin (in Miller and Dingwall, 1997: 38) refer to four basic types of triangulation. Most researchers concentrate on what Denzin calls the 'between method triangulation'. This is the combination of two or more different research strategies in the study of the same empirical units. Validity is claimed because replication of the findings by different methods or techniques minimises the possibility that the findings may be the result of measurement biases.

Triangulation reduce the risk of systematic distortions inherent in the use of only one method or technique because no single method and technique is completely free of all possible validity threats (Bickman, *et al,* 1998: 93). At least two different techniques e.g. semi-structured interviews and physical observation were used to investigate each guiding question and findings were also cross-checked by consulting different sources of data where possible.

The other technique was member validation which is an array of techniques that purport to validate findings by demonstrating correspondence between the researcher's analysis and the members/participants descriptions of their own reality (Miller and Dingwall: 1997:41). According to Maxwell (in Bickman and Rog, 1998: 94) this is the single most important way of ruling out the possibility of misinterpreting the meaning of what participants say and the perspectives they have on what is going on.

In this research member validation took place when transcripts and analysed text were taken back to the respondents to check with them whether what had been constructed from the data were actually what they said. Accordingly, the data gathered and presented were communicated with the target organizations' staff to obtain the necessary feedback and amendments to the report. However, most of the respondents from CBOs and local government were constrained with geographical distance, organizational workloads and communication backlogs as mentioned previously.

3.6. RESEARCH LIMITATIONS

Some of the limitations inherent to the research process might be the so-called 'placebo effect' (Mouton, 2001:106) because respondents might have reported information which they thought was expected by the researcher, rather than reporting on what is actually experienced.

Although I have had practical lessons in working with NGOs and local governments, the diversity and multiplicity of the prevailing socio-economic and political environment where IDASA and AWARD operate have made the

data sources more complex. This would require adequate resources and prolonged time for in-depth investigation and interactive data analysis. The participants' pre-occupation, physical distance, communication and time constraints were another area of limitations to conduct more participatory research and triangulation of the data.

3.7. CONCLUSION

Research in any field should seek to generate new information or knowledge that can in turn be applied to solve problems, improve the quality of life of people and provide a better understanding of conditions in the field (Adams and Schvaneveldt, 1991:12). Accordingly, the role of NGOs in local governance and thematic issues, namely democratising local governance, quality service delivery, institutional development and capacity building, policy research and advocacy are complex and need multidisciplinary research approach and holistic intervention.

Likewise, I assumed that this research outcome could provide better insight, practices and encourage further multi-disciplinary and participatory research on the role of IDASA, AWARD and other NGOs to enhance democratic local governance in the new South Africa.

CHAPTER 4: RESEARCH FINDINGS

4.1. INTRODUCTION

This chapter of the report captures the research findings in attempt to respond to the research problem and related questions with regard to the role of NGOs in local governance. The findings also respond to the main and specific research questions as discussed in methodology chapter, and in specific to the role of IDASA and AWARD towards democratising local governance, service delivery, institutional development and capacity building, policy research and advocacy. In addition, the nature, scope and functions of the aforementioned NGOs are presented to create a common understanding in promoting the desired role of NGOs in local governance.

IDASA is an institution whose work is intended to promote and support democracy in South Africa. Generally its focus is on attempts to record and measure the depth and degree of democracy in South Africa since its founding election in 1994.

Respectively, the Association for Water and Rural Development (AWARD) could be described as one of promising development-oriented NGOs in the water sector. The genesis of AWARD has been aligned with a vision of a multi-disciplinary rural facility for the University of the Witwatersrand which was established in 1989. The Wits Rural Facility (WRF) emerged through various ideas of the staff to address the severe drought of 1992.

The nature, scope and programme interventions of these NGOs are presented as separate entities in the following sections of the report in order to illustrate their contribution in local governance and civil society.

4.2. THE NATURE AND SCOPE OF IDASA AND AWARD

The South Africa of the 1980's could be described as a highly polarized and violent society due to the socio-economic and political situations of the Apartheid regime. The emergence of IDASA in 1987 was marked with creating a space to break down stereotypes of the Apartheid system as expressed by primary and secondary data sources of the organization. Accordingly, the Institute for Democracy in South Africa commenced it's strive through educating the civil society and politicians across racial lines to critical dialogue and engage in transforming a democratic society and building democratic local governance in particular. Since then, IDASA has eventually increased its scope at local and national levels, and operating from offices in Pretoria and Cape Town with a growing presence in other African countries currently.

The organization strengthened its work with the establishment of a new training centre for democracy in 1992, and the politics of consolidation took place from 1993 to 1995. To complement this initiative IDASA also began new courses for emerging local government leaders, when the organisation was invited to train the first non-racial transitional local council in the city of Port Elizabeth (Boyte, *et al*, 2004:28-29). The goal of a training centre was to use non-formal and continuing education as strategy to foster and strengthen a culture of democracy in South Africa. Respectively, the senior and middle management of the institution believe that IDASA has been playing a vital role in democratic transition in South Africa and in the continent as presented in next section of the report.

However, the respondents also underlined the challenges that IDASA had encountered. The work of IDASA was sometimes inadequately associated to the historical interpretations with focus on the "miracles" of peaceful transition to majority rule. Graham (in Boyte, 2004:27-28), confirmed their concern as, "the coming of democracy wasn't a miracle. It was a lot of hard work."

The genesis of AWARD has been aligned with a vision of a multi-disciplinary rural facility for Wits University which was established in 1989. The organization's primary and secondary data sources associated the foundation of AWARD with Wits Rural Facility (WRF), which evolved through various ideas of the staff to address the severe drought of 1992. This condition in turn led to the establishment of village water projects in mid 1993, managed by Bruce Corbett from which AWARD has been shaped to suit the intriguing factors. Wits Rural Facility had launched a programme that integrated village projects in the Sand River Catchtment with the Water Information Programme by 1996, and AWARD was established as an independent section 21 company in 1998 (Cousins and Pollard, 2003:3).

The Sand River Catchment includes Bushbuckridge, where the majority of the people live. Bushbuckridge population constitutes two former homelands, namely Lebowa and Gazankulu, which were defined along ethnic lines. However, the boundaries between the two communities said to be arbitrary and disputable in terms of the demarcation of provincial boundaries. The catchment area community was destabilised, often dislocated two or three times under the Apartheid regime's grand plan (Cousins, *et al*, 2003:5). The catchment area is also characterised by wealthy landowners of the Sabi-Sand Nature Reserve, which demanded AWARD to emphasise on the rehabilitation projects rather than new initiatives in the past decade. (See Appendix C, AWARD Project Area Map).

4.3. VISION, MISSION AND PRINCIPLES OF THE ORGANISATIONS

The two organisations were founded with the following vision, mission and principles to contribute in building democratic society with due emphasis on promoting local democratic governance and providing basic services for needy and disadvantaged communities.

The Institute for Democracy in South Africa has a mission goal to promote a sustainable democracy in South Africa and elsewhere by building democratic institutions, educating citizens and advocating social justices (IDASA Strategy

Paper, 2004-2007). The staff of IDASA perceives the institution as an independent public interest organisation to support and promote democracy in South Africa and local democratic governance in particular.

The organisation also underlines democracy as the principle that informs the development of political institutions, norms and procedures. It has developed a Democracy Index in its current strategy paper as transcribed below:

- The extent to which people can control those who make decisions about public affairs, particularly elected representatives and government appointees at all levels;
- The extent to which people are equal to one another in this process.

The institutional practice of democracy as expressed by one of the IDASA's senior staff, "the institution emphasises not so much about the institutional and procedural norms which are in place, but rather the extent to which those institutional and procedural norms facilitate the ability of citizens to rule equally, or at least participate equally in the governance of the country."

Accordingly, the current driving organisational objective is building capacity for democracy with particular attention in local governments and civil society. The Institute for Democracy recognizes the need to focus on relevant critical competencies to achieve the primary objectives and to address the problems related to practice democracy as depicted below:

- **Enforcement and consent**: the competency of the state to enforce all laws, bylaws, and regulations; and the willingness and ability of people to comply with these matters.
- **Representation and Participation**: the ability of the state and government to represent the needs and interests of people through all statutory institutions. The willingness and ability of people to directly participate in the processes has also paramount importance.

- **Delivery and Demand**: the ability of the state to deliver social services and human rights. Demand is perceived as the willingness and ability of people to make demands based on the obligation defined by the nation's constitution and international norms and standards (IDASA, strategy paper, 2004-2007:7-8).

While representing the above three competencies, the institution attributes its understanding of the interface and connection of state and civil society, and the action required to impact on the whole system of democratic governance.

Accordingly, the vision and mission of AWARD were articulated as abiding values for the organisation and its key stakeholders, namely local governments, target communities, private sectors, funding agencies, etc. towards achieving the socio-economic and sustainable development goal and objectives as stated in the organization's strategy document:

Vision: The Sabie-Sand catchment will stand as a model of sustainable, environmental and economic development.

Mission: Develop and test new and appropriate ways of managing water to address issues of inequitable access to water in the Sand River Catchment.
(AWARD strategic plan, 2004 – 2007).

The organisation defines water security as availability of water resources (in terms of quantity, quality, reliability, access and control) to meet the service delivery demand of local governments and the catchment area community. In addition, AWARD has developed guiding principles for the organisation and key stakeholders (CBOs, local government, commercial and emerging farmers) to enhance its vision and mission goal.

The following key principles of the Save the Sand project intervention also corresponds to the mission goal of developmental local government:

- Rehabilitation and sustainability: working towards the goal of “some for all forever”. The long-term ability of the catchtment’s natural resources to support its people is being compromised by the critical situation with regard to water and land resources.
- Social upliftment: to redress the past homeland denial to access and services, by ensuring that all needs are taken into account in resource allocation and facilitating partnership between stakeholders.
- Economic growth: supporting low economic activities, small scale entrepreneurship and promoting ecotourism. Wise land and water resource management to optimise the potential for economic growth.
- Co-operative governance: the project management initiates and encourages join effort at all government spheres, namely local, provincial and national levels (*Save the Sand*, 2002, January 22).

Likewise, the existence of an enabling environment, like political and legal situations were described as the main concerns by respondents for the organization’s programme intervention and desired impacts. The respondents of both organizations also share a common view on issues which interface democratic local governance practices and the transformation process in the country. Limited skill and commitment of local government authorities and scarce resources were the major concern of the staff that need due intervention of NGOs’ sector. The high level of crime and violence, increasing unemployment, poverty, HIV/AIDS and the perceived inability of government to “get things right”, were also some of the main challenges for both the state and civil society as underpinned by the organisations’ respondents.

