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The Importance of Institutional Culture in Production of Integrated Development Plans: The Case of City of Johannesburg

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A research report submitted to the Faculty of Engineering and the Built Environment, University of the Witwatersrand, Johannesburg, in partial fulfilment of the requirements for the degree of Master of Science in Development Planning.

Johannesburg, 2005

DEDICATION

In memory of my father

Ezekiel Sekoati Mothiba

DECLARATION

I declare that this research report is my own, unaided work. It is being submitted for the Degree of Master of Science in the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination in any other University.

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Machebane Roslyn Mothiba

December 2005

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To Dr. Karam, you are the most wonderful coordinator.

I would also like to thank my family for all their support.

ABSTRACT

The research recognises the IDP as an important post-apartheid planning tool that can potentially lead to integration within the City of Johannesburg. However, for the IDP to attain its mandated goals, an enabling institutional culture of the City and its units need to prevail. The gap/challenge is that the institutional culture of the City and its departments/units are shaped by Joburg 2030, a purely economic strategy that does not embrace the principles needed for attainment of IDP goals. The principles needed for successful formulation and implementation of the IDP are found in equity planning theories and New Institutionalism. These are the principles that do not form part of the Joburg 2030 vision. The solution is for the Joburg 2030 to include the planning principles as already highlighted. This solution will affect departmental practices for the better.

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Chapter 1

Introduction

Chapter 1: Introduction

1.1 Background

During the apartheid era, South Africa's public administration had a character of being inefficient (Swilling and Wooldridge, 1996). This was detrimental to departments and caused confusion within those departments, and ultimately negatively affecting the public they served.

With the advent of democracy and after South Africa's first elections, it was clear and agreed upon that the apartheid planning that spearheaded development for a long time needed to be changed. Thus the introduction of a new planning tool: the Integrated Development Plan. Apartheid planning was characterised by separate development that resulted in fragmentation. The IDP was meant to be a tool to remedy the situation and bring about integration. This form of planning is meant to help with the allocation of scarce resources. Thus, the IDP allows a municipality to be more responsive to the needs of communities. In this way, the IDP helps the municipality to become developmental.

At the same time, a large portion of money that is available to the City Council is generated from rates, taxes and services to businesses and residents (CPU, 2004). Therefore the ratepayers and taxpayers should get the most out of their investments. This means performance of the municipality in implementation of the IDP and ensuring that the public money is spent wisely is very crucial. In short, performance of the IDP affects every person residing within the City of Johannesburg (CoJ).

Studies conducted by scholars identified serious lack of capacity in many rural municipalities due to inadequate finances and human resources (Harrison, 2001). On the other hand, CoJ is more resourced when compared with other local municipalities. It is therefore imperative that CoJ performs optimally given its good financial and human resource capacity.

1.2 Problem statement

The current South African context with its specific requirements for the IDP formulation, necessitates a need for a changed institutional culture in order for municipalities to be able to fulfil their mandates of developmental local government as stated in Section 152 (1) of the constitution. The institutional culture needs to change from that which was dominant during the previous apartheid regime. The institutional cultures that existed during the apartheid era are reflected by its philosophies, values and actions. The apartheid philosophy was to enforce racial divisions spatially, economically, socially, politically and culturally. The actions that followed this philosophy and characterised planning during apartheid included

1. Little or no stakeholder participation – planning was based on the 'perceived' needs of the population
2. Little or no attention on aspects such as social development, economic development and poverty alleviation.
3. Little or no integrated planning (Mabin and Smit, 1997)

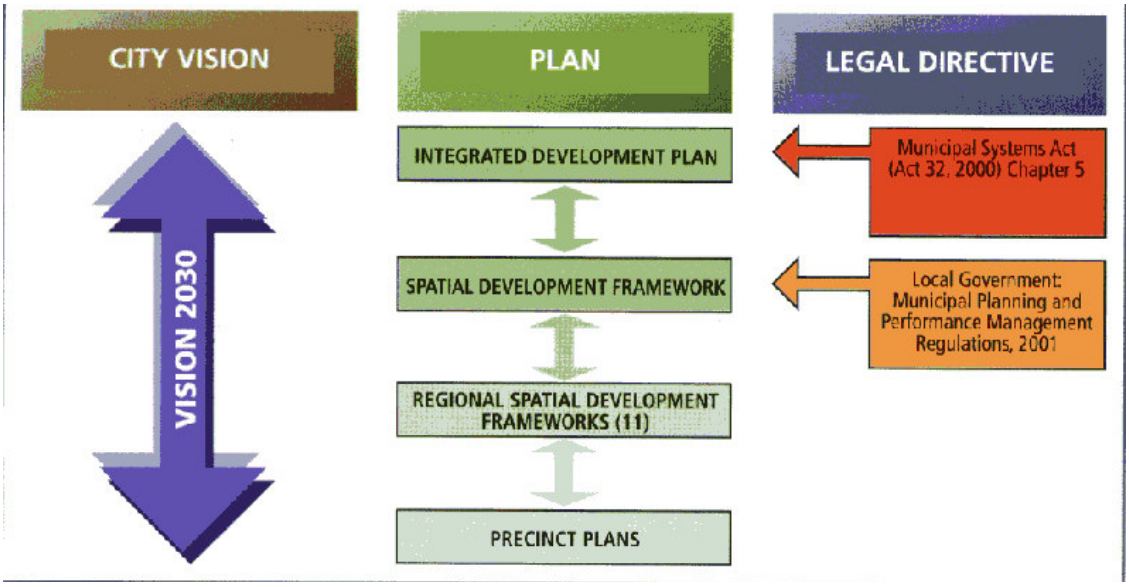
Some of the challenges the City has to address are depicted in this quote.

> The City of Johannesburg faces major challenges in reducing poverty and improving the quality of life of its residents. It must effectively reduce the enormous disparity in the provision of basic services such as water, sanitation, electricity, and roads. Equally challenging is the need to ensure that the poor households in previously disadvantaged areas experience improved quality of life through better access to education, training, health and housing services. Although the provision of health and welfare (concurrent) and education services is currently the responsibility of the provincial government, the city remains politically accountable for improving the quality of life of its citizens (Corporate Planning Unit, 2005)

In dealing with the abovementioned challenges, the City adopted a City Development Strategy (CDS) known as Joburg 2030 as a long-term approach of solving such challenges and of attaining a world class African city. The values, meanings and

philosophies (institutional culture) that appear in this document as a mechanism of solving the challenges faced in CoJ are problematic. The institutional culture adopted by the Joburg 2030 approach emphasises economic growth of specific sectors of the economy as the main strategy of improving the quality of life for City residents. It is stated in the Joburg 2030 document that, "All other considerations (such as poverty alleviation, distribution of income and so on) flow from this necessary condition of increased Gross Geographic Product" (Corporate Planning Unit, 2002: 8). The values, meanings and philosophies as depicted in the Joburg 2030 document illustrate the belief in economic growth and limited participation of stakeholders such as community members. The document does not illustrate a need to device plans to develop the poor or to even integrate programmes that are done within the City. This approach of coming up with what is considered important is a technocratic approach as it is based on what the people who devised the document view as crucial. I argue that the institutional culture that is reflected by the Joburg 2030 values and principles seem to be similar to those that existed during the apartheid era such as a technocratic approach to solving social problems, no emphasis on integration of programmes, non-participation with affected parties to which planning is done to benefit and an emphasis on economic growth. In short, Joburg 2030 pays insignificant attention to stakeholder participation, social development and poverty alleviation (it is not developmental). Though issues of stakeholder participation are not incorporated into Joburg 2030, the participation process of coming up with this long-term plan only lasted for one week (Interview with Maganlal, 2005).

Joburg 2030 as a CDS is supposed to be adopted by all the City's departments and units as a way to perceive and act upon challenges faced by each unit. The following diagram illustrates supremacy of the Joburg 2030 strategy over other plans such as the IDP within the City of Johannesburg. The diagram supports the fact that the City's departments and units have to fulfil the Joburg 2030.



Adopted from: (Development Planning and Facilitation 2003: 5)

On the other hand, the City is supposed to produce five-year Integrated Development Plans, which emphasise economic and social development of poor communities, community empowerment and collaboration with community members and stakeholders. I argue that the major problem appears to be that these IDP values are incompatible with the Joburg 2030 values. However, units have to fulfil the IDP requirements as well. It is not clear whether the City's units are strongly influenced by the Joburg 2030 institutional culture or follow a developmental IDP when coming up with projects and programmes. This is why it is important (there is a need) to investigate the institutional culture that units follow within this puzzling framework. My argument is that the institutional culture of the City of Johannesburg (as represented by Joburg 2030) is an impediment to appropriate IDP production (which is supposed to be developmental). Given the history of the country, The Constitution of the Republic of South Africa (1996), the White Paper on Local Government (1998) and the Municipal Systems Act (MSA) emphasise the need for a developmentally oriented local government which should be fulfilled by the IDP (CoJ institutional culture disables this).

Summarily, there is a need for an institutional culture that is consistent with the requirements of social inclusion, democracy and equality, among others. I argue that an

appropriate institutional culture is that which supports IDP values and principles such as equity planning and new institutionalism. This is the kind of institutional culture that will be beneficial in solving the abovementioned problems that are experienced in the City of Johannesburg.

1.3 Rationale

> Governments, perhaps even more than markets, determine who gets what in society. They make crucial choices about who pays the taxes, who gets into college, which patients get medical care, who gets drafted, where the hazardous waste dump is situated, and how much we pay for public services (Young, 1994).

This quote illustrates government institutions as having roles that put them in a position to empower or restrain society (DiMaggio and Powell, 1991). In other words, government institutions can restrict and at the same time liberate different groups of people in communities. These government institutions make decisions that affect business, communities, other government departments and stakeholders. They come up with policies, programmes and projects that give identity of what they stand for. Thus, government institutions come as a social package, with roles, practices, influences, and a culture, which operate and influence society.

The City of Johannesburg is a crucial local government institution that develops and implements the IDP. That is, the CoJ as a municipality is an implementing agent of national, provincial, and its own policies. The rationale behind the City's abovementioned role is that it is closer to the people and can closely assess and address the needs of those people (Parnell, Pieterse, Swilling & Woolridge, 2002). In essence, local government is that institutional sphere that has the greatest impact on citizens. This is main reason why this study focuses on the CoJ as an institution with its specific institutional culture. My focus is not in the private sector because it is less accountable to the public, but more interested in profit making. Due to the private sector's profit seeking behaviour, social consequences are often not of interest to this sector. Government institutions in turn, need to be accountable to the public and as such, should be concerned

with social issues as well. Briefly, in democratic societies, the government has a responsibility to ensure social justice.

The roles of CoJ are put in light of the requirements of the Municipal Systems Act (MSA) to produce IDP documents every five years. The IDP as a document can change the lives of the vulnerable and society at large for the better. However,

> Mayors face… dilemma. Although they want to improve the quality of life of their citizens, they will often discover that their very municipal organisation has become a major barrier to improved service delivery. The organisation may be bureaucratic and hampered by regulations, and thus have become unresponsive to the need for reform.

Thus, for the City to attain the goal of improving the quality of life for residents, an appropriate institutional culture needs to prevail within the City. The City can have an institutional culture that allows for positive changes to take place for the betterment of society. This is why other successful countries started by changing institutional cultures of their municipalities to attain success.

The reason for investigating institutional culture of the City is fuelled by the notion that culture can either be an asset or a liability (Brown, 1995). There are different kinds of cultures that prevail in different government institutions that explain why one department can be more successful than others. Phrased differently, for an institution (such as the CoJ, with its available resources) to reach its goals, its culture is one of the main determining factors of whether goals can be attained or not. Consequently, if the institution's culture is inappropriate, it will hinder achievement of agreed-upon goals of the City. The significance of this research is to help the City to make its institutional culture an asset that can contribute to meeting the goals and challenges they face. Actually, Williams, Dobson and Walters (1990: 147) argued that institutions facing tough competition "need to look at their culture if they hope to survive".

Most importantly, the research has been undertaken to illustrate that an inappropriate IDP is produced in CoJ as a result of an inappropriate institutional culture that is derived from Joburg 2030. This is the institutional culture that is followed by the City's departments and units in coming up with the IDP document. That is, the IDP is produced within an institutional culture that does not support the goals of the IDP as envisaged by the Municipal Systems Act, but is produced by units following values and principles of Joburg 2030.

1.4. Case study

The case study of the research is the City of Johannesburg, as has already been highlighted. Within the CoJ, the research focuses on three units, namely, the Corporate Planning Unit (CPU), the Health Department's HIV/AIDS Unit and the Department of Finance and Economic development's Economic Development Unit (EDU).

The Corporate Planning Unit is responsible for ensuring that the City's IDP document is produced. This is the rationale for choosing the CPU.

Economic development and job creation, and Inner city regeneration are mayoral priorities, which are duties of the Department of Finance and Economic development's EDU. Economic development, as stated in Vision 2030 helps the City in striving towards attaining the status of a world class African city. The IDP documents that have been produced so far clearly state economic development as crucial to the City, thus one of the strategic thrusts for all IDPs that have been produced thus far. This is why the CPU is chosen.

HIV/AIDS is a mayoral priority, which means the City recognises it as very crucial to the economy. "With a considerable percentage of the community and the workforce infected or affected by the epidemic, HIV and AIDS constitutes an enormous challenge to the City of Johannesburg's goal of developing into a world-class African city" (CPU, 2004:53)". The City already recognised that if the issue of HIV/AIDS is not dealt with, it can reverse the gains that have been attained in the first ten years of democracy. In 2000, the number

of infections was estimated at 286 593 within a population of 2,8 million. The annual AIDS related deaths within the same year were estimated at 30 973 (iGoli 2010 Report, in CPU, 2004). These statistics show the extent of the problem. The issue appeared in all the IDP documents produced thus far, which highlights the seriousness of the HIV/AIDS pandemic within the City. The health department's HIV/AIDS Unit is very crucial in dealing with HIV and AIDS, thus the reason it is included in the current study.

1.5 Aims and objective of the dissertation

The main aim of the study is to make a case for an appropriate institutional culture within the City of Johannesburg, which may be helpful in fulfilling the goals of the IDP (as envisaged in the White Paper on Local Government and the Municipal Systems Act). These following objectives will help in achieving the main aim.

The objectives are as follows:

- To show the roots of the IDP and Joburg 2030.
- To show how the CoJ institutional culture (as represented by the Joburg 2030 values and philosophies) contradict the goals of the IDP.
- To investigate the institutional culture the City of Johannesburg's Corporate Planning Unit, Economic Development Unit and the Health Department's HIV-AIDS Unit follow when coming up with programmes and projects.
- To come up with suggestions that would help to improve the current institutional culture.

The current study intends to show the importance of the role of an institutional culture within institutions. Although the same legal framework governs all municipalities, their IDP production differs because of the institutional cultures that exist within each municipality. It is this institutional culture that can either lead to success or failure of IDP production and implementation.

The research methods employed in the study are directed by the abovementioned aims and objectives the study.

1.6 The Method used to undertake this study

Since the study is primarily qualitative, a number of documents were assessed and in-depth interviews were also carried out.

Documents such as the Constitution of the Republic of South Africa, the Municipal Systems Act, the White Paper on Local Government, Joburg 2030 and the City of Johannesburg's Integrated Development Plans have been examined. The information needed from these documents included the philosophies, beliefs and values about improving the quality of life of South African citizens and Joburg citizens. The use of the three government documents is to highlight the importance of developmental local government and how it should be carried out through the IDP document in order for the quality of life of residents to be improved. Consequently the IDP should be produced within a supportive institutional culture that supports the goals of the three important documents. Joburg 2030 was looked at to assess the philosophies that underpin it as a City Development Strategy that guides the whole City of Johannesburg and its departments/units. An objective that would be obtained by assessing the documents is to show the contradictions of the IDP and Joburg 2030.

In-depth interviews were conducted with a sample of officials who work for the Corporate Planning Unit (four interviewees), Economic Development Unit (one interviewee, another interviewee could not be available) and the Health Department's HIV/AIDS unit (two interviewees). The interview questions were open-ended and semi-structured. Open-ended questions allowed for a broader spectrum of answers from respondents (Newman, 2000). Semi-structured interviews allow for the researcher to probe the answers further and to get clarity on the answers given by officials (Barbie and Mouton, 1999). The sampling type was purposive as the researcher's judgement was used to purposefully and thoroughly select interviewees. The aim of conducting interviews was to find out how the units' philosophies and practices affect the IDP system of production. What I wanted to find out from the interviews is how the units come up with projects and programmes that are supposed to be incorporated into the IDP document.

These practices will demonstrate the units' commitment either to the Joburg 2030 institutional culture or not. I collected data at the offices where relevant interviewees were based. When conducting in-depth interviews, a tape recorder was used to record the entire interview with permission from interviewees. The data was then transcribed verbatim to help with the analysis.

I also attended IDP review meetings in order to understand how the City structures community participation meetings and how residents give an input to through the participation process.

1.7 Limitations of the research

Institutional culture is a relatively new field of study; therefore, there is not much information available on the subject to adequately guide my research. That is why I had to borrow from organisational culture, which informs institutional culture.

A further limitation to this research was time.

1.8 Structure of the dissertation

Chapter one introduces the entire research by giving a background to the whole research, research problem, aims and objectives, the case study and the research methods.

Chapter two gives the theoretical and conceptual framework of the research. The concepts and theories that will be covered include institutional culture, New Institutionalism and equity planning theories.

Chapter three introduces the IDP as a planning tool and highlights its objectives. Furthermore, the IDP is discussed against the theories and concepts that appear in Chapter 2.

Chapter four covers the institutional context of planning in the City. The chapter goes further to discuss how the City produces IDP documents.

Chapter five introduces the three units and their functioning, which in turn reveals the institutional culture they follow.

Chapter six analyses the three unit's institutional cultures and whether those institutional cultures they follow contributes to the successful production of the City's IDP.

Chapter seven is the final chapter that makes recommendations and shows planning implications before a conclusion is reached.

Chapter 2

Theoretical and conceptual framework

Chapter 2: Theoretical and Conceptual Framework

2.1 Introduction

In this chapter I position the theoretical base of the whole research. I argue that the two most important theories that underpin the whole research are new institutionalism and equity planning. It is based on the goals of the IDP that makes these two theories of importance to the current research. This chapter will start by explaining institutional culture before explaining the two theories.

2.2 Institutional Culture

Institutional culture is a combination of two words, both laden with meaning. Culture is a multifaceted concept with various meanings attached to it. As a result, there is no one agreed-upon definition. Despite these facts, culture is relevant and important to institutions – it is not merely an academic quest (Williams, Dobson and Walters, 1990). Therefore institutions need to clearly understand their culture in order to know its role, implications, and importance. On the other hand, Brown (1995) contends that culture is still not well understood in institutions, thus controversial. Regardless of Browns viewpoint, the current study takes the view that "culture is largely measurable, is capable of chance and it can be empirically studied" (Williams, Dobson and Walters, 1990:12).

"Institutional culture refers to the values, philosophies and ideologies that characterise an institution" (CSUS, 2005:1). In other words, the actions that the institution takes follow its institutional culture. Schein (1985) adds that an institutional culture consists of three layers. The first layer is comprised of values, which are easy to identify in an institution and are often written down as statements about the institution. The second layer consists of beliefs/tenets which are more specific. The third layer consists of taken-for-granted assumptions, which are the real core of the culture of an organisation. The taken-for-granted assumptions are those elements of an institutional life that are difficult to identify and explain but clearly exist. The research does not however use the third layer in

defining institutional culture for the current research. The institutional culture of the City of Johannesburg is explained in Chapters four.

Institutional culture can also be defined as "the way we do things around here" (Williams, Dobson and Walters, 1990: 11). To elaborate, culture is "a pattern of basic assumptions – invented, discovered, or developed by a given group as it learns to cope with its problems of external adaptation and internal integration – that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems" (Schein, 1985:9 in Brown, 1994). It is clear from the definitions and explanations of institutional culture that institutions develop ways of coping with problems, and expects employees to work according to the values, beliefs and philosophies of the institution. In a similar manner, the City of Johannesburg has developed Joburg 2030, with its values and principles as a way in which the City of Johannesburg will solve its challenges of improving the quality of life for its citizens.

Culture has different consequences: some are negative while others are positive. One of the examples that illustrate 'culture' is the culture of resistance that prevailed in apartheid South Africa, and resulted in the democracy that South Africans enjoy today. Another illustration is the protestant ethic that resulted in economic development (Harrison and Huntington, 2000). From the abovementioned, it becomes evident that culture can help predict outcomes. This statement also highlights and explains qualities that result in institutional failures and successes.

When studying the power of an institutional culture, Kotter and Heskett (1992) realised that culture strongly affected performance of institutions. It is believed that a set of agreed-upon values that operate in an institution leads to success (Fineman, 1993). This may not always be the case as there might be conflicting cultures or subcultures within the same institution. This happens where some departments within the same institution follows specific cultures that do not necessarily reflect the institutional culture of the institution.

Joubert, (2003) as well, advises South African government institutions (the public sector) to be on a lookout for institutional cultural practices that can be detrimental to their success. If this concern is not looked at carefully, the costs can be enormous (Joubert, 2003). The importance of an institutional culture within an institution is to:

- Convey a sense of identity
- Facilitate the generation of commitment to something larger than ones self interest
- Enhance social system stability
- Serve as a sense-making and control mechanism that guides and shapes the attitudes and behaviour of employees.

Kotter and Heskett (1992) acknowledge that it is difficult to change an institutional culture. It has to be changed however, in order for performance of an institution to improve. This is why Mead (1994) emphasises the importance of a 'positive' institutional culture. The positive institutional culture is evident when the institution takes measures to ensure that the outcomes of the institution are attained. Nevertheless, institutions need to be guided by a set of international standards and local conditions. Some of the international standards include good governance, which the paper now turns to.

2.3 Good governance

Good governance is an important feature to institutions, thus it is important to understand what good governance is. Good governance has various definitions and explanations. According to Canadian International Development Agency, "good governance is the exercise of power by various levels of government that is effective, honest, equitable, transparent and accountable" (2005:1). On the other hand, United Nations Economic and Social Commission for Asia and the Pacific (UN ESCAP) explains good governance as having eight major characteristics of being participatory, consensus oriented, accountable, transparent, responsive, effective and efficient, equitable and inclusive and follows the rule of law (2005:2). Another definition of good governance as explained by Dr Mahathir Mohamed is "the exercise of political, economic and administrative

authority to manage a nation's affairs" (Agere, 2000:2). It is from the three definitions of good governance, where the paper derived its understanding of good governance. Therefore, the current paper considers good governance to include aspects of participation, equity, accountability and transparency. It is important to note that different aspects of good governance reinforce each other and are intertwined. Good governance has also had an influence on New Institutionalism.

2.4 What is new institutionalism?

> New institutionalism is concerned with the ways in which human actions are constrained and enabled by the routines, norms, culturally-based practices of the formal and informal structures of society – the institutions – which have evolved, historically, over a long period, and also how these institutions change as a result of human agency (Harrison, 2004: 5).

That is, new institutionalism looks at how the rules, norms and practices of institutions affect society. These practices can either contribute positively or negatively to society. The reason for looking at new institutionalism is to examine the City in light of its contribution to communities through the IDP.

2.5 Roots of new institutionalism

New institutionalism originated from old institutionalism. The old institutionalism was mainly focused on the state as the most important actor that influences society. Thus it was in line with the political system of the welfarist state approaches of the west. Since the welfarist approach was centred on strong government intervention, planning was at the centre of development. However, with the advent of leadership of Margaret Thatcher and Ronald Reagan, came along neo-liberal policies. Neo-liberal policies allowed for the market to dominate with little government intervention. This was the time when the planning function had a minimal role to play (Harrison, 2004).