The following section of the research findings captures the roles and specific programme intervention of the organisations in building democratic governance and addressing the interdependent socio-economic problems.

4.4. THE ROLES OF IDASA AND AWARD IN LOCAL GOVERNANCE

This section of the research finding gives a detailed description of IDASA and AWARD in regard to their roles and relationships with local governance.

4.4.1. The Institute for Democracy in South Africa

During the historic emergence of IDASA all tiers of government were racially segregated and exclusive under the Apartheid constitutional dispensation. According to the primary and secondary data sources of the organization, local government was fragmented and authorities existed for the different racial groupings in the urban areas. There were virtually no formal structures of local government in the rural areas, although tribal authorities had legal status. The democratisation and transformation of local government was not the central concern of the national negotiation forum, rather the negotiations on local government were conducted primarily in the local government negotiating forum. The local government structures and advisory bodies such as the Council for the Co-ordination of Local Government Affairs were created in 1992 as a result of unrepresentativeness of the previous process (Moosa, in Graham, 1995:16).

Accordingly, the organisation perceives its emergence and growth as a combination of local demand, anecdotal need, consultation of concerned stakeholders, institutional and resource capabilities. The Institution confirms its commitment to promote sustainable democracy and to build the capacity of government and civic institutions. The following specific roles and programme interventions of IDASA were discovered from the research process:

i. Building Local Democratic Governance

IDASA perceives democratic governance as the quality and culture of citizen-government interaction. Its staff respondents also articulated democratic governance as a culture of accountability, transparency, responsiveness and permeability of government and civil society boundaries. Unlike many developing or emerging countries that have had a veneer of democracy, which cannot and will not continue indefinitely, IDASA strives to build sustainable democracy:

- Which is owned, promoted and defended by the citizens;
- Underpinned by democratic institutions with appropriate domestic capacity;
- That is financed by viable and ongoing stream of revenues.

It is also imperative that the sustainable democracy will be protected from external and potentially debilitating economic or military shocks (IDASA, Strategy Paper, 2004:3-4).

The interview respondents of the organisation appreciates the country's policy and legislation enacted to practice the constitutional provisions and principles of democracy, such as decentralization, accountability, transparency and citizens' participation, amongst others. The respondents underlined decentralisation as a core principle of democracy and stipulated as, "There are different forms of decentralisation in various socio-economic and political contexts. The appropriate decentralisation is the transfer of political, fiscal and administrative power to sub-national and local governments." They also describe the challenges of decentralisation, in terms of unclear delegation of powers and functions, lack of accountability, institutional incapacity and poor cooperative governance and intergovernmental relations that hindered the achievement of IDSAS' mission goal and enhancement of democratic principles.

Accountability and transparency of government to its constitutional provisions, policies and practices impact on citizens and this is another focus of IDASA's interventions. Assisting and monitoring the state performance with specific reference to local government against its commitment to democratic principles and quality service delivery should be seen as a fundamental step of CSOs in order to alleviate poverty and enhance equitable and sustainable development. The senior staff of IDASA attributed leadership and accountability as two important factors in the success of the new local councils. Accountability as expressed by Mfeketo (in Graham, 1995:27) is not necessarily meant as reporting back on the activities of the council; it is about

thorough consultative processes before the decisions are taken by the council.

Accordingly, one respondent from the local government centre had expressed about the new shift: *"*The Local Government Centre of IDASA had shifted its focus to integrate Municipal Support and Community Participation in the newly decentralised structure of the government. Building the capacity of local councillors, officials, and community leaders had become of paramount importance for democratic and accountable local governance, and quality service delivery."

The senior staff added, "Although IDASA has a network with 280 Municipalities, the current focus is on seven actively participating Municipalities.*"* Accordingly, the major activities have been assisting municipal policy development and strengthening effective developmental government systems, establishing municipal capable structures and information dissemination within Municipalities and provinces. For example, in 2003 the local government centre had developed seven crime prevention strategies for seven participating Municipalities of the North West, Mpumalanga, Northern Cape, Limpopo, Kwazulu-Natal, Estern Cape and Free State provinces. In addition, the training of community leaders, councillors and officials were conducted in Ekurhuleni and Tshwane Metropolitan Municipalities with the following key objectives:

- To build the capacity of community leaders, who are participating in the civil leadership, and the democratic governance programme;
- To engage councillors and officials in evaluation of community participation in their respective Metropolitans;
- To build relationships between community leaders, councillors and officials in the two Municipalities (IDASA, Annual Report, 2003:23).

Building Democratic Institutions: The primary respondents and secondary data sources of the organization well captured the importance of building

democratic institutions. According to the data sources, without democratic institutions which are deeply embedded in the society, its envisaged initiatives remain at the whim of personality, fashion or faction, whether the institutions were established by a constitution, individual government departments, or social constructs, such as co-operative governance, participatory democracy, and social crime prevention. They also attributed essential capacity of government as a generate public development that is to create and deliver public goods such as quality education, health care, safe water and clean environment that assists communities to uplift from their poverty situation. The existence of corresponding institutions, like courts, parliament, local government, and healthy civil society organisations, including a free, independent and responsible press were highly emphasised institutions by respondents for the transformation of democratic society in South Africa.

Respectively, the local government centre has a strategic direction to establish a platform for policy makers and implementers in order to enhance the participation of civil society in democratic local governance process. The organization also refers to the constitutional mandate for municipalities to establish participatory governance. With this regard, Chapter 4 of the Municipal System Act, No. 32 of 2000, states a municipality entitlement to develop a culture of community participation and section 16 makes provision for a municipality to develop a culture of municipal governance that complements formal representative government within a system of participatory government.

The establishment of the Greater Tzaneen Municipality Cluster Forum, could be mentioned as an example of IDASA's initiative to demonstrate the aforementioned constitutional provision in line with building local democratic governance and civil society. The Forum consists of four clusters, namely Bulamahlo, Lesedi, Rannymede and Relela. The structure of the cluster forum incorporates representatives from CSOs, Ward committees, and Council Functionaries. The representation of socio-economically and geographically marginalised segments of the society (women, youth, disabled, rural and isolated areas) had drawn due attention of the forum's foundation.

The purpose of the stakeholders Cluster Forum had been stated as:

- To strengthen the Ward participatory system and ensure community participation in municipal operations;
- To ensure effective communication between government institutions and civil societies;
- To co-ordinate activities, which represent the needs, interests and inputs of stakeholders in each cluster,
- To serve as a loose network and a platform for leadership development, consultation and engagement between CSOs and Local Government Structures (IDASA, Guide Line for Cluster Forum, 2004:1-2).

The draft guideline paper also depicts the structure, role and responsibilities of each cluster and a platform leadership. Although the establishment of cluster the forum was regarded as to promote participatory governance, the legal acceptance, availability of basic resources, members' commitment and accountability remains an outstanding issue.

The support of local government structures and capable institutional arrangements are of vital importance for NGOs intervention. In this regard, one of the local government officials from the Highlands Local Council underlined the complementary vision and roles of IDASA with developmental local government. He stated:

> "The local government's vision is to enhance democracy and development. Accordingly, IDP is a holistic and collaborative approach to provide equitable social services and to promote an integrated local development projects. The local government is also structured to create co-operative governance with NGOs at local, provincial and national levels to attain this goal."

This indicates the awareness of local government officials to IDASA's mission, mandate and roles in their respective areas and interest to work together for the better life of the people.

Nevertheless, the community development facilitators argue the respondent's expression in practice, due to the limited participation of local government authorities in IDASA initiated project implementation, like REFLECT which is discussed under the sub-heading of Citizens' Participation and Community Empowerment of this report.

In addition, the local government bodies expressed their limited capacity, in terms of technical expertise, revenue, and private-government sectors' intervention. Most of the local community representatives and social workers described the importance of IDASA's and other NGOs intervention to empower local communities in order to enhance their participation, resource mobilisation and project ownership.

Service Delivery: The involvement and monitoring of the IDP process and implementation is the major focus in service delivery amongst other things as underlined by the respondents. IDASA perceives the responsibility of government, as duty bearer, to respond to citizens' demand for basic services and socio-economic justice. According to Everatt, 18-24 Million people or 45-55% of South African, live in poverty conditions (Everatt, in Boyte, 2004:13). IDASA also expresses its commitment to support and advocate for the social and economic rights of the people as stated in Chapter two of the South African Constitutional Bill of Rights. The Institution has stated some of the basic rights of the people in one of its training manuals, "Striving for Socio-Economic Rights", as stated below:

- **Socio-economic Rights**: Expressed as the rights related to property, freedom of trade and profession. Right of land, employment and income may also be considered as citizens entitlement, rather than their privilege;

- **Housing**: IDASA believes that the state must make laws that ensure the provision of adequate houses and funds. No one may also be evicted from their home, or have their home demolished, with-out an order of the Court. No legislation may permit arbitrary eviction;
- **Health Care, Food, Water and Social Security**: All citizens of South Africa have a right to access the essential elements of the specified services, including child grants, old-age pensions and disability grants. The state must make laws to achieve progressive realisation of these rights;
- **Education**: Every-one has a right for both formal and non-formal education, in the official language of their choice. Accordingly, everyone has a right to establish and maintain, at their own expenses, independent schools, without under estimating the national standards of education and schools may not discriminate on racial bases;
- **Environment:** The environment must be protected for the benefit of the present and the future generations. Pollution and damage to the environment must be prevented and conservation must be promoted.

In this regard, IDASA prepared a "Development Rating Chart" to measure the IDP implementation process and performance of the local government periodically. The rating ranges from 1 to 10, where the lowest and highest numbers indicated poor performance and quality performance respectively.

Table 1. Service Delivery Planning and Performance Rating Chart.

Development and Performance Rating	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**
Upgrading and maintaining of roads										
Clinics										
Support service for building houses										
Local government calling meeting to consult about										

development with the community										
Community sense of involvement in decision-making										
Councillor meeting with community to hear their needs										
Water for homes										
Recreational facilities										
Electrification										

(Adopted from Training Manual for Democracy Educators)

The organisation's senior respondents had also emphasized the need to promote the role of NGOs in relation to capacity building, performance monitoring, action research and policy advocacy, rather than focusing on the placement of small projects within the communities. Although they supplement the essentiality of service delivery, it should be geared towards poverty alleviation, equitable and sustainable development.

ii. Citizens Participation and Community Empowerment

The Institute for Democracy believes in the participation of citizens and their empowerment as guardian for sustainable democracy. The citizen and community empowerment programme of IDASA was established on July 1, 2003. The mission of the programme is to empower communities and citizens to improve the conditions of their lives through effective engagement in social and political process at local and national levels. The corresponding objectives of the programme are:

- To create problem solving citizens, who can actively participate, contribute and advocate towards democracy building;
- To establish productive and accountable interactions and partnership between citizens and government at all levels;

- To build a constructive dialogue across divided communities, in order to create space for democratic way;
- To interpret, consolidate and disseminate knowledge about citizens and community empowerment (IDASA, Annual Report, 2003:15).