During the 1990's when Bill Clinton of the USA and UK's Tony Blaire won elections, they could clearly see the market failures of neo-liberalism. At the same time, they could not go back to the welfatist approach. They came up with an approach that included the two, which is called the "Third Way" approach. The Third Way approach is referred to as new institutionalism in academia (Harrison, 2004).

New institutionalism appears in other disciplines, including among others, planning, sociology, political science and public management. The endeavour of new institutionalism is to bring together social, as well as economic areas (Harrison, 2004).

The sociological institutionalism brings a normative aspect. This is done through investigating how decision-making is shaped by shared values, norms, beliefs and meanings (Harrison, 2004). Due to the interconnectedness with Third Way politics, New Institutionalism also looks at different contexts in order to understand the factors relating to culture, politics, economics and politics. This is to help with an analyses that is informed and systematic (Harrison, 2004)

Within planning, there are a number of authors who contributed towards New Institutionalism in this field. Among others are Patsy Healey and Leonie Sandercock.
Within planning, new institutionalism is important especially as far as governance is concerned. Healey argues for a planning approach that includes different stakeholders. One of the reasons for the stakeholder involvement/participation is that there has been success in many municipalities where communities were involved than when they were not involved (Agere, 1996). Put differently, presence of stakeholder participation produces better results than absence of it. It is widely agreed from variety of literature that one of the foundations that ensure success of city plans is targeting local needs more accurately in order to deliver appropriate action plans of implementation. It is through stakeholder participation that local people can help direct the process of identifying local needs. Consequently, local communities can accept programs, as they are likely to feel a sense of ownership. Lastly, including all stakeholders is good for promoting democratic structures and ensures legitimacy of strategic plans (Agere, 1996).

Transparency is inherent in stakeholder participation because all stakeholders who attended would get to understand the city's priorities, strategies and action plans that the city envisages. Summarily, everything that the city aims to do is transparent and individuals in the city are aware of details. Since everything would be transparent, stakeholders would be able to know the institutions/individuals who are responsible for specific tasks. In this way, accountability is ensured in such as way that role players would be accountable to all stakeholders. Equity is addressed because marginalised and vulnerable groups (through their organisations) would be given an opportunity to present their mandates and concerns. They would also defend their interests. Equity is ensured as these groups' interests are accepted and included in strategic plans. Efficiency comes to the picture in this way. Since everyone was part and parcel of the whole participation, no duplication of tasks can happen (Auclair and Adrian, 2004).

When all stakeholders meet to participate in strategic plans, inclusivity is automatically attained due to the fact that different groups in society are part and parcel of the decision-making process.

Within New Institutionalism, interaction with different stakeholders is crucial. This is so that planners can recognise other value positions that reflect the society they are working with. Furthermore, implications of various positions can be clearly evaluated to come up with pragmatic solutions to problems. In short, there is no one concrete universal solution for all places where planning takes place (Hager and Wagenaar, 2003 in Harrison, 2004).

Leonie Sandercock argues that representation of different 'voices' helps in capturing diversity that is important to consider within the field of planning. It is through talk that more understanding and meaning is acquired (Sandercock, 1998).

The institutionalist form of planning has three important aspects. The aspects are about building institutional capacity, forging networks and facilitating dialogue and interaction. Thus, the institutional form of planning has found a way to mitigate many challenges.

This is not say that the approach is perfect because there are critiques to this approach. All these arguments show the importance of mutual learning and responsibility within democratic governance (Harrison, 2004). Healey, (1997) elaborates on the abovementioned aspects through her collaborative planning theory.

Healey, (1997) shows the importance of collaborative planning. Collaborative planning is all about different groups being able to accommodate one another's thinking and points of view. While it is true that there might be winners and losers, perceptions about winning and losing should not be an impediment to collaboration. This is very important for CoJ planning because of issues of participation that are an inherent component of the IDP.

Healey, in addition, indicates that there are two levels of institutional design that collaborative planning efforts pays attention to. They are, soft and hard infrastructure. Soft infrastructure refers to debates and discussions that portray intellect and knowledge. The collaborative efforts are important to the IDP, especially as far as integration is concerned. At the same time, collaboration with different stakeholders is likely to produce diverse and representative ideas. This is particularly important within the context of democracy (Healey, 1997).

Hard infrastructure refers to the structural setup of bodies within society. They include different government departments, business sectors and procedures (Healey, 1997). It is within the hard infrastructure that intervention is needed. In other words, institutionalised cultures can be an impediment to the success of initiatives of the Johannesburg IDP. It is through interrogating these structures that true transformation can be attained.

Through collaborative planning, strategic approaches and policy development can be done. This form of planning is also important as a tool that addresses concerns that are shared among communities and other stakeholders. Collaborative planning helps bring a new institutional resource which arose out of social, intellectual and political capital. This results in a new cultural community, where issues are to be discussed efficiently through

the cultural channels that have been created. To reach the level of the new culture, dialogue is central.

Healey asserts that that the planning tradition has, throughout the years, emphasised critical values of "social justice, material well-being, environmental sustainability and protection, and the importance of democratic voice to citizenship and identity" (Healey, 2002: 14). The abovementioned values are linked with others including inclusivity fairness and innovation. The concept of good governance is central to New Institutionalism, where the evolution of planning led to governance cultures that would help in having good cities. In the following diagram, Healey summarised a framework that would assist in identifying governance structures that depicts planning values within the framework of New Institutionalism.

Planning and dimensions of governance interactions: An institutionalist perspective (Taken from: Healey, 2002:14)

Levels	Dimensions	Valued in a planning perspective
Culturally-embedded assumptions and habits		
	Range of accepted 'modes' of governance	Openness, responsiveness, goal-achieving, respectful of multiple identities, reasonable, just, fair
	Range of embedded cultural values	Social justice, environmental sustainability, material well-being, democratic multi-vocal citizenship
	Formal and Informal structures for policing discourses and practice	Fair, just, reasonable, balancing local voice with measures to avoid exclusionary practices

New institutionalism has a strong focus on cultural determinants of practices and on understanding why certain forms of governance carry on. Institutionalists who are more interested on cultural institutional practices discovered complex interactions of its implications on economic activities. In fact, there are structures that exist in institutions that underlie the current practices. Furthermore, there are some cultures that are rooted in institutions that sustain the formal structures of institutions. Hajer also realises the significance of institutionalisation that occurs when a policy agenda is meant to strive towards transformation of an institution. In short, it is the everyday episodes, together with specific episodes that show deeper cultures within the institution.

New Institutionalism has been criticised for not engaging with issues of power that penetrate both the economic and social aspects of governance. It is written that the neglect of power leads to situations of control over others through other's supremacy. That is, the New Institutionalist approach maintains inequalities in society. As New Institutionalism is being adopted and modified to fit the field of planning, it has, accordingly, transmitted the strengths and weaknesses of the approach (Harrison, 2004).

It is based on this critique of New Institutionalism that the research focuses on equity planning theory as well. It is argued by scholars such as Fainstein that participation and negotiation will not be a solution to inequalities. It is however important as far as exposing and understanding the needs of different communities is concerned. Thus there is a need for equity planning theory to address the abovementioned challenges.

2.6 Equity Planning

> Equity planning refers to efforts that pay particular attention to the needs of poor and vulnerable populations, populations also likely to suffer the burdens of racial and sexual discrimination, both institutional and personal (Krumholz and Forester, 1990: 210).

Equity-oriented planning is understood as a method that can supplement existing institutional plans to address different aspects of the City's functioning. Thus, equity planning methods link harmoniously with the Republic of South Africa's Constitutional mandates, together with the Municipal Systems Act's goals of addressing injustices of the apartheid past via the implementation of IDPs. Section 153 (a) of the South African Constitution states the developmental duties of municipalities as to:

> Structure and manage its administration and budgeting to give priority to the basic needs of the community, and to promote the social and economic development of the community (RSA, 1996: 63).

The theory of equity planning is more concerned about the question of "who gets what in society". From this question, the theory goes on to encourage planners to strive towards

"increasing equality" (Fainstein and Fainstein, 1996: 270). Equity planning recognises conflicting social interest in society, which may not necessarily be reconciled. Thus the theory looks at public programmes as creating winners and losers. The people who are defined as losers are normally the ones who already suffer from economic as well as social disadvantages. Equity planning is more concerned with "the distribution of costs and benefits" rather than on the overall success of projects or policies (Fainstein and Fainstein, 1996).

There are different forms of social equity that are relevant to many cities of the world. The dimensions are "economic equity, equity of opportunity and access, equity of results and public service delivery, and cultural equity" (Blakely, Fallon and Hoffman, 2005).

Equity planning views planning as a political endeavour as opposed to being a strictly scientific and rational tool. Equity planners embrace participation of the public in establishing goals of those groups. In essence, equity planning embraces the notion of representation of disadvantaged groups within processes at the governmental level. In addition, equity planners want decentralisation of policy-making within governmental structures. The theory encourages equity planners to "advance the interests of the poor and racial or ethnic minorities, even when opposed by popular majorities" (Fainstein and Fainstein, 1996:271). However, "Formulation of those interests ideally includes involvement of the people on whose behalf planning is being done, but ongoing participation is not a necessary condition, for the aim is equity, not consultation" (Fainstein and Fainstein, 1996:271).

The theorists suggest that equity planning can be used in cities that experience economic, social and political problems. The reason for the selection of the theory is because other forms of planning that are physical in nature are unlikely to change the social problems faced by people (Krumholz, 1996).

Equity planning in later years realised the importance of including the marginalized groups in important meetings. If the minority groups were absent, the meetings would be

postponed while trying to get the excluded people to participate (Sandercock, 1998). Critics of this approach argue that it is not enough to get people to the table to talk about issues (Sandercock, 1998).

Bond, on the other hand argues that the South African reality is characterised by an increasing move from racial apartheid to class apartheid. That is, the rich get richer, while poor remain and become poorer. According to Bond (2004; 2), class apartheid is "systematic underdevelopment and segregation of the oppressed majority through structured economic, political legal and cultural practices". This concern is further echoed by Beavon, (1999), who refers to the abovementioned situation as 'neo-apartheid'. It is due to these disparities that make it even more relevant to consider equity planning within the South African Planning context. However, the institutional culture that exists within institutions should slowly but surely contribute to reversing these impacts. The current situation explains a need for equity planning approach in post-apartheid South African cities such as COJ.

The South African reality as explained by Bond is a result of neglecting equity planning. Thus, employment of equity planning can change the character of cities from what Bond (2004) observed. Furthermore, as one of the aims of the IDP is to address injustices of the past, a shift towards equity is necessary. The reason for having equity theory is to address the abovementioned component. It is stated in vision 2030 strategy that the City's long-term vision or goal is to have a world class African city. This will only happen if the needs of the poor and vulnerable are taken into account and addressed, through equity planning. If these issues are not addressed, crime, grime and inequalities within the City will only get worse. In essence, the long-term City goals will be affected greatly by huge inequalities. Addressing inequalities through equity planning helps the vulnerable and the spin-offs also affect the broader community (Blackley, Fallon, and Hoffman, 2005). In short, not applying equity planning theories within the CoJ that is characterised by inequality is similar to throwing a boomerang and expecting it not to come back (Barret, 2001). That is, the consequences will come back to worsen the inequality situation.

2.7 Conclusion

The chapter succeeded in laying out the theoretical framework that is important in guiding the research. These theories are applicable to the City of Johannesburg context. There are various authors who contributed to the theories, to give a broader overview of the two theories chosen in this study. This chapter has also laid a foundation for the following chapter on the IDP.