The respondents of this research also expressed the various activities of the centre to attain the above objectives. Gender mainstreaming, capacity building, establishment of cluster forum and community education circles was some of the main activities for the centre's engagement.

The gender programme intervention has been envisioned towards citizens' equal participation and fostering democratic local governace, which was practised through developing training manuals for democracy education. Women's rights and opinions were taken as serious as men's opinions under meaningful democratic culture and practices at all spheres of governments. Nonetheless, the women's empowerment process has been inversely affected by a lack of an enabling local environment, that exacerbated power imbalance (IDASA, Gender and Democracy Training manual, 2000: ii).

Capacitating Traditional Leaders have been part of the IDASA's local democracy building process in South Africa. The organisation perceives the potential of indigenous knowledge and practices to build sustainable democracy. The senior staff of IDASA emphasised the organisation's commitment to educating and capacitating the traditional leaders in order to engage them in critical analysis and participation for good local governance and better service delivery.

IDASA has also adopted an innovative citizen's education and community empowerment approach in order to promote democratic local governance. Regenerated Freirean Literacy through Empowering Community Techniques (REFLECT) has been used as an approach to attain the above objectives through effective communication, community empowerment, participatory learning and action. As described by Archer and Newman (2003), the

REFLECT approach aims to improve the meaning of participation of people on decisions that affect their lives, through strengthening their ability to communicate. It is also considered as an ideological approach to literacy, gender and power analysis at household, community and local levels, with due concern of the national as well as global influences.

The REFLECT project currently operates in the HighLands Local Council of Mpumalanga province. The overall project goal is stated as to build community capacity for participation in the affairs of local government and in other governance issues. The main activities underlined in the project document are:

- Facilitators capacity building and material supply;
- Building healthy relationships between local council and CSOs,
- Developing an IDP monitoring system;
- Promoting effective communication and common understanding for networking and joint project implementation,
- Documenting and disseminating case studies and effective learning.

  (Saint, 2004:1-4).

According to the project coordinator's report of 2004, the REFLECT forum participants had engaged around the issues of HIV/AIDS, poor governance and in adequate service delivery, such as unsafe water supply, child abuse, social insecurity, poor housing and electrification, inaccessible health and education services, and environment pollution. The REFLECT forum or circles are managed by community representatives, who are responsible for community mobilisation, action plan implementation and fund-raising.

However, the REFLECT circle facilitators expressed their concern about the reluctance of the local council to provide meaningful support for action plan implementation. They added that in some instances the local government bodies were not engaging in community issues and perceived the circles' initiatives as a threat against their power. "They articulate positively to IDASA

officials about the REFLECT and other capacity building interventions' contribution for community empowerment and IDP implementation; but they have been non-supportive and distancing themselves from community forums due to unsolved community demands and in fear of community complaints."

In general, as mentioned by IDASA's senior and middle level staff respondents, the organisation has been involved in education and capacity building of 20 to 30 CBOs to-date. Accordingly, citizens could participate and make their voice heard, as voters, consumer of services, member of an interest or stakeholders' groups, traditional authorities, and through participatory structures (IDASA, Active Citizenship, 2000:ii). Citizen's empowerment and their participation in local governance are also practiced through a budget and information service as presented in the following section.

iii. Budget and Information Service

Local governments had been constrained with incapacity to interpret the voluminous budget documents and to provide quality service delivery in their respective administrative areas. Inadequate budget allocation, prioritisation and lack of "zero based budgeting", which describes the budget balance to zero every year and justify how to spend the money from the concerned sector budget are some of the major challenges for local government (Solomon, in Graham, *et al*, 1995:48).

The Institute for Democracy merged the provincial fiscal analysis project and local government finance project towards the end of 2003, to tackle the aforementioned challenges. This Sector Budget Analysis (SBA) unit aims to build the capacity of NGOs, CSOs, and legislature and government departments to participate meaningfully in budget related decision-making (IDASA, Annual Report, 2003:9. The institution had for example conducted a capacity building training for provincial and National CSOs' representatives in 2003. As was described by organisational respondents the sector budget analysis would also contribute to poverty alleviation through monitoring, and

assessing the policy framework, resourcing practices, and performance of service sectors. The sector budget analysis has also emphasised on the government budget allocation and utility for women's empowerment, disadvantaged children, HIV/AIDS and political parties' funding.

The budget information service activity was driven by IDASA's commitment to monitor government's pro-poor social spending patterns, as mirrored in the local, provincial and national budget allocation year by year and over three years medium-term budget frameworks (IDASA, Annual Report, 2003:12).

iv. Governance and HIV/AIDS programme

Healthy citizens and strong institutions are a prerequisite for active participation in political, economic and social processes. The Institutions asserted its engagement in the HIV/AIDS pandemic issues to investigate the implication of HIV/AIDS and to assist the government and CSOs to develop sound strategies in order to address the issues. Action research and disseminating the outcomes, media communication, capacity building and coordinating HIV/AIDS programmes were the main activities of IDASA at local, national and continental levels.

v. Political Information and Monitoring

Advocating for equity and social justice had been IDASA's commitment, not only because it is the right thing to do, but flagrant inequality undermines any democracy. IDASA also believes that advocating for social justice requires more than merely building capacity in civil society and government, and embedding democratic institutions; it is considered as a watch-dog to lookout for the dangers which could "sink the ships" of the state as it moves forward (IDASA, Strategy Paper, 2004:4).

This philosophy also contrasts with those who see politics as a zero-sum struggle of oppressed against oppressors. "You can't exclude this group or that group because they are bad. You can't legitimise them away. The people

who are excluded will come back to act like a social problem, you expect them to be" (Graham, in Boyte, 2004:12).

A fully functioning democracy allows people to have a say in the political decision-making process that affect them. One way of doing this is by voting. Another way is to shape or influence government policy. Citizens who are involved in trying to influence policy and programmes are involved in advocacy and lobbying (IDASA, Advocacy Training Manual, 2000: ii).

vi. Right to Know

The Right to Know project is a campaign for the public to disclose the funding sources of political parties. The legislation which IDASA asserts aroused from the constitutional right of the public to the right of information and the refusal of political parties to disclose their donors. This could also be part of a new international advocacy campaign on "Global Transparency Initiative", in which IDASA act as secretariat and is concerned with deepening democracy by promoting accountability and transparency in the international financial institutions.

The organisation estimated the expenditure of political parties between R300-500 million during the election period of 2004. Public funding was estimated approximately R66 million for 2003-2004, and private donations were clearly required in the situation (IDASA, Annual report, 2003:32-33). The respondents also underlined the allegation of political party officials and parliament members which are now in the court proceedings.

In this regard, IDASA's budget information advocacy was to promote the practice of democratic principles and to hold the concerned political parties accountable to the public. It believes in democratic local governance citizens have a right to know about the budget allocation systems of private companies and public for political parties in order to ensure that the election process and the political elites are free of corruption.

vii. Public Opinion Service

The IDASA's public opinion service is part of a continent-wide project conducted under the auspices of the afrobarometer project. The aim of the project is to train and build research capacity of representatives from civil society. It is perceived as an independent, non-partisan research project conducted by IDASA, the Centre for Democratic Development (CDD-Ghana), and Michigan State University (MSU) and is implemented through a network of national research partners (IDASA, Annual Report, et al, 2003:36-38). The public opinion service has also been envisioned to draw lessons and joint actions for participatory democracy and to promote democratic local governance in particular.

viii. All Media Service

The All Media Service programme has been tasked for ensuring that the research and activities undertaken at IDASA reached a wider audience with due attention to local communities. This programme focused on the three main areas, such as IDASA publishing, Democracy Radio and E-Communication. IDASA along with other NGOs are utilising new technologies to deepen democracy through providing information, education and training at local, provincial and national levels. The Democracy Radio project emphasizes on building community radio stations and training local institutions since 1998. The unit also works with national and continental Radio forums on topics such as the Institute for Justice and Reconciliation, You and Your Money, the HIV/AIDS vaccine action campaign and human rights (IDASA, Annual report, 2003:5-6).

In addition, the Democracy Radio undertook the production of six audio-programmes for the Hologram project, which was intended to promote horizontal learning and sharing amongst the local government sectors. The Media unit had been publishing books, papers and news-papers, including school children's history textbooks for grade 4-6 levels.

ix. Networking and Alliance Building

The Institute for Democracy asserts the necessity of networking and alliance building to enhance the role of CSOs for democratic governance and sustainable democracy at local, provincial and national levels. It believes democracy is a common struggle and needs solidarity and support within the country, region and all over the world. The organisation had extended its network with 280 local governments in the country, while promoting its democracy and good governance in more than 10 African countries (in Central Great Lakes, East Africa and West Africa), and connecting Europe and USA. For example: Peace Building and Conflict Management, and the Southern Africa Migration Project were some of networking programmes. In Nigeria a Peace Building and Conflict Resolution office was opened in September 2002, to facilitate the conflict resolution capacity of local institutions, as described in IDASA's Annual Report (2003:43).

The SADC migration project had been another network for joint management of migration, which affected the socio-economic and political environment at local, national and regional levels. South Africa becomes a destination for skilled workers, which fills the skilled human resource gap left by "brain drainers". Jonathan Crush (Queen's University: 1997) noted a raise in SADC visitors to South Africa from less than 500, 000 per year between 1980 and 1990, to over 2.5 million in 1993 and more than 3 million in 1995 (IDASA, Annual Report, 2003:41). Nevertheless, some scholars argue that the political transformation in South Africa had made very little differences, either to safe guard or effective use of migrant skills in order to contribute in bridging the skilled human resource gaps within the country and at local level in particular. In addition, Mattes, Crush and Richmond (2000, in Annual Report, 2003:41), suggested that South Africa had so far been unable to harness the potential benefits of immigration to make a transition from "brain drain" to "brain gain". Further, the above sampled survey out comes depicted that amongst the post 1991 arrivals almost 70% hold University degrees, and 60% held postgraduate qualifications.

The senior staff of IDASA had also expressed their concern about issues of "brain drain" and miss-management of the skilled human resource from abroad, while the country is constrained with skilled human capital, for quality and effective local service delivery in particular. They also added that South Africa should abide with its Constitutional Bill of Rights and International Human Right Conventions. The Institutional senior staff also asserted their belief in the potential role of IDASA's initiative in promoting a democratic local governance approach within the African Union and the New Partnership for African Development (NEPAD).

x. Organisational Structure and Management

Despite the arguments against democratic governance, some NGOs' management structure and internal governance may not be conducive for healthy partnership with local government and other stakeholders in order enhance their mission goal. In this regard, the management of IDASA had asserted their concern about some NGOs and donor situations, which had been characterised with limited internal democracy and patriarchal relationships that impedes the anticipated role of NGOs in local governance. They underpinned the principles of democratic governance, like equality, empowerment and power sharing should be enforced in the way NGOs are preaching to government organisations.

IDASA had designed a three year equity plan and assigned the steering committee amongst its staff to facilitate and monitor employment equity policy. According to the annual report document of 2003, 77% of the overall staff was black and 55% of the staff was female at the end of the stated fiscal year. There was a demonstrated staff promotion from housekeeping and administrative staff.

Training and skill development are other areas of IDASA's focus. The Institution produced a skills development policy and invested, more than R70, 000 in 2003. The staff training scheme benefited Black Males (24%), White Males (12%), Black Females (56%), and White Females (8%) in the

aforementioned fiscal year. However, it had also reported that the target of equity policy did not achieve its projection, due to limited staff turnover.

The meaningful budget allocation and transparency coupled with efficient and effective utility was contributed for the organisational growth and positive profile, which the interview respondents proudly underlined. The total revenue of IDASA was increased by 54.54% in 2003, when compared to 2002. The IT service and a promising cash flow within the organization and its partners ensured the sustainability of the aforementioned programme interventions, donors' confidence and funding security. Accordingly, the organisation had designed a meaningful budget allocation and utility monitoring system. For example: the following chart indicated the annual financial statement which was approved by the board for 2003:

Table 2. IDASA programme expenditure budget, 2003.

S.no.	Programme budget	Amount in Rand	Amount in %
1	Education for Democracy	16, 829, 505.38	33.32
2	Budget Information Services	10, 033, 445.80	19.86
3	Local Government	7, 279, 169.52	14.41
4	Parliamentary Monitoring	6, 512, 595.54	12.89
5	All Media Group	3, 652, 512.37	7.23
6	Opinion Survey	2, 839, 381.50	5.62
7	Community Policy	1,174, 275.35	2.32
8	Governance and HIV/AIDS	1, 226, 369.84	2
9	Migration Programme	968, 898.70	1.92

(Adopted from IDASA, Annual Report, 2003:47)

In summary, the organisation had allocated a total budget of R50,516,154.00 (88%) for the programme, and R6,720,773.00 (12%) for operation or overhead costs in the above stated fiscal year. This budget analysis and dissemination indicates the organization's contribution and transparency in promoting democratic governance within the organisation and key stakeholders, namely local governments and civil society organisations in

South Africa and abroad. Likewise, the following section of the research findings underpins the legitimacy, relationships and programme activities of AWARD in regard to democratic local governance.

4.4.2. The Functions and Contributions of AWARD in Local Governance

The Association for Water and Rural Development interventions focuses on community development, which also integrates basic service delivery, institutional capacity building and policy advocacy. In this regard, the mandate and political space for NGOs' function (AWARD in this case) has been a crucial point often argued between the local government authorities and NGO leaders. The interviewees of AWARD associate their mandate and accountability with target communities' human right to life, while recognising the importance of registration within the national constitution Acts. In this regard, the author of this research has observed that the Association for Water and Rural Development was incorporated under section 21, registration number 98/03011/08. Many of AWARD's senior staff and the organization's strategic plan and annual report documents confirmed the organisation's stand to commit and contribute to government endeavours in implementing its National Water Act and the Water Service Act of 1998. In addition, one of the local government officials expressed the interest and commitment of concerned government structures to collaborate in NGOs' projects including AWARD. The respondent also expressed his awareness of AWARD's mission and water project activities and its impact on the community.

However, the respondent underlined the local government's legislative provisions, structural arrangements and accountability for corporate governance and social service delivery, while NGOs' mandate and accountability are not clear. As he noted, "Non-governmental organisations are committed to their small projects and funding agencies rather than working with local government structures, and that has been an obstacle for trust building, project implementation processes and sustainability. Non governmental organisations, including AWARD, have limitations to explore the

government structures and socio-economic policy environment. For example, IDP is an appropriate framework for joint planning and implementation of project activities with NGOs and CBOs." Further he mentioned that AWARD's past decade project fund of around R30 million, that could have impacted more significantly, if the organisation had intervened through government structures. In this regard, the respondent advices AWARD, as NGOs' family to improve the aforementioned backlogs of project intervention processes.

On the contrary, the AWARD staff commented on their mandate and continuous endeavour to work with the local government. They noted AWARD's mandate in the line with legal registration and the target community's acceptance of the vision, mission, and principles of the organisation. They engage in IDP and Community Development Forums (CDFs) for networking. The specific project activities and its results are monitored with concerned stakeholders. Nevertheless, they underlined a limited commitment and de-motivation of local government authorities to undertake joint project planning, management and monitoring processes, as discussed in the following section.

i. Programme Interventions

The main reason for exploring AWARD's programmatic intervention was to identify the extent of its engagement and impact on local governance, rather than the investigation of detailed activities. The programme intervention area of AWARD covers the Sand River Catchment, which falls within the Sabie River area. The Catchment is also part of the larger Inkomati system, an international drainage basin that stretches across South Africa, Swaziland and Mozambique. The area of the Sand River catchment is 1910 km2 (27%) of the total Sabie-River Catchment. The central region of the catchment embraces the high density rural and peri-urban areas known as the Bushbuckridge district, which also composes the former "homeland" areas of Mhala and Mapulaneng (Save *the Sand*, 2002). In addition, the interview respondents estimated the Sand River Catchment population around 400,000 and a half of

the population comprises of the age group less than 15 years. Accordingly, the organisational has developed consecutive programme strategies and management structures to achieve its mission goal in collaboration with target communities and local government.

In this regard, AWARD focuses on the water security problem in the Sand River Catchment area. The major causes of this situation are depicted in the current strategy paper of the organization as:

- Inadequate awareness campaign;
- Poor understanding and operationalisation of new water policy and legislation in the Sand River catchment;
- Insufficient skills and competencies within CBOs and local governments to manage and sustain the catchment projects.

The three years strategic plan of the organisation was also developed to address the above problems and to integrate water resource management and sustainable livelihoods approaches. The new strategy paper states the following core objectives to be pursued:

- Conducting joint research with government and CSOs to improve the understanding of the systems, plans and ideas that impact on water security,
- Develop and test new conceptual frameworks and approaches,
- Capacity building: Training of CBOs, local government and project staff to build conceptual capacity, designing learning process, institutional and material development
- Facilitating coordination and linkages between local government and community institutions for holistic and integrated approaches,
- Monitoring the planning and implementation process of the current Water Resources Management Act.

These strategic objectives are supplemented by specific project activities as articulated by senior and field staff within the organization and triangulated with secondary data. As it was mentioned by the interviewees and captured in AWARD's annual performance report for 2002/03, the programmatic or project based approaches are classified into Community Water Management and Water Resource Security Units:

:

The Community Water Management Unit: The unit functions with the responsibility to develop integrated and coordinated planning of community projects in the line with IDP. AWARD's earlier project interventions were highly focused on service delivery, such as the construction of rain water catchment dams, boreholes and electrification of water supply systems, education, health and sanitation, etc. activities. In addition, water infrastructure improvement, pipe line installation, renovation and up-grading of water lines and containers for schools, crèches, gardening and women bakeries were some of the main service delivery activities.

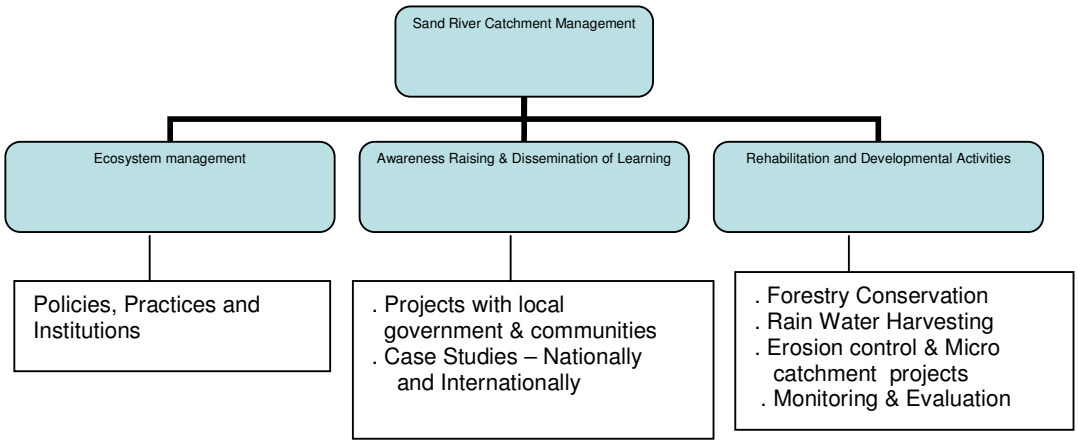
With the organisation's strategic shift to the community water management schemes, the unit currently emphasises a facilitation role for alternative and more participatory approaches with CBOs and local government in the areas of joint project planning and management, awareness raising, rain water harvesting, capacity building, monitoring and evaluation. For example, rain water harvesting tanks were built in two schools with training of four people to construct and manage rain water storage tanks in 2002/03. In regard to project prioritisation, need assessment was conducted for a capacity building intervention in 67 CBOs of Bohlabela District Municipality. The pilot study was launched in five CBOs with the training of six field workers from the community in the same year.

The Water Resource Security Unit: This unit implements national pilot projects with CBOs and local government in ecosystem management, water source rehabilitation, participatory research and policy advocacy. The ecosystem management project operates in the line with the new Water Services Act (1997) and National Water Resource Management Act (1998),

which has been dealing with the establishment of a Catchtment Management Agency for the Inkomati Water Management area. The local government is also involved in defining and operationalising the reserve and joint utility of the water resource. The rehabilitation activities focus on Blyde Park and Wetlands within the Sand River Catchment.

In general, the Sand River Catchment's integrated project approach embraces ecosystem management, rehabilitation, awareness raising and developmental activities. The structure of the Integrated Sand River Catchment Management has incorporated the local government development sectors as part of effective IDP implementation.

Table 3. Integrated Sand River Catchment Project Management Structure



(Adapted from AWARD's 10 years Review paper, 2003)

The Integrated Management of Water Resource and capacity building approaches were also demonstrated in participatory research, information dissemination, training manual and education curriculum development for community, local government and school utilisation. The Saving the Sand Series, namely Activities Sourcebook for Senior Phase and Background Information for Teachers are some of the materials developed by the organisation (AWARD, Save the Sand Project, 2002).