Chapter 3

The Integrated Development Plan

Chapter 3: The Integrated Development Plan

3.1 Introduction

The chapter is an outline of the IDP. In this chapter I show how an IDP should be done and the components that are important in drafting the IDP. This is to give a background against which the Joburg IDP should be prepared and also give an idea about an environment that would be conducive to IDP production. The chapter starts by explaining what an IDP is and also states its components. Another section describes the goals of the IDP and its process.

3.2 What is an IDP?

An IDP is defined as

> A participatory approach to integrate economic, spatial, sectoral, social, environmental and fiscal strategies in order to support the optimal allocation of scarce resources between geographical areas and sectors and across the population in a way that provides sustainable growth, equity and empowerment of the poor and the marginalised (FEDP, 1995, Volume 1, cited in Harrison, 2001, p.185).

This planning tool was introduced after South Africa's new democracy in 1996. The approach differed from apartheid planning as it moved away from separate development that resulted in social, economic and environmental fragmentation. Instead, the IDP is focusing on integrating the fragmented aspects of our society. IDPs were introduced in an attempt to promote local development by being strategic and comprehensive (Harrison, 2001, cited in Robinson, Brown, Todes, and Kitchin, 2003). This form of planning is legislated in the Municipal Systems Act of 2000, thus the legislation applies to all metropolitan, district and local municipalities in South Africa. An IDP is a medium term plan (five-year plan) that is synchronised with the five-year term of elected councils (Harrison, 2004). The MSA states that "each municipal council must… adopt a single, all inclusive and strategic plan for the development of the municipality". According to Harrison (2004), the IDP was a response to a need to come up with a local planning tool

that would apply in a post-apartheid regime. The IDP as a tool was needed for coordinating and directing local authorities (Harrison, 2004) and for improving service delivery and development within municipalities.

According to Harrison, the White Paper on Local Government (1998) clarified the role of the IDP as a key tool to attain the goals of a developmental local government (2004). A developmental local government is, or should be; concerned with promoting economic and social development of communities they serve. The principles of inclusivity and participation are echoed when local government has to be developmental. These are the principles of equity planning theory and New Institutionalism.

The IDP also uses instruments such as performance management tools and is also participatory (Harrison, 2004). The role of the IDP as outlined in the White paper is to provide a medium-term vision of a municipality. In addition to that, the IDP is supposed to help the elected council set up priorities, link and co-ordinate sectoral plans and strategies. The IDP is also supposed to ensure that the implementation needs are aligned with available financial and human resources. Lastly, the IDP can help with budgeting on an annual and medium-term budgeting. In order for the IDP to fulfil its roles, it is supposed to include certain components.

The IDP comprises the following components, as outlined in the Municipal Systems Act (Act 32 of 2000). In other words, these sections should appear in each and every produced IDP document.

- A vision for the long-term development of a municipality with a special emphasis on the municipality's most important development and internal transformation needs;
- As assessment of the existing level of development in the municipality, which must include the identification of communities which do not have access to basic municipal services;
- The council's development priorities and objectives for its elected term, including its Local Economic Development (LED) aims and its internal transformation needs;

- The council's development strategies which must be aligned with any national or provincial sectoral plans and planning requirements binding on the municipality in terms of legislation;
- A Spatial Development Framework (SDF) which must include the provision of basic guidelines for a land use management system for the municipality;
- The council's operational strategies;
- Applicable disaster management plans;
- A financial plan, which must include a budget projection for at least the next three years; and
- The key performance indicators and performance targets determined in terms of section 41.

For the components to be integrated there is a need for collaboration. In other words, the absence of this important aspect of new institutionalism theory may negatively affect the integration.

The IDP is also seen as an instrument that would link with the national Medium-Term Strategic Framework (MTSF) and provincial government's Growth and Development Strategy (PGDS). Furthermore, the IDP could help to align "policy, planning and budgeting processes across all spheres of government" (Harrison, 2004: 20). The IDP is a crucial instrument of an intergovernmental planning system.

The relevance of these core components of the IDP to the research comes from the fact that the departments that I am investigating have different roles to play with regards to ensuring that parts of their components are included in the IDP. The CPU is mainly responsible for ensuring that all the different components appear in a finished IDP document for a specific period. That means the CPU is an integrating department. On the other hand, both the EDU and the Health Department are responsible for assessing the existing level of needs for communities in order for them to come up with relevant projects and programmes for those communities. These departments need an institutional culture that embraces some form of equity planning.

3.3 Goals of the IDP and community participation

Integrated development plans are supposed to be prepared to fulfil the requirements of a developmental local government.

According to Section 153 (a) of the Constitution of the Republic of South Africa (1996), a municipality that is developmental

> …must structure and manage its administration and budgeting and planning processes to give priority to the basic needs of the community, and to promote the social and economic development of the community.

The White Paper on local Government (1997: 17) also adds by stating that

> Developmental local government of local government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives.

The IDP aims to attain different forms of integration such as social and economic forms of integration. Furthermore, the IDP is designed to help municipalities to work towards the uplifting both the social and economic aspects of local communities. The main focus is on the previously disadvantaged communities within a municipality. Disadvantaged communities are those that were mostly affected by apartheid-based planning that resulted in fragmentation (MSA, 2000). The aims of the IDP bring forth the principles of equity planning. The principles emphasise the role of planners in helping previously marginalised groups. For the IDP to appropriately meet the needs of the marginalised, collaboration through NGOs and CBOs is very important. The inclusivity helps in building new cultures that would help to sustain the cultural community that would have been created through the soft infrastructure. In addition to community participation, processes of producing an IDP are important.

3.4 Processes of the IDP

There are five phases in the production of the IDP document. The five phases are analysis, strategies, projects, integration and approval. All the phases are crucial to successful completion of the IDP document.

The analysis phase identifies the needs and priorities of communities. Furthermore, this is a stage where available and accessible resources are identified though existing data or research that identifies that. One of the most important in analysis is the understanding of dynamics that affect development within the specific sector. For example, the migration patterns of the people in a certain area might make the initiatives of the health sector inefficient as more HIV-infected people increasingly migrate to a certain area. The importance of this whole exercise is the overall assessment of the area to assist with prioritising issues, with a clear understanding of the causes of the issues. Lastly, it helps with the knowledge of available resources to deal with such issues. Understanding available resources includes knowing the budget available to the City from taxes raised and from the national treasury.

The second phase is where strategies are developed. This is where there is input from different communities and other spheres of government about the problems, and thus comes up with identified challenges. This helps in having an agreed-upon vision, where everyone will be dedicated to achieve that goal. Furthermore, innovative and cost-effective solutions can be found from these strategies. These principles come from New Institutionalism's good governance and social inclusion.

The third phase is where projects are identified. Identification of projects helps departments to have detailed and concrete proposals have targets, time horizons, technical standards and cost estimates. The project task teams are responsible for the projects. For example, the EDU earmarked building to be renovated in the inner city. They had targets, a budget and time frame to achieve those goals. At the moment, the projects of rejuvenating flats at Bree Street have been completed.

The fourth phase of integration helps with checking project compliance with visions, objectives, strategies and resources of each department. This is the phase where spatial distribution of projects is checked. This is so that people who reside within the City should have projects that are satisfactory.

The last phase is approval, where all the projects have to be presented to the council for approval, where amendments on the projects and programmes can be done. It is after amendments that approval of the IDP can take place, together with its projects and programmes.

In short, based on the importance of the IDP, the EDU and Health departments' HIV/AIDS unit have to come up with strategies that try to address development priorities. The strategies and the plans clearly indicate the goals that are to the attained. The strategies are supposed to deal with root causes of the problems that are experienced by each unit. All the programmes and projects that are identified need to deal with cross cutting issues such as equity. The projects should be specific, measurable, attainable, realistic and time-bound. The projects should be aligned with available resources.

All the three units have their own unique practices of dealing with attaining their goals. These practices are influenced by a certain institutional culture that the current research is interested in investigating.

3.5 Conclusion

The IDP as an important planning tool can potentially help to slowly reverse the effects of apartheid planning. Therefore it is imperative that the CoJ institutional culture is honed at this stage in order for the goals of the IDP to be reached. The IDP, as a good tool that is legislated should be supplemented/supported by an appropriate institutional culture so that it becomes more helpful. In short, if the IDP is implemented efficiently, it can change the lives of Joburg residents for the better. However, the IDP does not seem to be produced well in the CoJ because of the institutional culture that prevails within the CoJ. In the next chapter, the Johannesburg planning context within which the IDP is produced

is looked at. This CoJ planning context will reveal the institutional culture (values, belief and philosophies) that the City holds in its IDP preparation.

Chapter 4

The Joburg planning context

Chapter 4: The Joburg Planning Context

4.1 Introduction

The chapter starts by outlining the context of planning that takes place at the City of Johannesburg. The specific focus is on Joburg 2030, which guides IDP production within the CoJ. Another focus is on the CoJ IDP production within this current context. This is to show that the CoJ IDP is not developmental as it is supposed to be because of the institutional culture that is adopted by CoJ.

4.2 City of Johannesburg context

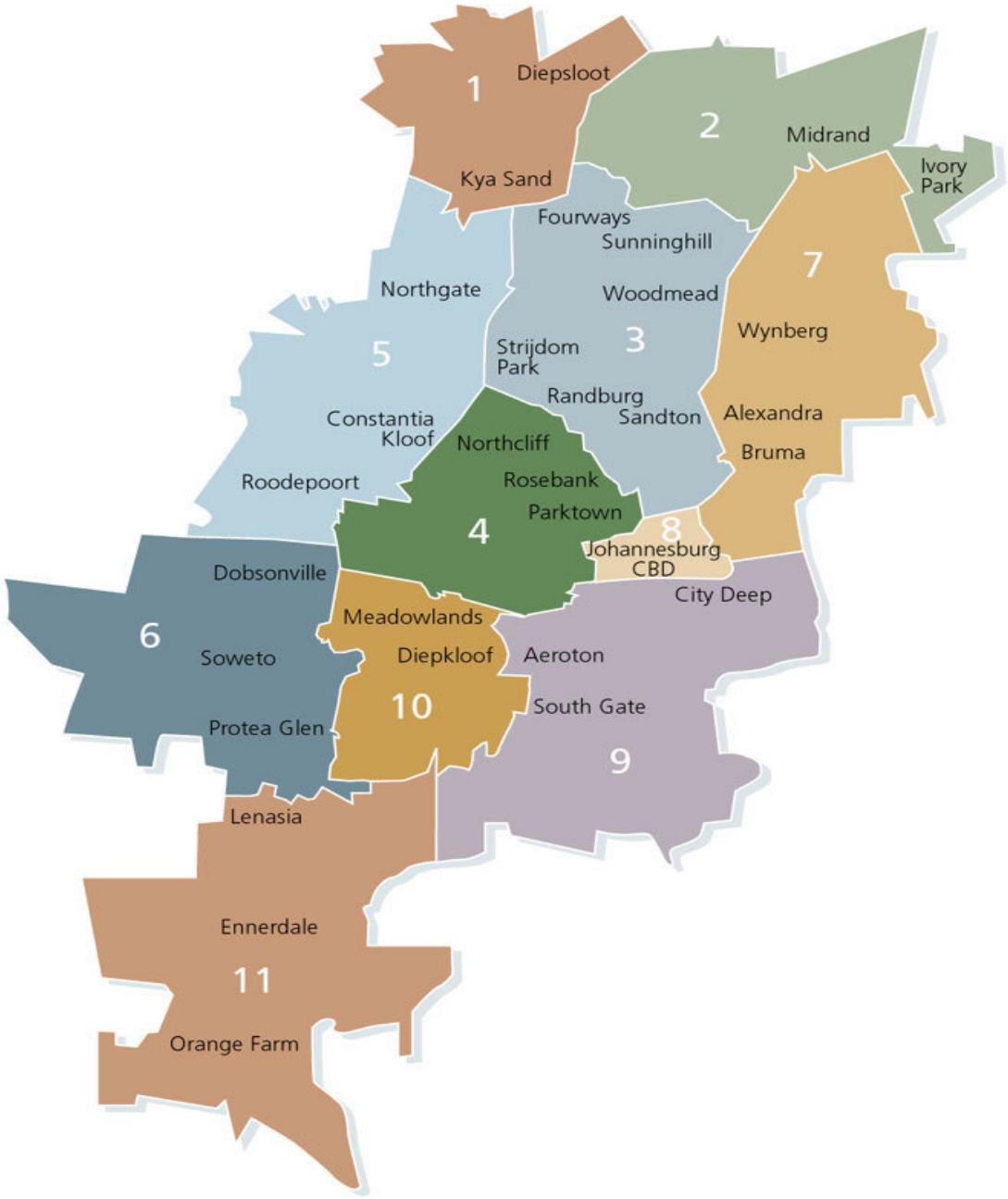
The City of Johannesburg emerged out of the discovery of Gold. It is 119 years old, with world-class roads, telecommunications and commercial infrastructure. Many people have regarded it as place of opportunities. There are roughly 3.2 million people residing within the borders of the City (CPU, 2005). The city is culturally diverse and cosmopolitan.