Currently, the Natural Resources Institute and Care SA-Lesotho are the main technical and financial supporters to operationalize these project strategies. Care SA-Lesotho provides technical support in the areas of capacity building and integrated development planning with community based water committees, local government and private sector and AWARD staff. HIVAIDS Mainstreaming and sustainable livelihoods approaches are other programme initiatives to promote the capacity of local government and community empowerment.

ii. Human and Financial Resources

The organisation has existed through enabling and impeding human and financial resource circumstances since its inception. The interview respondents emphasised the multiplicity and varying interests of CBOs, local government authorities and donors. The donors have been interested to donate their funds for tangible projects rather than long term strategic project interventions. Accordingly, the National Water Resource Management Act depicted the NGOs' access to government funds in order to implement community projects. However, the bureaucratic requirements and procedures, such as the legislation and premium accounts of NGOs have been bottlenecks to get project funds from the concerned public sector. This procedure is also said to be too technical for local water committees' engagement to benefit from government fund.

Amongst, various short-term project funders in the past decade, the Natural Resources Institute and Care SA-Lesotho are the main donors by the time when research commenced. In addition, participatory research project fund have been raised for 3 years strategic planning by WRC in collaboration with Rhodes University. In spite of the above constraints AWARD seeks strategic options to reduce recurrent cost and work with the public, private and local government to mobilise the potential human, financial and material resources. Internally, the organisation made a strategic shift to more participatory action research, capacity building and policy advocacy, rather than specific project activities. Currently, the organisation is managed by the staff of one part-time

director, two full time, two contract and one volunteer member. Nevertheless, the organisational respondents have underpinned their concerns about skilled personnel shortage, donors' and government's reluctance to raise adequate funds, and community projects discontinuity after the phase-out.

4.5. THE MAIN CHALLENGES OF THE ORGANISATIONS TOWARDS DEMOCRATIC LOCAL GOVERNANCE

4.5.1. The Institute for Democracy in South Africa

As IDASA has worked with the history of rich internal and external tapestry, it had also encountered the challenges of transforming democratic society in South Africa. According to the interview respondents, the democratic principles such as good governance, decentralisation, participation, autonomy and freedom without capacity, clear delegation of power and functions had created confusion and mismanagement by local authorities.

This divergence of democracy perspectives and practices by different partners had constrained reciprocal partnership with local governments. In some instances, government was suspicious of IDASA's research and advocacy initiatives, while others were associating the organizational leadership as remnants of white political elites.

The active participation of local people and their traditional leaders were constrained by limited awareness, inequality, illiteracy, mistrust and poor government-citizens relationship. Traditional leaders have had a significant role in respective communities, although their socio-economic roles became insignificant due to limited skills to advocate and influence government policies. The respondents also underpinned the varying participation levels in township and rural communities. "The awareness and demand of urban residents were observed to be higher than the rural people due to the NGOs' concentration and education in urban areas" *(*one of IDASA's senior staff*).* The attitudinal challenges of poor people were also expressed as the interest for immediate need rather than long-term project impacts.

Poor service delivery and inadequate institutional arrangements of local government structures had been other bottlenecks for incremental and equitable budget allocation and utility. Gender mainstreaming and budget inadequacy was often associated with resource limitation, local governments' incapacity and misuse of meagre resources that affected the objectives of poverty alleviation, equitable and sustainable development. Unemployment, the HIV/AIDS pandemic, crime and socio-economic insecurity of the citizens had exacerbated the prevailing micro-macro interventions of the organization to impact on democratic governance and the achievements of the principles of democracy in local governance in particular.

Although the national government had deliverable and interdependent policies to all three spheres of government; its implementation process was constrained by a lack of sound integrated approach to draw CSOs and government sectors' collaboration. The local community facilitators' expression confirms the above statement. "The local authorities distance themselves and become far reached after elections. They were not interested to engage and facilitate CSOs' concerns and their initiatives." Mistrust and wrong perceptions against NGOs' independence had also impeded joint efforts. Some of the local Municipal authorities were in fear of IDASA and similar organisations, because they consider them as activist and counter agitators against government. There was a limited integrated project planning process with CSOs and local government sectors.

Accountability and transparency were other issues of concern within the stakeholders for joint planning and implementation of the projects. Most project planning and monitoring tools of NGOs and government sectors had been overlapping, competitive, and confusing development agents as well as the participants. There is a specific need to jointly redefine the project designing and implementation methods and tools, like REFLECT and Sustainable Livelihood Approaches (SLA).

The poor performance and resource scarcity of the existing community forums, such as Ward Committees and Community Development and Policy Forums etc. were other challenges in the process of democratising local governance, capacity building, resource mobilization and project ownership. There is a need for viable resource allocation and reassignment of committed local expertise to enhance IDP objectives and long term socio-economic development of the country.

Staff employment equity, training and capacity building had been the major focus of IDASA. However, there were no strategically established impact measurement and knowledge management systems. Accordingly, the impact of training and capacity building interventions for the local government authorities and CSOs are poorly managed to develop the desired and committed leadership. Therefore, the training need assessment, staff motivation and performance management systems shall be thoroughly explored and designed ahead of training interventions.

Some donor agencies need immediate and tangible results of the project interventions. Nevertheless, some of the donor agencies are said to be reluctant to learn the values and indigenous knowledge of the donated countries as well as the prevailing socio-economic and political contexts at local, national and global levels. Their limited interest in long-term project interventions and human capital development had also hindered the NGO's local initiatives to do action research, institutional development and capacity building, policy advocacy and influencing.

4.5.2. Association for Water and Rural Development

AWARD is another NGO in South Africa which evolved through the prevailing socio-economic and political circumstances. The historical isolation, socio-economic inequality and poor rural infrastructure of the Bushbuckridge area, where the organisation operates have been the major challenges for the achievements of the organizational vision, mission and strategic objectives.

Inadequate awareness of non-renewal natural resources, poor understanding and operationalisation of a new water policy and legislation, insufficient skills and institutional incapacities of the key stakeholders were serious concerns of the interview respondents. Even though there is an organisational and local stakeholders' attempt to implement essential policies and programme strategies, the interest multiplicity, material and human resources scarcity and limited commitment had exacerbated the magnitude of challenges. The following statement of Cousins (*et al*, 2003:9) supplements the above challenging situation of the organisation. "The Sabie-Sand river catchment is not only impoverished and degraded socially, economically and environmentally, with the exception of the wealthy landowners of the Sabi-Sand Wildtuin, but it is also fractured institutionally and politically." Accordingly, the water security problem in the Sand River Catchment area is compromised by depleted land and water resources mismanagement with the community, private and public sectors.

In addition, the respondents noted their concerns on the extent and magnitude of challenges were also related to a lack of integrated natural resource management, including water, forestry and land. Integrating socio-economic, political and natural resource management have vital importance for tackling the aforementioned challenges, and to attain public participation, ownership and sustainability of the project initiatives.

The IDP initiatives said to be impeded by interest diversity and limited commitment by local government authorities. Project duplication, misuse of meagre resources and lack of co-ordinated community resource mobilisation were other areas of concern for the respondents. AWARD and CBOs were unable to access water sector funds from the department due to its bureaucratic requirements. The multiplicity of donor interests and un-sustainability of their funds have been hindering the project up-scaling and long-term interventions.

The participants of the interview process had also underlined the issues of frequent staff turn-over due to the remoteness of the working environment.

The training and capacity building schemes of CBOs and local government were also hindered by a lack of adequate technical, financial and material support from local government to practice the acquired skills. As mentioned by one senior staff member of the organisation "The local government authorities and experts start to search for better jobs after gaining different skills through the organisation's training programmes rather than practicing new skills and assisting local communities." The respondents also underlined the negative implications of such practices on NGOs' intervention unless the concerned government sectors design staff retention and accountability systems.

4.6. CONCLUSION

The findings chapter has presented the genesis, vision and principles of IDASA and AWARD in regard to their role in promoting democratic local governance and service delivery within South Africa and in the continent. According to the primary and secondary data sources of the organisations, the integrated and holistic programme interventions in the line with the thematic research issues, namely democratising local governance, quality service delivery, institutional development and capacity building, policy research and advocacy have had paramount importance in signifying the organisations' contribution and profile.

Nevertheless, the ever scaling poverty situation, HIV/AIDS and social inequality had been exacerbated by poor policy practices, under capacitated institutions and resource limitations. Lack of reciprocal partnership, irresponsive local governance and inability of local communities to own and sustain the project initiatives have been considered as major hindrances for the role of IDASA and AWARD in local governance. Accordingly, these research findings are analysed and synthesised in the following chapter.

CHAPTER 5: DATA ANALYSIS AND SYNTHESIS

5.1. INTRODUCTION

The state is no longer the sole actor in determining which direction society should take. These changes have intense implications for the government-civil society understanding, relationship and the potential role civil society organisations can play in governance and particularly local governance as noted by Mbogori (*et al*, 1999: 109-110) in the introductory chapter of this report.

The following data analysis section had drawn meaning and synthesised the research findings with regard to the role and strategies of IDASA and AWARD in responding to the main and thematic research questions and recommending future directions. It had also analysed and presented the genesis, context of operation and functions of the two organisations. Their specific programme interventions, funding sources and managements structures are also analysed from the data findings. The data analysis chapter also captures the major contribution of these NGOs on their target communities and local government in particular. The challenges are presented to draw and recommend potential future directions in order to strengthen and enhance the envisaged role of NGOs in local governance.

5.2. NATURE AND CHARACTERISTICS OF THE ORGANISATIONS

The Institute for Democracy was founded during a highly segregated and intense situation of the Apartheid regime. It was marked with creating a space to breakdown the stereotypes of Apartheid. As to the research findings, the organisation educated the civil society and politicians across the racial lines in order to engage them in critical dialogue for democracy and good governance, with particular emphasis on local democratic governance, since its foundation in 1987.

Accordingly, AWARD was established to respond to the severe drought of 1992. It was aimed at rehabilitating and developing geographically isolated and socio-economically marginalised communities of the Sand River Catchment in Bushbuckridge district of Limpopo province. As it was described in the research findings, the area was frequently destabilised by the Apartheid regime and isolated from sound government interventions.

In this regard, both NGOs' foundation may be expressed as society need-based and voluntary initiatives to address the prevailing socio-natural problems at local and national levels. The roles and functions of the targeted NGOs could be described as developmental and or advocacy oriented civil institutions in line with World Bank criteria, as mentioned in the literature review chapter. The foundation and scope of operation for both NGOs range from the national and local offices in Pretoria, Cape Town and Wits Rural Facility. They are legally registered and funded by overseas donors ranging from multi-lateral government aid to International NGOs and research institutions.