Despite everything, the City faces major challenges of unemployment, significant social inequality, HIV/AIDS, inadequate skills. Further challenges include providing water for every resident, electricity, housing and social development (CPU, 2003).

Location

The City of Johannesburg is one of the six metropolitan municipalities in South Africa. It is situated close to other metropolitan municipalities of Tswane and Ekurhuleni within Gauteng province. The City consists of eleven administrative regions, including among others, Orange Farm, Randburg, Sandton, Alexandra and Soweto. The City is the smallest in terms of size as compared to Tswane and Ekurhuleni. However, the population size is greater than the abovementioned metros (CPU, 2003). The following map shows the City of Johannesburg and its administrative regions.

The map of City of Johannesburg



Prevalence of HIV/AIDS

One of the major problems faced by the City is HIV/AIDS prevalence. HIV/AIDS is responsible for a sharp drop in life expectancy within the City. Africans are the ones that are more infected and affected by the epidemic. One of the effects of the pandemic is death of parents who leave many orphaned children and child-headed households. Another effect will, in the long run, disturb the gender balance (CPU, 2003).

Economy

Johannesburg is the largest single metropolitan contributor to national economic product. The City contributes almost 16% to the national economy, while contributing 40% to the economy of Gauteng (CPU, 2003).

There are four dominant sectors that contribute to the City's economy. They include:

- Financial and business services;
- Retail and wholesale trade;
- Community and social services; and
- The manufacturing sector (CPU, 2003).

In light of the context and challenges faced by the city, many cities around the world develop long-term strategic plans to deal with such challenges. In Johannesburg, such a strategic plan is captured in its Joburg 2030 vision. Joburg 2030 is a long-term City Development Strategy (CDS) that is supposed to give direction to the City with regards to the long-term goals that the City needs to achieve.

4.3 The Joburg 2030 vision

Joburg 2030 is a long-term Economic Strategy that is meant to give direction to the City with regards to the long-term goals that the City wants to achieve. This vision document arose from iGoli 2010, produced in 2002, as an economic plan to address economic problems. According to the Economic Development Unit, "The aim of the strategy (Joburg 2030) is to expand the City's economic base while at the same time creating new opportunities for economically disadvantaged residents" (Economic Development Unit, 2004). This suggests that the City is focused on economic development above all else.

The Joburg 2030 strategy is also a vision of the City. The vision is for City of Johannesburg to become a world class African city by the year 2030. To attain the Joburg 2030 vision, there are a number of tenets that are outlined to help in this regard. They are listed and explained in light of theories discussed in Chapter 2.

Tenet one

> The starting premise is that a 'better' city and a 'better' quality of life for its citizens (however this is normatively defined) is fundamentally based on the ability of the City's economy to grow. By growth, the paradigm simply means sustainably increasing rates of gross geographic product (GGP) accumulation year in and year out. All other considerations (such as poverty alleviation, distribution of income and so on) flow from this necessary condition (Corporate Planning Unit, 2002: 8).

The vision seems to be conflicting with the developmental role of local government as stated in Section 153 of the constitution and Section 23 of the Municipal Systems Act. It is clear that the tenet emphasises GGP growth as the main route to a world class African city. The City suggests that people will help themselves once the GGP has increased. That is, the GGP will result in more employment for the poor. This will then mean that the poor can afford to access their needs. In short, the future of the City is put in the hands of business. This is contrary to the fact that businesses are not interested in communities, but more interested in profit making as was previously explained in Chapter One. Based on this model it is vivid that the institutional culture that arose from this model would not be focused on equity planning or incorporate values from the planning version of new institutionalism. The assumption is based on the fact that it is already predetermined what will make the City turn to become world class only through economic growth. Thus there is no need for collaboration with communities and other relevant stakeholders such as NGOs. This method employed here is technocratic and conflicts with the values and principles of the IDP as explained in the previous Chapter on the IDP.

Tenet two

This tenet emphasises that by harnessing economics of urbanisation and increasing total factor output will result in a sustainable GGP growth. Thus the City is supposed to focus on increasing the factor productivity of major inputs such as labour, transport, commercial space, services, and supply chains among others. The City is also supposed to increase productivity of how the abovementioned inputs interact. The City is supposed to act as an economic entity for the GGP to increase significantly.

This tenet put the City in a position of being a profit seeking entity, even though it is simultaneously stated that the City should provide a conducive environment for business to operate more efficiently. This tenet emphasises the economy and GGP as the main goals for the City. This neglects other functions that are competencies of local government. Again, the tenet does not reflect any commitment to equity within this framework, which is highly valued within the framework of the IDP.

Tenet three

Economies of location are given preference in the third tenet. This means that the City should identify key sectors and develop economies of localisation. This is said to contribute towards an increased GGP for the City. Thus the tenet shows that it is only the City that will determine the sectors that will be beneficial in ensuring economic growth. No principles of stakeholder involvement are shown within this framework that is designed to help the entire CoJ.

This tenet focuses on the City as facilitating economic growth. However, the City will identify the sectors without any input from elsewhere. Balancing local voice with measures to avoid exclusionary practices has not been an issue to the City. This is why economic activities of the second economy have been neglected, as is shown in the discussion on the EDU.

Tenet four

> This fourth tenet will also come into play when looking at future City resource allocations. The Council will not transfer all resources to longer-term economic growth-related issues at the expense of current programmes targeting immediate and pressing normative issues. However, Council will need to prioritise those short-term direct programmes that contribute to the overall aim of economic growth over those that do not (CPU, 2002: 10).

The tenet states that the first three tenets are stronger and will be considered above normative considerations. That is, the current programmes of social development should continue. However, it is the economic development that will finally help to solve issues of poverty and other related social ills of the City. It is clear that there is no absolute neglect of social problems, but there is no clear intention to focus on them either. This is so despite the fact that the IDP is supposed to ensure specific attention to the needs of the poor and vulnerable.

Joburg 2030 is a result and a product of the CPU and the Council. There was inadequate participation and there are many aspects of a CDS that are missing. This is reflected in the following quote

> …the fact that the broad direction of economic development planning in Johannesburg continue to be heavily influenced by aspirations for status as a world class African city and that the voices of the poor are not strongly represented in the strategic visioning exercise of Joburg 2030 (Friedman *et al* , 2003)

This condition seem to be a direct result of lack of participation, because if participation was part and parcel of the whole process, many departments could have included issues that are of major concern to the City. In effect, through participation, the outcome of Joburg 2030 would have better reflected the needs of many units and communities.

The lack of participation has resulted in a plan that lacks a set of criteria towards inclusive strategic planning. Furthermore, urban governance aspects missing from this vision include social and environmental sustainability. If groups interested in these issues were involved in its conception, these aspects would have surfaced. Thus, the Joburg 2030 vision is problematic because it is an economic plan that does not address issues in all various departments of the City. This realisation forced the CPU to review the 2030 vision, which will happen in 2006 (Interview with Gotz, 2005).

Joburg 2030 has been the only City Development Strategy for the City of Johannesburg until the introduction of a supplementary strategy in 2005 – the Human Development Strategy (HDS). The City produced a Human Development Strategy (HDS) in May 2005 that is meant to address issues of social sustainability. The HDS is explained fully and linked to the theories in the following section.

4.4 The Human Development Strategy

The City of Johannesburg developed a Human Development Strategy (HDS) to compensate for a lack of developmental aspects in the Joburg 2030 document. The aim of having the HDS is "to provide a framework within which other City policies cans accommodate a human development perspective and address conditions such as poverty, inequality and social exclusion on city-scale" (CPU, 2005). The HDS is a plan to help fight poverty and promote human development until the year 2016. It is the current conditions prevailing within the City that necessitated a HDS. Some of those conditions include the fact that more than half the households in Joburg earn less than R1600 a month. Many residents live on a daily basis without adequate water, electricity and sewerage. Others live in overcrowded and hazardous buildings that are dilapidated. In addition to the mentioned challenges, the impact of HIV/AIDS started to manifest. There are obvious sharp inequalities between the rich and the poor.

> A human development perspective of the HDS recognises that people are the City's biggest asset and that they need to be supported and

> encouraged to realise their full potential to become fully-fledged urban residents (CPU, 2005: 2).
>
> A world-class African city for all – this is Joburgs commitment to the poor…(CPU, 2005: 2).

The HDS is comprised of three strategic directions. They are meant to:

1. Safeguard and support poor and vulnerable households. This effort will help the residents to access social safety nets such as disability, child and old age grants from any of spheres of government. This intervention is based upon the reality of incomes received by many households as stated above.
2. Champion rights and opportunities. This intervention is to deal with inequalities prevailing in Joburg. The inequalities show that one in five residents do not have formal housing, thus have no access to services that go along with having formal housing. It is argued that even when opportunities are created through economic growth, these vulnerable groups are not likely to benefit as long as they remain poor. This is why this strategic direction focuses on addressing issues of economic, gender, spatial and generational inequalities.
3. Build prospects for social inclusion. This strategic direction deals with building social relations and partnerships between residents and the City and among residents themselves. This is cultivating seeds that will ensure a world-class African City for all the City's residents.

From the challenges that have been mentioned, it is clear that a developmental role of local government is needed in Joburg. The Human Development strategy is evidence of an inappropriate institutional culture in Joburg as is reflected by the values, belief and philosophies of Joburg 2030 that are anti-developmental. That is, the HDS is responding to absence of developmental values of Joburg 2030. This is the kind of institutional culture that is not conducive to IDP production that is envisaged in the MSA. This means that the Joburg IDP is in a wrong context to fulfil its developmental role within the City of Johannesburg.

The HDS is a product of the Corporate Planning Unit. When coming up with the HDS, there was participation with stakeholders. The City decided to have the strategy as a way of dealing with certain challenges. It is therefore clear that the principles of democracy and inclusivity do not apply. It is based on the fact that the City makes decisions that affect people without the people being part of the process. This is what equity planning theory emphasises.

4.5 Joburg's Integrated Development Plan

In addition to the CDS (Joburg 2030), there is a need for a five-year medium-term strategy that should put the long-term goals into context. In South Africa, IDPs are the medium-term strategies adopted by all cities (RSA, Municipal Systems Act, 2000). IDPs are supposed to give clear guidelines to each and every department as to how they should produce their business plans in order to meet targets of the municipality within a stated period of five years. The IDP is supposed to describe in a great deal of detail what the municipality hopes to achieve and how each department ought to use and distribute its resources towards attaining annual goals. The provincial tier of government then monitors whether IDP goals and targets are met.

The City of Johannesburg follows a slightly different route with regard to production of IDP documents. The IDP is adopted as a shot-term/annual plan that consists of the business plans of various departments. That is, the City's IDP is only used as a document that brings together projects and programmes of different departments in one document. Thus the City's IDP does not fulfil the task of being a strategic document. The implication is that all the departments come up with their own plans that are not guided by the IDP, but are guided by Joburg 2030. An official form the City confirmed that

> In Johannesburg what we have is this. We have a long-term strategy which is a very, very meaty document. You know, whether you agree with Joburg 2030 or not, it's a substantial document, and the understanding basically was that the long-term strategy informs the departmental plans, and then departmental plans, number of different departments. Theirs basically comes together into the IDP. And we don't

> need a lot of strategy in the IDP because we've got a lot of strategy in (Joburg 2030). You see what I mean (Interview with Gotz, 2005).

4.6 Reasons for a non-strategic document

The CoJ decided to use a different model from others used by South African cities. Here, the CoJ's long-term City Development Strategy (its Joburg 2030 vision) serves as its strategic guideline. As such, there was no need for the IDP to be strategic as Joburg 2030 provided for that aspect. Furthermore, due to a misconception of the people who produced the first IDPs, the IDP was viewed as putting together of business plans of different departments 'within a coherent framework rather than real five-year plan which was meant to create the certainty for municipality as a whole' (Interviews with Gotz, 2005). This again, proves the supremacy of Joburg 2030 in influencing departments of the City. This became the general practice of producing an IDP for the City of Johannesburg, and each year a new IDP is produced.

4.7 The root cause of the culture of producing annual IDPs

It is clearly stated in the Municipal Systems Act that IDPs should be synchronised with the election term of office (2000). Obviously, the statement infers that the IDP should be a five-year plan. The legislation states that a municipality should only review its IDPs annually, not produce a new IDP every year. This approach of producing annual IDPs seems to be problematic because it undermines how the IDP should be ideally done. Again, we need to ask why?

Through interviews with an official within the Corporate Planning Unit (CPU), I discovered that the decision to undertake annual IDPs was not a conscious choice that the department made. In fact, it was "almost like an accident of circumstances" (Interview with Gotz, 2005) that arose out of a City Development Plan (CDP), which was the City's first attempt at a city-wide Integrated Development Plan. The CDP was designed to guide the City for three years, until it became clear that this CDP was valid for only one year, as its implementation assumptions were unrealistic. Consequently, many of the CPU's

promises could not be kept because the CPU underestimated the tasks at hand that were supposed to be carried out.

In addition, it became clear after the failed implementation of the CDP that each municipal department needed to produce annual business plans. This became the adopted approach as reflected in development of annual IDPs. The process that is followed in developing the IDP is explained in the next paragraph.

4.8 The City of Johannesburg IDP process

Annual IDPs represent many complex processes that might not be visible from the document itself. To understand these complexities, one needs to look at the underlying processes that underpin the IDP. The process involved in the IDP constitutes four stages, namely: (1) agenda setting, (2) business planning and budgeting, (3) outreach programmes and (4) tabling and approval. Each of these stages involves different departments and units that have their own specific values. Consequently, all follow specific practices. However, the CPU is responsible for overseeing the whole process and it is the one department that works with all other departments. The following quote captures the departments that directly get involved in the production of the IDP document.

> If we look at the breakdown of chapters in the IDP, there are quite a number of internal departments. Basically you get the overview of the IDP, which is guided by the provincial IDP, right? So the overview that includes like what the IDP is, the legislation, the comments, the process and the context is done by our unit, Corporate Planning Unit. We have got a chapter that outlines the departmental…all that departmental review, which profiles the city in global context, which is also done by the CPU, but the research unit thereof. In your vision and strategy, that's being done by the Economic department. You get your intergovernmental alignment which is done by ourselves plus province which is an external body. Community outreach process is being done by the speaker's office, which falls within this organisation. Spatial Development Framework is the Department of Development Planning.

> Your IDP projects and programmes, that includes your agenda, city scorecard and IDP programmes is being done by the performance management unit. The institutional framework is being written up by the Corporate Services Department. Uh, as indicated, the performance management unit plays a vital role and then of course your revenue and budget office. And all of these people come together twice a month to set out the targets and the way forward for the IDP for basically the next year. So we meet every second Friday to discuss issues, from the IDP process and content (Interview with Fouche, 2005).

An annual IDP is a relatively substantial document that is made up of various processes that are carried out by the CPU together with a number of other departments specifically dealing with specific tasks. It is a process that aims at allocating resources for attainment of inputs and outcomes. The mayoral committee sits down in a series of meetings that happen throughout the year called lekgotlas. The lekgotlas are meant to decide what the City's goals need to be.

There are three meetings held by the mayoral committee that take place in a year to determine priorities for the City. The first meeting is called the political lekgotla, which happens in September. The second one is called the 'first budget lekgotla', which happens in October and the third on is called the 'second budget lekgotla', which happens in March of the following year.

What happens at the first meeting is that the committee looks back at the achievements of the City in previous financial year. There are processes that are involved that assess those aspects. In the second meeting, strategic priorities for the current financial year are then determined. This process is also informed by a series of documentation. It is from this meeting that strategic thrusts are decided upon. An example of the strategic thrusts are depicted below.

> **Thirteen Strategic Thrusts**
> Effective financial management
> Sustainable development and environmental management

> Service delivery excellence, customer care and Batho Pele
> Access to basic services
> Public safety and by-law enforcement
> Housing delivery
> Transportation
> Economic growth and development
> Good governance and building democracy
> Strategic management
> Fighting poverty and promoting human development
> Municipal service entity management
> HIV/AIDS prevention and management (CPU, 2004)

After the mayoral committee decided upon the strategic thrusts for the year, the strategic thrusts are then given to different departments. The departments are supposed to be informed and guided by the strategic thrusts in producing their annual business plans. Generally, political decision-making determines the thrusts.

In short, departmental programmes are shaped by strategic thrusts that come from the mayoral lekgotla. All the projects and programmes they plan will have to be aligned to those strategic thrusts. After the departments/units determined their programmes, those programmes go into another phase where a Capital Investment Management System (CIMS) model is used as a tool to approve capital projects. For projects and programmes that are not infrastructural, departments/units have to come up with those programmes that have to be presented to the Council. It is after Council approval that the departments can continue with implementation of those projects and programmes. These are the projects that appear in the in the IDP document. When I asked about how the departments prioritise their projects, the answer I attained appears below.

> Well, they actually supply us with this because at the beginning of each financial year, each department needs to come up with a business plan for that year that will include your projects and programmes, which they then have to prioritise and which they then need to go to the budget panel to get a budget for that and basically implement those programmes which they have highlighted (Interview with Fouche, 2005).

In essence, different departments only have a few statements that guide them about the intentions of the municipality, together with the Joburg 2030 document. And these statements are based on the Joburg 2030 strategy, which the mayor is working towards fulfilling, not the needs of the communities. It is based on the community participation that happens in the City that makes IDP production to not become conducive to meet the conditions of the IDP as stipulated in the MSA.

The public comes together to give an input to the IDP through a series of community participation meetings held four times in a year (Interview with Mathabela, 2005). The office of the speaker is responsible for all public participation meetings. These meeting are open to the public and the public gets informed about the meetings through posters advertised in different areas and at the City offices. Through attendance of the two meetings, I discovered that there is generally a poor attendance of those meetings. Many people who attend those meetings are ward councillors. Furthermore, the attendees seem to not be well acquainted with issues discussed at the meetings. While they are supposed to give input into what was presented on, they tend to focus on talking about the problems they encounter in their areas and how the City has not helped them in that regard. They are then told to put their complaints in writing so that the office of the speaker can direct the complaints to the relevant departments or units.

The public seems to be frustrated by the fact that they have to go through formal measures of wring the grievances to the Council if their matters have to get resolved. A further frustration comes from presentations that sound too technical for anyone with little education to understand. This illustrates the fact that community empowerment of ward councillors does not help them to be able to understand the issues that are being presented to them by the City.

I argue that the principles of equity planning – that is, ensuring that the voices of the vulnerable are heard – are not adhered to. If the public can only raise concerns in a written manner, there are many people who may not be capable of fulfilling these

requirements. This will then hamper the importance of holding public participation meetings. If public participation meetings are understood as a presentation by the City and questions regarding that presentation for the public, then the essence of public participation is lost. This is based on the fact that public participation is supposed to incorporate issues beyond those that appear on the slides of a presentation. In short, the departments come up with their own projects and programmes and expect the public to comment on them. This means that the communities do not help in coming up with the projects and programmes that affect them.

4.9 A critique of the Joburg IDP

Individual municipal Departments have to interpret what the strategic thrusts mean in order to come up with their plans. It is often difficult for the mayoral committee to completely reject their proposals, as they were not given guidance. In other words, there is no document that explains (in detail) what each Department ought to do in relation to their projects and programmes. Consequently, the City is pulled in different directions. In short, the way in which departments prepare plans for the IDP is inappropriate for integration that should be attained by the IDP document. For the fact that the units prepare projects and programmes without any guidance means that the implementation of those projects that are found in the IDP document lacks the integration component.

The yearly plans prepared by the different Departments reflect the old system of doing things where there was no medium-term plan to integrate developments. The previous apartheid system planned annually. The departments have to interpret the Joburg 2030 in their administration of projects. Since this is a high-level strategic document, it has to be digested into smaller manageable parts by the IDP. In absence of this duty, different departments can have their own practices that dictate their operations. This can then lead to practices that only the departments understand, which are not necessarily part of the City’s plans.

This model is problematic because the Joburg 2030 vision has led to different interpretations by different Departments without any medium-term IDP guidance. Moreover, the 2030 vision is, in itself problematic as was earlier illustrated.

5.0 Conclusion

This chapter identified the roots of the Joburg 2030 vision, which are contradictory to the values of a developmentally oriented local government. In examining the CoJ institutional culture, it was found that those values and principles do not create a conducive environment within which the IDP document is produced. Thus the Joburg IDP does not fulfil its developmental role based on the fact that it is produced within a context that is not conducive. That is, the City finds it difficult to follow both the Joburg 2030 principles and the IDP principles. This is why it is clear that the City then follows Joburg 2030.

Chapter 5

Introduction to the institutional culture that affects the City's three units

Chapter 5: Introduction to the institutional culture that affects the City's three units

5.1. Introduction

This chapter introduces the Health Department's HIV/AIDS Unit, the Corporate Planning Unit and the Economic Development Unit. In assessing these units, the chapter wants to see whether the units follow the CoJ institutional culture or not. This will be done through looking at how the units come up with projects and programmes to solve the challenges they face in improving the quality of life for Joburg residents.

5.2 The HIV/AIDS Unit

The health department was formed in 2002 after the Greater Johannesburg Metropolitan Council became a unicity. The vision of the City's Health Department is to create 'one city, one health system'. The Department aims to improve the life expectancy of City dwellers. This is done through a number of projects that have been earmarked by the Department. One of the strategies that have been completed is the HIV and AIDS programme strategy that focuses more on implementation. The HIV/AIDS Unit drives the City's fight against AIDS.

The Unit identified key focus areas for the coming years. These areas include:

- enhancement of primary health care through integration, decentralisation and rationalisation of facilities
- intensification of efforts in respect of HIV and AIDS through programme implementation and coordination with Government and non-governmental organisations
- consolidation of the City's focus on environmental health through promotion, education and enforcement (CPU, 2004: 140).

In dealing with the HIV/AIDS challenges,

> The City of Johannesburg has taken an active stance in responding to the epidemic.

- The executive mayor is showing visible and vocal commitment to the HIV/AIDS programme, which has been named one of the city's strategic priorities.
- Responding to President Thabo Mbeki's call to join the Partnership Against AIDS, the executive mayor established the Johannesburg AIDS Council in November 2001 to mobilise prevention, care and support responses from the NGO sector in a co-ordinated fashion.
- The AIDS Council aims to galvanise the city's inhabitants in the war against HIV/AIDS.
- A comprehensive AIDS strategy is being implemented in the regions through regional AIDS committees, a multi-sectoral network of role players fighting against AIDS. Some regions are still in the process of establishing the committees (HIV/AIDS Unit, 2005).