The vision, mission and operational principles of these NGOs had common denominators. Both NGOs described the quality delivery of social well-being and sustainable democracy for equitable and improved lives of the society, the poor and marginalised in particular. Respectively, one can observe the complementary government-NGOs' mission goal, values and principles that could have further strengthened the socio-economic and political transformation of the South African society, if both sectors were dedicated for people-centred democracy, equitable and sustainable development.

The organisations were seriously concerned for participatory democracy with equitable resource allocation and capacity building of civil society, rather than mere representative democracy which reaches the citizens for parliamentary and local council elections as Naidoo (*et al,* 2003) stated. Nevertheless, there may have been limited understanding, mistrust and a lack of accountability and commitment by local government authorities for democratic principles and collaborative programme interventions. As stated in the previous chapter,

some of the local government officials had also been suspicious of the role, mandate and capacity of NGOs to impact on poverty alleviation, and enhance sustainable development. The following section of the report analyses the roles and functions of IDASA and AWARD in local governance.

5.3. ROLES, RELATIONSHIPS AND FUNCTIONS OF THE ORGANISATIONS IN LOCAL GOVERNANCE

5.3.1. Enabling Environment

The analysis of the local government context in which the organizations operate is to describe the existence of enabling or impinging situations for the role of NGOs in promoting democratic local governance. Accordingly, both IDASA and AWARD functioned through the prevailing socio-economic and political contexts of the past Apartheid regime and a new democratic government transformation arena. The current missions of the organisations emphasise more sustainable democracy and equitable development, which are economically viable and institutionally capable. IDASA has underpinned sustainable democracy as a democracy which is owned, promoted and defended by citizens. It is the democracy governed by decentralised, capacitated democratic institutions and financed by a viable stream of revenues.

Despite, the existence of constitutionally mandated and structurally organised local and co-operative governance system to co-ordinate and maximise social development and economic growth of the country, as described in the literature review section of this report; both organizations complained about the incapacitated and scarcely resourced local government situations. They observed failure of local government to design and or practice polices, and delivers adequate services to citizens. In addition, local authorities had misunderstanding and apathy against NGOs contribution in the socio-economic transformation and building a new democratic society.

5.3.2. Building Democratic Local Governance

The South African Constitution has promising provisions for the role of NGOs in local governance and sound government structures to practice the principles of democracy such as decentralisation, participation, accountability and transparency. There had also been meaningful policy and legislature deliveries, which had attempted to promote cooperative governance and equitable development. The State-NGOs collaboration as Riddle (in Papir, *et al,* 2002) describes, is to create an enabling environment for development activities and monitoring development partners as the process of democratization.

Accordingly, the Institute for Democracy has been advocating for democratising local as well as national governments to enhance transparency, accountability and quality service delivery. It stressed the responsibility of governments at all levels, to respond to the socio-economic needs of the citizens. It also underpinned that NGOs should play their role in process of democracy building and holding the duty bearers accountable. The NGOs' service delivery should also be geared towards people's empowerment and skills transformation for poverty alleviation and sustainable development.

The Association for Water and Rural Development AWARD has also engaged to promote local participatory governance, basic service delivery, capacity building and policy advocacy based on the practice of water resource management and water services within the target community projects. Its empirical community-based project interventions and action research had been evidence of policy advocacy and influencing.

Meanwhile, the need for strategic interventions and empirical lessons from the field had reinforced both organisations to focus on the process of democracy building, innovative service delivery approach rather than merely intervening on small projects and or strengthening the bureaucratic government machineries. In this regard, it is vital to transform local democratic governance which ensures accountability of leaders, the way in which they

are selected and make decisions as well as the access to information so that citizens can make informed decisions. Therefore, building democratic local governance may be enhanced through the practice of democratic principles, capacitating local executive and judiciary bodies, and building viable institutions.

5.3.3. Institutional Development and Capacity Building

Institutional development and capacity building has paramount importance for sustainable democracy and quality service delivery as evidenced by the empirical engagement of IDASA and AWARD. As presented in the research finding section, the Institute for Democracy has been promoting local leadership development, citizens' participation and community empowerment. These capacity building interventions had focused on local councillors, officials and community leaders around 280 Municipalities. Community education and training material developments were also intervened as major steps by IDASA. Some of the key objectives of training and capacity building of local government-civil society leaders, mentioned in the previous research findings section may have had a vital importance to accomplish its mission goal.

AWARD has also indicated its practical engagement in training and institutional development of the village water committees, school community, district councils and line departments from local to provincial governments. The organisation's integrated development programme intervention through the sustainable livelihood approach which incorporated the analyses of local capabilities, resources and activities may have developed self awareness, critical thinking and joint action of target communities and key stakeholders. AWARD facilitated education material development and communication processes for the community and schools on matters regarding water resource management and environmental conservation. The local government water sector has also been conducting education and training activities on safe water supply and water projects management in collaboration with AWARD.

Nevertheless, addressing the capacity issues of communities and local government sectors may require more innovative and generic approaches, technical expertise and adequate resources. It is about the transformation of structural, functional, technological and cultural skills which NGOs themselves have been constrained with (Cloete, *et al*, 2000). It also may require institutional arrangements, clear vision, commitment and incentives for the concerned stakeholders

In spite of good intentions, local governments have been constrained by dysfunctional structures, under-capacitated officials and meagre resources. Democratic institutions could be described as the social roots and resource bases for the existence and transformation of the mission goal of NGOs in local governance. As it was underlined by the interview respondents, without democratic institutions a good vision, mission and programme initiatives could remain as an individual, group as well as organisation's ambition. Institutions can also create a systematic and sustainable participation and empowerment of the target communities and concerned stakeholders.

The Institute for Democracy and AWARD have been aware of such constraints and are involved in critical reviews and re-engineering of the democratic and inclusive institutional development in their respective project areas. The aims and objectives of the local water committees, Tzaneen Municipality Cluster Forum and the Highlands Local Council REFLECT Circles could be mentioned as promising interventions. Democratising and capacitating the existing CSOs and local government institutions, namely Ward Committees, Community Development and Policy Forums, Mass Associations, etc. have a paramount importance to enhance the objectives of the IDP, good local governance and quality service delivery. However, the organisations may have also been constrained with limited government support, resource scarcity and networking.

5.3.4. Social Services

The goal and standard of services shall be envisioned to promote the social welfare in order to meet the basic needs and enhance sustainable livelihoods of households, communities and the nation. Social services could also be beyond economic benefits, which are directed towards achieving social justice, political stability, equitable and sustainable development. The two organisations' emphases on action research and policy advocacy have been intended to enhance the capacity and commitment of duty bearers for people-centred and quality service delivery.

The budget and information services of IDASA have had constructive influence on resource allocation and basic service delivery for the poor, women and children in particular. Gender mainstreaming, which investigates the government's affirmative actions towards socio-economic and political benefits of women is a significant role of IDASA in promoting equitable and suitable development. The provincial and local government budget analysis and developmental rating system indicated the potential role, which NGOs could play in holding government accountable to its constitutional provisions and IDP objectives.

A new initiative of IDASA to intervene in HIV/AIDS and governance project could be observed as the organization's voluntary commitment to prevent the pandemic of the disease which has a negative impact in building a democratic society. In addition, AWARD has incorporated the HIV/AIDS issues to a new programme strategy and livelihood approach for quality service delivery with due emphasis on gender specific projects. The concept of sustainable livelihoods refers to a wide range of people's involvement in social and development policies formulation, implementation and out-come measurement. Satg'e (2002:4) defines livelihood as people's capacity to generate and maintain their means of living, enhance their well-being and that of the future generations. He added the contingency of capability upon the availability and accessibility of options, which are ecological, economical and political. Respectively, these are predicated on equity, ownership of resources

and participatory decision-making, which are also related to the existence of democratic local governance and deliverable government structures.

Although, there is continuing government endeavours for quality service delivery and holistic development approaches, there have been observed inefficiency and inadequate resource allocation for integrated socio-economic services. The limited technical competencies, lack of systematic commitment and accountability measures have been bottlenecks for the standardised service delivery.

5.3.5. Policy Research and Advocacy

As it is described in the literature review, policy is a result of interdisciplinary socio-economic and political analysis and decision-making for different interest groups. It needs a disciplined application of knowledge and techniques. People-centred policy processes allow the citizens' participation on decision-making and respects their right to access information. In this regard, IDASA had been advocating for equity, social justice and political commitments for democratic principles, besides capacity building and institutional development for CSOs and local government sectors.

The organisation's engagement to access political information, public opinion survey and monitoring the degree of transparency and accountability of political and administrative bodies have had a paramount importance to build democratic local governance and transform justice society in South Africa. Media education and curriculum development for democracy building and school community empowerment process has promoted IDASA's profile and acceptance beyond its national programmes.

Likewise, the Association for Water and Rural Development inherited the concept of "Giving a Voice to Voiceless" as its guiding principle, capacity building and policy advocacy approaches. Its policy analysis and advocacy, based on the practical project interventions have drawn the acknowledgement

of local partners and increased its participation in public and private sectors' policy reviews and implementation.

However, as Hughes (*et al, 1998)* described, public policy approaches require technical expertise for policy analysis and decision-making. Another approach demands political public policy which emphasises policy impact on social welfare and environment. The organizations' advocacy for the poor and marginalised segments of the society needs internal capacity within target communities, staff and key stakeholders. Action research and advocacy for innovative strategies could also be a milestone for external alliance building and networking in order to strengthen the CSOs' role in sustaining democratic governance at local, national and global levels.

5.3.6. Pro-Poor Partnership and Networking

Democratic governance and pro-poor partnership could be enhanced through converging different perspectives of citizens, political parties and interest groups. Democracy is a common struggle and needs solidarity and networking at local, national and international levels, as the two organisations underlined in their respective strategies. The Institute for Democracy and the Association for Water and Rural Development have been promoting collaborative approaches with government, private and civil societies to attain their mission goal. The regional network initiatives of IDASA with regard to peace building, migration projects, CSOs' capacity building could be mentioned as some of the major steps for alliance building and pro-poor partnership.

Accordingly, AWARD has been promoting joint water resource and eco-system management and water service delivery project administration and policy advocacy mechanisms at micro-macro levels as presented in the research finding section. The organisations' policy advocacy and influencing, which emanated from practical field lessons signifies their commitment to build more economically viable and a socio-politically stable society at all local, national and regional levels.

Nevertheless, the magnitude and extent of poverty, inadequate service delivery and poor local governance have been the major constraints to achieve the organisations' mission goal.

5.4. ANALYSIS OF MAJOR CHALLENGES FOR THE ORGANISATIONS

The major challenges for both organisations could be summarised as the prevailing socio-economic, political and natural environments. The internalisation and practices of democratic principles by local authorities and key stakeholders had been backlogs for the contribution of NGOs to democratise local governance and provide basic services, as underlined by both organisations' respondents.

Although the nature, mandate and operational values or principles of IDASA and AWARD have been communicated consecutively, some of the local government authorities were inclined to their prejudice against NGOs, which hinders reciprocal partnership and healthy organisations' contribution.

In consistent policy situations, poor implementation processes, and limited accountability and transparency of duty bearers and political authorities could be mentioned as bottlenecks for the transformation of participatory democracy, entitlement of poor people to basic services and practice of the constitutional provisions.

The constitutional provisions and objectives of intergovernmental co-operation have been less internalised by some of the local government authorities. As the result, the initiatives of IDASA and AWARD to promote constitutional provisions, IDP implementation, basic services and social justice have been hindered by concerned local authorities' reluctance against NGOs contribution. Lack of accountable, sustainable and trustworthy forums for civil-society, local government and private sectors' collaboration and ineffective resource mobilisation have also been other issues of concern for healthy organisations' networks and the role of NGOs in local governance.

Political and administrative decentralisation without adequate budget allocation, decision-making capacity and responsive local governance have been impeding the process of CSOs promotion and community benefits. Nonetheless, the apathy of target communities for resource contribution and desire for immediate need response, rather than capacity building and strategic programme interventions had hindered their participation and ownership of the projects.

Lack of a sound gender mainstreaming strategy at local government structures may have aggravated the existing power imbalance, unequal resource control and decision-making inability of women. The limited socio-economic and political participation of the marginalised poor men and women have also been obstacles for poverty alleviation and building democratic society.

The ever scaling poverty situations, HIV/AIDS pandemic, unemployment and social violence could be beyond the specific project interventions of the two organisations. The geographical and socio-economic remoteness of rural communities and its institutions coupled with the irresponsive local governance, resource limitations and social injustice in particular may have exacerbated their deprivation and vulnerability. These outstanding issues need collaborative civil society-government interventions and networking, capacitated community institutions which are equipped with viable human, material and basic technological resources.

Limited awareness and mismanagement of non-renewal natural resources, such as land, water, and forests have had short and long-term effects on socio-economic benefits, sustainable development and transformation of democratic local governance as far as AWARD has been concerned.

The turnover of qualified and experienced staff and resource limitations with regard to AWARD had been major constraints to scale up innovative project interventions and enhance the intended mission goal.

The donor agencies had also been inclined for tangible project interventions and often misunderstood the long-term impact of intangible programme interventions. They also attempted to impose donor driven agendas, rather than the bottom-up community and local CSOs perspectives, which re-enforced IDASA to review their relationship up to the level of refusing some of the funds, which were attempted to impose the top-down donors' perspectives. In this regard, the aforementioned challenges could be given due attention by IDASA, AWARD and concerned government structures at all levels in order to enhance the intended NGOs' roles in democratic local governance as depicted in the following conclusion and recommendation chapter.

5.5. CONCLUSION

The data analysis section had synthesised the research findings with regard to the roles and strategies of IDASA and AWARD in local governance. It had also analysed and presented the genesis, context of operation and functions of the two organisations. Accordingly, the vision, mission and operational principles of these NGOs had complementary factors with the values and principles of democratic governance that could have further strengthened the socio-economic and political transformation of the South African civil society, local democratic governance in particular. Both sectors stipulate for people-centred democracy, equitable and sustainable development. The data analysis chapter also captures the major contribution of these NGOs in regard to democratising local governance, institutional development and capacity building, social service delivery, policy research and advocacy.

However, the observed failure of local governments to create more enabling environment for the role of NGOs in local democratic governance was manifested by poor policy design and practices, inadequate services delivery and mismanagement of scarce resources. The following conclusion and recommendation chapter summarises the main ideas of the research process and suggests possible future direction for healthy government-NGOs partnership in order to enhance their role in local democratic governance

CHAPTER 6: RECOMMENDATIONS AND CONCLUSIONS

The following section of the report deals with the recommendations and conclusions drawn from the research findings, data analysis and major challenges of the organisations.

6.1. RECOMMENDATIONS

A common understanding of the nature, vision, constitutional provisions of both government and NGOs have vital importance for reciprocal partnership to address the effects of income and moral poverty, inequality and poor governance at local, national and global levels and to enhance the development goals of the new millennium. Accordingly, the following valuable points are suggested to IDASA, AWARD and local governments as well as other development actors in order to promote democratic local governance and to address the interdependent research problems around the following thematic issues.

6.1.1. Building Democratic Local Government

Sustainable democracy is about awareness and commitment to democratic values, principles and practices with particular attention for civil society empowerment and democratic local governance transformation. The decentralisation of political power, administrative functions and service delivery to local government should also be complemented with transfer of adequate human, material and financial resources. Accordingly, the values, principles, constitutional mandate and functions of local government, IDASA and AWARD should be understood and observed by concerned parties and other development actors in accordance with democracy building, poverty alleviation and enhancing equitable and sustainable development. Increased civic education through the use of local media and the REFLECT approach have paramount importance to deepen democratic local governace, people's empowerment and policy influence, besides the organisations' intervention on municipal structures and local authorities' capacity building.

6.1.2. Social Services

The meaning and entitlement of poor people for basic socio-economic and political services are often misunderstood by some government authorities and donor agencies. The eight principles of 'Batho Pele', which puts people first should be practiced by local government and NGO sector officials, rather than perceiving the poor as recipients or mere beneficiaries. The Poor's self perception as passive recipients of the government and NGO services should also be shaped to Right Based Approach (RBA), which recognises their internal potential to analyse the livelihoods situation and transform the living standards with minimum external support. Accordingly, services should address the psychological, physical, material poverty, and promote equitable and sustainable development. Local Government authorities, experts and community development facilitators may adapt or adopt the sustainable livelihoods approach of AWARD's experience, to promote the analytical capacity and IDP implementation by key stakeholders. Donors should also learn the prevailing socio-economic and political contexts as well as values and indigenous knowledge of the countries they donate too.

The service delivery prioritisation and operational management may adapt the innovative approaches from the development field, such as Balance Scorecard Systems (BSCS). The Balance Scorecard takes the organizational vision and leadership to move beyond improving existing processes to a strategy that highlights which process and activities are the most important to implement (Kaplan and Norton, 1996: 21-24). It measures the performance of the organisation and its impact in regard to the perspectives of the target community, human capital development, cost benefit analysis and organisational development. In this regard, establishing effective performance management systems and a healthy partnership amongst CBOs, local governments, private and NGOs sectors could be a paramount importance to deliver quality services and to benefit the needy people.

6.1.3. Institutional Development and Capacity Building

Institutional Development and Capacity Building of the existing CSOs and local government structures has paramount importance for the role of NGOs in local governance. The capacity of both the public and NGO sectors could be referred as structural, functional and cultural ability of the organizations to achieve their vision and mission goals. The capacity building of the institutions may also require the availability and access of tangible and intangible resources, as Cloete and Wissink mentioned in (2000). In this regard, new CSOs could be established under non-conducive environments to introduce innovative project approaches and disseminate best practices. The new 'local government-CSOs' cluster forum of IDASA can play a vital role in joint institutional development and capacity building, provided with adequate human and material support.

6.1.4. Pro-poor Partnership and Networking

Despite ad hoc and poor NGO-Government relationships, there were no strategically established partnership and effective networking system to promote the role of NGOs in local governance and beyond. Visionary, trust-worthy and value driven partnership is a cornerstone to enhance sustainable democracy and collaborative local governance. The constitutional provisions and international conventions for NGOs or CSOs should be respected and practiced by government authorities at all spheres for reciprocal partnership. In addition, the right of poor citizens to establish their own alignment with local, national and international organisations with regard to their basic rights and livelihood promotion shall also be encouraged by concerned local government authorities and donor agencies. Nevertheless, NGOs should also share and learn the existing constitutional provisions and functions of government structures to establish reciprocal partnership and networking.

6.1.5. Policy Research and Advocacy

Democratic governance should be perceived as designing and implementing people-centred policies and rigorous monitoring of its outcomes. The effectiveness and efficiency of public policies could be demonstrated by optimising scarce resource utility, poverty alleviation, social security, equitable and sustainable development. Governance emphasises the accountability of leaders and the way in which they are selected and make decisions as well as the access to information so that citizens can make informed decisions. Governance therefore necessarily involves many actors outside of government, including civil society as described in the literature review chapter of this report.

The existing community forums, such as Ward Committees and Community Development and Policy Forums etc. need transformation for local democratic governance, resource mobilisation and project ownership. There is a need for viable resource allocation and reassignment of committed local expertise to enhance short term IDP objectives and long term socio-economic development of the country.

The turn-over of qualified and experienced staff of NGOs were observed challenges. Likewise, the impact of capacity building had not been measured in government and NGOs sectors. The training need assessment, staff motivation and performance management systems should be thoroughly explored and designed ahead of training interventions.

Donor agencies and intergovernmental co-operation should provide due attention for local human capital development for action research, institutional development and capacity building, policy advocacy and influencing at micro-macro levels.

Integrating the socio-economic, political and natural resource management have a vital importance to attain local participation, ownership and sustainability of development initiatives. Respectively, the following

concluding remarks could be drawn from the literature review, research findings, data analysis and recommendations in order to enhance the role of NGOs in local governance.

6.2. CONCLUSION

Despite the socio-economic and political challenges of IDASA and AWARD, their contribution for democracy building, poverty alleviation, equitable and sustainable development has been promising. However, measuring the impact of both NGOs' intervention could be complex due to their humanitarian and non profitable interventions. The contribution and impact of organisations' intervention may be described according to the legislative provisions (ACT 1997) for NPOs. The role of these organisations could also be observed in the line with their mission goal, specific project intervention's respond to the basic needs of target institutions and communities, besides influencing public policy practices, local governance in particular.

In this regard, the positive contributions of IDASA and AWARD have been demonstrated in providing social welfare, researching public policy implications, project feasibility studies and disseminating the outcomes. Facilitating political negotiation, training and institutional capacity building of CSOs, local councils, community leaders and project facilitators could also be mentioned as major achievements as far as the socio-political and civil society history of the country are concerned.

IDASA with its demonstrated human, financial, material and technological resource capacity, and transparent organisational structure have obtained a positive profile and extended its mission goal from local to national and regional networks. The organisation has established a promising and collaborative relationship with donor agencies, state structures and civil society at large, which have had a positive contribution for citizens' empowerment, participation and negotiation of policy practices with local government and other key stakeholders.