The model of dealing with HIV/AIDS issues stem from the Joburg 2030 document. The Joburg 2030 document encourages the Council to deal with the impact of HIV/AIDS within the CoJ (CPU, 2002). It is rightfully stated that the mayoral priorities stem from the Joburg 2030 document. Therefore, the mayor was responding to challenges highlighted by the document. In dealing with the challenges of HIV/AIDS, the CoJ established AIDS Council to deal with such issues. This AIDS Council is chaired by the mayor and is supposed to act in accordance to the needs and direction of the City in dealing with HIV/AIDS even though the provincial government comes up with a broad strategy. This council, together with the HIV/AIDS Unit comes up with programmes and projects that are supposed to be implemented in all eleven regions within the CoJ. This is supported by the following quote.

> Strategic partnerships between the City of Johannesburg, NGOs and sectors involved in the HIV and AIDS work are coordinated at City level, and through the City's regional structures.
>
> In order to maximise resources and expand provision of services, a multisectoral approach has been adopted to enhance the City's response to the HIV/AIDS epidemic; prevention, care and support for those infected and affected. An AIDS Strategy is being implemented in the

> regions through Regional AIDS Committees, a multisectoral network of role players fighting AIDS, and numerous NGOs (CPU, 2004: 54).

This method that has been used in coming up with the AIDS Council is to ensure that the Joburg 2030 vision is attained. The evidence comes for the following quote, where HIV/AIDS is part of the mayoral priorities.

> The IDP is an important step in achieving Johannesburg's vision of becoming a world-class African city. It is based on the six mayoral priorities (HIV/AIDS being one of them) articulated by Executive Mayor Amos Masondo for his term of office and supports Johannesburg's long-term 30-year plan – Joburg 2030 (CPU, 2003).

The key challenges that are faced by the Health Department include:

- The intensification of the HIV and AIDS pandemic.
- Increased demand for health services due to rapid urbanisation
- Waste management practices and non-compliant trade practices
- Implementation of the new health policy framework (National Health Bill)

The question that needs an answer is how the HIV/AIDS Unit identifies its projects and challenges such as the ones that are mentioned above. According to the HIV/AIDS coordinator, the AIDS Council identifies issues that are of a major concern to the City. Then, the HIV/AIDS Unit approves and presents that business plans to the Council to be approved. It is after the approval that the various offices in all eleven regions ensure that implementation of the agreed-upon programmes and projects takes place (Interview with Kunene, 2005). This is a top-down planning approach that the HIV/AIDS Unit is taking. This is of course one of the ways employed by the Department, not the only way.

When I asked about how communities get involved in policy making at the city, an official from the Health Department's HIV/AIDS section said:

> At a very high level here, we have the Johannesburg AIDS council, which is chaired by the mayor. It comprises of different NGOs, sectors,

> institutions like Wits University is represented with professor Holland from Wits University, we have professor Boeg from Pretoria University, we have traditional healers we have reps from Gauteng Health and all sectors are represented. That is at a higher level. At a regional level, we have intersectoral teams. In some regions, they call them AIDS forums. So after each and every year plan, it is communicated to those different structures. The AIDS council meets quarterly, so towards the end of the year, we then present our plan for the following year. They also make their own input, like we have programmes that are led by the Johannesburg AIDS council, which are committed to communities. So there is a link between the community and what the City is doing because we meet with this big structure which is representing some organisation, not all. And once it is approved, then it goes to the regions, and in the regions, they also have their regular monthly meetings with all the stakeholders involved in HIV/AIDS work (Interview with Jele, 2005).

The route that is taken in dealing with HIV/AIDS reflects a top-down approach. This is revealed through the way the AIDS Council and the HIV/AIDS Unit comes up with projects and programmes that are supposed to be implemented at the regions. The regional offices are the ones that are closer to the people and should give an input to the appropriate programmes and projects that would be suitable for the people they are working towards helping. This route is technocratic, with planned programmes and projects that have to be implemented at the regional level.

5.3 The Corporate Planning Unit

> Corporate Planning are the people who think long-term. While other departments concentrate on the operational details of the here and now, Corporate Planning's team are thinking 10 and 20 years ahead, and making sure that Johannesburg is doing the right things now to ensure a better tomorrow (CPU, 2005).

The Unit is responsible for developing an integrated medium-term City Development Plan, which is the IDP. It was also responsible for coming up with a coherent long-term City Development Strategy, which Jo'burg 2030 (CPU, 2005). The CPU provides

leadership. The purpose of the two strategies to be developed by the CPU is so that the Unit can be able to ensure allocation of resources that is aligned to priorities. The Unit is also responsible of promoting good governance as one of the mayoral priorities.

The Unit is to ensure prioritisation, alignment, monitoring and measurement of achievements. Performance management is performed by the CPU to ensure that the goals of the City bears expected results. Thus, within the CPU, a performance management system is introduced and will make sure that there is monitoring of employees and departments, service providers, committees and the council (CPU, 2005). All these three main functions are interrelated to ensure coordination.

There are more other functions the CPU performs such as advising the Council on changes that are required to be made on the economic strategy. Others include formulation and management of the implementation of the economic development research agenda, developing appropriate systems of disseminating information to stakeholders and formulation of the City's economic strategy (CPU, 2005).

The CPU is responsible for ensuring integration of projects and programmes within the IDP document. This is however not fulfilled because of the fact that it is the departments that come up with their own projects and programmes. This then makes it difficult for coordination of projects to happen.

Furthermore, other principles that reflect principles of social inclusion are not present in what the department envisages to do in leading Joburg in the right direction for the coming years. Thus, if principles of equity are to apply, they will be based on coincidence. That is, if one of the team members thinks about it. Therefore, the culture that is reflected by the CPU does not show any commitment to attainment of the goals of New Institutionalism and equity in planning for the City. This point is further illustrated by the Jo'burg vision 2030 which is a product of the CPU.

5.4 The Economic Development Unit

As it has already been stated that Jo'burg 2030 guides all the City's differing departments, I will now focus on EDU.

The Economic Development Unit has been established as an institution by the CoJ to help with the implementation component of Joburg 2030 strategy. The EDU is supposed to identify and implement projects that help the City's economy to grow. It is through the aspect of implementation that a better economic future can be ensured for all those who live in CoJ. The EDU is also responsible for coordination of agencies such as the Johannesburg Development Agency (JDA), the Metropolitan Trading Company (JTC) and the Johannesburg Property Company (JPC). All these agencies work towards the goal of ensuring that Johannesburg turns out to be world-class African City through economic prosperity. These are not the only agencies that the EDU works closely with.

The EDU is also embarked on skills development projects through its partnership with Community and Individual Development Agency (CIDA) campus.

An official from EDU said that

> There are skills training programmes. We are working with the universities and like we have CIDA campus, we support all those efforts to train people so that they can either go into the labour market or they can start their own business (Interview with Ramoreboli, 2005).

During an interview with the same official from EDU, I discovered that there are many channels through which the EDU works in search of an increased/improved economic growth. She said:

> You look at the possibilities of implementing, developing Small Medium Enterprises (SMEs), you look at activities that could create employment so that the quality of life would improve and interventions that could be implemented by government and the private sector. You look at all kinds

> of aspects and you also look at international experiences. I mean if for instance the inner city is depressed, what can you do to change that when you look at other countries, the urban development zones, tax incentives, and any kind of projects within that in that context. (Interview with Ramoreboli, 2005).

The economic aspects that the EDU focuses on include urban regeneration projects, economic development projects and skills development. Other partnerships are forged with higher education institutions within the City. Furthermore, the Open for Business is a company that partly owned by council that helps with provision of skills to emerging Small to Medium Enterprises. There is an element of collaboration that is visible with the relationships that the EDU has with various institutions. It is also interesting that Community Based Organisations do not feature in such partnerships and relationships. Furthermore, it seems as if the EDU went out on its own to identify institutions that would be suitable for fulfilment of its Joburg 2030 goals. To be precise, the EDU comes up with its projects and programmes. It is after this stage that other partners are called in to assist in fulfilling those projects and programmes envisaged by the EDU. This has no element of stakeholder participation and inclusivity

The Economic Development Unit takes a different approach to the health unit in ensuring implementation of projects and programmes. The EDU goes to other countries and looks at the level of development in those areas that are similar to South African cities. These experiences are taken into account when developing projects and programmes for communities in different areas of the City. In addition to international experiences, the EDU focused its attention on the City's comparative advantages, the strength of the economy, what led to decline and deterioration into other sectors and what could be done to reverse that trend. This approach is highly technocratic.

> You look at all countries, you look at Johannesburg's comparative advantages, what it is strong with, historically and why has it deteriorated and what can you do to reverse that decline. Can you bring back the kind of activities that made it strong or can you supplement through introduction of others, economic sectors. And then, on the basis of that,

> you have lessons that could be learned from Johannesburg itself, but you also look at other international cities that have undergone renewal which were in a similar situation as Johannesburg. You look at cities like Dublin, you look at Canada, and all over the world. You look for similar characteristics (Interview with Ramoreboli, 2005).

The EDU is following a trickle-down approach that has been tried in many parts of the world. The logic for the approach is that economic benefits generated by an increase in the Gross Geographic Product (GGP) will benefit firms and people who are at the bottom of the economic hierarchy. This approach has been adopted in South Africa through the GEAR policy. This strategy was heavily criticised by various scholars because it is argued that an increase in the economy does not necessarily equal an increase in jobs (Steton, 1999; Arestis, Palma and Sawyer, 1997). This is also referred to as jobless growth. Within these wonderful plans envisaged by the EDU, I do not find places where there is consultation with interested and affected parties/organisations. It is indeed visible that the Joburg 2030 strategy of not including stakeholders is used by the EDU.

The EDU is currently focusing its attention on sectoral development programme that is more focused on the following sectors:

- Information and communication technology
- Retail and wholesale trade
- Financial and business services
- Transport
- Utilities
- Cultural industries
- Biotechnology
- Medical services
- Manufacturing (food and beverages, professional equipment and other chemicals, print and publishing, fabricated metals, furniture and auto components)

When coming up with these strategies, not many people were consulted. These sectors that have been earmarked fall under the first economy. The second economy is largely

neglected, and is the one that consists of many poorer people, especially who work in the informal sector. Still the EDU is determined to follow the trickle-down approach as is evident in the following statement.

> The Economic Development Unit will continue to identify and implement projects that expand the City's economy and ensure a better economic future for all our residents (EDU, 2005).

When I asked how vulnerable people accessed information about projects that are labour intensive, I was told that everything is available on the Internet. How do ordinary people access information on the Internet if they cannot even use a computer? This suggests a strategy that is insensitive to the needs of the poor people who reside Johannesburg. It is true that there are other mediums of communicating information to the people other than the Internet, such as through local radio stations and local newspapers. However, the official only thinks of the Internet, even though it is irrelevant to poor vulnerable residents of the City.

Furthermore, another question that is raised from the above statement is how can the EDU ensure a better economic future for residents without involving them? This aspect demonstrates a need for community and stakeholder involvement. The EDU strategy, however, follows the same pattern that was used in coming up with the Joburg 2030 vision. Both strategies did not successfully involve communities and stakeholders, and this brings to question the degree of equity planning that should embraced by the CoJ in general and the EDU in particular. Here, the lessons from the theories and practices of New Institutionalism may present future opportunities towards more inclusive governance. This is discussed in the next chapter.

5.5 Conclusion

It has been illustrated that the three units follow the CoJ institutional culture that is informed by the Joburg 2030 document. In coming up with their projects and programmes, the philosophies and beliefs that are reflected within the units do not show clear commitment to principles of new institutionalism and equity planning. Thus, it can

be concluded that the three units follow the CoJ institutional culture that is incompatible with IDP production.

Chapter 6

The role of New Institutionalism and Equity Planning theories in rethinking the City's institutional culture

Chapter 6: The role of New Institutionalism and Equity Planning theories in rethinking the City's institutional culture

6.1 Introduction

The aim of this chapter is to show that the CoJ institutional culture needs restructuring in order to provide a suitable environment for IDP production as defined in Chapter 3. Theories of New Institutionalism and equity planning are used to attain the abovementioned goal.

I argue that there is a need to balance laissez-faire policies and developmentally oriented planning within the CoJ. While there is a need for a development strategy that guides departments, the strategies should not be too prescriptive to a level that gives no room to departmental thinking and creativity. After all, the departments are good at what they are competent at. On the other hand, too much liberty without direction is dangerous because every department can pull in a different direction. The guidance that should be given to departments is to lead them into the right path the whole City is heading towards. This in turn helps the CPU to ensure good co-ordination of IDP projects, which ultimately leads to integration of projects. Once this has been established, a bigger goal can be achieved. In short, for a city as big as CoJ, there is a higher need for coordination to ensure that things run smoothly.

It is acknowledged that departments encounter different challenges that are specific to their field. However, it is still possible to indicate a set of principles and procedures that can be followed to arrive at a sound implementation plan.

The theory of new institutionalism was used to examine the CoJ in light of its contribution to communities. I argue that the contribution of CoJ's IDP to its communities is insignificant because of its inappropriate institutional culture (values, beliefs, philosophies and practices) that reflect the Joburg 2030 strategy. The contribution that is supposed to be made to communities includes community empowerment, social

and economic development of poor communities. This is not evident as it is realised that the ward councillors cannot meaningfully contribute towards the IDP document. Furthermore, the mayor decides, based on Joburg 2030 what needs to be done within a five-year period. This context makes contribution to communities to become difficult.

New institutionalism makes a point that decision-making is shaped by shared values, norms, beliefs and meanings. What I found out in the research is that decision-making at the CoJ's units is shaped by the values of the institutional culture of the City. This is evident when the Economic Development Unit aims at achieving economic growth through skills development, working closely with the JDA, JTC and MTC. All these efforts have been spelled out in the Joburg 2030 document (that represents and directs the institutional culture of COJ) as areas of highest priority for the City of Johannesburg, and this is what the EDU is implementing. It has been found out that the CPU solely produced the Joburg 2030 document. Thus it is clear that the CPU came up with the values, meanings and beliefs that are reflected in the Joburg 2030 document. The HIV/AIDS Unit makes efforts to fulfil their part in following the values of Joburg 2030 by working towards alleviation of the HIV/AIDS epidemic through following a top-down approach of coming up with plans that should be fulfilled at the regional level. The units show a uniform and shared commitment attainment of goals of the Joburg 2030.

It is this commitment to attainment of the goals of Joburg 2030 that makes attainment of the goals of a developmental IDP to be ineffective. That is, the CoJ context together with its values, beliefs and practices within which the IDP is developed makes the IDP unproductive in solving the problems the City faces as was argued in Chapter 1.

New institutionalism and equity planning looks at the importance of stakeholder participation in order for local needs to be targeted more accurately, attain transparency and inclusivity. Stakeholder participation does not seem to be effectively done. A technocratic way of coming up with projects is evident when the EDU goes to other countries to learn about their developments, assessing the sectors of the economy that deteriorated and ways to solve the decline through introduction of other sectors. This

technocratic approach has no element of including stakeholders in participatory measures that will lead to targeting of local needs. This is surely not an important aspect to the EDU. Similarly, the CPU came up with the Joburg 2030 document through a non-participatory technocratic approach. Only economic expertise was used in formulating and drafting the document. In essence, the needs of local communities were not taken into account, but the economic growth of CoJ is the only thing that was looked at to solve the problems of the poor and vulnerable, not participation in order to understand those needs of the poor and vulnerable.

The office of the speaker conducts community participation that takes place within the CoJ. Thus, the issues that are raised to this department are then forwarded to the relevant units. This shows that there is no direct relationship between the units and the communities they serve. It means that when the units come up with projects to benefit the poor and vulnerable, they do not consult them on appropriate programs that they can put in place. This form of participation does not guarantee that the units are accountable to the public with regard to the projects and programmes they offer to them.

Based on the fact that there is inappropriate participation, there is no transparency into how the units come up with projects and programmes. This is however needed for a successful IDP document to be produced, where different people participate towards a document that should be inclusive. These are values coined by equity planning theories. Since the CoJ institutional culture seem to insignificantly rely on equity planning, it means that the CoJ IDP is not inclusive because the units come up with their own projects and paste them in the IDP document as if they represent the “voices” of the citizens, especially the poor. This method of participation is toxic to participation that is envisaged in the Municipal Systems Act.

Within new institutionalism, collaborative planning captures the importance of different groups in society being able to accommodate one another’s thinking (Healey, 1997). Within the CoJ, the aspect of collaboration when coming up with solutions is not fundamental. This is based on the fact that there are no direct avenues for the units and

the civil society to engage in issues in search for a common understanding and in order to accommodate one another's views. Healey (1997) also showed the importance of soft infrastructure in institutional designs in collaborative planning. Soft infrastructure is concerned with communication that aids collaboration. The intellect and knowledge of different stakeholders is crucial in coming up with well thought and various solutions to challenges faced by the units within the CoJ. The data that has been collected revealed that the intellect and knowledge from the three units fall below the one appearing in the 2030 document, thus the reason they fulfil the Joburg 2030 goals and principles. Again, this is an illustration that the CoJ institutional culture is not conducive for IDP production.

Equity planning takes a view that planning should be done by paying attention to the needs of the poor and vulnerable populations. This aspect does not apply in CoJ as its planning is based on the supremacy of the Joburg 2030 document. It is stated in the first tenet that the CoJ may not pay particular attention to considerations such as poverty alleviation. It is the beliefs of the CoJ that directly contradict the notion of equity planning in solving developmental issues. The planning that is done by the three units depict the values of the Joburg 2030. It is this fulfilment of the Joburg 2030 within the CoJ units that necessitates a changed institutional culture within CoJ to create suitable environment for IDP production.

6.2 Conclusion

Given the history of Johannesburg and the conditions that prevail today shows a need for new-institutionalism and equity planning in dealing with the current situation. The Constitution, the White Paper on Local Government and the Municipal Systems Act support the need for equity planning in the City. The CoJ at the same time, seems to be caught between implementing economic policies of Joburg 2030 while still struggling to address disparities and inequalities of the past. Therefore, I argued that, in order to attain the status of a world class African city and solve challenges of poverty and improving the quality of life for residents, the problems of the poor should be addressed. The time of making lateral decision about people's lives is gone. For a city to appropriately respond

to the needs of vulnerable people is to engage with them and to understand their needs and try to help them. If poor people are not part and parcel of planning, the vision of becoming a world class African city cannot be attained. The city can make plans, but the majority of people (the poor) can hinder those plans. If these issues are not addressed, crime, grime and inequalities within the City will only get worse. In essence, the long-term City goals will be affected greatly by huge inequalities. Addressing inequalities through equity planning helps the vulnerable and the spin-offs also affect the broader community (Blackley, Fallon, and Hoffman, 2005). The institutional culture that should be portrayed by the City's units should show this commitment to being developmental.

In this chapter, theories of new institutionalism were applied to the case of CoJ to assess whether the institutional culture of the City of Johannesburg is suitable for IDP production. The institutional culture in Johannesburg is represented by values that are technocratic, non-participatory and economically based. These CoJ beliefs and practices show that the IDP is produced within a wrong context and the IDP production then loses its developmental role. This chapter also laid a foundation that will help with recommendations of the current study. These recommendations follow in the subsequent chapter.

Chapter 7

Recommendations and Conclusion

Chapter 7: Recommendations and Conclusion

7.1 Recommendations

It has been revealed that the institutional culture that prevails within the City of Johannesburg is not conducive for appropriate IDP production. Therefore, the following recommendations will help in suggesting the ways in which the institutional culture can be changed to create a suitable environment for IDP production.

- There is a need for changed values of the Joburg 2030 as a strategy that guides the whole City of Johannesburg. The belief in economic growth as a panacea to solve the ills of the City should be changed. In order for the value system of the CoJ to be conducive for IDP production, the CoJ may bring together different stakeholders to the table and to discuss what should constitute values of the City. This will give them an opportunity to voice their concerns and needs, thus foster appropriate action plans that would benefit the vulnerable as well. As such, the CoJ plan would be inclusive. This action would help the City to move away from being technocratic and using experts to determine the values of the entire City. Therefore the City would be inclusive and respectful of opinions from various stakeholders within the CoJ. Thus the City can then work towards achieving goals that are agree-upon and developmentally oriented. The recommendation would be easier for the CoJ to fulfil since the Joburg 2030 document will be reviewed in 2006.

- The CoJ should value a strategic IDP because it would guide all the CoJ departments and units as to what needs to be attained. The IDP is supposed to guide each and every municipal department with regards to what the overall goals of the City are within a five-year period. If the CoJ is willing, then the IDP will be able to fulfil its priorities as required by the MSA. Thus the City of Johannesburg

will have a developmental IDP. This developmental IDP will also aid in integration of different projects and programmes of different units and departments within the CoJ. In essence, fragmentation of the IDP would be avoided. This is the environment that is needed for the IDP to be produced effectively so that it attains its intended goals.

- When the units come up with projects and programmes, the participation process should be improved. Focusing on hard infrastructure can do this. The focus of hard infrastructure is on the structural set-up of bodies within society including government departments and business. These are the structures of participation that should change within the CoJ. These structures that should change would aid in providing a conducive environment for IDP production. Instead of the speaker's office taking grievances and concerns to the relevant department or unit, the stakeholders should be able to directly access the relevant departments. This environment that would be created by the abovementioned values may surely lead to an appropriate IDP.

- The access that would be created through hard infrastructure can also aid the soft infrastructure. One of the ways in which soft infrastructure of the units can work together with that of stakeholders to create a conducive environment within which the IDP can be produced is through intellect and knowledge from the units and stakeholder such as ward councillors. The ward councillors can be trained for them to make meaningful contributions to the IDP document. Through training, the IDP would be produced within a context that is supportive. That is, the values of the City would be well understood by ward councillors who represent many CoJ residents. This will then create a suitable institutional culture within which the IDP will be produced.

7.2 Planning implications

The research has highlighted issues of planning significance as follows:

- The importance of collaboration in preparation of the IDP. The situation that took place when the Joburg 2030 vision was drafted is truly unacceptable in democratic societies like ours.
- Importance of equity planning. Without equity planning theories, the City of Johannesburg will find it hard to curb the problem of increasing inequalities.
- The importance of a unified city culture. It is only through participation and collaboration that the City can speak with one voice and appreciate differences. This, as Healey stated, is important in ensuring a sustainable culture.
- In short, the theories of equity planning and New Institutionalism should be intertwined in dealing with challenges facing the City of Johannesburg.

7.3 Conclusion

The research showed that the institutional culture of the City of Johannesburg is incompatible with the goals of successful IDP production, thus needs change. This CoJ institutional culture has been explained in Chapter four. The processes that are followed in IDP production are outlined in chapter three, which shows how a desirable IDP document should be produced.

When investigating CoJ's institutional culture, it was found that a technocratic approach to preparing the IDP document has been followed. This approach is similar to the one that produced a CDS document that dictates the values and philosophies of the CoJ that are followed by all units operating within the CoJ. Within this framework, stakeholder participation is ineffective and economic growth is viewed as crucial in attaining levels of development for the CoJ.

In order for the CoJ institutional culture to transform, there needs to be restructuring of its Joburg 2030 (which informs the CoJ institutional culture). The paper proposes that the values, philosophies and beliefs that guide the City of Johannesburg should be changed to help in the production of a developmentally oriented IDP. A conducive institutional culture may contribute towards transforming CoJ into a more developmentally oriented municipality. This may contribute in solving CoJ's problems of inequalities and improving the quality of life for the City's residents through measures such as including them in coming up with programmes that aim to benefit them.

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