The Institution for democracy also claims its remarkable achievements and major strengths, such as social research and analysis, training and public education, coalition building and networking. This includes, political facilitation, which comprises problem solving, consultancy and advocacy, project management, monitoring and information dissemination as specified in the new strategy paper for (2004-2007:5).

Accordingly, AWARD's demand based consultative approach had rehabilitated the socio-economically marginalised rural community at the Save the Sand River Catchment. The organisation had also invested around R30 million in the past ten years project duration to develop the hardware engineering and the software livelihoods promotion of the rural community, the poor and marginalised in particular. Its notion to analyse local power relation and providing a space for the voiceless had created an enabling environment for community empowerment, participation in joint project planning, implementation and control of project initiatives.

The multi-fold and people centred programme interventions, institutional development and capacity building processes of both IDASA and AWARD have had a significant contribution to improve service delivery and promote democratic governance at local, national and regional levels. The organisations' action oriented policy advocacy and pro-poor partnership have also a positive impact on building responsive local governance and promoting collaborative project planning and implementation for poverty alleviation, equitable and sustainable development.

Nevertheless, the evolving democratic governance and social justice require healthy state-civil society relationship in the new millennium. As Mbongori (*et al,* 1999:112) describes government establishes the legal, fiscal and regulatory framework that defines civil society's operating space. In many countries government is the chief funder of CSOs' activities. Accordingly, municipal or local government could be perceived as the heart of the democratic system that has emerged since South Africa's political transition. It has also roles to involve citizens in all aspects of governance and

development. This also means that citizens and civil society organisations should view municipal government as an institution that belongs to them (Parnell, *et al*, 2002: vii). The role of local government may also grow over the next century with profound implications for all dimensions of civil society organisations. Among the most important trends and new developments reshaping government are democratisation, decentralisation, and good governance, which have profound implications for the government-civil society relationship and the potential role civil society organisations can play in governance and particularly local governance as described by Mbogori (*et, al,* 1999).

In recent democratic governance transformation, a number of factors in relation to democratic principles have led to a wave of decentralisation of state authority, programmes and services to local and community levels. Respectively, decentralisation, democratisation and institutional capacity building should be perceived and practiced as a mechanism for transformation of democratic and justice society. In this new environment Non-Governmental Organisations (NGOs), like IDASA and AWARD could play an increasingly important role in democratising local government, providing basic services, institutional development and capacity building, policy advocacy and influencing.

In South Africa the context and provisions of developmental local government is key to the successful implementation of development programmes and it lays out a new way of planning and delivering services that include all role-players as Matjila (in Oldfield*, et al,* 1998:v) stated. The research report has depicted the role of IDASA and AWARD in relation to the nature, mandate and principles of democratic local governance. The author has also explored and analysed thematic issues, and presented possible recommendations around democratising local governance, institutional development and capacity building, policy research and advocacy.

However, this research findings, data analysis and recommendations may be perceived as a catalyst for further debates and participatory action research

by concerned public, civil society and field practitioners to promote the role of NGOs in local governance. In addition, future research could also emphasize on institutionalising healthy government-civil society partnerships at local and national levels for the benefit of the poor and marginalised segments of the society.

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APPENDICES

Appendix A: Information Matrix

Focus Areas	Key Information/Data	Sources of Info/data	Data collection Techniques	Remarks
1. General 1.1. Concepts and Functions of NGOs	- The concept of NGOs and CBOs - The nature, vision, mission, & principles of IDASA and AWARD - The roles and functions of the above NGOs in local government and other CBOs - The enabling environment for the NGOs intervention	- IDASA senior and middle level staff - AWARD Senior & middle level staff - Secondary data	-Semi-structured Interviews - Focused group discussion -Secondary data reviews -Transect walk or physical observation	
1.2. Concepts and Functions of Local governance	-The concept of democratic governance & developmental local government -The mission, values and principles of government and local government in particular - The roles and functions of local government in relation to IDASA and AWARD as well as affiliated CBOs	- Local Government Senior and middle level staff working with IDASA and AWARD - CBOs with which the local government and NGOs working - Secondary data	-Semi-structured Interviews - Focused group discussion - Secondary data reviews -Transect walk or physical observation	

2. Specific roles of NGOs (IDASA & AWARD in Local Governance. 2.1. Democratizing Local Governance	- Democratizing local governance - structures and systems to promote democracy and democratic principles - Impacts & Challenges in democratizing local governance - Suggestion for promoting NGOs contribution in democratizing local governance	- Senior, middle & frontline staff of NGOs, Local govt. and CBOs - Secondary data	-Semi-structured Interviews - Focused group discussion - Secondary data reviews	
2.2.Service Delivery	- The meaning of service delivery -Prioritization and participation of target groups or community - Principles and Standards of service delivery - Partnership and networking - Impacts and Challenges of Service delivery - Recommendations for equitable & sustainable service delivery	- Senior, middle & frontline staff of NGOs, Local govt. and CBOs. -Secondary data	-Semi-structured interviews - Focused group discussion -Secondary data review - Transect walk or physical observation	
2.3. Institutional Development and Capacity building	- Conceptual understanding and practices of institutional development and capacity building -Types & targets of capacity	- Senior, middle & frontline staff of NGOs, Local govt. and CBOs,	-Semi-structured interviews - Focused group discussion	

	building schemes - Strategies & Curriculum for ID and CB - measuring Impact and magnitude of challenges - Recommendations for future role of NGOs	-Secondary data	-Secondary data review - Transect walk or physical observation	
2.4. Public Policy and Advocacy (PPA)	- Conceptual understanding of PPA - Thematic areas & practices of PPA - Who participates and how? - Pro-poor partnership and networking - Impacts & Challenges of PPA -Recommendation for inclusive and institutionalized PPA	- Senior, middle & frontline staff of NGOs, Local govt. and CBOs. -Secondary data	-Semi-structured interview - Focused group discussion -Secondary data	

Appendix B: RESEARCH QUESTIONS

Part 1. Questions to IDASA and AWARD Staff

A. General Questions

1. What is the profile or nature of your organization?
2. What are the vision, mission and values of the organization?
3. How is your organization structured and managed to achieve this vision and mission? Could you mention the organizational budget & resource capacity?
4. What is the role of your organization in local governance?
5. What is your definition and understanding of democracy and democratic local governance?
6. With which local governments do you work?
7. How does Local Government in your view relate to other spheres of Governments and CSOs?
8. In your view what is the vision, mission and values of the local governments you are working with?
9. To what extent do you think does Local Government succeed in fulfilling this vision, mission and their mandate?
10. How do you intervene to improve the scenario within local government and CBOs? In specific to the thematic issues stated in the following part?

B. Specific Role of NGOs in Local Governance

1. Democratizing local governance

1.1. What is your understanding of democratizing local governance?
1.2. Why is democratizing local governance important for the organization?
1.3. How does the organization intervene to promote democratic principles and Practices in local governance?
1.4. How do you measure the impacts of democratizing local governance?
1.5. What are the main challenges of democratizing local governance?

1.6. How could the organization and other NGOs foster the process of democratizing local governance?

2. Service Delivery

2.1. How do you define service delivery?
2.2. In your view what role should NGOs play in service delivery?
2.3. How should the beneficiaries be prioritized and participate?
2.4. What are your standard/criteria for service delivery?
2.5. How do you monitor and evaluate the challenges and impact of services?
2. 6. What do you recommend to improve the quality and sustainability of service delivery?

3. Institutional Development and Capacity Building

3.1. In your perspective, how do you define institutional development and capacity building?
3.2. How does the organization intervene in institutional development and capacity building?
3.3. What impact have you observed? What are the challenges?
3.4. What do you recommend for future improvement?

4. Policy Research and Advocacy

4.1. What is your understanding of public policy?
4.2. What are the thematic areas of organizational intervention in policy research and advocacy?
4.3. How do you practice the policy process with CBOs, local government and other key stake-holders?
4.4. What are the impacts and challenges in policy research & advocacy?
4.5. What do you recommend to improve the future policy research and advocacy practices with local government and associated CSOs?

Thank you for the data and time provided for the inquiry research!

Part 2. Questions related to local government staff

1. What is the profile or nature of your local government?
2. What are the vision and basic principles of the local government?
3. What is your definition and understanding of democracy and democratic local governance?
4. How is the local government structured and manages to achieve these vision, mission and principles?
5. Can you mention how local government and IDASA/AWARD plan development projects and financial budget?
6. Can you mention the organizational resource capacity (human, material & financial?
7. What other organizations support the local government? How?
8. In your view what is the meaning or definition of NGOs?
9. What are the nature, vision, mission and values of IDASA/AWARD, with whom you are working? Could you explain one by one?
10. To what extent do you think does IDASA/AWARD succeed in fulfilling these vision, mission and values?
11. What are the specific roles of IDASA/AWARD in:

    - Democratizing local governance?
    - Service delivery?
    - Institutional development and capacity building?
    - Public policy research and advocacy?

12. How does IDASA/AWARD related to local, provincial & national governments?
13. What do you think is IDASA's/AWARD's legitimacy or mandate to play their roles in local governance?
14. How has your organization been involved to promote IDASA's/AWARD's and other NGOs' contribution in general?
15. What are the impacts and challenges of IDASA/AWARD in local governance intervention or networking?
16. How could IDASA's/AWARD's role in local governance be enhanced?

Thank you for the data and time provided for the research inquiry!

Part 3. Questions related to CBOs or community Facilitators

1. What is the profile or nature of the CBOs in your locality?
2. How are the CBOs structured and function their duties in local community?
3. Can you mention how you plan development and financial budget?
4. How do CBOs or communities understand NGOs and democratic local governance?
5. Which other local government and NGOs support the CBOs effort? How?
6. How do local government and NGOs involve CBOs and communities in IDP or NGOs' project planning and management processes? Can you mention some of the projects?
7. What is your definition and understanding of participation and democracy?
8. In your view what are the vision, mission and values of the IDASA/AWARD with whom you are working?
9. To what extent do you think does IDASA/AWARD succeed in fulfilling these vision, mission and values?
10. What are the specific roles of IDASA/AWARD in:

    - Democratizing local government and CBOs?
    - Service delivery?
    - Institutional development and capacity building?
    - Public policy research and influencing local government?

11. What do you think is the IDASA's/AWARD's legitimacy or mandate in playing the above roles?
12. What impacts and challenges do you observe in the organization's role?
13. How can NGOs (IDASA/AWARD) role in local governance be enhanced?

Thank you for the information and time provided for the research Process!